

Initial Report to Congress
Office of Sustainable Housing and Communities
Sustainable Communities Grant Program Evaluation
July 2012

Executive Summary

HUD's Office of Sustainable Housing and Communities (OSHC) was established in 2010 to manage two competitive grant programs that provide funding to communities to develop long-term plans that link housing, transportation and other fundamental economic levers. This work directly supports HUD's mission to create strong, sustainable, inclusive communities and quality affordable homes for all, as well as a key goal included in HUD's Strategic Plan to build inclusive and sustainable communities free from discrimination.

Through its Sustainable Communities Initiative (SCI), OSHC is helping rural, suburban, and urban communities across the United States link jobs and housing, foster sustainable, long-term economic growth, and protect America's environmental assets. HUD's SCI, which has provided grant awards for two years totaling \$240 million in 152 grants in 48 states, is divided into two distinct grant programs. The **Regional Planning Grant Program** supports locally-led regional planning efforts that integrate housing, economic and workforce development, and infrastructure investments to consider how all of these factors work together to create more jobs and economic opportunities. The **Community Challenge Grant Program** focuses on individual jurisdictions and more localized planning. Such efforts may include amending local master plans, zoning codes, and building codes to reduce barriers to mixed-use development, affordable housing, and the reuse of older buildings and structures for new purposes.

Strong demand exists for both programs. Over the two years for which funding was available, HUD received over 1,500 applications from every state of the nation and over 400 Congressional letters of support from Republicans and Democrats alike, yet was able to fund only 11% of proposals. In recognition of this unmet demand and the quality of innovative approaches being developed, HUD established Preferred Sustainability Status (PSS), which allows qualifying regions to access technical skill training, connection to a peer exchange network, and bonus points on related HUD discretionary grant

applications. Nine regions that received PSS in Fiscal Year (FY) 2010 were awarded HUD Sustainable Communities grants in FY 2011, an indication that the program is helping communities.

OSHC also represents HUD in the Partnership for Sustainable Communities (Partnership), a collaboration with the Department of Transportation (DOT) and the Environmental Protection Agency (EPA) to align resources, reinforce local and regional development strategies to support economic growth, and reduce bureaucratic barriers so that communities can meet the demand for more sustainable communities. The Partnership has made significant progress in achieving interagency coordination of activities and resources. DOT and HUD issued a joint FY 2010 NOFA for the Community Challenge and Tiger II Planning Grants in order to better align planning and improve linkages between DOT and HUD's programs.¹ HUD has also coordinated closely with DOT, EPA, the U.S. Department of Agriculture and other federal agencies in the grant review and execution for the both the Regional Planning Grants and Community Challenge Grants. In June 2012, HUD, DOT, and EPA announced that a select number of their competitive assistance programs would be more formally aligned. For the first time, the three agencies will take the other agencies' investments into account in making grant allocation decisions and utilize common language in notice of funding proposals. This type of reciprocal arrangement will bring a new level of coordination to federal investments and ensure that they are designed to achieve maximum efficiency and effectiveness.

This **Initial Program Evaluation Report to Congress** provides a high-level overview of the FY 2010 Sustainable Communities Regional Planning grantees and Community Challenge Planning grantees. Initial findings are provided to describe the priority issues grantees are seeking to address, the most common activities being funded through the grants, and desired project outcomes. An overview is also provided on the organizations and partnerships involved.

The major findings to date include the following:

1. Grantees leveraged an additional contribution worth 110%, or a 1.1 to 1 match, of the original federal grant amount from private and philanthropic partners. This brings total resources committed to the FY 2010 Sustainable Communities Planning Grant programs to approximately \$311 million for all grantees.

¹ http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_35389.pdf

2. OSHC has projected that the grantees are on track to spend more than 70% of the targeted amount by December 2012. If grantees continue to increase expenditures as OSHC anticipates, then the grantees will be on track to fully utilize the award funding within the performance period.
3. The NOFAs allowed communities to identify the appropriate and effective entity to serve as the lead agency. In FY 2010, grants were awarded to projects mainly led by Local Governments (45%), followed by Regional Governments (17%) and Councils of Governments (15%).
4. The Regional Planning Grants required consortia to be established that included representation by at least a regional planning entity, if one existed; jurisdictions representing at least 50% of a region's population; and at least one non-governmental partner. For Regional Planning grantees, 71% of consortia include an Academic Institution, 86% include a Non-Profit Organization, and 67% include a Community-Based Organization. Consortia led by Academic Institutions, State Governments, and Tribes each represented 2% of grantees.
5. The greatest percentage of planning needs self-identified by grantees as a focus of their work included Public Engagement (81%), Economic Development (52%), Affordable Housing (48%) and Integrated Regional Planning (48%).
6. There were some significant differences between economically distressed communities and other communities in terms of the local planning needs identified. Only 12% of non-distressed communities identified Social Equity as a need to address in their planning work, while 56% of distressed communities identified this need. Distressed communities were also much more likely to identify Governance as a need than were non-distressed communities.
7. The most commonly cited activities chosen by grantees are "Resident participation in plan development and governance" and "Conduct scenario planning."
8. The target planning outcomes identified most often by Community Challenge Planning grantees were (1) adoption of a plan, (2) increase in affordable housing units near transit, and (3) change in transit mode share.
9. The target outcomes identified most often by Regional Planning grantees were (1) increased number of people interested in participating in governance, (2) increased number of traditionally marginalized people in decision making roles, and (3) number of measures amended or added to State and local statutes to support the Regional Plan.
10. HUD and EPA have joined together to establish capacity building training in response to grantee needs. Grantees and those communities with preferred sustainability status have begun to receive capacity building from intermediaries on the following topics: social equity; scenario planning; smaller, rural, tribal communities; and water infrastructure.

Across the country, taxpayers are seeing how plans that HUD is funding can conserve resources and save them money. These grants are supporting local and regional strategies to make government work smarter, ensuring every dollar invested achieves multiple benefits. Cumulatively, HUD estimates that these integrated investment plans have the potential to generate approximately 64,000 jobs annually, save an estimated \$160 billion in unnecessary infrastructure costs, and save consumers approximately \$6 billion per year once implemented that could be spent on goods and services, creating assets, and improving their quality of life.²

Included at the end of this report are **case studies** that demonstrate the effectiveness and potential of this program. These case studies showcase SCI work being carried out on the ground in Colorado, Florida, Iowa, Michigan, Missouri, Tennessee, and Washington.

² These figures were derived by HUD using the following sources: Myers and Pitkin, "Projections of U.S. Population, 2010-2014," USC, October 2011; CEO's for Cities, "The Green Dividend," 2007; Office of Management and Budget, "Estimates of Job Creation from the American Recovery and Reinvestment Act of 2009," May 2009.

Introduction

On December 16, 2009, the FY 2010 Consolidated Appropriations Act (Public Law 111-117, approved December 16, 2009) provided a total of \$150 million to HUD for the Sustainable Communities Initiative (SCI). The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, enacted April 15, 2011), provided a total of \$100 million to HUD for its SCI. No funding was provided in FY 2012 for Sustainable Communities Planning Grant Programs, however, HUD's OSHC was funded to continue its ability to manage existing grants, provide technical assistance, and continue coordination with DOT to reduce duplication of federal investments. Further, Conference Report language was included to encourage technical assistance for communities to work together to integrate transportation and housing and to assist local grantees in performing these activities. The Administration has requested \$100 million in its FY 2013 Budget Request to continue funding HUD's SCI.

The goals of the SCI are to improve regional planning efforts that integrate housing and transportation decisions, to align job development and infrastructure investment strategies, to seek efficient use of public funds, and to increase state, regional, and local capacity to incorporate livability, sustainability, and social equity values into land use planning and zoning. The SCI uses two grant programs – the Sustainable Communities Regional Planning Grant Program and the Community Challenge Planning Grant Program -- to allow communities to better plan for regional economic development, to connect housing to jobs, to coordinate federal housing and transportation investments with local land use decisions, and to reduce transportation costs for families.

HUD submitted a June 10, 2010 Report to Congress (*Report of the Proposed Use of Funds Appropriated in FY 2010 for the Sustainable Communities Initiative*) that outlined the extensive public comment and interagency process used to develop the structure and criteria of both programs. Prior to drafting the FY 2010 Sustainable Communities Regional Planning Grant Program NOFA, OSHC published an Advance Notice for Public Comment. During the comment period, OSHC staged Listening Sessions in seven cities: Miami, Denver, Albuquerque, Los Angeles, Cleveland, St. Louis and Hartford, as well as a special listening session with representatives of small towns and rural communities. In addition, HUD hosted various web-based sessions, to provide information and receive feedback, and used an online "wiki" to gather written comments. All told, more than 700 people participated in in-person sessions and over 600 participants joined web-based sessions. These concerted efforts resulted in an invaluable collection of

the most innovative thinking about the future of regional planning from virtually every part of America and from a wide array of stakeholders. The information had profound influence on the final NOFAs, ensuring they were responsive to local concerns and needs.

Included in the FY 2010 Senate Report was language directing HUD to dedicate up to \$10 million for a joint HUD and DOT research effort “that shall include a rigorous evaluation” of the two grant programs (Senate Report 111-69, page 136). On September 30, 2011, HUD awarded a \$1.8 million contract to Summit Consulting, LLC (referred to in the Initial Report as the Project Evaluation Team) to undertake a program evaluation of HUD’s FY 2010 and FY 2011 SCI grantees, and to provide technical assistance to grantees on the development of performance measures. This effort is currently underway with a Program Evaluation Baseline Report anticipated for October 2012 and a Final Program Evaluation Report by October 2013.

Given the complexity of establishing a program evaluation methodology for planning activities that span a three-year grant period, and the diverse set of eligible activities and variation in geographies and project complexity, HUD has worked with the Program Evaluation Team to develop an appropriate methodology. This methodology, described in greater detail later in the report, is structured to allow for program evaluation across grantees to evaluate the cumulative impact of the SCI upon a set of Sustainability Outcomes and establishes for the first time a baseline snapshot of cross-cutting sustainability indicators. It also examines the Planning Outcomes of individual grantees to track their progress on the activities funded by HUD. Finally, the program evaluation will report on performance measures established by grantees over the three-year planning period and informed by public engagement and data analysis. Grantee achievements, progress, and best practices will be identified and supplemented with case studies to discuss the strategies used by communities to develop performance measures and integrate housing with transportation, economic development and other key public investments.

This **Initial Program Evaluation Report** is in response to the significant interest by Congress in HUD’s SCI. It provides a high-level overview of the FY 2010 grantees and jurisdictions receiving funding, in terms of funding sources, needs, activities, projected outcomes and the organizations and partnerships involved

as specified in their grant applications and e-Logic models.³ The main sources for the data in this report are the initial application materials from grantees, their work plans and consortia agreements, and each grantee's "e-Logic" model.⁴ Additional findings are derived from communications with and reports from grantees.

Grantees awarded funding in FY 2010 have had two reporting periods (July 30, 2011 and January 30, 2012), whereas those grants announced in FY 2011 have not yet reached the first reporting deadline. The FY 2011 grantees are in the process of finalizing their work plans and consortium agreements, and both sets of grantees will report next on July 30, 2012. More detailed program evaluation information will be forthcoming later this fall, with a final report in late 2013 after the first round of Sustainable Communities grantees have completed the work funded by FY 2010 grants.

Program Background

Through the funding provided in FY 2010 and FY 2011, HUD's OSHC provided over \$235 million in grant awards to be expended over a three-year performance period to 143 regional planning and governmental agencies, and local government entities. HUD conservatively estimates that these grants will directly support 4,500 jobs throughout the planning processes, with additional job creation supported through leveraged resources from project sponsors, as well as significantly more jobs as the plans are implemented. Initial estimates by HUD indicate that implementation of these integrated investment plans have the potential to generate approximately 64,000 jobs annually, save an estimated \$160 billion in unnecessary infrastructure costs, and save consumers approximately \$6 billion per year once implemented.⁵

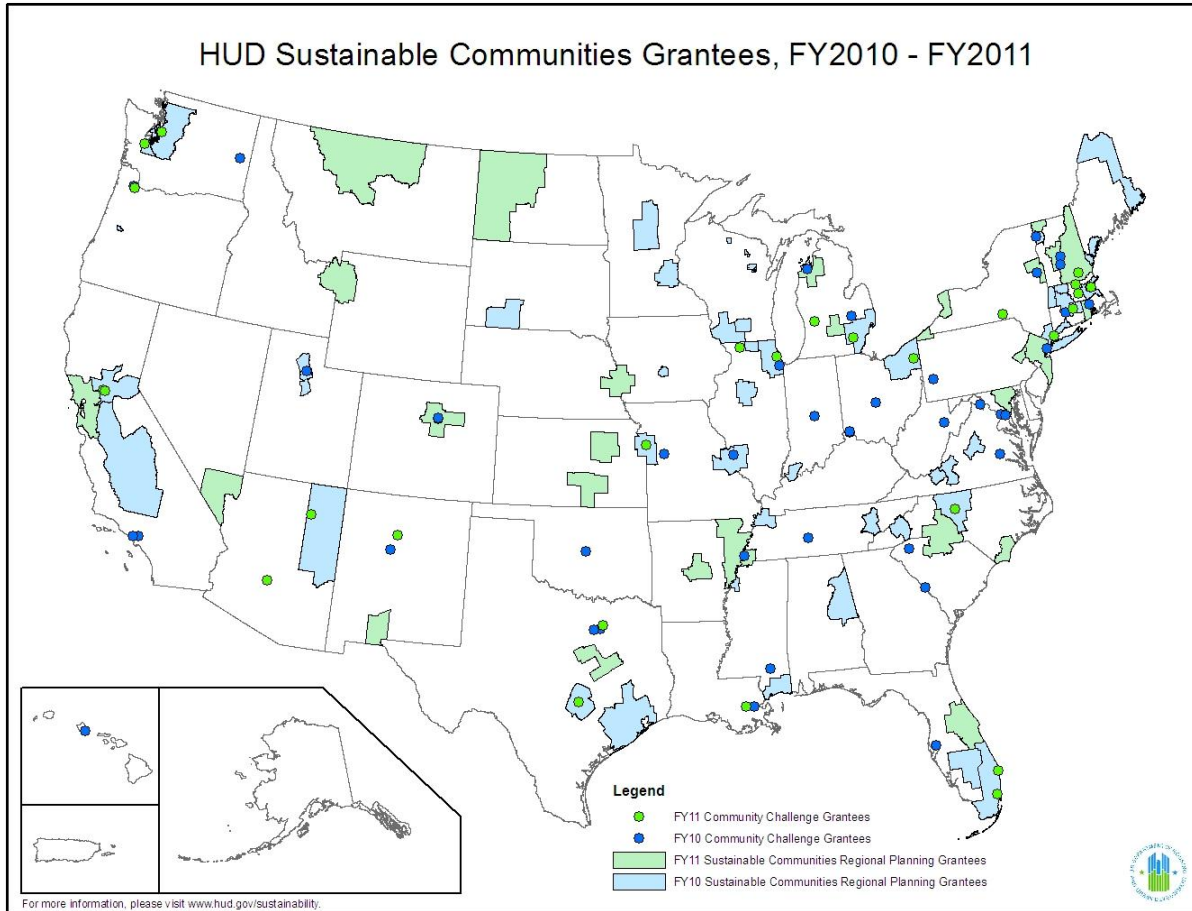
Figure 1 shows the communities and regions funded in FY 2010 and FY 2011 through the SCI.

