Sustainable Communities Boot Camp

A Resource Guide for Local Leaders

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Introduction & Overview

This Resource Guide complements the Sustainable Communities Boot Camp, an intensive peer-learning session for teams of senior government officials and their key partners from 13 regions that have been awarded grants under the U.S. Department of Housing and Urban Development's Sustainable Communities Regional Planning Grant Program. The purpose of the Boot Camp (Jan. 10th–12th, Harvard University) is to help participating regions, and others like them around the country, to refine and improve their near-term plans, strategies and projects, but also to transform their overall approaches to regional development. Towards this end, the Boot Camp lays out a holistic framework for sustainable and equitable regional prosperity, as well as a range of practical tools, strategies and models intended to help practitioners translate this framework into on-the-ground action.

Increasingly, metropolitan regions throughout America are recognizing that economic, environmental and social goals must be advanced simultaneously. From comprehensive growth strategies that better integrate land use, housing and transportation planning, to "cluster" approaches to regional economic development, to efforts to increase access to affordable housing linked to economic opportunities and essential services, metros across the country are working to advance a more integrated sense of sustainability and prosperity. Yet, despite their progress, few if any metros have moved beyond fragmented planning and development *programs* to achieve the ultimate goal: coordinated regional *systems* of robust sustainable communities that are actively connected to, and beneficiaries of, resilient regional economies; that create opportunities for all; and that improve environmental quality and public health.

Efforts towards this goal received a major boost in October 2010, when the Department of Housing and Urban Development (HUD) awarded $98 million in grants to 45 metro regions to develop or advance holistic regional planning. This Sustainable Communities Regional Planning Grant Program, part of a broader federal initiative known as the Interagency Partnership for Sustainable Communities, offers metros an unprecedented opportunity to move away from a transactional approach to planning and development to one that *transforms regions and the systems that shape them*, addressing pressing challenges more holistically and at greater scale. The Sustainable Communities Boot Camp, conducted in partnership between Living Cities, the Institute for Sustainable Communities, HUD and the Ash Center for Democratic Governance and Innovation at the Harvard Kennedy School, aims to capitalize on this opportunity.

This Resource Guide showcases initiatives across the country whose promising practices reflect the components of this regional development framework. The Guide also synthesizes what its authors believe to be the best informational resources available to practitioners—studies, reports and articles that are most likely to help them create sustainable communities and regions.

A Framework for Building Prosperous, Sustainable Communities

In order to help Boot Camp participants and the broader field make the most of their new HUD funding, we propose a four-point framework. Informed by dozens of the nation's leading practitioners, providers of technical assistance and capacity building services, and philanthropic investors, the framework has been enriched by interviews with over 60 regional Boot Camp participants conducted by the Institute for Sustainable Communities.

Economic Strategy: *Land-use, transportation and housing planning to achieve environmental and social goals will be more successful if it is grounded in an overarching, regional economic development strategy*. Starting out with a robust understanding of the existing strengths, weaknesses and growth potential of the region's economy is a critical prerequisite for successful regional planning, given the powerful role that market forces and private sector entities play in determining development patterns. It is also vital to understand the role that development patterns play in creating the economic, environmental and social challenges (e.g. difficulty assembling industrial sites, traffic congestion, inhibited access among lower-income households to markets, and educational opportunities) that, in the long-run, undermine regional economies' ability to remain competitive.

Achieving this understanding, however, is easier said than done. Land-use and transportation planning have tended to be disconnected from economic development planning; the connections among environmental, social and economic challenges at the regional level have not always been fully considered; and the public, private and nonprofit sectors historically have found collaboration challenging for a number of reasons (described in further detail in the next section). The Boot Camp agenda and this resource guide are designed to help practitioners better understand—and act collaboratively on—the interdependence of economic development and land use, environmental sustainability and socioeconomic equity at the regional level.

Equitable Outcomes: *An orientation towards equitable results is critical to creating prosperous, resilient regions.* Enhanced access to quality jobs, schools and training institutions and access to markets for basic goods and services, (e.g. affordable housing, transportation, fresh food and healthcare) help families achieve and maintain economic stability, maximize the long-term growth potential of regional economies, reduce long-term cost burdens on government, and mitigate environmental degradation. Land use planning is a critical tool to achieving these goals.

In developing and pursuing equitable results, regional leaders must distinguish indicators of equitable *process* (e.g. meeting attendance) from indicators of equitable *impact*. Both types of indicators must be tracked methodically throughout the planning and development processes and used to drive continuous improvement to planning and development approaches.

> **A Note on Data.** Developing and tracking metrics for economic and environmental as well as equity goals is critical to achieving desired outcomes across the board. As the saying goes, what gets measured gets managed. Good quality data, which is collected, analyzed and reported in transparent and participatory ways, will help facilitate continuous improvement.

Financing: *The more public policies and government actions are able to engage and stimulate market forces and private investments, the better the outcomes are likely to be*. Public resources alone are insufficient to make regional visions a reality. Instead, private capital must be brought to bear if regions are to reverse a legacy of development patterns that exacerbate environmental degradation and social and economic inequity. Private developers and investors, however, often face conflicting rules and misaligned incentives within and across jurisdictions, which prevent individual transactions or projects from "rolling up" to transformation at a broader scale.

To better attract and leverage private investment, therefore, government must take stock of the ways in which public policy already influences the market (e.g. zoning codes; incentives that favor greenfield development over infill), and then realign those policies so that they influence the market to deliver desired results. In particular, private developers and investors, who seek to reduce the risk of their investments, need clear and consistent signals from government (and from communities) about the areas that can be developed, the specific kinds of development that's desired, and government's political and financial commitment to support these kinds of development. Moreover, maximizing the power of private investment to transform communities requires that government forge new ways of combining capital from public, private and philanthropic sources.

Collaborative Structures: *More inclusive planning and decision-making processes and structures are more likely to deliver viable solutions and long-lasting impact*. With such structures in place, stakeholders can ensure that plans address community needs, reflect (and ultimately reshape) market realities, and have the political support to be implemented. This sort of engagement requires the development and institutionalization of processes and governance structures that enable all participants to influence official decision-making.

Collaborative processes and structures should provide all stakeholders with the information and the deliberative environment they need to help ensure that planning and development meet their interests—*both* immediate *and* longer-term. For example, organizations focused on achieving equitable outcomes may wish to focus on mitigating the impact of development on low-income communities. This focus, while important, can inhibit development that benefits these communities if resulting plans are not based in a strong understanding of market dynamics—an understanding that private sector entities can help provide.

No one group of stakeholders "naturally" has the full capacity to participate in this way. Neither should it be assumed that their conveners have the capacity to facilitate this participation or fully integrate stakeholder input into planning and development decisions. Building such capacity requires strategic investments in staffing, training, tools, and information. Not all of these investments, however, can or even necessarily should be made within the official governance structure. Community organizing and advocacy, for example, represents a critical means to exert pressure on—and sometimes provide political cover to—government decision-makers seeking to advance equitable outcomes from planning and development.

Our research indicates that no one region has yet to fully integrate the elements of such a holistic approach to sustainability. Several, however, are moving towards embracing all four pillars. This point underscores the emergent nature of this work and highlights the vanguard at which the teams attending the Boot Camp are working. The emergence and coming-together of these approaches are showcased in the Resource Guide, and will be explored more fully at the Boot Camp.

The Challenges of Sustainable Development: What practitioners are saying

To guide the scoping and development of both this Resource Guide and the Boot Camp agenda, the Institute for Sustainable Communities interviewed more than 75 sustainable development practitioners and experts throughout the United States to learn more about both the progress they are making and the challenges they are facing as they seek to improve their sustainable development plans, strategies and projects. The main themes emerging from this intensive needs/wants assessment indicate that many regional leaders are acutely aware of the importance of, but also concerned about the challenges to, robust and meaningful collaboration.

Better collaboration is the key. For many HUD grant recipients, this new funding provides an unprecedented opportunity to integrate economic, environmental and equity concerns at the regional scale. The work requires collaboration across the disciplines of economic development, planning, sustainability, and equity that have traditionally operated independently, or even at counter purposes. Moreover, the grant requires that recipients work regionally because of the recognition that economies do not heed jurisdictional boundaries.