³ The Program Evaluation Team analyzed data on FY2010 grantee funding amounts for all grantees, and data on FY2010 needs by grantee profile for 83 out of 87 grantees, based on the availability of completed grantee materials.

⁴ The e-Logic model is an Excel-based program tracking tool utilized by a variety of programs at HUD to track the outcomes and outputs of programs against HUD's strategic plan.

⁵ These figures were derived by HUD using the following sources: Myers and Pitkin, "Projections of U.S. Population, 2010-2014," USC, October 2011; CEO's for Cities, "The Green Dividend," 2007; Office of Management and Budget, "Estimates of Job Creation from the American Recovery and Reinvestment Act of 2009," May 2009.

Figure 1. Map of HUD Sustainable Communities Planning Grantees, 2010-2011



Source: HUD, February 2012.

The work supported through this investment supports a variety of planning activities to help communities and regions reach the following Livability Principles that have been adopted by the Partnership for Sustainable Communities:

- Enhance economic competitiveness;
- Provide more transportation choices;
- Promote equitable, affordable housing;
- Support existing communities;
- Coordinate and leverage federal policies and investment; and
- Value communities and neighborhoods.

HUD's SCI programs place a priority on public engagement and community outreach efforts, including engagement by traditionally marginalized populations and other underrepresented groups within the community. Recipients of HUD SCI funding continue to build innovative partnerships that engage regional planning entities, local jurisdictions, and community-based organizations committed to engaging populations that frequently are left out of these pivotal planning conversations. A core priority of the program is to provide the resources for these partnerships to thrive once federal planning funds are expended.

HUD's SCI is divided into two distinct grant programs: Regional Planning Grants and Community Challenge Grants. Both programs support communities as they develop their own strategic framework to address locally defined needs and to use a single planning investment to address multiple challenges.

Regional Planning Grant Program

Under the Sustainable Communities Regional Planning Grant Program, competitive grants support preparation and implementation of Regional Plans for Sustainable Development (RPSD), which are guides for local, regional, and state governmental policy and investments. The program aims to support metropolitan and multijurisdictional partnerships that commit to adopt integrated plans, strategies, and management tools to help regions become more economically and environmentally sustainable. To encourage these collaborative partnerships among Regional Planning grantees, HUD required that they establish consortia comprised of public and private entities, as well as regional planning organizations. The program also intends to facilitate strong alliances of residents and regional interest groups in communities throughout the U.S. that are able to maintain a long-term vision for a region and simultaneously support progress through incremental sustainable development practices.

Eligible activities for the Regional Planning Grant Program include: development of a comprehensive RPSD, including elements such as economic and job development, housing, regional transportation, equity and fair housing, and water infrastructure, among others; activities to ensure public decision-making and meaningful resident participation in the planning process; identification of policies, administrative procedures, and legislative proposals that incentivize efficient, sustainable growth; alignment of infrastructure investment to ensure equitable land use planning; activities to strengthen management and decision-making capacities to execute sustainable regional planning; preparation of administrative and regulatory measures; technical planning studies concerning local development

issues, priorities, or suggested new approaches to housing, economic development, capital improvement programming, or community relations; coordinated intergovernmental planning and related public and private development; and identification of measures to track the progress toward creating sustainable communities.

The Regional Planning Grant Program supports grantees that are at different stages of planning. Category I grants support communities that are beginning to explore how best to align their housing, transportation, employment centers, infrastructure investments, and environment. For example, the South Florida Regional Planning Council, a Category I grantee, received a grant from the SCI to put in place their regional plan entitled “Seven50: Southeast Florida Prosperity Plan.” The Planning Council proposed to create regional partnerships to ensure that planning and investment decisions would yield a more prosperous, inclusive, and sustainable region. The process they are undertaking is the first comprehensive effort to develop a regional plan in this area, which spans 7 counties and 121 cities and stretches 295 miles in length.

Category II grants support communities which have already begun the sustainable planning process, and are prepared to move toward completion and implementation of an RPSD. For example, the Tri-County Regional Planning Commission, a Category II grantee, is focusing its planning efforts on economic development strategies to catalyze sustainable development in the Peoria, Tazewell, and Woodford Counties of Central Illinois, given that they have already created a shared vision for the region in their current plans. The Economic Development Council for Central Illinois is leading the effort to create an economic development plan that focuses on engaging historically underserved populations in projected economic growth areas for the region as defined by the Comprehensive Economic Development Strategy (CEDS).

Community Challenge Grant Program

The Community Challenge Planning Grant Program fosters policy reform and clears barriers to private sector investment – ensuring local planning efforts are aligned not only across government but with the businesses and investors communities need to spur long-term economic growth while also achieving affordable, economically vital, and sustainable communities *at the local level*. Examples of activities initiated under the grant program include amending local master plans, zoning codes, and building codes to reduce barriers to mixed-use development, affordable housing, and the reuse of older buildings

and structures for new purposes. For example, the Randolph County Housing Authority of West Virginia was awarded \$153,500 to support localized plans to increase pedestrian and bike connectivity in two mixed-income neighborhoods close to jobs, schools, and in-town amenities. The Housing Authority is partnering with the West Virginia Division of Public Transit, the Randolph County Commission, the Randolph County Senior Center, and other entities, to assess the opportunities and risks of expanding bus routes to increase ridership and better support commuters. The goals of the project are to develop a bus transit plan to specifically serve the needs of aging and disabled residents, and to prepare a comprehensive plan to identify employment centers and the availability and affordability of location-efficient rental and for-sale housing.

Program Demand

Both programs have significant demand. Over the two years for which funding was available, HUD received over 1,500 applications from every state of the nation and over 400 Congressional letters of support from Republicans and Democrats alike, yet was able to fund only 11% of proposals. In FY 2011, there was \$509 million of demand for both programs and only \$95.8 million in funding. In recognition of this unmet demand and the quality of innovative approaches being developed, HUD established Preferred Sustainability Status (PSS), which allowed applicants who received a specified threshold score to access technical skill training, connection to a peer exchange network, and bonus points on related HUD discretionary grant applications. Thus far, 34 regions and eight communities have qualified for PSS. An additional nine regions that received PSS in FY 2010 were awarded HUD Sustainable Communities grants in FY 2011, an indication that the program is helping communities.

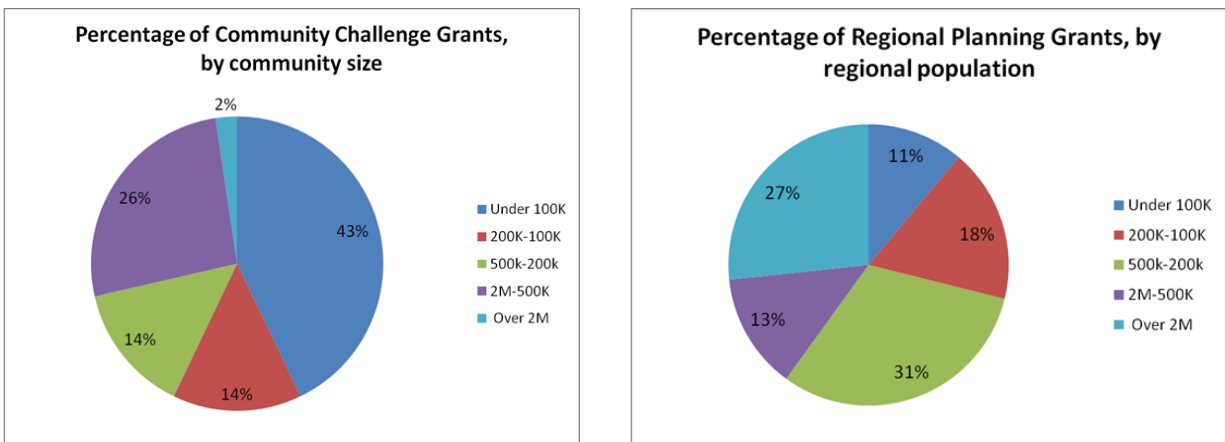
Geographic Diversity

HUD's SCI programs are funding integrated planning efforts in 48 states, and in communities of all sizes. Statewide grants were awarded in FY 2011 to New Hampshire and Rhode Island, and several states such as North Carolina, Texas, and California have grants supporting work in multiple regions across the state. Additional bi-state efforts are being supported in Nebraska/Iowa, Kansas/Missouri, New York/Connecticut, and Idaho/Wyoming. Two percent of grants have been awarded to tribal organizations, including: the Hopi Tribe, AZ; Thunder Valley, SD; Pueblo de Cochiti Housing Authority, NM; Northwoods Nijii Enterprise Community, Inc., WI; Spokane Tribe of Indians, WA and Opportunity Links in Montana.

Figure 2 shows the population distribution for communities in planning areas covered by FY 2010 and FY 2011 HUD Sustainable Communities Planning Grants. The largest share of Community Challenge grants (43%) have been awarded to areas with populations under 100,000 whereas only 2% have gone to areas with a population greater than 2 million. These smaller communities, many of them rural or suburban have shown significant demand in the program given changing demographics and the scarcity of programs available to fund planning for jurisdictions of this size.

For Regional Planning Grants, the largest cohort (31%) is comprised of regions with populations between 200,000 and 500,000. Large metropolitan areas, those with populations over 2 million, account for 27% of grants awarded. HUD created a special category for regions with populations below 200,000 and has awarded 29% of grants to these areas.

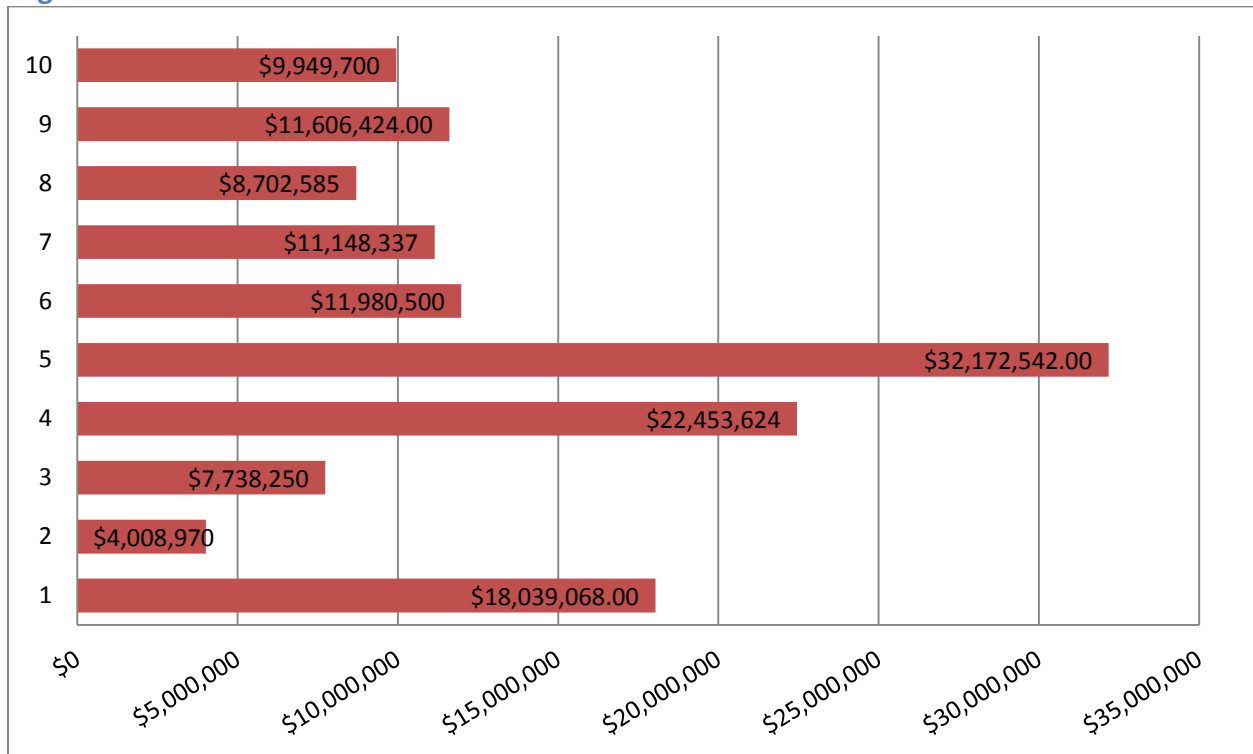
Figure 2: Population Distribution of HUD Sustainable Communities Grantees, by Program



Source: HUD using 2009-2010 U.S. Census Data.

Figure 3 shows the total amount awarded to FY 2010 grantees broken down by HUD Region. Regions I, IV, and V received the largest share of HUD grant funds and also contributed a larger share of leveraged resources.

Figure 3: Regional Planning and Community Challenge Funding for FY 2010 Grantees, by HUD Region



Source: HUD Analysis.

Grant Review Process

Grant applications for both programs went through a rigorous ranking and rating process. For each application review, a multidisciplinary team of expert reviewers was assembled to ensure that the complexity of the applications anticipated was fully appreciated and factored into the scoring of each application. Over 14 federal agencies provided grant reviewers for the Regional Planning and Community Challenge Grant Programs. Additionally, representatives from various philanthropic organizations with a long history of investment in regional development, social equity, and sustainability participated on the grant review teams. This cooperation in the review process has helped ensure that investments made by federal agencies are targeted and truly maximize their impacts.

Applications went through an intensive threshold review process to ensure that applicants had established the proper geography, category of grant, consortium configuration, and minimum leverage set forth by the NOFA as basic requirements in order to be advanced to full review. Next, review teams thoroughly analyzed each of the qualifying applications and assigned them a score. The scoring system was based on the rating factors outlined in the NOFA and used to generate a list of highly recommended projects to be passed on to the Senior Review Team for a second level review. The Senior Review Team, comprised of counterparts in the agencies engaged in the Partnership (HUD, DOT, and EPA), met to review the qualifying funding applications. As outlined in the NOFA under Section V.B., the Senior Review Team made funding recommendations to the Secretaries of DOT and HUD, based on:

- how the project performed under the four rating factors described in the NOFA and evaluated by the Review Teams;
- ensuring an equitable distribution of grant awards based on geography; and,
- ensuring that the final cohort of awards reflects the range of activities and impacts covered under the Livability Principles.

Aligning Federal Resources

The Partnership has made significant progress in achieving interagency coordination of activities and resources. DOT and HUD issued a joint FY 2010 NOFA for the Community Challenge and Tiger II Planning Grants in order to better align planning and improve linkages between DOT and HUD's programs.⁶ In June 2012, HUD, DOT, and EPA announced that a select number of their competitive assistance programs would be more formally aligned. For the first time, the three agencies will take the other agencies' investments into account in making grant allocation decisions and utilize common language in notice of funding proposals. For future competitions, NOFA language will require applicants to demonstrate that they have an integrated sustainable community plan in place in order to be rated "highly recommended." In addition, prior receipt of a sustainable community planning grant will also be a factor that is considered by a Senior Review Team. This type of reciprocal arrangement will bring a new level of coordination to federal investments and ensure that they are designed to achieve maximum efficiency and effectiveness.

⁶ http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_35389.pdf

Life Cycle of HUD's Sustainable Communities Grants

The performance period for the Regional Planning and Community Challenge Grant Programs is three years. Cooperative agreements for the FY 2010 cohort of grantees were finalized in February 2011 after a period of budget analyses, work plan revisions, and intensive technical assistance designed to minimize financial risk while supporting several first-time HUD grantees. At the time of this report, nearly eighteen months or half of the entire performance period has elapsed for the 2010 cohort. This means that the majority of grantees from the 2010 cohort are currently in the initial stages of producing program deliverables, and have submitted two semi-annual reports.

Cooperative agreements for the FY 2011 cohort grantees were finalized in February 2012, once again following a period of intensive technical assistance to engage several first-time HUD grantees. At the time of this report, approximately four months of the performance period has elapsed for the FY 2011 cohort. Given where the two cohorts are in the grant cycle, only program evaluation and financial data from the FY 2010 cohorts are available to be included in this report.

During the three-year performance period, grantees move from an initial Start-Up phase to an Implementation phase followed by a Close-Out phase. In order to provide grantees with the maximum flexibility to respond to local conditions and capacity, OCHC did not establish rigid timelines to complete these phases, but rather, ensured that completion of the phases are contingent upon the accomplishment of project milestones. This arrangement was necessary in order to ensure that the program could accommodate the diverse characteristics of the organizational entities responsible for leading the projects, the differences in scope associated with the regional partnerships, and the inherently complex nature of managing planning efforts that are inclusive and effective. Below is an overview of key milestones for each grant cycle phase. This overview provides context for the initial program evaluation and financial data presented later in this report.

Start-Up Phase

Grantees establish the necessary infrastructure to successfully implement their projects in the Start-Up phase. Examples of infrastructure components include the management systems, staffing, performance indicators, and for RPG grantees, formalized consortium agreements. The time frame for this cycle depends on the complexity of the project and the organizational structure of the lead and partner entities.

Implementation Phase

Throughout this phase, grantees and their local and regional partners perform the work that produces the key results of their projects – namely, deliverables which are produced in collaboration with local public and private entities and stakeholders, including the Plan for Sustainable Development or any other grant deliverables. Progress toward the completion of deliverables serve as the critical milestones of this phase and the cross-sector engagement serves to ensure implementation beyond the formal time span of the grant. The majority of FY 2010 grantees have recently begun this phase of the grant cycle.

Close-Out Phase

Finally, the projects are expected to complete and submit their final deliverables to HUD, work with key local stakeholders to promote the adoption of their final regional plans, and prepare and submit the necessary final financial and programmatic reports to HUD. While many individual grantees are ahead of schedule, at the time of this report, no FY 2010 grantees have reached this phase of the grant cycle, which is in full accordance to the structure of the three-year grant program.

Goals of the Sustainable Communities Grant Program Evaluation

The Sustainable Communities grants are predicated on the underlying philosophy that engaging at the local and regional level in integrated and coordinated planning (including private and public sector entities) is an inherently valuable activity, and that increasing community capacity to undertake an integrated planning process will facilitate greater return on federal investment both in terms of cost savings and achieving a larger set of economic, social, and environmental benefits from coordinated investments. The participation of regions in the grant program will help the federal government identify ways in which it can better support local and regional planning for sustainable outcomes, and minimize redundant and conflicting federal requirements.

Evaluating a planning program is inherently different from other types of program evaluations in that the outputs are not as tangible or immediately impactful as outputs from other typical federal programs such units of housing production, receivers of technical assistance, or number of vouchers processed. Rather, Sustainable Communities Planning Grants produce plans and planning activities—such as number of participants in the planning process or plan adoption—which are intended to contribute to

long-term sustainability outcomes, such as reduction in combined housing and transportation costs, increased infill and brownfield development, more efficient use of local taxpayer dollars, reduced rate of obesity, and reduced traffic congestion.

HUD's Sustainable Communities Planning Program is supporting a variety of planning activities and at a variety of scales. From its inception, the program has sought to balance the need for federal oversight and management of these federal funds with the fact that planning is a local activity that works best when it reflects the needs, priorities and vision of the local community or region.

To track progress on this diverse set of planning and sustainability goals, HUD identified a set of five long-term **Sustainability Outcomes** in coordination with DOT and EPA that the grant program seeks to achieve:

1. Transportation Choice
2. Housing Affordability
3. Equitable Development
4. Economic Resilience
5. Growth through Reinvestment.

These outcomes align with the Livability Principles and are cross-cutting in nature with performance measured by indicators that integrate housing, transportation, economic development, and environmental factors. Additional **Planning Outcomes**, which are more process-oriented in nature, are also being tracked:

- Public Engagement
- Governance
- Integrated Planning and Investment.

Planning Outcomes involve actual changes in practices, policies, procedures, and community engagement. They include tangible items such as adoption of a Regional or Community Plan for Sustainable Development, planning integration (across sectors and across levels of government), increased planning capacity in the community, and development of a framework to become a sustainable community in the future.

Regional Planning grantees and Community Challenge Planning grantees are required to establish their own set of performance measures that will result from the planning process, and also to report on a set of measures that will allow for program evaluation across grantees. This reporting is done through the HUD e-Logic model and semi-annual reporting. Because significant changes in the long-term Sustainability Outcomes are not expected within the three-year time period of the planning grant program, the evaluation will focus on progress achieved toward these long-term outcomes by measuring shorter-term Planning Outcomes. For example, whereas a long-term Sustainability Outcome of the grant may be an increase in the total percentage of people commuting via walking, biking, rideshare or transit; a related short-term Planning Outcome may be the adoption of a plan that incorporates strategies to increase the miles of bike/pedestrian infrastructure in the community.

Taken together, these eight categories provide a framework for organizing the goals of the Sustainable Communities Grant Program. In addition, the Sustainable Communities Grant Program is unique in that a main goal is to provide flexibility for grantees to identify and address their local priorities through a broad spectrum of activities. Thus, although there are specific Sustainability and Planning Outcomes, the grant program also allows variation in the performance measures that are reported by OSHC grantees, and in the performance measures that are used in individualized community planning processes. HUD is also supporting technical assistance to grantees through its evaluation contract to assist communities in developing data and geographic information capacity to support long-term performance measurement. The technical assistance will support the sharing of best practices across grantees, some of whom have deep experience in performance measurement—such as the Sacramento, Chicago and Boston regions—with others who may just be establishing performance measurement systems.

Initial Program Evaluation

HUD's OSHC provided \$138 million in FY 2010 grant awards, to be expended during a three-year performance period, to 87 regional planning and governmental agencies and local government entities. This **Initial Program Evaluation Report to Congress** provides a high-level overview of the FY 2010 Sustainable Communities Regional Planning grantees and Community Challenge Planning grantees. Initial findings are provided to describe the priority issues grantees are seeking to address, the most common activities being funded through the grants, and desired project outcomes. An overview is also

provided on the organizations and partnerships involved. This report draws on information provided in grant applications, approved work plans and the grantees' semi-annual reports.

HUD Funding and Leveraged Resources

Of the FY 2010 grantees, 42 received Community Challenge Grants (CCG) and 45 received Regional Planning Grants (RPGs). As a condition of the Sustainable Communities grant programs, both RPG and CCG grantees were required to provide at least 20% of the requested funding amount in match in the form of cash, verified in-kind contributions or a combination of these sources. The match was required at the time of signing the cooperative agreement. In-kind contributions could be in the form of staff time, donated materials, or services.⁷

Fourteen CCGs also received funding from the DOT's National Infrastructure Investment Grants: TIGER II Planning Grants. DOT and HUD issued a joint FY 2010 NOFA for the CCG and Tiger II Planning Grants in order to better align planning and improve linkages between DOT and HUD's programs.⁸ However, this funding was not considered part of match or leveraged funding.

Both CCG and RPG grantees utilize leveraged contributions from their partners to supplement the HUD awards. These contributions may come from any combination of local, state, or private and philanthropic contributions dedicated to the express purposes of the grant proposal.⁹

Table 1 shows the total funding for each type of grantee, as well as the amount of funding that came from DOT, HUD, and from outside contributions. DOT funded CCG grantees in the amount of \$9.45 million. HUD funding to CCG and RPG grantees was \$40 million, and \$98 million, respectively. Grantees leveraged an additional contribution worth 110%, or a 1.1 to 1 match, of the original HUD and DOT grant amount. This brings total resources committed to the grant program to approximately \$311 million for all grantees.

⁷http://portal.hud.gov/hudportal/HUD?src=/program_offices/sustainable_housing_communities/sustainable_communities_regional_planning_grants

⁸ http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_35389.pdf

⁹ http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/nofa11/2011grpscrplccg

Table 1: Number of FY 2010 Grantees and Total Funding by Grantee

Grant Type	Number of Grantees	HUD Amount Granted	DOT Amount Granted	Leveraged Funds	Total Resources	Percent Federal \$ Leveraged
Community	42	\$40,000,000	\$9,452,929	\$44,014,890	\$93,467,819	89%
Regional	45	\$98,329,719	\$0	\$119,000,858	\$217,330,577	121%
All Grantees	87	\$138,329,719	\$9,452,929	\$163,015,748	\$310,798,396	110%

Source: Team Analysis of data provided to Summit by HUD on 4/20/2012.

The following examples highlight sources of outside contributions leveraged for grantees:

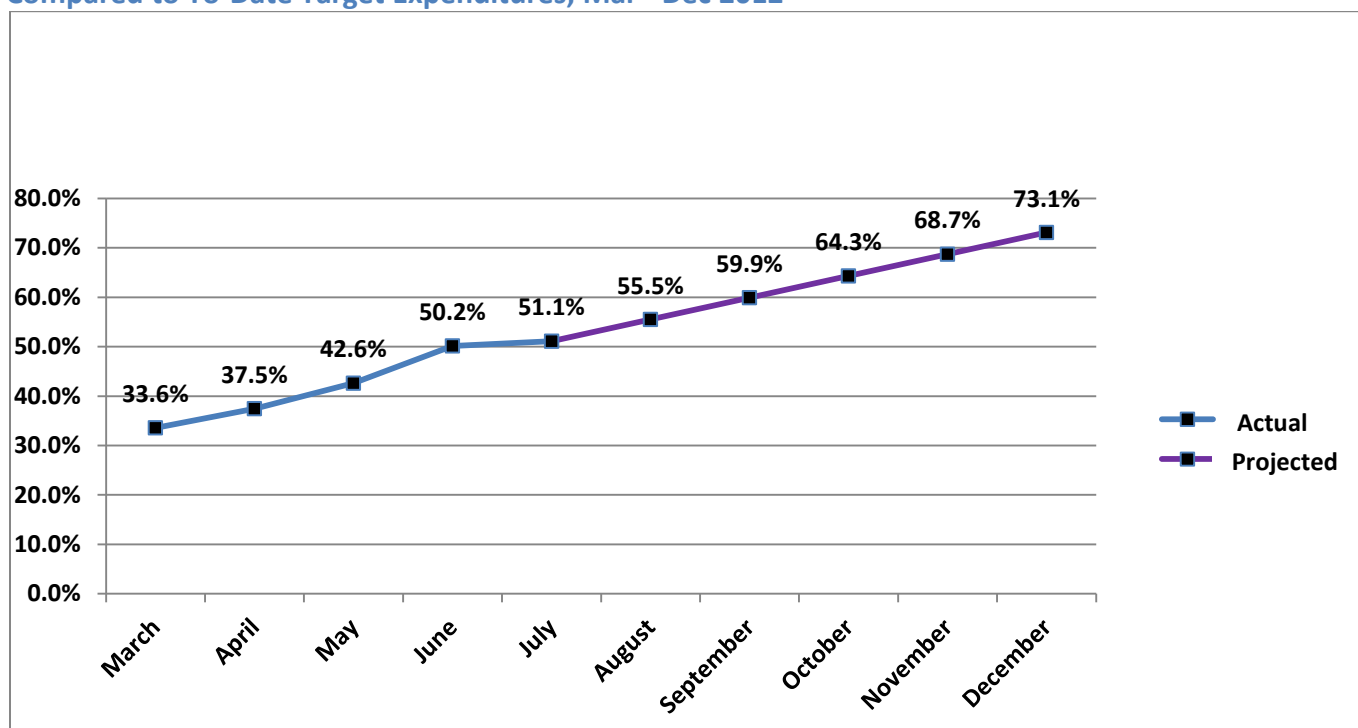
- The 7-county Twin Cities region in Minnesota has leveraged significant funding for its Corridors of Opportunity plan. On top of the \$5 million HUD Sustainable Communities Regional Planning Grant, the consortium, led by the Metropolitan Council, has directly leveraged \$8,907,875 from community partners, local jurisdictions and counties, the Minnesota Housing Finance Agency and the University of Minnesota. In addition, the HUD grant is leveraging planning and implementation efforts funded through the \$16 million Corridors of Opportunity Initiative from Living Cities —a collaboration of 22 of the nation’s largest foundations and financial institutions. This includes \$2.77 million in grants, \$10 million in commercial loans, and \$3 million in flexible, low-cost loans. In total, HUD’s grant will leverage almost 5 times the initial federal investment.
- Even from more rural and poor communities, leveraged resources demonstrate the innovative partnerships that have emerged through the program. The Thunder Valley Community Development Corporation (TVCDC) based in Porcupine, SD, included nearly 27% of matching resources for its proposed RPSD and grant request of \$996,073. These matching resources included over \$100,000 in cash funding from both lead agency TVCDC and a planning consultant. Furthermore, other matching amounts ranging from \$15,000 to \$25,000 were provided by a local law firm, the Chamber of Commerce, and Office of Economic Development. In-kind services valued at \$3,200 were provided by partnering environmental advocacy group, inNative.

Financial Performance

In July 2012, the FY 2010 grantees are beginning the nineteenth month of performance and some promising early results are emerging. This spring, HUD analyzed the actual and projected percentage of dollars spent as compared to prorated target expenditures to monitor the grantees’ financial

performance. This analysis allowed OSHC to determine that the grantees, while demonstrating low initial expenditures (less than 50% through June), are on track to spend more than 70% of the targeted amount by December 2012. **Figure 4**, below, presents the combined RPG and CCG actual and projected percentage of dollars spent for a ten month time span. The target expenditures used to calculate the proportion of dollars spent for each monthly figure were prorated to accurately reflect the amount grantees' should be spending at respective points in the performance period. If grantees continue to increase expenditures as OSHC anticipates based on Figure 4, then the grantees will be on track to fully utilize the award funding within the performance period.

Figure 4: FY 2010 Grantee Cohorts Actual and Projected Percentage of Dollars Spent As Compared to To-Date Target Expenditures, Mar - Dec 2012



Source: HUD Analysis.

The projected expenditure percentages presented in the above graph for the period between August and December were derived by averaging the differences between each monthly expenditure percentage from the previous intervals. Then the average was added to the previous month's percentage to determine the projected expenditure percentages for each future month. Based on the projections exhibited in the figure, HUD anticipates that the programs will expend 73.1% of the prorated target by December 2012. The programs are expected to have higher expenditures as they move

further into the Implementation phase of year 2 in order to account for lower spending patterns during the initial start-up phase of the projects in year 1 (see discussion in Life Cycle of Grants).