Regionalism is as difficult as it is necessary. Interviews with practitioners suggest that local land use authority undermines regional approaches to sustainable and equitable economic development. Aside from some regional coordination around transportation planning, the numerous localities of metropolitan regions tend to make land use planning and economic development decisions in isolation. One participant said that each locality in his region was like "a separate country." The recession, which is driving municipalities to near bankruptcy, is further reinforcing the tendency to exercise local land use authority at the expense of regionalism. Under these conditions, localities pursue commercial development in the hope that the next shopping mall or office park will close the current budget gap. Such decisions are often made without regard to transit access, the consequences on traffic congestion, or the overall economic development strategy for the area. The phenomenon of NIMBYism ("not in my backyard"), too, can lead to abuses of local land use authority. ISC heard from participants representing suburban jurisdictions that residents often resist attempts at redevelopment, efforts to increase density, or to add affordable housing. Such measures, the participants said, seem to run counter to the reasons for which people first moved to the suburbs (i.e. to live in less densely built areas, with homeowners (not renters) of their own race and similar socioeconomic status).

Another common challenge to regional collaboration is the tension between the one large city in a metropolitan region and the surrounding smaller suburban and rural jurisdictions. ISC heard of the deep distrust which can exist between such localities and of the keen feeling of competition for resources. Participants from some large cities suggested that as the most populous jurisdictions in the region, their cities' needs were relatively more important than those of their neighboring jurisdictions, and that, as a result, their large cities should command the most resources. Large cities also tend to bring more expertise and more resources to regional efforts, which can intensify the sense that the cities will dominate the proceedings. Navigating these challenges and perceptions is critical to establishing and advancing shared regional goals.

Geography, too, can undermine regionalism. Some regions lack large population centers, which means that people are dispersed over great distances and that simply getting decision-makers together can be difficult. There can also be great distances between planners and rural communities, making community engagement especially challenging.

Working across sectors means bridging cultural divides. In many metropolitan regions, important stakeholders are also finding it difficult to shift away from traditional cultural rifts among the public, private and nonprofit sectors. In other words, there still is a great deal of distrust among people of different sectors, based perhaps more on historical and cultural dynamics and habits, rather than on current realities. As one real estate developer said, "There's a lingering rift – a cultural divide – between people in the public, nonprofit and private sectors… We need to move beyond 'left and right' and 'public and private,' toward a paradigm of social entrepreneurship, where we pool our resources and efforts, and hold each other accountable for solving social problems." The lack of communication and coordination among these sectors manifests in several ways, all detrimental to comprehensive regional planning. Often there is conflict between developers and low-income communities, where new development leads to displacement of residents and gentrification. Participants also said that planners often create plans without sufficient input from developers and employers and that, as a result, such plans are never implemented.

We do not expect that the Boot Camp will create easy solutions to these problems. However, by proposing a common framework for regional development, including sessions focused on collaboration in the agenda, and illustrating inspiring examples in the Resource Guide, the Boot Camp aims to help participants identify pathways to deeper and more effective collaboration.

About This Resource Guide

The case studies in this Resource Guide feature leading efforts across the country to implement one or more of the components of the framework described above. For example, in Baltimore and Denver, sustainable and equitable land use, transportation, and housing promise to enhance regional economic growth, as people, especially those in low-income communities, obtain more affordable access to employment centers and employers enjoy greater access to markets for labor, goods and services. ISC's study of Chicago's *GO TO 2040* regional plan and several sub-regional collaboratives, demonstrates that cooperation across jurisdictions and sectors is not only possible, but that it can lead to new resources and opportunities to strengthen communities and expand economic opportunity for all, positioning the Chicago metro region to better address complex community challenges, from foreclosures to energy efficiency to food access.

Other case studies in this Guide showcase how cities and metropolitan regions are using and weaving together a range of tools and strategies to achieve more prosperous, diversified regional economies.

ECONOMIC STRATEGY	FINANCING	COLLABORATIVE STRUCTURES	EQUITABLE OUTCOMES
Baltimore Chicago Meridian Twin Cities	Denver S.F. Bay Area	Baltimore Chicago Sacramento Twin Cities	Baltimore Chicago Sacramento S.F. Bay Area Twin Cities

The Resource Guide also provides links to resources and tools on various aspects of regional development. The Institute for Sustainable Communities culled through hundreds of resources and selected those that would be the most useful to practitioners.

Case Studies

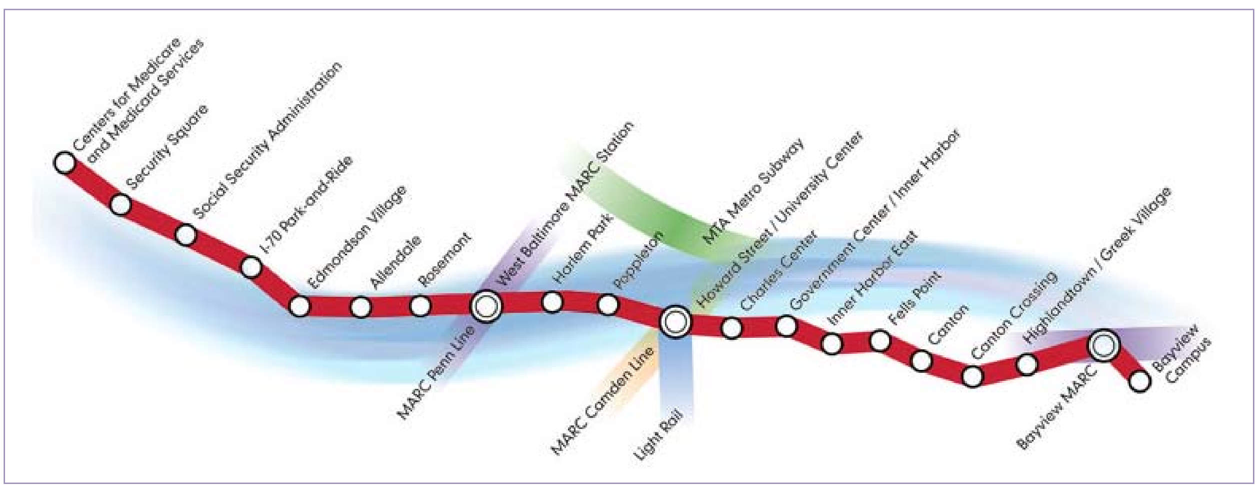
The case studies cover the following promising practices:

Baltimore's Red Line

Baltimore's Red Line is the city's largest public works project in two decades. The light rail transit project is designed to link neighborhoods to employment centers, schools, retail centers and parks. But during the planning process, it became clear that the people of Baltimore wanted more from the project—job opportunities, job training, community revitalization, environmental protection and strong citizen engagement.

THE PROJECT

The Red Line—a project of the Maryland Transit Administration (MTA)—will run east-west through the City of Baltimore and into Baltimore County and connect to the existing Metro subway, Light Rail and MARC Train. The 14.5 mile light rail line will cost $1.78 billion and have 20 stations, 16 in Baltimore City and four in the surrounding county. Construction is scheduled to take place between 2013 and 2018. The city, the MTA and Central Maryland Transportation Alliance (CMTA[1]), among other organizations, have been engaged in a community outreach process that is already leveraging the transit investment for the benefit of residents, businesses and neighborhoods. Maximizing the project's economic opportunities is a fundamental goal for the city, as nearly a fifth of its residents live below the poverty level in a state with the highest median income in the country, and the area unemployment rate has nearly doubled—from 3.7%-7.9%—since 2007.[2]



Engaging citizens. Baltimore's residents have a history of skepticism of large transportation projects, beginning with the "Highway to Nowhere," an interstate highway project that destroyed one

[1] The 3-year old Central Maryland Transportation Alliance (CMTA), a project of the Baltimore Community Foundation, is an organization of business and nonprofit leaders that educates, advocates and supports transportation improvements, such as the Red Line, within Central Maryland.

[2] Maryland Budget and Tax Policy Committee, Poverty in a Rich state, 2007, http://www.marylandpolicy.org/html/research/Poverty-12-07.asp

neighborhood and threatened a park, several other neighborhoods and the Inner Harbor before citizens were able to stop it. So it is not surprising that the Red Line project is being developed through an extensive community engagement process; that residents are insisting that the project address economic development, land use, environmental protection and construction impacts; and that the government agencies involved are making an effort to engage them in a meaningful way.

In 2007 legislation was passed in Maryland requiring the formation of a Red Line Citizens' Advisory Council, including 15 members from business, residents, service providers and workers along the corridor. The group, organized through the MTA, is charged with minimizing negative project impacts, maximizing community benefits, helping ensure that federal dollars will be secured, and meeting the MTA's legal requirements for public participation. The group has developed evaluation criteria for each part of its mission and advised the MTA on community concerns and attitudes about the route alternatives, which were identified in the Draft Environmental Impact Statement.

A public-private partnership—including the CMTA, the city, MTA and the Citizens Planning and Housing Association—kicked off early discussions about the Red Line by organizing four tours for people from Baltimore to other U.S. regions that have light rail, including Portland, OR, Seattle, WA, Los Angeles, CA and Phoenix, AZ. The tours helped participants learn from the experiences of other regions and identify best practices. The trips answered many questions about light rail and convinced participants that there were benefits that the Red Line could bring to the Baltimore region.

In 2008, five years before construction of the Red Line was scheduled to begin, the mayor of Baltimore convened a summit that was attended by over 300 community, business and advocacy group leaders. An outgrowth of the summit was a set of goals and strategies developed in the summer of 2008 by four working groups in consultation with Baltimore city departments and the MTA. That work led to the creation of the Red Line Community Compact, which was established and signed onto by 70 agencies and organizations, including the City of Baltimore and the MTA.

The mayor then issued an executive order, which created a governance structure with responsible for carrying out the goals of the Community Compact. This structure comprised a Steering Committee and four subcommittees on Economic Empowerment, Health and Environment, Neighborhood Investment/Transit-Oriented Development (TOD), and Construction. The goal of the Community Compact was not to evaluate transit route alternatives, but to ensure that the city and the MTA maximize the benefits of the project to communities. While its work is not legally binding, the Compact can ensure action through agreements, memoranda of understanding, and concrete actions consistent with the overall goals established by the Compact committees.

In addition to the Citizens' Advisory Council and the Community Compact, the MTA has set up Station Area Advisory Committees (SAACs) for each station on the Red Line. These groups include citizens, MTA and city staff, volunteer architects and engineers. The purpose of the SAACs is to set broad parameters for development within a half-mile radius of each station.

Facilitating employment. One purpose of the Red Line is to connect people to jobs and employers to workers. Some 40% of households in Baltimore depend on transit. Working families with an average income of around $30,000 spend approximately $9,500—or nearly a third of their income—on transportation annually, according to one national study. The Red Line will connect neighborhoods to major job centers, few of which are in the city of Baltimore itself, including the Johns Hopkins Bayview Medical Center to the east, and government employment centers for Social

Security, Medicare and Medicaid on the western end of the line. Links to MARC, Metro subway and Light Rail will open up even more job opportunities to residents. The transit service is expected to save commuters both money and time.

Although construction will not begin on the Red Line for three more years, efforts are already underway to provide jobs for people along the corridor. According to a jobs study commissioned by the Community Compact, the construction of the Red Line is expected to generate 1,307 direct construction and planning jobs during the design and planning phase, and 8,494 direct construction jobs in the construction phase.[3] Together, these jobs will translate to about $539.7 million in wages. In turn, this money will have a multiplier effect so that the total jobs created will amount to 15,000. Most of these jobs (83%) will be entry level/lower skilled positions that may require only on-the-job training or post secondary vocational training.

With the East Baltimore Development, Inc. (see box) and the Portland (OR) Tri-Met Yellow Line as models for hiring local firms and residents, the Community Compact set clear goals for recruiting and training residents and businesses to work on the Red Line. The Community Compact has accomplished the following actions towards these goals to date:

- An Economic Empowerment Office (EEO) has been established in the City Department of Transportation (DOT).
- The EEO commissioned a jobs study pointing out employment opportunities from the Red Line and comparing them with the skills and occupations of residents.
- The EEO is notifying residents about job opportunities.
- The EEO and MTA are working to address alignment between the city's Women/Minority Business Enterprise (W/MBE) and the state's Disadvantaged Business Enterprise (DBE) programs so all W/MBEs in the city will be DBEs under state regulations and will be eligible as subcontractors in the Request for Proposals/Sealed Competitive Bids process.
- The MTA has agreed to undertake a marketing strategy for Red Line employment with the city and to promote transportation-related career choices with educational institutions.
- MTA will break bid opportunities into smaller packages to enable more DBEs and local businesses to participate.[4]

EAST BALTIMORE DEVELOPMENT, INC. WORKFORCE PIPELINE

East Baltimore Development Inc. (EBDI) is a redevelopment project funded by public, foundation, and financial institutions, represents a model for the provision of economic opportunity to local residents and businesses in the design and construction of the Red Line. The project established a workforce pipeline for residents of the city. In the first phase of EBDI's project, 57% of the jobs generated went to Baltimore city residents, over 25% of which were to people displaced from their homes in the project area. Women and minority owned businesses and qualifying local businesses received 35% of all contracts.

[3] Jacob France Institute, University of Baltimore, *The Economic and Jobs Impacts of the Construction of the Red Line Mass Transit System on Baltimore City*, November 2009.

[4] The Red Line Community Compact 2010 Annual Status Report: Defining the Success of the Baltimore Red Line in Community Terms, Interview with Danyell Diggs. http://gobaltimoreredline.com/pdf/RED_LINE_Community_Compact_ANNUAL_REPORT_2010_FINAL.pdf

Approximately 20% of Baltimore residents along the Red Line route are employed in construction, transportation and material moving—skills needed for construction of light rail. However, efforts to employ residents in the design and construction of the Red Line are constrained by Federal Transit Administration (FTA) rules that prohibit local hiring preferences on projects using federal money. The city and MTA are working around this limit by identifying other opportunities for residents' inclusion when city or state funding assistance or land is utilized (see community benefit agreements below).


Image credit: http://static.baltimorehousing.org/pdf/uplands/uplands_masterplan.pdf

Baltimore has also set up a workforce training incentive program through which contractors will be reimbursed for hiring and training eligible candidates. The Uplands Redevelopment, a TOD project next to a proposed station in the Red Line corridor, hired trainees through this program.[5] And the MTA facilitated the hiring by an engineering firm of four high school summer interns to work on projects and learn the skills involved in planning and engineering for transit facilities.

Preserving and revitalizing neighborhoods. The MTA, Community Compact, Citizens' Advisory Council and CMTA have supported efforts to preserve existing neighborhoods and promote economic development and community revitalization along the Red Line. For example, the MTA heeded public opposition to involuntary displacement by agreeing not to use eminent domain. The Maryland Legislature later codified this agreement for the Red Line. Baltimore has directed many of its financial and technical resources to community investments along the transit corridor. Historic properties are being designated and stabilized along the route.

In a ground-breaking executive order, the mayor is requiring community benefits agreements with private developers for city-financed TOD projects at any Red Line station.[6] The Community Law Center will assist community organizations with participation in these agreements.

Transportation enhancement funds in the city will be directed to the Red Line communities of East Baltimore, West Baltimore and Central Baltimore. In the 2010 November election, Baltimore city voters approved a bond for a Red Line Community Development Fund of $1.8 million for 2011 and 2012. A revamped city zoning code, now under review, promotes neighborhood preservation, walkable communities and TOD for all existing and planned stations.

The State of Maryland has passed legislation that designates TOD as a valid transportation purpose for use of public funds and land. The state also has been active in community revitalization. Over

[5] The project was delayed briefly in 2008 until the demolition firm met the city's requirements for W/MBE subcontractors.

[6] Community benefit agreements are binding and enforced commitments between government officials and private developers to address community concerns and needs—such as local employment, labor practices and environmental standards—in a development project. For more information, see Annie E. Casey Foundation, *Community Benefit Agreements: The Power, Practice and Promise of a Responsible Development Tool,* 2007, www.aecf.org.

400 people responded to MTA calls recruiting volunteers to serve on the Station Area Advisory Committees. Seventeen committees have been set up for 20 stations. Meetings started in October 2010. A goal of the Community Compact is for some of the SAACs to evolve into Community Development Corporations that spark revitalization and development around the stations after the Red Line commences operation. At one MARC station, also in the Red Line corridor, a large parking area that is unused on weekends is now the site of the West Baltimore Farmers' Market six months a year, bringing local, healthy food into what's considered an urban food desert.

FOOD FOR THOUGHT

Addressing the economic needs of low income communities in a transit project requires multi-faceted collaboration among the city, state, business community, foundations, institutions and community groups. The realization of the economic development potential of the Red Line project has required the concerted effort of the city and state along with philanthropic organizations, nonprofit organizations and the business community. Some of the important employers and business groups who have signed the Community Compact include the Johns Hopkins Bayview Medical Center, University of Maryland, the Baltimore Hispanic Chamber of Commerce, and the Maryland Minority Contractors Association. The collaboration among these groups has yielded tangible results in terms of economic empowerment:

- Businesses and educational institutions have agreed to work with the city and the MTA in training youth and other residents in transportation related jobs.
- The city's Office of Economic Empowerment is working with the MTA to facilitate W/MBEs becoming DBEs to increase their chances of securing state contracts.
- Outreach is underway to connect citizens and local contractors with jobs on the Red Line.
- The city and state are collaborating to require local hiring practices of contractors on publicly-funded, non-FTA jobs.