Table 2: Expenditure Summary as of July 2012

	Total Awarded	Total Expended	Total Remaining	Percentage of Funds Expended
Regional Planning	\$98M	\$28.4M	\$69.6M	29.0%
Community Challenge	\$40M	\$6.9M	\$33.1M	17.1%
Total	\$138M	\$35.3M	\$102.7M	25.2%

Source: HUD Analysis as of 7/10/12.

In terms of actual dollars spent, 29.0% of the Regional Planning funds have been expended and 17.1% of the Community Challenge dollars have been expended. Of the \$138 million awarded to the grantees in FY 2010, \$35.3 million has been spent and \$102.7 million remains undisbursed. This means that approximately halfway through the performance periods, the grantees have spent approximately a quarter of the allocated funds.

Given the transformational and complex nature of planning grants and the fact that grantees are expected to produce most major deliverables at the end of the performance period, OSHC recognized the need to proactively manage the programs at key points throughout the grant cycle. As such, OSHC has established an early warning system to identify and rectify grantee performance issues before they grow large enough to pose serious or irreversible problems. Government Technical Representatives (GTRs) and Grant Officers (GO) regularly and frequently provide grantees with feedback on the status of spending patterns among other areas of grantee performance. When issues with low expenditures are identified, grantees are required to prepare and submit to OSHC a corrective action plan detailing the course of action they will take to improve spending. These “at-risk” grantees are closely monitored and receive extensive technical assistance for a minimum of three months or until their performance has demonstrated the necessary improvements.

To date, OSHC has identified a group of “at-risk” grantees that have exhibited slow spending due to initial program start-up delays. These grantees have been placed on corrective action plans and already

have begun to improve their performance prior to progressing to serious “high risk” status. OSHC anticipates the upward spending trend to continue into the future with a large spike in program expenditures to occur in the next two financial quarters as grantees continue to implement and bear the outcomes of the corrective measures that have recently been put in place.

Grantee Organization Profile

As part of the grant process, each grantee was required to apply through a lead applicant¹⁰ but partnership was a strong focus of both grant programs. Community Challenge applicants were encouraged to include local and/or regional partner organizations to assist in the funding, planning and implementation of proposed projects. Applications for the Regional Planning Grants were each made by a consortium comprised of governmental bodies, regional planning agencies, nonprofit organizations, and allied public and private sector partners that seek to develop a Plan for Sustainable Development. HUD did not make a pre-determination as to who the lead applicant should be, but rather allowed the Regional Planning Consortium members to determine who was best suited to be the fiscal agent and lead applicant.

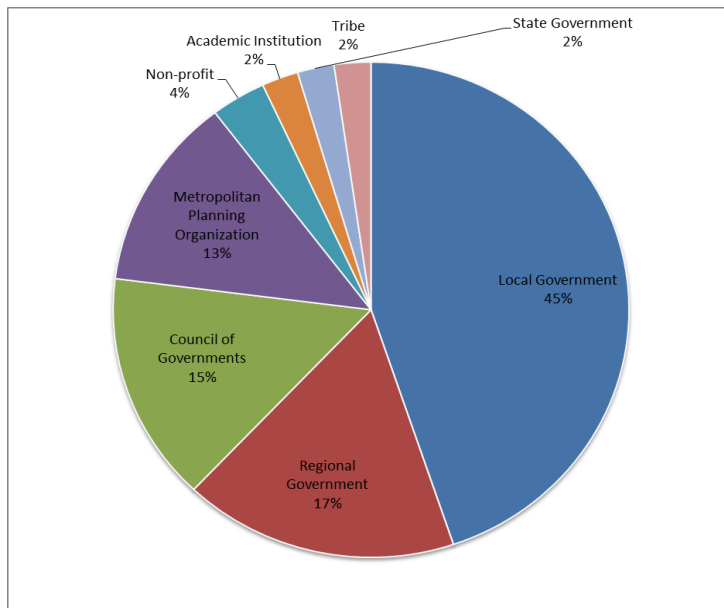
HUD required a consortium format for the Regional Planning program to encourage cross-jurisdictional collaboration and the involvement of all regional planning entities within the proposed project area, and to ensure partnership between public and private entities --- all of whom have a role in the ultimate implementation of a regional plan. The consortium is intended to collectively have the capacity and experience to carry out the proposed activities under the grant program, and to enter into an agreement to submit a single application for Sustainable Communities Grant Program funding. In its application, the consortium was required to designate a lead applicant, who would be the entity responsible for submitting the application to HUD, executing the cooperative agreement with HUD, and assuming fiscal responsibility for the grant on behalf of the consortium.¹¹

¹⁰ Eight broad types of lead organizations received grant funding: Local Governments, Regional Governments, Councils of Governments, Metropolitan Planning Organizations, Non-profit Organizations, Academic Institutions, State Governments, and Tribes. Councils of Governments and Regional Governments are often quite similar in terms of their function and form. However, Metropolitan Planning Organizations are distinct in that they are a federally mandated and federally funded transportation policy-making organization in the U.S. that is made up of representatives from local government and governmental transportation authorities. Councils of Government and Regional Governments are more informal organizations not created specifically to fulfill a federal mandate or funding purpose.

¹¹ http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_35393.pdf

Figure 5 provides a summary of the FY 2010 grantees by the type of organization serving as lead applicant and partners for the grant. Eight broad types of lead organizations received grant funding: Local Governments, Regional Governments, Councils of Governments, Metropolitan Planning Organizations, Non-profit Organizations, Academic Institutions, State Governments, and Tribes. The majority of lead organizations were Local Governments (45%), followed by Regional Governments (17%) and Councils of Governments (15%). The least common organizations serving as lead applicants for grants were Academic Institutions (2%), State Governments (2%) and Tribes (2%). No community-based organizations or consultants served as lead organizations.

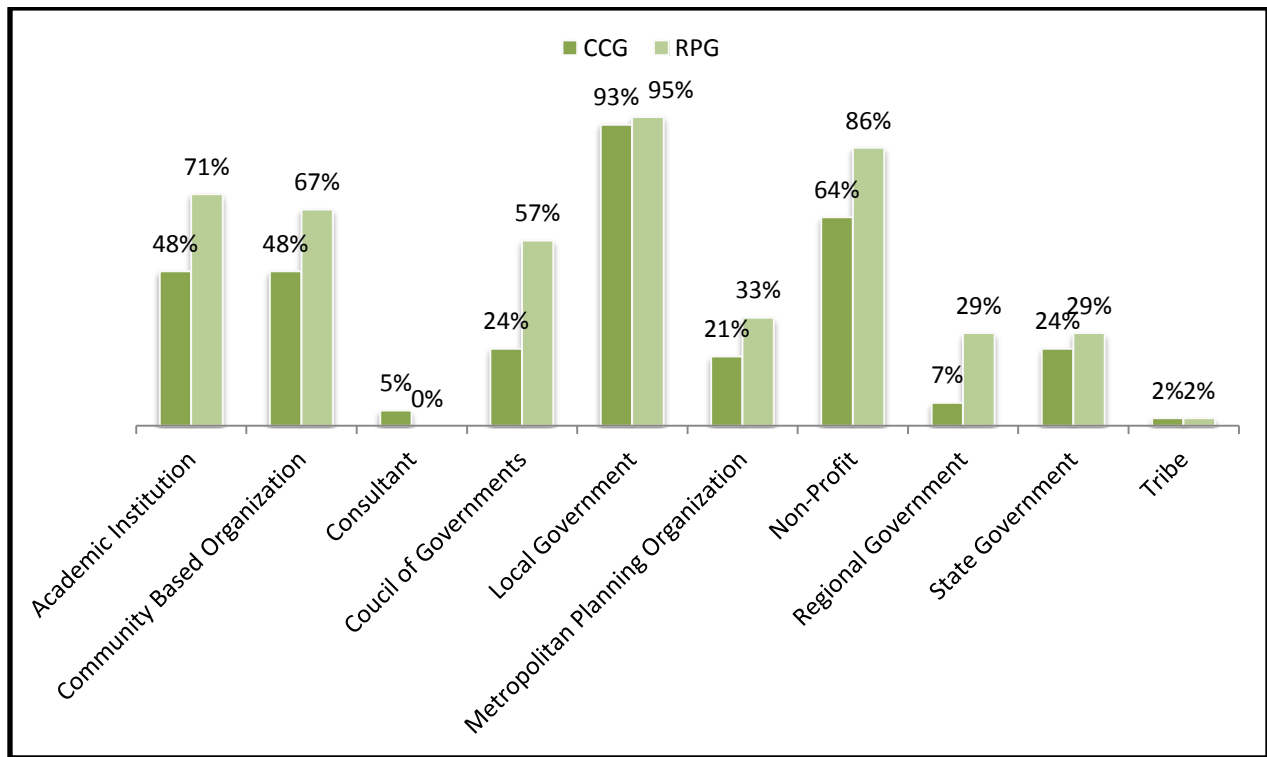
Figure 5: Types of Organizations Serving as Leads for OSHC FY 2010 Grants



Source: Team analysis of FY 2010 grant agreements, rating factor forms, and organization websites as of 2/15/12.

Figure 6 displays the percentage of grantees that included each type of partner in their consortium, irrespective of which organization leads. Nearly all grantees utilize Local Governments as partners, with 95% of Regional Planning grantees and 93% of Community Challenge grantees listing this partner type in their application. Non-profits (86% RPG 64% CCG) Academic Institutions (71% RPG, 48% CCG), and Community Based Organizations (67% RPG, 48% CCG) were also represented in a majority in the consortiums. RPG grantees are more likely to include all types of partner organizations.

Figure 6: Specific Partner Types Listed in Consortium Applications



Source: Team analysis of FY 2010 grant applications, rating factor forms, and organization websites as of 2/15/12.

A number of grantees have included local business leaders, health care partners and other community based organizations in their projects. For example, the Asheville Area Chamber of Commerce is a partner in the consortium led by the Land-of-Sky Regional Council of Asheville, NC. With funding from an FY 2010 Regional Planning Grant, this consortium is working to ensure the success of GroWNC, a project to develop a regional vision for economic prosperity, growth, and sustainable development. Private sector partners have been active participants in the process from the onset, and the consortium readily recognizes the importance of this partnership. GroWNC is working to enhance the project’s economic development component in an effort to attract new quality jobs and investment to the area.

In Washington State, the Runstad Center at the University of Washington is a partner in a consortium led by the Puget Sound Regional Council. Funded by an FY 2010 Regional Planning Grant, the consortium is working to implement the Growing Transit Communities project, which will coordinate investments along regional corridors to put jobs and opportunity closer to where people live. This initiative will utilize Decision Commons, an innovative technology developed by the Runstad Center, which will allow local residents to visualize development scenarios in real-time, including the environmental, economic, and

social implications for their neighborhoods. By collaborating together, these partners will help inform the planning process and directly engage diverse communities.

Planning Needs and Proposed Outcomes

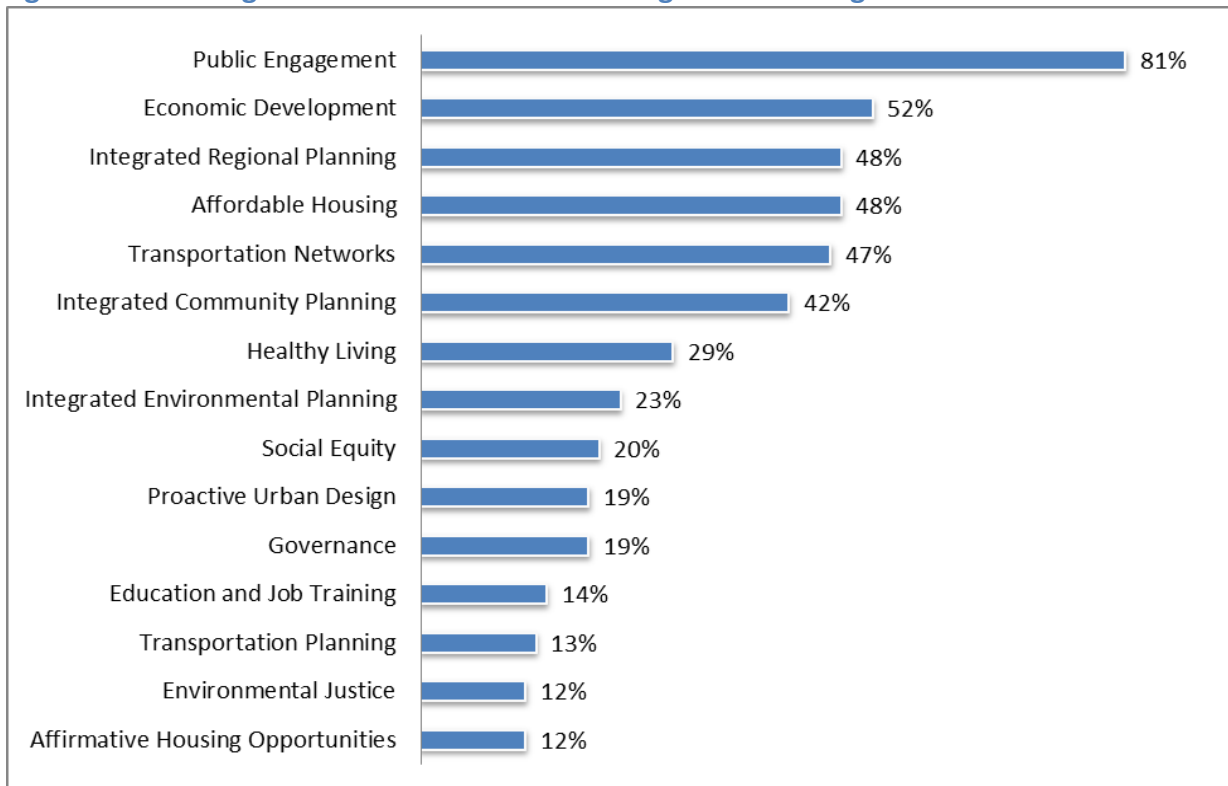
Grantees in both programs were required to complete an e-Logic model in which they identify the **needs** within their community that would be pursued through the planning efforts funded by HUD, and then track the intended services and **activities** they intend to pursue to reach a final set of **outcomes**. The sections below describe the needs, activities, and outcomes identified most often by grantees.

Planning Needs

Figure 7 illustrates the most frequently identified needs to be pursued by grantees. Data were available for a total of 83 out of the 87 grantees.¹² Grantees were able to specify more than one need, and could specify as many needs as they wanted. As an example, 67 out of 83 grantees specified Public Engagement as a need to address. The needs identified by the greatest percentage of grantees were Public Engagement (81%), Economic Development (52%), Affordable Housing (48%) and Integrated Regional Planning (48%).

¹² Out of these 83 grantees, there are 39 CCG, and 44 RPG grantees for which final e-Logic model data was available. The following grantees do not have needs identified in e-Logic model data – City of Tampa; Sacramento Area Council of Governments; Upper Valley Lake Sunapee Regional Planning Commission; Tri-County Regional Planning Commission.

Figure 7: Percentage of FY 2010 Grantees Selecting Each Planning Need



Source: Final e-Logic models provided by HUD to Summit Team as of 2/17/2012, based on 83 out of the 87 grantees, for which data was available.