Keeping citizens engaged through a long planning, design and construction process requires preparation, open communications, and visible progress towards goals. From the outset of the Red Line project city officials and the MTA knew that keeping citizens engaged, particularly those from historically underrepresented and disenfranchised communities, would help maximize the benefits of investment in local residents and businesses and minimize delays. Transportation officials also recognized that they would be met with suspicion. So it was critical that their communications with residents be clear and frank, and that they account for community feedback in their planning.

Beginning with informative trips to view other light rail projects, citizens have been given opportunities to understand and contribute to the planning and design of the project. Still, officials know that it will be challenging to maintain strong citizen engagement with a project that will take another eight years to design and build. To maintain involvement, the City of Baltimore, MTA, CMTA and others have taken the following steps:

- Held regular meetings of the Citizens' Advisory Council and subcommittees of the Community Compact to monitor progress towards goals.
- Sent out e-blasts to interested citizens every other week with updates and news about the project.

- Installed signs indicating the route of the Red Line.
- Engaged citizens in transit use through a CMTA-initiated Rate Your Ride comment program.
- Acted to improve neighborhoods, including new sidewalks and lighting, and instituted local hiring requirements along the Red Line route, demonstrating the city's commitment to community benefits.
- Brought new people into the discussions through a 90-day effort to recruit members of the Station Area Advisory Committees; scheduled out SAAC meetings for the next 15 months.
- Encouraged Station Area Advisory Committees to become community development corporations when their work is complete.

Citizens, working with government, nonprofit organizations and business can change the way transportation projects are developed. The Red Line Community Compact had no legislative authority or mandate when it was established, but its work created a new model for managing transportation projects. The city, for example, is using a mayoral executive order to require community benefit agreements for developers of TOD projects at any of the existing or proposed stations. Moreover, zoning changes will make it easier to undertake TOD projects. The city and the state are working to coordinate their incentives concerning W/MBEs and DBEs. And legislative changes now enable the use of state transportation funds for TOD anywhere in Maryland.

However, some of these changes may apply only to the Red Line and not necessarily to other transportation projects in the future. The state law that prevents the involuntary displacement of residents also applies only to the Red Line, and the requirement for community benefit agreements is based on a mayoral executive order, which another mayor may ignore. And while the MTA committed to support workforce training in connection with the Red Line, many want the state to go further by changing state rules, in order to allow 0.5% of state highway funds to be used for workforce training on any transportation project. Baltimore and the MTA would also like the Federal Transit Administration to do away with limitations on preferences in local hiring and W/MBEs for FTA-funded projects. There is hope, however, that the momentum of the recent advocacy successes may yet catalyze changes at higher levels of government.

A promising new development may help to advance the goals of the Red Line and institutionalize some of its strategies. Baltimore was the recipient of $19 million in funding from the Living Cities Integration Initiative. With the award, the city intends to expand its efforts to link low-income people to jobs, reinvest in communities and prepare residents and businesses to benefit from the construction of the Red Line. The Baltimore Integration Partnership—a collaboration of the Mayor's Office, the Governor's Office, foundations, nonprofits, community associations, institutions, and businesses—will guide the project. One of the desired outcomes of this effort is to make policy changes at the local, state and federal levels that perpetuate economic opportunities for low-income people and their communities.

Thank you to Danyell Diggs, Red Line Community Compact Coordinator, Baltimore DOT, Scot Spencer, Manager of Baltimore Relations, Annie E. Casey Foundation, Beth Strommen, Director of Office of Sustainability, City of Baltimore and Kenya Asli, Economic Empowerment Officer, Baltimore DOT.

FOR MORE INFORMATION

Maryland Transit Authority, Red Line website, www.baltimoreredline.com

Red Line Community Compact, website, www.gobaltimoreredline.com

The Red Line Community Compact 2010 Annual Status Report: Defining the Success of the Baltimore Red Line in Community Terms, http://gobaltimoreredline.com/pdf/RED_LINE_Community_Compact_ANNUAL_REPORT_2010_FINAL.pdf

Red Line Citizens' Advisory Council Annual Report, 2009, http://www.baltimoreredline.com/images/stories/redline_documents/cac/CAC_Annual_Report_2009.pdf

Bay Area Great Communities Collaborative and FOCUS

The Great Communities Collaborative supports grassroots advocacy for Transit-Oriented Development (TOD) around strategic transit stations in the San Francisco Bay Area. Convened by area foundations, five nonprofits provide organizing tools, education, and planning assistance to communities around Priority Development Areas identified by regional agencies in their own FOCUS program. As a result, the GCC has brought extensive community input to 27 station area plans and enhanced their responsiveness to community needs. The Collaborative is also creating a $50 million TOD Fund to preserve and expand affordable housing, to which the region's MPO has committed $10 million. Stakeholders credit a long history of building trust amongst partners, which both grounds the GCC and is the reason for the catalytic nature of its efforts.

THE BASICS

Getting started — FOCUS. From 1999 to 2001, the Partnership for Regional Livability supported Bay Area organizations—including the region's MPO (Metropolitan Transportation Commission, or MTC) and COG (Association of Bay Area Governments, or ABAG)—to create a regional Livability Footprint.[1] The goal of this project was to apply state-of-the-art information and decision tools to help the region's community members and local governments identify development paths that would balance jobs and housing. Although the goals of the project were sound and shared by stakeholders and partners alike, the Livability Footprint did not transform local planning as hoped. Organizers realized that, although the Livability Footprint project engaged local planners and citizens, genuine local project authorship—and therefore ownership—was missing. "We really learned from that project that we can't do hobby-based planning without the cities right there, arm in arm with us," said Doug Johnson of MTC. "We can't draw a map on someone else's city."

The Bay Area organizations involved in the Livability Footprint resolved not to repeat that mistake, while putting the data and analysis from that initial foray to good use. ABAG and MTC took the lead, in collaboration with the Bay Area Air Quality Management District, and began designing the FOCUS initiative.[2] In contrast to the Livability Footprint, FOCUS was a voluntary program for cities to incentivize and solicit locally-developed solutions to meet the regional pressure to grow. The process was competitive and selected Priority Development Areas (PDA) and Priority Conservation Areas (PCAs); this case study focuses

Priority Development Areas designated through the FOCUS program.
Image credit: http://www.bayareavision.org/pda/

[1] http://www.pfrl.org/bayarea.html

[2] The FOCUS program is a $300 million program, drawn from bond funding and planning grants. It supplements the infrastructure grants and transit funds that are channeled to municipalities through the MTC.

on the PDA program. PDA designation would provide winning cities with access to a pot of $45-50 million in annual capital infrastructure funds, technical assistance, and planning grants. In addition it would provide forums for grantees and guidance on equitable development. A Technical Advisory Committee, nominated by stakeholders and comprised largely of members from the advocacy community, helped FOCUS partners develop criteria for designating the PDA and PCAs. PDA selection criteria included:

- working within an existing community;
- near existing or planned fixed transit or served by comparable bus service;
- planned for more housing;
- an adopted land use plan; and
- a resolution of support from the city council or county board.

The PDA program therefore drew investment focus to locally-identified priorities that were also consistent with regional priorities for growth. MTC forecasted that the identified, supported PDAs would be able to accommodate 55% of the region's 25-year development needs on 3% of the land.

Getting started — Great Communities Collaborative. The Great Communities Collaborative really began when program officers at the San Francisco and East Bay Community Foundations realized that they were often funding grantees to do similar work. They agreed that coordinated, significant grantmaking on livable communities and local planning would increase their impact around the Bay Area. Staff and board champions at each foundation, as well as key grantees, worked through how to share governance, and eventually both foundation boards agreed to create the Collaborative. In 2008 the Silicon Valley Community Foundation joined as a key partner. Together, the community foundations and five core service delivery nonprofits[3] coordinate the GCC's strategies in tandem. The community foundations share a staff person housed at the San Francisco Foundation, which acts as the initiative's coordinator and liaison.

Engaging community members on TOD planning.
Image credit: http://www.greatcommunities.org/local-efforts

Engagement on station area plans. The Great Communities Collaborative first mobilized its network of partners to provide technical support, incentive grants and research for designated PDAs, thereby deepening the value of existing regional investments. Specifically, they help local advocates engage on station area TOD planning, a focus decided upon after an initial success relating to a BART (light rail) station in the City of San Leandro. For each plan, the engagement support they provide ranges from childcare to explaining land use maps. They also help advocates get specific with their input to city officials, maximizing guidance; communities have not asked just for commercial activity in general, but for childcare and grocery stores, for example.

[3] One national, Reconnecting America; and four local, the Greenbelt Alliance, the Nonprofit Housing Association of Northern California, TransForm, and Urban Habitat.

The resulting station area plans then trump other land use plans already in place. These plans, which have had so much meaningful and specific community input, provide clear signals to the developers about what is wanted; even in areas where parcels have already been picked over, the passage of station area plans has helped attract investment.

"Development without Displacement." [4] The next step of the GCC was to help secure affordable housing sites by creating the Bay Area Transit-Oriented Development Loan Fund, the result of planning between the Collaborative, the MTC, and the ABAG. This Fund is the first regional, multi-jurisdictional TOD Fund in the country (see table comparing the Bay Area and Denver TOD Funds). They selected the Low-Income Investment Fund—a regional community development financial institution (CDFI)—to manage the Fund and raise capital, in partnerships with five other CDFIs, three with offices nationwide and two regionally-based.[5] The Metropolitan Transportation Commission stepped up to provide the initial $10 million through one of its existing funding programs, Transportation for Livable Communities.[6]

This money is also in the "lead equity" position (GCC avoids the language "first loss"). Thus far, they have garnered enough interest from Citibank and Morgan Stanley—as well as Program-

COMPARISON OF BAY AREA AND DENVER TOD FUNDS

	Bay Area TOD Fund	Denver TOD Fund
Eligible projects	Affordable and mixed-income housing. (These may include components, such as neighborhood retail, and healthy food, childcare, and health care facilities)	Affordable housing
Number of loan originators	6 CDFIs	1 CDFI
Number of borrowers	Multiple	1 community land trust
Current capital sources	Public (MPO)—$10m Foundation PRIs—$6.5m Private (CDFIs, banks)—$23.5	Borrower—$1.5m equity Public (city, incl. grant)—$0.5m Foundation PRIs—$2m Private (CDFIs, banks)—12.5m
Loan products	Predevelopment, acquisition, construction bridge loans, leverage loans for New Market Tax Credits, mini-permanent loans	Acquisition of land and/or buildings
Loan terms	Maximum loan size up to $7.5m, up to 7 years; interest rate of 4.95-7.5%	Loans of 3-5 years Interest rate locked at ~3.5%
Loan-to-value ratio	Up to 110%	100% (including 10% borrower equity)

[4] Part of the title of a report by FOCUS: Development without Displacement; Development with Diversity, http://www.bayareavision.org/initiatives/equitabledevelopment.html

[5] The three national CDFIs are the Corporation for Supportive Housing, Enterprise Community Loan Fund, and Local Initiatives Support Corporation. The two regional are the Northern California Community Loan Fund and Opportunity Fund. http://www.liifund.org/LEFTSIDEMENUS/What%27s%20New.htm

[6] Press release: "MTC Pledges $10 Million for New Affordable Housing Fund," http://www.mtc.ca.gov/news/press_releases/rel490.htm

Related Investments (more on these in the Denver case study) from the Ford Foundation, Living Cities and the San Francisco Foundation—that they expect to open the TOD Fund at $50 million.[7]

Partners are finding the economic downturn a moment of opportunity for the TOD Fund, and for securing affordable housing sites. “There’s been so little money for the private market, that the land cities thought would be built up with market rate units now make more sense to build as affordable housing,” said Heather Hood, GCC Initiative Officer. “For example, the second phase of the Fruitvale Village buildout was initially intended to be condominiums, but with community and city support, the local community development corporation has engaged a nonprofit developer to build affordable family rental housing.”

The PDA program also has a strategy to control gentrification. Rather than require threshold inclusionary zoning of all the station area plans in the diverse region, they required the identification of a strategy for very low, low, and moderate (workforce) housing. Because of the strong nonprofits in the region, they recognized that major developments in the region already often included significant affordable housing. However, they also know that there is still work to be done to achieve equity across the region, and are putting in place advisory functions for equity advocates, which will help ensure that they keep addressing the issue.

Fruitvale Transit Village, Oakland.
Image credit: http://www.planetizen.com/node/46421

FOOD FOR THOUGHT

Collaboration across jurisdictions. Collaboration across jurisdictions is not easy in a region which has four regional agencies, nine counties, over 100 cities, and a population of 7.5 million. The regional water and air districts have not yet been incorporated into GCC efforts in a consistent way. Challenges among the regional agencies include disagreement over means, stemming from different focuses on ends—for example, the air district is concerned about the air quality impacts of concentrating growth along major corridors, which are already in noncompliance with air quality standards. The two goals of infill and air quality are not necessarily in conflict, but clearly there are issues to address in developing a shared strategy.

The history of ABAG and MTC holds some promise for an integrated outcome. These agencies have not always worked together, and attempts to combine the agencies have often proved difficult. This changed several years ago under the commitment of a new executive director and the ensuing positive relationship between the two agency heads, which helped set the tone for staff. A state legislated working group between four of the regional agencies provided an official vehicle for collaboration.

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[7] The startup costs are $450,000. The Great Communities Collaborative is providing $150,000, the Ford Foundation $200,000, and the Silicon Valley Community Foundation $100,000.

At this point, staff "know it's critical that public agencies work together in a collaborative fashion," said Johnson. One reason is to ensure that the programs and standards of overarching agencies aren't making life harder for the local jurisdictions that are the loci for advancing regional objectives. Another reason, as Ken Kirkey from ABAG put it, is that "for our agency to work on smart growth, it doesn't have much meaning without funding attached to it—particularly transportation investments." Subsequently, passage of SB375—statewide legislation that requires regions to reduce greenhouse gas emissions through integrated land use, housing, and transportation planning—has made collaboration between ABAG and MTC all but mandatory.

The change from the Livability Footprint to the FOCUS program shows how the collaboration between the regional agencies and the jurisdictions has also evolved over time. "The fact is, as interesting as the regional level work that we do might be, making change happen really has to occur at the city level, because they control land use," said Johnson. "So for us to be effective, we have to go out and help them, from being generous with resources, to being a warm body at city council meetings."

The importance of data. Compelling data undergirds good programs and makes the case for meaningful investment. "Many MPOs are recalcitrant on getting into TOD investments in a big way," said Johnson. MTC understood that, even without land use authority, they had to get involved in TOD because the high-cost Bay Area region was displacing their transit-dependent riders. To better support their substantive engagement, staff pulled together readily available information: the Housing and Transportation Affordability Index maps for the region from the Center for Neighborhood Technology,[8] demographics, and affordable housing building stocks. This data made it starkly clear that "we ignore land use at our own peril," said Johnson, and convinced decisionmakers to develop TOD programming.