Planning Activities

In e-Logic models and work plans, grantees were required to list the services and activities they are intending to conduct over the next three years to address the needs each grantee identified for their community. The tables below display the most frequently identified activities grantees planned to conduct, according to the e-Logic models examined by the team. All activities that at least 10 grantees in either program are intending to conduct are provided in the tables below. Both CCG and RPG grantees most often selected “Ensure resident participation in plan development and governance,” and “Conduct scenario planning and perform technical planning studies to support spatial development planning” as activities. Not surprisingly, RPG grantees proposed to conduct a wider range of activities than did CCG grantees.

Table 3: Activities Chosen by at least 10 Community Challenge Grantees (CCG)

Grantee Activities	Number of Grantees
1. Ensure resident participation in plan development and governance	32
2. Conduct scenario planning and perform technical planning studies to support spatial development planning	31
3. Develop a Community Challenge Plan	21
4. Develop corridor plan	21
5. Develop or amend land use regulations to streamline regulations	21
6. Review existing long range community, local, and regional plans	19
7. Conduct scenario planning and analysis for land acquisition and assembly for site specific projects	18
8. Prepare and develop policies and administrative and regulatory measures to support plans and strategies	17
9. Conduct outreach to expand consortium, planning team, and/or working group membership and participation including public authorities and special districts	16
10. Reinvest in existing commercial and industrial centers	11
11. Adopt a sustainable housing plan	10
12. Development of tools to measure and determine future development impacts.	10
13. Include representative(s) from public health sector (e.g., state, county, or local health commissioner(s), environmental health specialist(s), or other designee(s)) in consortium, work group, or steering committee	10
14. Provide education and training on sustainability and to strengthen management, planning, and decision-making capacities of applicable partners	10
15. Site specific planning and design of capital projects	10

Source: Team analysis of FY 2010 CCG final e-Logic models as of 2/17/2012 based on 39 of the 42 CCG grantees for which data was available.

Table 4: Activities Chosen by at least 10 Regional Planning Grantees (RPG)

Grantee Activities	Number of Grantees
1. Ensure resident participation in plan development and governance	42
2. Conduct scenario planning and perform technical planning studies to support spatial development planning	38
3. Provide education and training on sustainability and to strengthen management, planning, and decision-making capacities of applicable partners	36
4. Develop a comprehensive regional plan for sustainable development	33

5. Establish intergovernmental planning and cooperation mechanisms	31
6. Review existing long range community, local, and regional plans	31
7. Conduct outreach to expand consortium, planning team, and/or working group membership and participation including public authorities and special districts	26
8. Consult with area Public Housing Authorities	26
9. Develop strategies for integrating air, water and land use to ensure a healthy living environment, avoid adverse environmental impacts, and address environmental justice issues	23
10. Develop regional analysis of impediments to fair housing	22
11. Prepare and develop policies and administrative and regulatory measures to support plans and strategies	20
12. Develop tools to measure and determine future development impacts	19
13. Adopt a regional sustainable housing plan	17
14. Development of strategies to build upon the cultural assets of the regional planning area	17
15. Include representative(s) from public health sector (e.g., state, county, or local health commissioner(s), environmental health specialist(s), or other designee(s)) in consortium, work group, or steering committee	15
16. Conduct analysis to develop meaningful climate adaptation plan to include strategies and adaptation actions	14
17. Reinvest in existing commercial and industrial centers	14
18. Transportation modes planned	10

Source: Team analysis of FY 2010 RPG final e-Logic models as of 2/17/2012 based on 44 of the 45 RPG grantees for which data was available.

Planning Outcomes

Finally, grantees were required to identify a set of outcomes in e-Logic models. Planning Outcomes are intended to measure the changes in a community or region that are a direct result of the services and activities conducted as part of the grant. The outcome selected by most CCG grantees was “Corridor Plan adopted” (17), followed by “Projected number of affordable housing units close to high quality transit service in urban areas” (14), and “Projected percent change in transit mode share along the corridor” (13). The outcome selected by the most RPG grantees was “Number of persons interested in participating in an active role in the governance structure of the regional planning partnership as a result of the education and outreach sessions” (30), followed by “Persons in decision making roles traditionally marginalized in public planning process” (27), and “Number of measures amended or added to State and local statutes to support the Regional Plan for Sustainable Development” (23).

Table 5: Target Outcomes Chosen by at least 10 FY 2010 Community Challenge Grantees (CCG)

Grantee Target Outcomes	Number of Grantees
1. Corridor Plan adopted	17
2. Projected number of affordable housing units close to high quality transit service in urban areas	14
3. Projected % change in transit mode share along the corridor	13
4. Projected change in the proportion of commute trips made by public transit, biking, and/or walking	12
5. Planned number of housing units constructed on underutilized infill sites	11
6. Projected number of new housing units along the corridor	11
7. Planned change in the number of acres of land with more than 12 housing units per acre	10
8. Planned change in the number of housing units per acre of existing commercial development	10
9. Projected number of new job opportunities created as a result of reuse of existing commercial and industrial centers	10

Source: Team analysis of FY 2010 CCG final e-Logic models as of 2/17/2012 based on 39 of the 42 CCG grantees for which data were available.

Table 6: Target Outcomes Chosen by at least 10 FY 2010 Regional Planning Grantees (RPG)

Grantee Target Outcomes	Number of Grantees
1. Number of persons interested in participating in an active role in the governance structure of the regional planning partnership as a result of the education and outreach sessions	30
2. Persons in decision making roles traditionally marginalized in public planning processes	27
3. Number of measures amended or added to State and local statutes to support the Regional Plan for Sustainable Development	23
4. Nontraditional representatives incorporated into the Governance Board	20
5. Projected increased change in the number of low and very low income households within a 30minute transit commute of employment centers	19

Grantee Target Outcomes	Number of Grantees
6. % increase in the number of persons attending scenario and public meetings on regional planning as a result of attending education and training sessions	18
7. Comprehensive integrated water, air and land use plans adopted by participating jurisdictions	15
8. Planned increase in miles of bike/pedestrian infrastructure	15
9. Strategic Plans adopted to implement activities in support of cultural assets	13
10. Projected number of affordable housing units close to high quality transit service in urban areas	12
11. Projected number of new job opportunities created as a result of reuse of existing commercial and industrial centers	11
12. Projected change in median combined housing and transportation costs for low income populations in the planning area	11
13. Change in the share of commercial and industrial facilities constructed on underutilized infill sites	10
14. Brownfield sites identified for redevelopment	10
15. Projected federal investment aligned with Regional Plan for Sustainable Development	10

Source: Team analysis of FY 2010 RPG final e-Logic models as of 2/17/2012 based on 44 of the 45 RPG grantees for which data was available.

Support for Sustainable Communities Grantees

To assist grantees as they undertake more innovative and inclusive planning activities and develop new data or performance measures systems, OSHC is providing considerable technical assistance. That assistance includes a range of instructional webinars, direct assistance during required grantee convenings, commitment of direct support from the program evaluation consultant team, and peer exchange opportunities with others participating in the grant program.

Grantees have identified a wide range of technical and strategic capacities which can advance their ability to engage in transformational planning efforts. To address those needs, OSHC ran a \$5.65 million competition in cooperation with EPA to select a response team of Capacity Building Intermediaries that have been deployed to work directly with the grantees. That work is accomplished through a range of web-based and virtual trainings to clusters of grantee participants; frequent in-person group trainings

on most sought after topics; and direct one-to-one technical assistance that addresses specific concerns. In addition, an online Learning Network has been established for grantees and their partners to exchange best practices. Participants use this tool to post questions and share information on best practices with their peers. This Network has more than 400 members in its first three months of operation, and projections indicate that the membership could exceed 1,000 by year's end.

HUD's capacity building program allows maximum flexibility for the grantee in identifying potential resources that can support their efforts, while simultaneously ensuring that they are meeting all requirements associated with the administration of federal resources. Most grantees communicate monthly with their Government Technical Representative (GTR) to update HUD on fiscal and programmatic performance. Regular program and policy guidance is being developed by OSHC to help grantees track required activities and identify opportunities to enhance their work. In addition, annual grantee convenings provide a rich array of administrative and programmatic information for the grantees and their partners. At the convenings, grantees, OSHC staff, federal partners, and experts in the field come together to exchange best practices on topics such as building business partnerships, retrofitting the design of the suburbs, restoring Main Street, working in rural areas, and innovative land use, among others. Additional sessions allow grantees to interact directly with partners from a range of federal agencies, to learn more about opportunities for leveraging federal resources.

GTRs also target site visits at strategic points along the life of the grant to assess progress and help determine remedies for persistent issues. At this point GTRs have visited 63% of FY 2010 grantees and 13% of recently initiated FY 2011 grantees. OSHC plans to have GTRs visit all grantees before the end of the grant period; however, the number of site visits will ultimately depend on the availability of travel funding. Field and regional staff from across the government work locally to support communities and provide additional information to help guide grantees as they think about moving from planning to implementation.

The findings from capacity building activities will be compiled at the online Learning Network developed for the grantees. Some of the data collected via this exercise will also provide practical input that informs the overall alignment activities of the federal Partnership for Sustainable Communities between HUD, DOT, and EPA.

Early Results

The early impacts of these grant programs are beginning to emerge around the country. Regions that embrace sustainable development have a built-in competitive edge in attracting jobs and private investment. Sustainable community planning is encouraging companies to invest in communities. For instance, the integrated housing, transportation, and economic development strategy employed by an FY 2010 Community Challenge Grant in Memphis, TN is encouraging investment in the district surrounding the Memphis International Airport. The strategy developed through the Challenge Grant will leverage the Aerotropolis Initiative and logistics assets that have led to the attraction and retention of nearly 3,000 jobs in the area. Additionally, there are another 3,000 new jobs committed to the area by companies such as FedEx, Electrolux, Mitsubishi Electric Power, and Nucor Steel.

Across the country, taxpayers are seeing how plans that HUD is funding can conserve resources and save them money. These grants are supporting local and regional strategies to make government work smarter, ensuring every dollar invested achieves multiple benefits. In places like Salt Lake City, UT and Chicago, IL, Sustainable Communities Regional Planning grantees are projecting significant savings from more integrated planning. Salt Lake City has found that it can save \$4.3 billion in infrastructure costs if it focuses development on the region's transportation system and existing communities. Strengthening its competitive advantage in the global marketplace, the Chicago metropolitan area has devised a plan that will save \$1.5 billion in future infrastructure spending. The City of Fresno estimates that their new comprehensive plan, supported by the regional planning grant program, will save \$1.1 billion in new infrastructure costs and \$350 million in operation and maintenance costs over the 20 year life of the plan.

Implementing sustainable communities approaches not only meets current demand for homes in these neighborhoods, but also positions communities to meet future needs and market conditions. For instance, Flint, MI is using an FY 2010 HUD Community Challenge grant to develop the *Master Plan for a Sustainable Flint*, the city's first master plan in over 50 years. A city facing high levels of vacant housing and abandoned property in the wake of its industrial past, Flint will use this planning process to take stock of the city's housing supply and develop strategies to decontaminate, stabilize, and add value to Flint's neighborhoods. In doing so, Flint is working to reposition itself for the future.

In addition, ensuring equitable development that is inclusive of all and engages traditionally marginalized populations—for example, by providing a range of housing choices – helps communities retain young people, attract new residents, and allow existing low-income residents to stay and participate in the neighborhood’s transformation. This is being played out in communities large and small. In Austin, TX, for instance, with a \$3.7 million grant from HUD as the catalyst, the city is linking its long-term regional transportation plan to 37 mixed-income communities near transit and job centers. This grant will help create at least 7,000 permanent jobs and thousands more in the construction sector. In another example, with support from a joint HUD Community Challenge and DOT TIGER grant, the Denver Livability Partnership is working to ensure that the expansion of Denver’s light rail network will benefit neighborhoods on the city’s west side, many of which include large recent immigrant populations who face low median household incomes. Residents of one such neighborhood, Sun Valley, have been actively engaged in the planning process. By working together to author a community vision, these residents will help Sun Valley harness the fiscal potential of their local light rail stop, revitalizing the neighborhood and benefitting residents old and new.

Conclusion

Impressive results are already emerging from HUD’s SCI. Across the country, communities are seeing how SCI plans can conserve resources, save money, encourage private investment, and attract jobs and industry. These grants are supporting local and regional strategies to make government work smarter, ensuring every dollar invested achieves multiple benefits.

By conducting a program evaluation, OSHC will continue to track grantee progress toward Sustainability and Planning Outcomes to understand the cumulative impact of the SCI program as well as the impact of individual grantees. The program evaluation will provide valuable information on program successes, areas for improvement, and lessons learned. In turn, evaluation findings will support evidence-based decision-making and inform a set of best practices to help communities across the country as they work to promote transportation choice, housing affordability, equitable development, economic resilience, and growth through reinvestment, among other outcomes. These efforts support HUD’s mission to create strong, sustainable, inclusive communities and quality affordable homes for all, as well as a key goal included in HUD’s Strategic plan to build inclusive and sustainable communities free from discrimination.

The following **case studies** provide additional highlights of HUD's Sustainable Communities grantees, specifically illustrating in more detail what they are seeking to achieve, and the types of partners and innovative planning activities that HUD funding is helping to support. For additional information on HUD's 143 FY 2010 and FY 2011 Regional Planning and Community Challenge grantees, please visit OSHC's website at www.hud.gov/sustainability.

HUD Sustainable Communities Initiative

Partnership for Sustainable Communities

Cultivating Vital, High Opportunity Places



Denver, CO: Denver Livability Partnership

Green, Profitable, *and* Inclusive Development

In a 2004 referendum, the citizens of Denver, CO, voted a resounding “yea” to FasTracks, a transit improvement plan that will add 60 new stations to Denver’s existing light rail network. The plan will begin with the West Rail Line, a light rail line that traverses two counties in the Denver metropolitan area. The Denver Livability Project is working to create opportunities for 5,000 households to reduce vehicle mileage and increase their usage of public transportation, biking and walking. Denver is a national leader in urban sustainability that stands to only get greener with the light rail expansion.

However, local leaders recognized this was an opportunity to do more. The West Rail Line will pass through some of Denver’s highest need neighborhoods. Home to the region’s lowest median household incomes and largest recent immigrant populations, the west side requires an economic engine that will ensure all Denver residents enjoy its prosperity. The West Rail Line is poised to serve this role, moving the west side’s people *and* economy. With assistance from a HUD Community Challenge grant, the City and County of Denver are planning to ensure the West Corridor can capture the added value the transit line will inject into the west side.

With the rail line scheduled to open in 2013, the City and County of Denver developed the Denver Livability Partnership, an ambitious, six-part initiative to ready the West Corridor for transit-oriented redevelopment. This includes planning and zoning efforts being undertaken that would enable the creation of 55 acres of new infill development. Three other initiatives are showcased below, illuminating Denver’s commitment to sustainable, inclusive development.

Housing Development Assistance Fund

Housing is a unique predicament on Denver’s west side. There is a high demand for housing along the new transit line, especially from lower income populations. By 2050, at least 52 percent of household demand for transit-oriented development will come from families that earn less than 80 percent of the median area income. Despite this rising demand, local developers insist that the average home price on the west side is much too low to warrant the new construction necessary to accommodate the area’s growing need.