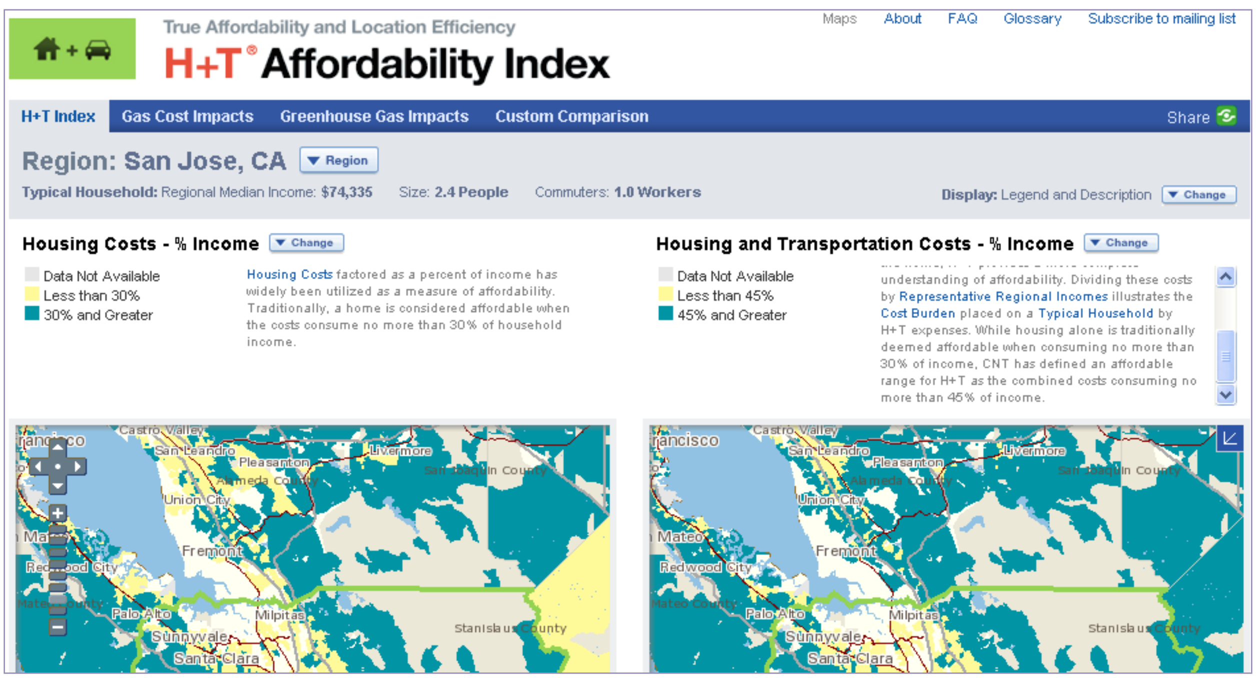

Image credit: http://htaindex.cnt.org

[8]Over 330 metro regions in the U.S. are covered in CNT's H+T Index, which includes the cost of transportation in housing affordability calculations. Metros in the database include Asheville NC, Boston, Cleveland, Detroit, Fresno, Gulfport, Fort Lauderdale, Houston, Madison, Minneapolis-St. Paul, New York, and Seattle: http://htaindex.cnt.org

Trust-building over time, combined with results, is required for effective collaboration across sectors. The many actors in these partnerships stressed that none of these outcomes—the GCC, the coordination with ABAG and MTC, and MTC's commitment of $10 million to a TOD Fund—happened overnight. It took almost a decade of relationship building through various projects, and informal and official meetings, for results to really advance.

San Leandro was a watershed moment. The BART station in the community was surrounded by large parking lots, and yet the community was resistant to TOD because of spiking property values they saw attending such development elsewhere. While the city conducted its planning process, GCC partners conducted complementary outreach with community members and leadership, and commissioned technical studies to answer questions about possibilities and impact. This work resulted in a final plan that included a permanent affordable housing stock of 30%, and unanimous city council approval "in a community that had never seen anything like TOD," said Shelley Poticha, current Senior Advisor for the Office of Sustainable Housing and Communities, who worked on this effort while at Reconnecting America. [9] "For those of us who have been doing this work for a long time, being able to look someone in the eye isn't enough for us to commit resources," said Doug Johnson of MTC. "There's nothing like real success to build trust."

Over time, relationships and results led to the establishment of the Great Communities Collaborative as a "trustworthy framework," in Johnson's words, that had all the right ingredients for scaling up results: ongoing engagement and buy-in by a number of important regional partners; a focus on problem solving; and, in particular, alignment of foundation, private, and public resources in vehicles like the TOD Fund. At this point, the partners appreciate the value that each brings to their shared goal of livable, sustainable communities. "The GCC's role is enormous, in working at the neighborhood level and really getting people involved in the process," said Ken Kirkey, ABAG's Planning Director. In addition, "there's a general notion that recessionary times are a good time to plan. But without the pressure of growth, the sense of urgency disappears too. So GCC plays a very important role in helping jurisdictions see that they need to plan for the long term, that short term, possible uses may not be the best ones."

Economic development. The station area planning eases regulatory hurdles to development, because much of the work required to comply with the stringent California Environmental Quality Act has already been done through the environmental impact report component of the required planning process. Kirkey said that because the assessments are done at a neighborhood versus project level, he considers this method a better way to mitigate the negative impacts of development than the development-triggered CEQA. Anecdotally, ABAG has heard that a PDA designation helps developers attract private financing to their projects, because lenders know about the program and what it entails. Though more rigorous assessment would be necessary to validate this finding, ABAG is considering whether creating this approach should be applied across the region—even to those localities without PDA designation—to help regional economic development.

Taking advantage of trends. Kirkey said their efforts in the Bay Area are aided by a generational shift. "Younger professionals come here because it is a dynamic urban place, and they aren't afraid of growth." The business community is also changing. "We have a big issue in our region: Silicon Valley perfected the free-standing office park, which is a big problem when we're trying to reduce vehicle miles travelled." But now, "some of these, like the Google complex, have said to us, 'we want to transform this place, have housing, make it walkable; we want it to be a *place*.'"

[9] http://www.metroplanning.org/multimedia/audio/435

Economic opportunity. ABAG and MTC are also considering how to use the transit network and infill capacity as a basis for an economic development strategy. Until recently, the perception was that the regional agencies did not need an economic development function, because jobs always came to the Bay Area. They now know, however, that they can no longer take the situation for granted, and that to not engage can result in inequitable outcomes, particularly the displacement of low-income people around transit. Overall, Kirkey explains that the current strategy is not necessarily to have enough housing in all employment centers to house all the people that work there, but to work towards a corridor approach, which provides housing within a 25-minute transit ride (versus the trend of a 1.5 hour drive).

For the foundations and nonprofits, growing GCC programming to include economic opportunity has been a process of evolution. Initial activities were focused on fostering meaningful community participation in planning livable communities. The next step was to develop a tool that could actually deliver on some of the equitable outcomes desired by the communities—a TOD Fund to preserve affordable housing around transit. Now GCC is trying to figure out a meaningful role they can play in bringing economic opportunity—i.e. jobs—to low-income and historically disadvantaged groups and communities. For example, "networking together the community colleges along transit corridors would look terrific on paper, but it isn't necessarily enough to make a meaningful difference," explained Hood of GCC. Some of the steps they've taken in this direction so far include educating cities that are not monitoring hiring policies around a transit stop, and scenario planning exercises with cities to model VMT impacts of job clusters.

Thinking regionally is not easy in complex regions. The Bay Area has three major cities, not one: San Francisco, Oakland, and San Jose—all with different niches. In addition, each of these is a hub for suburbs and satellites, all figuring out their place in the sun. Thus far, MTC's approach has been to "take care of what you can," going step-by-step. "Rather than try to pull everyone together, we work more meaningfully with clusters of cities, and engage more deeply with San Francisco, Oakland, and San Jose on a semi-regular basis," said Johnson. This level of support is a necessary precursor to dialogue between the cities and the region.

As for a regional economic strategy, "We've been talking at an informal level, but we're really not ready for that conversation now. The region is too big, too diverse, and too lopsided; how can you talk about Napa Valley and Silicon Valley together?" The stakeholders understand that such conversations are important, as they remain a major driver of issues relating to quality of life and environmental indicators. But they are still working to develop a process that enables these conversations to happen as a matter of course.

Thanks to Heather Hood, Great Communities Collaborative; Doug Johnson, MTC; Ken Kirkey, ABAG; Arlene Rodriguez, The San Francisco Foundation/Living Cities; Allison Brooks, Reconnecting America.

FOR MORE INFORMATION

Great Communities Collaborative website, http://greatcommunities.org

FOCUS Priority Development Areas program website,
http://www.bayareavision.org/initiatives/prioritydevelopmentareas.html

Chicago Region's GO TO 2040 Plan

In a metropolitan region with more units of local government than any other in the U.S. and a reputation for independence, strong local control, and fierce local politics, Chicago area officials and institutions are proving that cooperation across jurisdictions and sectors is not only possible, but can lead to new resources and opportunities to strengthen communities and expand economic opportunity for all. A new comprehensive regional plan, GO TO 2040, and several subregional collaboratives are together positioning the Chicago metro region to more effectively address complex community challenges. Strong partnerships among government, business, and foundation and nonprofit leaders have been key to bringing the region together around a plan that provides a framework to guide development and investment priorities, measure progress and deliver results.

Image credit: Chicagoland Chamber of Commerce

THE PLAN

Goals. GO TO 2040, Chicago's new comprehensive regional plan, links transportation, land use, housing, economic growth, the natural environment, and human and community development with the overarching goals of improving livability and creating sustainable prosperity. The plan addresses the region's thorniest issues—sprawl, inequitable distribution of affordable housing, and inadequate access to transit—which together limit access to opportunities, especially for disadvantaged residents.

The plan was developed over a three-year period by the Chicago Metropolitan Agency for Planning (CMAP), the MPO responsible for transportation and land use planning across the seven counties of northeastern Illinois. CMAP executive director Randy Blankenhorn says GO TO 2040 is a departure from the past in several ways, and that it recognizes the interdependence of regional prosperity and livable communities. "We can't have one without the other." And it's not a "dreamer's plan" but is grounded in fiscal reality and focused on 12 priority issues that will "make what we already have work better."

The four themes of the plan—Livable Communities, Human Capital, Efficient Governance and Regional Mobility—call for better training for the region's workforce, economic innovation that builds on the region's assets, strategic investments in aging transportation infrastructure, and more government efficiency and accountability. While Blankenhorn emphasized that this plan is achievable because we're not "thinking beyond our grasp," it is still meant to inspire and build on the legacy of Daniel Burnham, author of Chicago's original comprehensive plan 100 years ago, by thinking big and thinking boldly.

Getting started. The actual GO TO 2040 plan was three years in the making and the result of extensive background research, partnerships, public input, and deliberation. However, Chicago Mayor Richard Daley laid the groundwork for the visionary plan in 1997 when he convened a meeting with dozens of suburban mayors to promote regional collaboration as a pathway to addressing challenges and competing in the global economy. The outgrowth of the historic meeting was a new Metropolitan Mayors Caucus (MMC), which now convenes 273 city and suburban mayors. Around this time a new regional business organization—Chicago Metropolis 2020—emerged and the Metropolitan Planning Council (MPC)—a policy organization founded in 1934—recommitted itself to metro-scale solutions. One of the early acts of MMC was to join with Metropolis 2020 in a public-private effort to push for a rewrite of state laws to combine two different planning entities and create CMAP, a single agency responsible for planning and land use for Chicago and the surrounding counties. After years of rapid but uncoordinated growth, CMAP provided the leadership for Chicago's government, business, and civic leaders to pursue a more strategic, coordinated approach.

Public engagement. GO TO 2040 was developed through an inclusive scenario-based process that reflects the input of more than 35,000 residents. After launching the process with a visioning event at the Illinois Institute of Technology, CMAP and its partners held dozens of meetings and workshops and employed state-of-the-art technology to facilitate a transparent, far reaching process. To make sure they heard from underrepresented populations, CMAP provided grants to 10 community based organizations to organize meetings to gather input from low-income, minority, and disabled residents. Interactive kiosks placed in highly visited locations, like libraries, museums, Millennium Park and Sears Tower gave the public a chance to try their hand at planning. Using a software tool called MetroQuest, visitors could answer questions about their transportation and land use preferences and then see the projected impact of their choices on issues such as taxes, commute times, and air quality.

Business engagement. Working in partnership with MPC, Metropolis 2020 and the Chicagoland Chamber of Commerce CMAP met with literally hundreds of businesses, large and small, to discuss the economic future of the region. Early in the process, CMAP partnered with the Illinois and Chicagoland Chambers of Commerce and the Federal Reserve Bank of Chicago to hold a summit on how the business community saw CMAP and GO TO 2040 adding value to the economic activity and planning for the region. To guide them on the Plan's development, CMAP created an Economic Community Development Committee and an Industrial Advisory Committee that met quarterly to discuss ongoing economic development issues. The main issues from the business sector revolved around education and workforce; the importance of infrastructure, particularly transportation; the efficiency and efficacy of government; and the need to support innovation and research.

Strategies for equitable outcomes and prosperity for all. GO TO 2040 recognizes the need to achieve broad regional prosperity and provide equitable opportunities, stating: "Disparities in educational attainment, health, and other measures—often based on income levels, race, or ethnicity—put the entire region's economy at risk." The Chicago Community Trust (CCT), the community foundation for the Chicago region, played a significant role in bringing equity issues forward in the planning process. Strategies included in the plan to achieve equitable outcomes included reducing the combined cost of housing and transportation, improving education, and investing in specialized workforce development programs that would better match skills with future employer needs. The plan targets health disparities by increasing the availability of healthy local food especially in the city's "food deserts" and creating walkable neighborhoods with access to parks and open space.

Indicators. CCT and CMAP are also working together to track more than 200 data points in a publicly accessible, interactive web-based platform called MetroPulse.[1] Sample indicators by outcome include unemployment and poverty rates (economy), greenhouse gas emissions (environment), housing cost burden (housing), infant mortality (health), violent crimes (safety), land considered underutilized (land use), and previous plan implementation (coordinated planning).

Improving access to public information for effective and transparent decisionmaking is one of the top goals of GO TO 2040. CMAP and CCT developed MetroPulse as a tool that policymakers, community leaders, the media, and public can use to inform their work. CMAP created and will maintain a data warehouse of more than 1000 tables drawn from dozens of sources. MetroPulse processes the data to generate interactive charts and maps for users. CCT helped to identify important indicators and make sure the site was user friendly and will continue to develop new portals based on user interest. The ultimate goal is to improve quality of life through better public decisionmaking.

Where it is today. The plan was unanimously adopted by CMAP on October 13, 2010. The next day, Chicago got more good news in the form of a $4.25 million HUD Sustainable Communities Regional Planning grant that will fund a local technical assistance program to build community capacity to implement the plan. Local governments and community organizations will be able to apply to CMAP for support for innovative, replicable activities such as assessment of future housing demand and updates of local zoning ordinances and codes to support transit-oriented development (TOD).

CMAP and its partners, while proud of having produced a plan with broad buy-in and support, also recognize the challenges ahead. Fiscal realities at the local, state, and federal levels mean prioritizing elements of the plan in order to keep moving forward. Municipalities will need to take ownership. We need to "make it more real for mayors," says Dave Bennett, executive director of the Metropolitan Mayors Caucus. CMAP's Randy Blankenhorn says increasing the efficiency of government and service delivery will be the hardest part. "We have a 1960s tax structure in a 21st century economy," and a new fair and equitable structure is needed to better serve business,

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[1] For more, see http://MetroPulsechicago.org.

government and residents. He also emphasized the importance of increasing outreach efforts to the private sector to ensure that the business community is involved in leading the way forward. Political turnover will also have an impact. How well Chicago's next mayor works with the incoming governor will make a significant difference for securing the resources for the plan. CMAP, CCT, MMC, and their partners are ready to educate and work with newly elected officials and the broader community to generate the support and resources for successful implementation.

FOOD FOR THOUGHT

There is enthusiastic support for the plan and a sense of momentum from the cooperation that happened behind the scenes. "The whole thing was a massive exercise in collaboration," said Ngoan Le, VP of the Chicago Community Trust, and the main lesson is that ***investing in collaboration has big benefits.*** A key detail in the way that these efforts came about in Chicago is that region-wide collaborative network did not form all at once. Instead, several smaller-scale partnerships occurred along the way, which then came together to collaborate on bigger scale issues to benefit the region. Without any one of these sub-clusters, explained MarySue Barrett of the Metropolitan Planning Council, the collaborations that are now yielding fruit would not have been possible. Now, broad buy-in across sectors and jurisdictions is changing how Chicago does business.

Inter-jurisdictional collaboration yields new resources to address community and regional challenges. Randy Blankenhorn acknowledges the challenges of collaboration in a city with Chicago's rough and tumble politics and says to other regions: "If we can do this here, it can be done anywhere." The formation of the Metropolitan Mayors Caucus was a key stepping stone because it provided a forum for municipalities to build alliances and develop friendly and trusting relationships with one another. Nine subregional municipal associations existed previously, but MMC provided a chance for Mayors to work together for the first time on a regional scale. An initial three year seed grant from the MacArthur Foundation provided the resources to hire staff and bring the Caucus into existence. There are only three or four other organizations like MMC in the U.S. today. Dave Bennett and his staff assert it didn't happen overnight—"It has taken years to get here"—and they needed the willingness on everyone's part to put politics and self interest aside. Eventually MMC was able to take on hot button issues like water resources, which would not have been possible without the mayors' existing comfort level with each other. Today MMC is spawning even greater collaboration at the subregional level with initiatives focusing on clean air, education funding reform, housing affordability, and immigration and diversity issues, among others.

Inter-jurisdictional collaboration has led to several important 'wins' for Chicagoans. CMAP itself emerged out of this thinking that "we've got to work together," said Randy Blankenhorn. And as CMAP and its partners celebrated the award of a HUD regional planning grant, a group of south suburban mayors had a parallel success when it won a $2.4 million HUD Sustainable Communities Challenge Grant to help spur development along rail and transit corridors (see article on next page). A recent energy efficiency retrofit grant to CMAP from the Department of Energy was the first time a grant was awarded for a regional effort involving Chicago and the suburbs. Ngoan Le of CCT, which played an instrumental role in commissioning a strategy paper that led to the successful DOE application, thinks the south suburban effort and the DOE collaboration are important precedents and that between the HUD and DOE grants, CMAP is now positioned to be not just a planning but an implementation agency.