The Denver Livability Partnership is set to bridge this gap with its Housing Development Assistance Fund, the nation’s first affordable housing land acquisition fund centered on transit corridors. The monies will operate as a sub-grant program, paying for land banking and other pre-development activities on a variety of projects.

Description

The Denver Livability Partnership, a project of the City and County of Denver, will provide a series of complementary community planning activities for the 2013 opening of the West Corridor light rail line. Denver will leverage partnerships and opportunities along the West Corridor to transform Denver’s west side into livable, transit-oriented neighborhoods.

Grants

- 2010 HUD Community Challenge grant: \$1,797,500
- 2010 DOT Transportation Investment Generating Economic Recovery (TIGER) Planning grant: \$1,155,872

Partner Commitments

- Enterprise Community Partners: \$5 million
- Denver Public Works: \$2 million
- Denver Community Planning and Development: \$597,767
- Urban Land Conservancy: \$100,000
- Denver Housing Authority: \$100,000
- Denver Public Health: \$9,000
- Regional Transportation District: \$4,460

Partners

LiveWell Westwood, Urban Land Institute, Transit Alliance, Urban Land Institute, Mile High Business Alliance, University of Colorado—Denver, and others.

Benefits

- Increases the supply of affordable housing proximate to transit on the west side.
- Reaches 2,000 plan stakeholders representing west side neighborhoods and interests.
- Establishes plans for the preservation, creation, or improvement of 5 acres of parks within ½ mile of transit.

For more information:

<http://www.denvergov.org/dlp>
hud.gov/sustainability



HUD Sustainable Communities Initiative

Cultivating Vital, High Opportunity Places

With the goal of increasing the supply of affordable housing proximate to transit on the west side from 1,400 units to 3,000 units by 2013, the Housing Development Assistance Fund will be well on its way to solving West Corridor's housing dilemma in time for the opening of the new transit line.

Decatur-Federal Station Area Planning

Denver's Sun Valley neighborhood, a west side enclave of recent African, Asian, and Latino immigrants, resembles many urban, American poverty pockets. Home to a concentration of the region's public housing, the average home sale price in Sun Valley is \$130,000, less than half of the city's average; 78 percent of Sun Valley's children live in poverty. Most adults, 56 percent, have not completed high school.

Sun Valley citizens are engaged and active. Thus, the Denver Livability Partnership is working closely with the people of Sun Valley to plan for their local light rail stop, Decatur-Federal Station. Recognizing the potential of transit to attract new residents, employers, and businesses, this local effort will author a community vision that ensures Sun Valley can harness the fiscal potential of the light rail stop, revitalizing the neighborhood and benefitting residents old and new.

In February 2012, a "listening session" was held in Sun Valley to understand the community's needs and aspirations. Residents used graphics to choose their optimal housing types, jobs, and community spaces. Subsequent meetings will teach planning concepts, discuss drafts, and share the final plan. Moving forward, the plan will guide the redevelopment of Sun Valley.

Denver City Kitchen

Known for its eclectic culinary offerings, Denver's gourmet food scene may belie the health crisis in the city's "food deserts." Without access to healthy foods and vegetables,



neighborhoods in the West Corridor struggle with childhood obesity and chronic heart disease. Recognizing this and the region's high poverty rates, public health became a major concern of the Denver Livability Partnership.

With assistance from the HUD Community Challenge grant, Denver is taking steps to make sure all can enjoy its bounty through the Denver City Kitchen. This project aims to identify ways to improve healthy food access for 3,000 west side residents. Just kicking off, the City Kitchen program will begin with local outreach meetings to determine residents' food needs. Interpreters will be on hand to help with Denver's immigrant communities. Once a consensus is reached, the city will develop a food hub plan that responds to both residents' concerns and the city's enthusiasm for locally grown food. Potential outcomes include community gardens and urban farms, nutrition education programs, food processing and distribution centers, and even health screenings.

The Denver team expects the City Kitchen to be complete in fall 2012. It is truly a collaborative effort; everyone from a local catering company, to the City of Lakewood, to the mayor's office has offered to be involved. Soon, Denver will be known not just for its gourmards, but also for its west side healthy food hub.

REGIONAL EQUITY WORK: THE DENVER REGIONAL COUNCIL OF GOVERNMENTS

Recipient of a \$4,500,000 Regional grant, the Denver Regional Council of Governments is poised to make change throughout the Denver region, including the city's west side. Capitalizing on the FasTracks transit expansion and their *Metro Vision 2035* plan, DRCOG and its partners will develop a Regional Equity Atlas that takes stock of economic, education, mobility, and health disparities in the Denver area. The data will then aid decision-making at the state and local levels. Their grant will also support a series of catalytic projects, including redevelopment plans for the Jody Apartments, a West Corridor apartment complex envisioned as an amenity-rich neighborhood. This regional work will nicely complement the West Corridor project occurring under Denver's Community Challenge Grant.





Seven50: SE Florida Prosperity Plan

Building Sustained Prosperity

The recession has been hard on Southeast Florida, where half of all construction jobs have been lost since 2007. Now, nearly 1 in 10 Southeast Florida residents are unemployed; 1 in 6 lives below the poverty line, with minority populations more severely affected.

To best tackle these challenges and promote sustained economic growth, the Southeast Florida Regional Partnership (Partnership) is employing short- and long-term approaches to jumpstart the economy while also ensuring that prosperity will last. This work is centered on HUD-funded regional visioning discussions and the development of a *SE Florida Prosperity Plan*, a strategic long-term economic plan articulating broad-based regional agreement around priority investments in key issue areas such as housing, transportation, environment, climate resiliency and communities. This will be the first comprehensive effort to develop a regional plan for existing jurisdictions in this region, which spans 7 counties and 121 cities.

The process is underway with rigorous data analysis and leadership from a Partnership Executive Committee representing the geography and diversity of the region's stakeholders and interests. The Southeast Florida team is assembling a resource library and a set of statistical indicators that highlight the region's needs and point the way to policies that can address them. Community outreach and capacity building will foster local leadership to help the community create a vision for the future. Focusing on economic growth, the Partnership is investigating a wide range of opportunities, from developing trade to building on the region's flourishing tourism industry.

"Every now and then you've got to ask the hard questions. The one we choose to ask is: How will the Southeast Florida Region evolve over time to ensure that the development of the knowledge-based economy of the 21st century provides opportunity for the inclusive participation of all of the region's residents? With leadership provided by the Partnership and Consortium members, and technical and funding assistance provided by HUD and Consortium partners, these answers can begin to unfold over the next year or two." - Dr. Mark B. Rosenberg, President, Florida International University

Southeast Florida will develop a regional vision that utilizes scenario planning to examine potential shifts in the economy, land use, and transportation network. From there, they will make the leap to implementation with the *SE Florida Prosperity Plan*.

Description

Led by the South Florida and Treasure Coast Regional Planning Councils, the Partnership is developing "Seven50," a seven county, 50 year, SE Florida Prosperity Plan for sustainable development and prosperity. The project will feature integrated data, tools, and models to assess the region today and lead to agreement around a preferred future and steps to attain that future. Benchmarks, indicators and measurement will ensure accountability and progress.

Grants

2010 HUD Regional Planning grant: \$4,250,000

Partner Commitments

Substantial in-kind and cash contributions have been committed in support of the regional effort by Partnership members

Partners

The Southeast Florida Regional Partnership is a broadbased, seven county partnership spanning 295 miles from Monroe through Indian River counties. More than 200 organizations have pledged support for this effort.

Benefits

- Creation of a regional forum for discussion and collaboration on issues of importance to the Region now and in the future.
- HUD's technical and financial support are helping local leaders coordinate federal investment. With the support of the Economic Development Administration, the Regional Planning Councils are developing a joint Comprehensive Economic Development Strategy which will integrate state and local economic development efforts and provide a foundation for the SE Florida Prosperity Plan.

For more information visit:

<http://seven50.org/>
hud.gov/sustainability.



HUD Sustainable Communities Initiative

Cultivating Vital, High Opportunity Place

HUD SUSTAINABLE COMMUNITIES INITIATIVE IN FLORIDA

The HUD Sustainable Communities Initiative has been active throughout the Sunshine State.

City of Tampa

Community Challenge Grant: \$1,181,250

Tampa Bay's grant will fund a transit-oriented development plan. The plan will help the city connect residents to existing amenities like the Tampa Theatre, while also luring new tenants to the city.

City of Opa-Locka

Community Challenge Grant: \$624,479

Economically depressed Opa-Locka is on the federal radar. The Departments of Labor and Transportation have stepped in to fund job training and increase access to employment centers. The HUD Community Challenge grant will further this work through the development of a city-wide comprehensive plan.

Glades Region

Community Challenge Grant: \$1,980,504

A predominantly rural area, Palm Beach County will use this funding to develop a Glades Region Master Plan. The plan will serve as a blueprint guideline for development and redevelopment, including a plan for the development of an Intermodal Logistics Center, which is being supported by a major private investment.

East Central Florida

Regional Planning Grant: \$2,400,000

In anticipation of the SunRail commuter rail system, East Central Florida will promote transit-oriented development, conduct outreach to marginalized populations and work with partners at the University of Florida to conduct a study that links affordable housing with employment opportunities accessible via transit.

Central Florida

Regional Planning Grant: \$1,400,000

In the Heartland of Florida, where agriculture is a major industry and residents value their rural lifestyle, local leaders are intent on balancing their agricultural roots with their need for new sources of economic prosperity. Making strides toward a "clean tech economy," the Heartland 2060 Consortium will complete an economic development strategy centered on alternative fuels and related industries.

Forging Regional Bonds

"Our Region's prosperity and quality of life hinges on our ability to reduce fragmentation and duplicative effort. With the support of the Sustainable Communities Initiative and regional stakeholders, the Southeast Florida Regional Partnership has a unique opportunity to rethink and change "business as usual." Enhanced regional collaboration and strategic investment will set the stage for positive, transformational change." - Ralph A. Marrinson, Chair, South Florida Regional Business Alliance

Southeast Florida's residents share a common history, economy, watershed, and transportation network that transcend city and county lines. "Boundary lines only matter to politicians and map makers," says Marcela Cambor-Cutsaimanis, Sustainable Communities Initiative (SCI) Project Director. For Florida International University (FIU), this means partnering with the City of Sweetwater, where nearly 20 percent of residents live below the poverty line, to create a "UniversityCity Prosperity Plan." FIU is building upon the Livability Principles to bridge the "town-gown" divide with a comprehensive economic development plan to transform the City into a new urban destination linked to the larger region. This is only one example of the innovative initiatives that are being spearheaded by members of the Partnership.

"The Partnership is truly groundbreaking. We know that regions that work together are more successful than regions that don't. The HUD Sustainable Communities Regional Planning Grant provided the impetus for us to work more closely together. Now it's up to us to build and implement our plan and strategy for long-term prosperity so that we compete as a unified force in the global marketplace." - Isabel Cosio Carballo, the Partnership's Regional Coordinator.

With leadership from two Regional Planning Councils, regional stakeholders are developing a 50 year comprehensive plan for lasting and sustainable economic growth, prosperous and equitable communities, and a healthy environment. Recognizing all that unites them, Southeast Florida is charting a course for an economically competitive future.





Des Moines, IA: The Tomorrow Plan for a Greener Greater Des Moines

“Preserving What Makes Us Special”

Central Iowa is a region on the rise. *Forbes Magazine* voted the Greater Des Moines area “America’s Best Place to Raise a Family” and the “Best Place for Business and Careers” in 2010. Despite national trends, the Greater Des Moines area has a large affordable housing stock. Already the most populous area in the state, the region expects an additional 250,000 residents by 2050.

This impending growth, though, threatens quality of life, potentially skewing the region’s unique balance of urban, suburban, and rural neighborhoods, and heightening flood risks through the spread of impervious surfaces. The Tomorrow Plan, a three-year planning effort funded by a HUD Regional Planning grant, fulfills Central Iowa’s need for a unifying vision that addresses how future growth will affect the region as a whole. According to project manager Bethany Wilcoxon, the goal of The Tomorrow Plan is to avoid “losing what makes us special.”

Positioning the Region for Success

The Tomorrow Plan is working to ensure the region’s future economic competitiveness through coordinated regional economic development. This includes efforts to attract businesses and to improve public amenities to make the region a desirable place to work and live.

“The Tomorrow Plan will position us to compete more effectively in a global economy and to attract top talent. Additionally, these efforts will allow our region to entice even more start-ups and to sustain the businesses already located here.”

-- Suku Radia, President and CEO of Bankers Trust

To enhance this component of the planning process, The Tomorrow Plan relies upon input from local business partners, such as the Greater Dallas County Economic Development Alliance and members of the Young Professionals Connection.

Description

Launched in July 2011, The Tomorrow Plan is fostering a sustainable Greater Des Moines region, building on a newly completed long-range regional transit plan and a strategic plan for economic and workforce development.

Grants

- 2010 HUD Sustainable Communities Regional Planning Grant: \$2,000,000

Partner Commitments

- Des Moines Area Regional Transit Authority: \$706,978
- Greater Des Moines Partnership: \$75,000
- Community Foundation: \$75,000
- Des Moines Area MPO: \$61,200
- City of Des Moines: \$52,000

Partners

Des Moines Area Metropolitan Planning Organization, Agribusiness Association of Iowa, Aging Resource of Iowa, Children and Families of Iowa, City of Des Moines, Black Ministerial Alliance of Iowa, and others.

Achievements

- The Tomorrow Plan’s outreach efforts have reached about 2,000 Greater Des Moines area residents thus far, allowing planners to better understand what residents value about their neighborhoods.
- The Greater Des Moines area has sparked statewide change. Localities in Iowa now look to Des Moines for guidance in sustainability planning.

For more information visit:

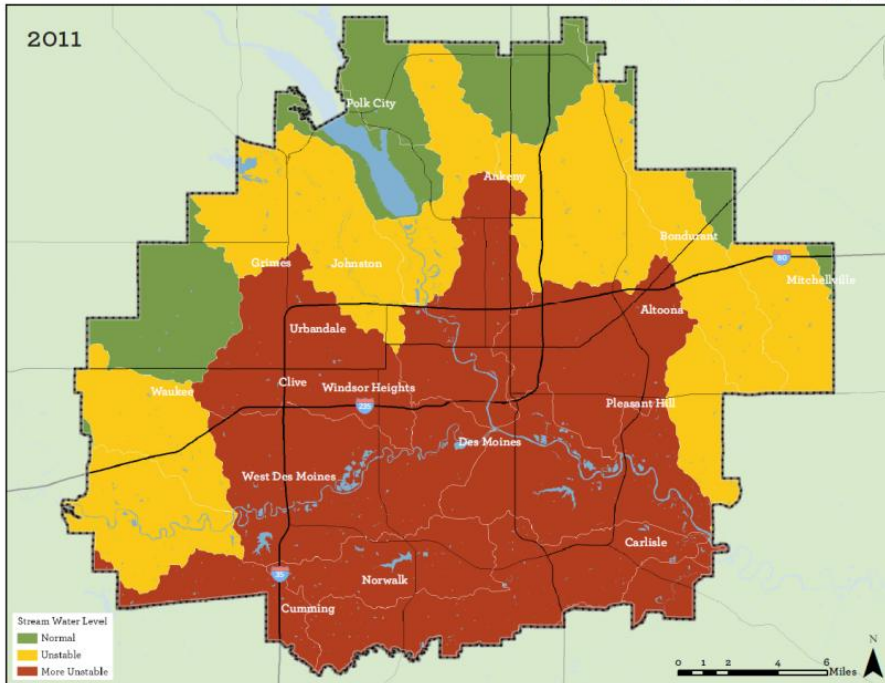
<http://www.thetomorrowplan.com>
hud.gov/sustainability.



HUD Sustainable Communities Initiative

Cultivating Vital, High Opportunity Places

STREAM WATER LEVEL

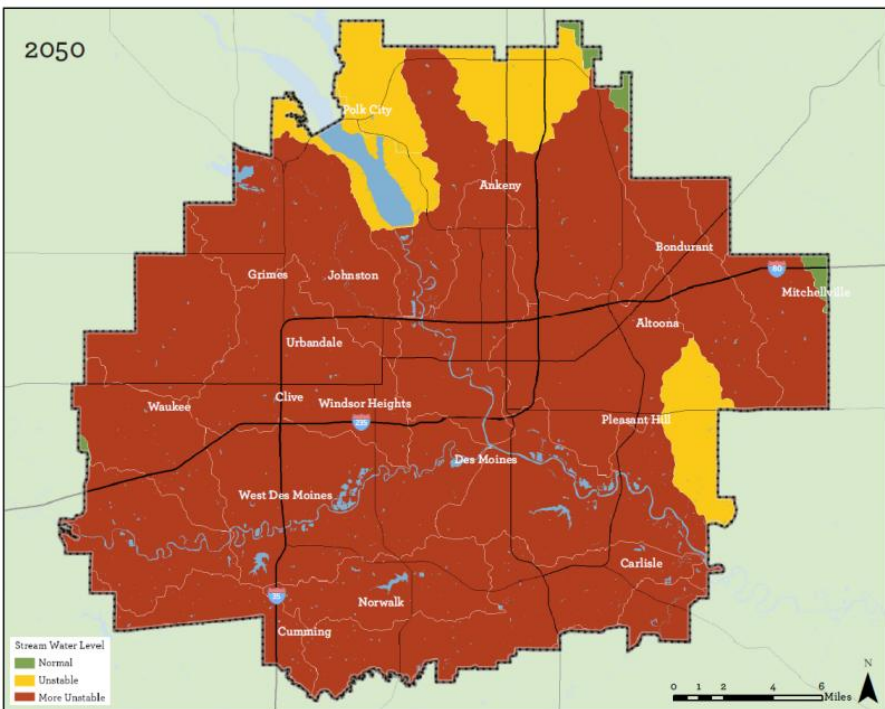


Regional Problems, Regional Solutions

While the Greater Des Moines area economy has largely weathered the storm of the national economic downturn, a marked increase in floods poses just as great a threat to their prosperity. In 1993, a large downpour halted rail and freight traffic, causing \$716 million in losses. A 2008 flood, called "Iowa's Katrina," was much worse, with estimates in crop damages alone totaling \$3 billion.

No locality was spared from the floods of 1993 and 2008, making it clear that this was a regional problem that required a regional solution. The Tomorrow Plan addresses how *all* of Central Iowa can become storm ready. Projecting future land use patterns, Tomorrow Plan researchers are charting the links between residential sprawl, loss of green space, and increased flooding. Now, local leaders are working together to plan for a future that prevents environmental hazards and sustains economic prosperity.

The Tomorrow Plan takes a similar approach to workforce development and transportation, collaborating across jurisdictions to ensure future success.



A HUD-funded study found that if Greater Des Moines continues with its current growth patterns, stream water level will be unstable in most of the region by 2050. This enhanced flood risk threatens farmland and key freight routes.





Flint, MI: Master Plan for a Sustainable Flint

Repositioning Flint for the Future

In 1960, Flint, MI, drafted a master plan that was in many ways ahead of its time. The plan outlined strategies for dealing with issues like overcrowded schools and traffic congestion, problems akin to those that most metropolitan areas face today. Reaping the benefits of being a company town, Flint enjoyed prosperity during the twentieth century. Now losing population and adapting to changes in the global economy, Flint needs another innovative plan that will negotiate a new identity for the twenty-first century.

The city's first master plan since 1960, the *Master Plan for a Sustainable Flint* is charged with repositioning Flint for the future. The city's industrial past has left an indelible legacy. With over 10,800 vacant housing units, Flint is second only to Detroit in number of empty homes. The city has over 365 acres of abandoned property related to automobile factories.

Global Economy, Local Solutions

With the right planning, Flint can harness its assets to meet these challenges head on. Building upon the work of the Genesee County Land Bank, Habitat for Humanity, and others, Flint's planning process is taking stock of the city's housing supply and developing strategies to decontaminate, stabilize and add value to Flint's neighborhoods. Flint's strategy relies on its best asset, its people. Through community engagement, the Flint team will find how best to "upcycle" the land, whether through community gardens, new schools, or similar projects. Innovative, local solutions like these are at the heart of the plan.

Flint Mayor Dayne Walling put it best. Reflecting upon the plan, he has stated:

"I believe that our community has a lot to offer and we can make major contributions to a changing 21st century economy. Nobody can deny the city's population is smaller than it used to be, but that doesn't mean that our community is less valuable to the region and the state.... The core of our challenge in 2012 is to find new value in our community that we can utilize for another round of prosperity."

Bolstered by its federal partners at HUD, Flint is meeting contemporary challenges to build an economy to last.

Description

Flint is using a HUD Community Challenge grant to replace its fifty-year-old master plan with an integrated plan for sustainable development. The city is holding neighborhood-level discussions that will serve as the guiding principles for a city-wide strategic planning framework. Planning teams will create area plans that include affordable housing, economic competitiveness, land recycling, and neighborhood revitalization, the building blocks of the *Master Plan for a Sustainable Flint*.

Funding

- 2010 HUD Community Challenge Grant: \$1,570,233
- Charles Stewart Mott Foundation: \$263,804
- Center for Community Progress: \$25,000-\$50,000
- Genesee County Land Bank: \$164,988
- Genesee County Chamber of Commerce: \$56,890
- Ruth Mott Foundation: \$50,000

Partners

Genesee Regional Chamber of Commerce, The Land Bank, Flint Area Reinvestment Office, Flint Chapter of the American Institute of Architects, Local Initiative Support Corporation, Center for Community Progress, University of Michigan - Flint, the Community Foundation of Greater Flint, Ruth Mott Foundation, and C.S. Mott Foundation.

Achievements

- Developing a flexible set of land use regulations not beholden on expected population growth, Flint is rethinking planning norms, serving as a model for other "legacy cities."
- The Flint team is organizing an engaged populace, drawing up to 1,800 citizens to one event.

For more information visit:
hud.gov/sustainability



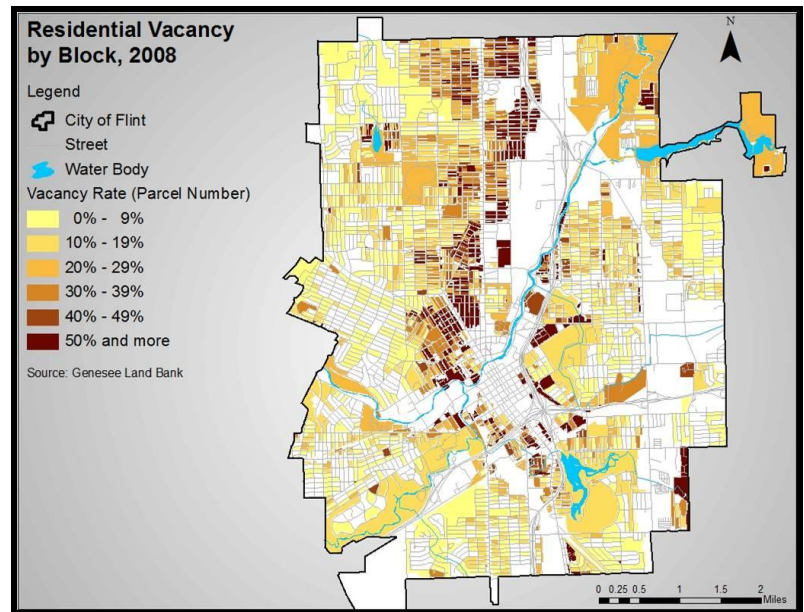
HUD Sustainable Communities Initiative

Cultivating Vital, High Opportunity Places

A Bottom-Up Approach

The project's core partners are working to ensure that the *Master Plan for a Sustainable Flint* is a truly local endeavor. In an event series called Building Neighborhood Power, the Ruth Mott Foundation is galvanizing residents from all walks of life and instilling a planning tradition in the community. Their events cover topics like organizing community meetings and how to draft a neighborhood plan. The "box city" activity has proven to be the most popular. Allowing residents to use a model to lay out their ideal Flint, the activity often attracts up to 80 participants. Capitalizing on the success of Building Neighborhood Power, Flint's steering committee is broadening their outreach tactics to engage even more residents.

Flint's outreach series represents the first stage in their plan. After the Flint team has built capacity at the local level, neighborhoods will be charged with developing their own area plans, the building blocks of the *Master Plan*. To implement the document, the city will author a new, corresponding zoning code. Flint Community Schools and Mass Transit Authority will use this as the launching plan for their own capital improvement plans. Undoubtedly, Flint's future prosperity begins with its people.



Flint has a 21 percent residential vacancy rate, the highest concentration of vacant housing units in Genesee County. Flint's Sustainable Communities grant is assessing how best to recycle this land to meet community needs.

BUILDING SUSTAINABLE, THRIVING COMMUNITIES IN MICHIGAN

Grand Rapids is harnessing the economic power of two of the city's biggest resources—its educational and medical institutions, which represent 55 percent of the downtown workforce. This "eds and meds" approach is guiding the implementation of a \$459,224 Community Challenge grant. The Grand Rapids team is working on the Michigan Street Corridor Plan, an effort to leverage the economic capacity of anchor institutions into larger growth for downtown Grand Rapids.

Inclusivity is a top priority of Grand Traverse County, recipient of a \$395,000 Community Challenge grant. A 2008 study revealed that just 37 of 231 homes listed on the local market cost less than \$125,000. Responding to the growing need for affordable housing, local collaborators are focusing on developing affordable housing corridors within Traverse City that will provide access to employment and recreation opportunities.

The Southeast Michigan Council of Governments is utilizing a \$2,850,000 Regional Planning grant to chart a new course for the Detroit Metropolitan Area. Their efforts will include a plan for green infrastructure that can mitigate stormwater runoff.





Greater Kansas City, MO: Creating Sustainable Places

Sustainability in the Heartland

A new hub of innovation is brewing in the Heartland, where Greater Kansas City is adapting sustainability principles to meet their long-term needs. Here, sustainability signifies sustained and coordinated economic growth.

The Kansas City Metropolitan Area has long had a need for coordinated economic development. The region's class divides are stark. High concentrations of poverty, unemployment, and vacant properties predominate in the same neighborhoods where they did in the 1950s. This lack of coordination is not just at the neighborhood level. With adjacent urban centers along their border line, the states of Kansas and Missouri often find themselves clashing for corporate relocations and recruitments.

Local leaders sought a tool for thinking holistically about economic growth, in which neighborhoods and localities are partners, not adversaries. With support from a HUD Regional Planning grant, Creating Sustainable Places will serve that role, illustrating that going green can be an enhanced mechanism for coordinating and growing regional economies. In the words of Kansas City Councilmember Jan Marcason:

“Creating Sustainable Places has provided the region with *an opportunity to work together* to discuss how we can encourage more sustainable development. A region of vibrant, green, connected places fosters an innovative economy.”

Widespread Prosperity

To create this region of vibrant, green, connected places, the Kansas City team identified six corridors that will serve as demonstration projects for Creating Sustainable Places. Dispersed throughout the Kansas City Metropolitan Area, the sites will be the focus of extensive redevelopment projects. Initial estimates project that successful implementation of Creating Sustainable Places could attract up to 109,561 jobs to the corridors by 2040.

Description

Thinking regionally, the Mid-America Regional Council is leading the Kansas City team as it creates a unified vision for sustainable development reliant upon best practices and demonstration projects from across the bi-state metropolitan area. Kansas City will also create a set of zoning and building codes for its first suburbs that address issues like housing, natural resource protection, public space, and community health.

Grants

- 2010 HUD Regional Planning grant: \$4,250,000
- 2011 HUD Community Challenge grant: \$403,432

Partner Commitments

- Kansas City Public Television: \$300,000
- Metropolitan Arts Council: \$74,824
- The following partners have offered in-kind support: City of Kansas City; City of Lee Summit, and City of Raytown.

Partners

First Suburbs Coalition, Hispanic Civic Engagement Project, Home Builders Association, BikeWalk KC, University of Missouri-Kansas City, KC Healthy Kids, Metropolitan Energy Center, Local Initiative Support Corporation, NeighborWorks America, and others.

Achievements

- The Kansas City team has amassed a broad coalition of local governments representing over 90 percent of Greater Kansas City's population, the business and development community, universities, housing organizations, equity organizations, and nonprofits.
- The Make it Right Foundation is using \$14 million in tax credits and donations to redevelop a vacant school in the Green Impact Zone into 50 affordable housing units. The project is scheduled to break ground in August 2012.
- In order to measure their progress, the region is creating a comprehensive series of quantitative economy, equity, and environment indicators.

For more information visit:

<http://www.marc.org/sustainableplaces/hud.gov/sustainability>



HUD Sustainable Communities Initiative

Cultivating Vital, High Opportunity Places

These projects are steeped in local realities. Along with the surrounding communities with little building off of the gains from the nationally acclaimed Green Impact Zone redevelopment initiative, Creating Sustainable Places will create plans that leverage the neighborhood's new bus rapid transit system into sustained growth. On the U.S. Route 40 corridor, outer ring suburbs are blossoming, while aging and underperforming retail, industrial, and residential properties in the area's inner ring suburbs are struggling to survive. To ensure communities throughout the corridor can thrive, the Kansas City team will tackle these challenges head on with market assessments, concept plans, and financial analyses.

From Planning to Action

Anchored by both community engagement and rigorous economic analysis, Creating Sustainable Places is poised to turn the region's visions into a reality. The project has a large coordinating committee featuring universities, nonprofits, and professional organizations, as well as local governments and the business and development community, that are bringing the region together. This substantial public commentary is coupled with market-sensitive plans, ensuring communities can actualize their goals. Jim Harpool, a developer with local commercial development firm MD Management, believes it is this balance that ensures the plan's success. He says,

“As a developer, what I appreciate about the Creating Sustainable Places initiative is that it is focused

Troost Avenue, decades of disinvestment access to regional opportunities. not just on attractive plans, but making sure those attractive plans are economically feasible. The initiative is helping to create tools that developers and planners can use to assess the economic feasibility of proposed projects.”

Working closely with HUD, Greater Kansas City is moving quickly from planning to implementation. To catalyze their progress, HUD gave Kansas City a second, smaller grant. Their 2011 Community Challenge award will update zoning and building codes in Kansas City's first suburbs, aligning their development policies with their vision of a sustainable region. Instead of functioning as a one size fits all model, Kansas City's codes will work as a menu, offering localities information on key issues like housing affordability and natural resource protection, weighing their pros and cons, and providing code citations to best practices from across the county. Suburbs in the region will then be able to decide what is best for their unique needs. With limited resources and expertise, Kansas City's first suburbs have struggled to enact their sustainability goals. HUD assistance will build capacity among local leaders, allowing them to shape their cities for the better, replacing rhetoric with results.

Backed by their partners at HUD and bolstered by a coalition of engaged, local stakeholders, the Kansas City Metropolitan Area has the tools necessary to promote a sustainable, thriving region.

THE HUD SUSTAINABLE COMMUNITIES INITIATIVE IN MISSOURI

With an investment of nearly \$10,000,000, the HUD Sustainable Communities Initiative has been active throughout the Show-Me State, building capacity for sustainable development, bringing together diverse stakeholders, and generating economic recovery. Not unlike the Kansas City region, the St. Louis Metropolitan Area struggled with working across jurisdictional boundaries to solve regional problems like housing affordability and transportation. With assistance from a 2010 HUD Sustainable Communities Regional Planning grant, St. Louis has identified 25 Community Planning Areas, grouped by shared characteristics not arbitrary boundaries, that are now collaborating for their mutual prosperity.

In the Cities of Warrensburg and University City, HUD is laying the groundwork for sustainable urban mobility with two Community Challenge grants. Warrensburg is using HUD funding to generate plans for a new network of on-street bike routes and trails that will foster greater connectivity with their light rail system. University City is working on a corridor study for a new local bypass that will include infill housing and mixed-use retail.





Columbia, TN: James Campbell Corridor Project

Columbia's Dire Straits

The economic downturn has been hard on Columbia, TN, (pop. 34,681) where a loss in manufacturing jobs has put the city in dire straits. Officially recognized as an economically distressed "microuban" area by the U.S. Department of Agriculture, 20 percent of Columbia residents live below the poverty line. When compared to other Tennessee cities, Columbia has the highest unemployment rate of any municipality of its size and third slowest growth rate.

With help from the HUD Sustainable Communities Initiative, Columbia is restoring past prosperity by meeting future needs. Their work begins with James Campbell Boulevard. Envisioned as the town's economic engine, James Campbell Boulevard is now a through-road rather than a main street at the center of community life. Projections suggest that the construction of the new boulevard could reduce annual vehicle miles traveled by 272,000 through the new use of multi-modal facilities; create 109 jobs during construction; and increase property values by at least 12%, or \$6.9 million, for all properties along the corridor through beautification efforts.

"Livability is Synonymous with Economic Development"

In the past, James Campbell Boulevard was Columbia's commercial core. The boulevard carried abundant car traffic leading to the local mall. Now a dilapidated relic, the mall no longer serves residents and the boulevard is unsafe and unsuitable for Columbia's growing bike and pedestrian traffic. To revive James Campbell's role as a center for commerce, the city has envisioned the mall redevelopment as an economically vital "lifestyle center" where one can live, work and shop. The boulevard will be transformed to accommodate commuters of all types. It is projected that the new center will support 2,200 new jobs and 400,000 square feet of new housing in a walkable, urban environment.

These changes will make Columbia more hospitable for businesses and people alike. "As a city in decline, we were really looking for a catalyst for new investment," Columbia Planning Director Norman Wright stated. "For us, livability was synonymous with economic development."

Description

Responding to a decline in economic activity accompanying the closure of a local Saturn plant, the James Campbell Corridor Project will produce new zoning plans for the commercial corridor and decaying shopping mall.

Funding

- 2010 HUD Community Challenge Planning Grant: \$250,000
- City of Columbia: \$100,000

Partners

Columbia Redevelopment and Housing Corporation
South Columbia Business Association
Columbia Rotary Club
Columbia Kiwanis Club

Achievements

- The James Campbell Corridor has attracted \$7.5 million in new investment since Columbia was awarded its Sustainable Communities grant.
- *The Boulevard 2050 & Tomorrow Plan* identified numerous inefficiencies in land use that will save taxpayer money when rectified.
- The Corridor Project brought together local business leaders, city officials, and concerned citizens to forge the future of Columbia.

For more information visit:

<http://columbiatn.com/JCBoulevard.htm>
hud.gov/sustainability



A Citizen-Led Effort

The James Campbell Corridor Project was community led, through and through. The South Columbia Business Association, an organization representing everyone from the local photographer to the Maury Regional Medical Center, catalyzed the project by requesting the town begin a new planning process. After Columbia received the grant, the core partners held a seven day charette, or community design forum, to assess the public's aspirations for the corridor. Residents poured over maps and charts, deciding what was best for the strip. The project had near daily coverage in the local newspaper. The final corridor plan, called *The Boulevard 2050 & Tomorrow*, directly addresses residents' concerns.

Reinvesting in James Campbell Boulevard

As Columbia shifts from planning to implementation, they will apply their collaborative approach to the Columbia Mall. Developing the anticipated lifestyle center, efforts are underway to transform one of the mall's large, vacant storefronts into a civic space that will enhance the city's image and encourage future development. The Maury Regional Medical Center has invested \$2 million in the mall project.

In total, James Campbell Boulevard has attracted \$7.5 million of private investment since its Sustainable Communities grant was announced. The auto-plant in nearby Spring Hill reopened in November 2011, complementing all the work Columbia has done to bolster their economy. Columbia's future looks bright. Reinvigorated by its grant work, the James Campbell Corridor is proof that livability and economic growth go hand in hand.



Columbia's Sustainable Communities grant will help transform the James Campbell corridor from an antiquated through-road to a bustling, community space.

HUD SUSTAINABLE COMMUNITIES INITIATIVE IN TENNESSEE

The HUD Sustainable Communities Initiative has been active throughout the Volunteer State, building capacity for sustainable development, bringing together diverse stakeholders, and generating economic recovery.

MEMPHIS

In Memphis, the integrated housing, transportation, and economic development strategy employed by an FY2010 Community Challenge Grant is encouraging investment in the district surrounding Memphis International Airport. The strategy developed through the grant will leverage the Aerotropolis Initiative and logistics assets that have led to the attraction and retention of nearly 3,000 jobs in the area. Additionally, there are another 3,000 new jobs committed to the area by companies such as FedEx, Electrolux, Mitsubishi Electric Power, and Nucor Steel. As part of the federal effort to focus government resources, Memphis has also been chosen as a site for the Strong Cities, Strong Communities initiative, a pilot program that will utilize local-federal partnerships to build resilient, regional economies.

KNOXVILLE

Poor public health threatens the quality of life in the Knoxville area, where auto-oriented development has increased air pollution and made it hard for residents to walk and bike around their neighborhoods. With obesity and asthma rates well above the national average, Knoxville is using a Sustainable Communities Regional Planning grant to convene a Healthy Communities working group that is identifying opportunities to improve residents' health and well-being. Ultimately, these opportunities will materialize in the form of new programs and services for residents.



HUD Sustainable Communities Initiative

Partnership for Sustainable Communities

Cultivating Vital, High Opportunity Places



HUD SUSTAINABLE COMMUNITIES INITIATIVE IN WASHINGTON STATE: Puget Sound Regional Council and Spokane Tribe of Indians

PUGET SOUND REGIONAL COUNCIL

Growing Transit Communities

Growing Pains

Nearly 4 million people call the Central Puget Sound and Seattle metropolitan area home, living in a mix of urban and rural landscapes. Desirability as a place to live, work, and play, however, has strained the region's affordability, resulting in home prices that have nearly doubled from 2000 to 2008, with more and more families forced to move farther from job centers in search of cheaper housing.

Although the region has adopted a long-term vision for land use, economic development, and transportation, implementation of that vision is challenged by this growing population (including an estimated 1.5 million new people by 2040), as well as the difficult task of coordinating consistent policies across more than 80 cities and towns.

Putting Jobs and Opportunity Closer to Where People Live

To address these challenges, a consortium of cities, counties, and public and nonprofit partners, led by the Puget Sound Regional Council, is using funding from HUD's Sustainable Communities Initiative to implement the *Growing Transit Communities* project.

“For our region, the types of projects funded by HUD's Sustainable Communities Initiative are critical to attract business investment and to create new jobs.”

—Bob Drewel, Executive Director
Puget Sound Regional Council

This initiative is putting jobs and opportunity closer to where people live by investing in key transit corridors and ensuring equitable, meaningful participation in decision-making.



Description

Growing Transit Communities is coordinating investments along regional corridors to put jobs and opportunity closer to where people live. Innovative technology and community capacity-building will ensure that all communities participate in the planning process.

Funding

2010 HUD Sustainable Communities Regional Planning Grant: \$4,999,700

Partners

A diverse consortium including the University of Washington, Impact Capital, Urban Land Institute, Forterra (formerly Cascade Land Conservancy), North Seattle Community College—and many others

Benefits

- Regional acquisition fund for transit-oriented, affordable housing development
- Over \$400,000 to community organizations to participate in planning – most for the first time
- Demonstration projects with estimated benefits to local residents of over \$25 million, based on cost-savings that include reduced congestion and decreased accident risks

For more information visit:

www.psrc.org/growth/growing-transit-communities
www.hud.gov/sustainability



According to project manager Ben Bakkenta, “What’s impressed me the most is how we’re working with residents and communities in ways we never have before. This not only builds support for a shared vision, but builds the local capacity to make that vision a reality.”

Putting Ideas to Work

Work is already underway on catalyst projects that demonstrate how integrated planning supports economic vitality and enhanced livability for the region and its communities. In the mid-size port city of Tacoma, for example, the initiative is attracting regional investment by developing a subarea plan and coordinating an area-wide environmental review. This not only helps prepare Tacoma for an estimated 60,000 new jobs by 2030, but provides an estimated \$5.8 million in immediate cost savings to developers, by avoiding separate project-by-project reviews.

Leveraging Sustainability Across the Region

The Puget Sound Regional Council is also creating new opportunities for local jurisdictions to access federal funding for other sustainability-related projects. In 2011, for example, five projects from Tacoma and Seattle received over \$15 million in competitive funding from HUD, in part due to a Preferred Sustainability Status (PSS) designation given to projects aligned with the *Growing Transit Communities* objectives. Successful applicants who benefited from this designation included the Tacoma-Pierce County Habitat for Humanity, which received \$165,000 under the HUD Self-Help Homeownership Opportunity Program, and the Seattle Housing Authority, which received \$10 million to redevelop the Yesler Terrace Neighborhood under HUD’s Choice Neighborhoods program.



Photo courtesy of UW Runstad Center

Seeing is Believing

Working with the Runstad Center at the University of Washington, *Growing Transit Communities* is pioneering the future of public engagement in planning. Decision Commons is an innovative technology that allows local residents to visualize development scenarios in real-time, including the environmental, economic, and social implications for their neighborhoods. Given the potential of Decision Commons as both a visual and mobile technology, the Puget Sound Regional Council is demonstrating how this tool can bring the planning process directly to the region’s diverse communities.

OTHER HUD SUSTAINABLE COMMUNITIES GRANTS IN WASHINGTON STATE

THURSTON COUNTY

South of the Puget Sound, the Thurston Regional Planning Council is using a \$1,500,000 Regional Planning grant to ensure regional prosperity as they manage an expected population growth of 67% by 2040. Their work includes developing a Sustainable Economic Strategy, informed by a Blue Ribbon Economic Panel that evaluated the region’s economic assets and identified new opportunities to support 84,000 new jobs over the coming decades.

SEATTLE

The arrival of light rail in South Seattle in 2009 brought new opportunities for neighborhoods and businesses, but it also brought new challenges. Speculation near light rail transit stations caused property values to skyrocket, making the area increasingly unaffordable to existing residents and businesses. To address this, Seattle will use their \$2,999,257 Community Challenge grant to secure key sites for affordable housing and small businesses, and provide technical support to stabilize commercial leases and to support local business-owners.

OLYMPIA, LACEY, AND TUMWATER

The cities of Olympia, Lacey, and Tumwater, located in the heart of capital of the Evergreen State, are coming together to support neighborhood revitalization along a shared transit corridor. Working closely with partners that include the Thurston County Chamber of Commerce and Washington State Department of Commerce, their \$763,962 Community Challenge grant will focus on infill and redevelopment to promote more choices in housing, employment, and transportation. This will make the corridor more attractive both to new residents and to new businesses.

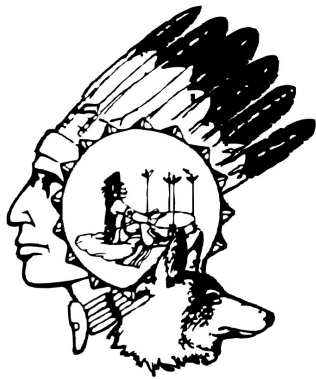


SPOKANE TRIBE OF INDIANS Sustainable Community Project

Like the Puget Sound Regional Council, the Spokane Tribe of Indians in Eastern Washington is using HUD Sustainable Communities funding to coordinate investments in housing and transportation. With a 2010 Community Challenge Grant, their efforts are focused on a smaller scale, community-level project to improve economic opportunity and enhance quality of life.

Children of the Sun

Prior to the creation of a reservation in 1881, the Spokane Tribe enjoyed a high quality of life on nearly three million acres along the Spokane River. Today, however, the 2,700 members of the tribe, including about one-third who live on the reservation, face challenges to achieving their vision of sovereignty through self-sufficiency.



In addition to both a growing population and declining tribal revenues, the Spokane Tribe struggles with high poverty levels, limited employment opportunities, few transportation choices, and a lack of both

infrastructure and housing. These interrelated challenges require innovative solutions through comprehensive, integrated planning.

Culture, Environment, and Economy

The Spokane Tribe of Indians, in partnership with the Native American nonprofit Antithesis Research, is using a 2010 HUD Community Challenge grant to advance cultural, environmental, and economic sustainability. By developing a Community Master Plan, the *Sustainable Community Project* is bringing together the community, government, and business leaders to assess the needs of the tribe and create integrated planning and policy solutions for housing, transportation, infrastructure, and economic development. They are also using this opportunity to strengthen tribal culture by relying on traditional knowledge for new ideas about sustainable living.

Participating in a Regional Economy

With a 47% unemployment rate on the reservation, and nearly half of those employed still falling below the poverty line, much of the *Sustainable Community Project* supports economic development and participation in the regional economy.

One strategy has been to increase transportation choices to off-reservation employment. Developing alternatives to driving, in particular, is essential for economic opportunity, according to a 2008 tribal transit feasibility survey. "The reservation is 45 miles from Spokane, and there are no transit systems that connect," says Chamisa Radford, the tribe's planning and economic development director. "If you don't have a car or your car breaks down, you lose your job."

Description

The Spokane Tribe of Indians is developing the tribe's first community master plan to improve housing, transportation, and economic opportunity. They are also creating a new planning process that engages the community and brings together decision-makers from across tribal government.

Funding & Technical Assistance

FY10 HUD Community Challenge Grant: \$1,500,000
FY12 EPA Smart Growth Implementation Assistance

Partners

Eastern Washington University, City of Spokane, Community-Minded Enterprises

Benefits

- Improve access to employment centers and participation in regional economy
- Concentrate future development in existing areas, reducing new infrastructure costs
- Strengthen community engagement and build capacity for integrated planning

For more information visit:

<http://antithesisresearch.blogspot.com/>
www.hud.gov/sustainability