CMAP, MMC, CCT, and others worked hard to overcome typical barriers to collaboration. Collaboration requires resources and a continuous effort to get buy-in and remind people to leave politics at door. MMC advises regions to start with low-hanging fruit to build trust; their experience was that inter-jurisdictional efforts can take off from there.

COLLABORATION AMONG CHICAGO'S SOUTHERN SUBURBS LEADS TO NEW OPPORTUNITIES

Reeling from the rapidly spreading foreclosure crisis, a group of racially and ethnically diverse suburbs south of Chicago known collectively as Southland joined together around a sustainable redevelopment strategy. Though they came together just 18 months ago, the Chicago Southland Housing and Community Development Collaborative (CSHCDC or "The Collaborative"), along with other regional partners, is beginning to reverse years of disinvestment and economic decline.

Chicago's south suburbs were built around the railways that helped make Chicago the economic and transportation center of the Midwest. But years of sprawling regional growth and disinvestment left Southland and its residents—more than a third of whom are African-American—behind, saddled with deteriorating infrastructure, acres of brownfields and limited economic opportunities within close proximity.

The south suburbs are redeveloping around existing rail infrastructure.
Image credit: *Chicago Southland's Green Time Zone*

Today however, the South Suburban Mayors and Managers Association (SSMMA) and the Collaborative are coming together to change the landscape. These leaders knew, for instance, that although the first round of HUD's Neighborhood Stabilization Program gave no preference for regional applications, it was important that communities not compete against each other for these resources. Therefore, 20 towns came together to submit one application, securing approximately $9 million for 11 towns. Knowing this money would make a minimal impact, towns worked with their neighbors to ensure that funds were strategically targeted to maximize results. To revitalize the housing market in the southern suburbs, the creation of jobs must occur. Therefore the SSMMA and CSHCDC have joined with the Chicago Southland Economic Development Corporation (CSEDC) to aggressively pursue a multi-faceted strategy for sustainable development that includes Transit-Oriented Development (especially through the work of CSHCDC), Cargo-Oriented Development, and green manufacturing, with the emphasis on strong potential for job creation. *The Green Time Zone* is probably the most comprehensive statement of this strategy.

The Collaborative is attracting attention—and resources—from other state and national programs, including the HUD Sustainable Communities Challenge Grant, EPA's Smart Growth Implementation Assistance Program and Energy Efficiency and Conservation Block Grant funds through the Illinois Dept. of Commerce and Economic Opportunity. Local foundations are also supporting the Collaborative with funding for a housing director and a part-time planning staff person. The Metropolitan Planning Council and the Metropolitan Mayors Caucus are also being funded to provide technical assistance.

SSMMA, a thirty-five year old, 42 member community Council of Government, collaborates to work across issues and sectors. By working through the SSMMA, the Green Time Zone will connect the dots—on workforce, housing, transit-oriented development, energy efficiency, renewable energy, green manufacturing and intermodal freight—to reinvent the sub-region for green, inclusive, economic prosperity.

Sources: http://www.cnt.org/news/2010/10/20/chicago-south-suburbs-awarded-2-3-million-to-use-rail-infrastructure-to-revitalize-region; http://www.cnt.org/repository/GTZ.pdf; http://sites.google.com/site/cshcdc

Tackle challenging issues by bringing in partners with complementary roles and expertise. While the successful GO TO 2040 planning effort suggests a united region, the Chicago Community Trust and others are quick to point out that Chicago still has persistent poverty and racial divides. CCT was particularly effective in getting equity and diversity issues addressed by making grants to several nonprofit organizations, producing a series of strategy papers focused on human relations, food policy, workforce development, and other topics that aren't typically addressed in comprehensive land use plans. Grantees included nontraditional planning partners like early childhood education organizations, the Illinois Arts Alliance, Chicago Jobs Council, Chicago Food Policy Council, and the Lawyer's Committee on Civil Rights Under Law. CCT was clear about grantee responsibilities, providing each with a common reporting template and requiring them to convene advisory committees that included grassroots organizations and experts representing both city and suburbs.

As CCT's Ngoan Le explains, the Chicago region has a growing minority population and increased poverty rates (20% in Chicago and over 10% in the region); helping to reduce poverty rates and closing the education attainment gap for minority students must be taken into account for the region to succeed. But CCT and CMAP both acknowledge that issues of race and poverty are difficult to address in a comprehensive planning process. Partly because topics like segregation, hunger and affordable housing can be controversial, Le says there was a healthy debate with CMAP about how directly the final plan would address equity issues. She credits CMAP for letting CCT take the lead on these issues in a way that let each partner play to its strengths. By delegating to CCT and its nonprofit partners, CMAP actually ensured that issues of equity and inclusion were addressed in a way that was thorough and substantive.

CMAP planners weren't experts in race, diversity, and equity issues. CCT on the other hand, with its deep community roots, was uniquely positioned to look at the range of needs facing the region's socially and economically diverse population. CMAP ultimately posted the full strategy papers produced by CCT grantees on their website with the final plan. In this way, Le thinks that CMAP found a way to speak to two audiences: the business and political leaders who were comfortable with the more market driven approach of the actual plan, and the advocates and nonprofits who want to "push the envelope."

CCT believes that community foundations are valuable planning partners. Along with the strategy papers, CCT was also instrumental in developing the indicators to track progress. Ngoan Le said they were inspired by the Boston Foundation and other community foundations that have harnessed the power of data to drive community change. CCT had their grantee partners recommend important benchmarks to measure improvement in each issue area, and, as part of their collaboration on MetroPulse, negotiated with CMAP to select those that would ultimately be the most useful.

CCT staff said that the process of collaborating with CMAP on GO TO 2040 was itself transformational for both organizations. CCT gained a better understanding of planning and has become a much more proactive organization in the last three years. CMAP has gained a deeper awareness of the region's changing demographics, which is important as it takes on the roles and responsibilities of a funder through the competitive Local Technical Assistance process it is administering as well as grants to community organizations to ensure an inclusive planning process.

Leadership and a vision for the future brings business on board. Chicago had numerous plans and initiatives to promote more sustainable communities. According to Jerry Roper, CEO of the Chicagoland Chamber of Commerce, that was part of the problem: too many organizations involved and too many "one-off "initiatives resulting in many plans and "fiefdoms"—all requiring revenue. The state government was in disarray, adding to the confusion. The business community was frustrated by the plans' lack of interconnectedness and was insistent about the need for something more strategic and cohesive to show that the region was thinking ahead and looking at how to retain and grow companies. Once CMAP was created, the Chamber threw its support behind the agency to spearhead development of a single plan. Roper said CMAP's state and federal mandate gave the agency important legitimacy with political and business leaders. The Chamber already had committees and a Chamber of Commerce Foundation in place, so it could easily tap existing programs and structures to engage its members.

The involvement of the business community shaped the plan in important ways. After their initial outreach meetings CMAP realized that they needed to be clearer about the importance of the plan on guiding the economic prosperity of the region. That helped them to focus around the two interrelated themes of regional economic prosperity and strong communities and to better articulate that having one required the other. This new focus drove the rest of the process and CMAP's thinking about how policies and investments related to job creation, workforce development, tax policy and infrastructure investments could support the two main themes of the plan. "The business community really helped us get our arms around what matters both now and in the future," said Randy Blankenhorn. The business community clearly saw they had a role to play but also wanted to know how and if the plan was going to result in the necessary changes for its recommendations to be implemented. This led CMAP to realize the importance of "the ask," and they developed context sections in the plan outlining roles for everyone from business to government to nonprofits to individuals.

Cultivating leadership. Leadership is clearly important in pulling together a region like metropolitan Chicago. The City of Chicago was fortunate to have a forceful and famous mayor, and Roper concedes that Mayor Daley's star power was influential with foreign leaders and suburban mayors alike. But for cities that don't have a celebrity mayor, a business or civic leader can play an important role. (If the nonprofit and business organizations don't exist to pull other stakeholders to the table, Randy Blankenhorn's advice is to create them.)

Jerry Roper says cities and regions shouldn't wait for the federal government to provide funding, ideas or incentives. But they should engage the business community—who "love to be asked"—about how to create sustainable regional economies. Roper emphasizes that business and civic organizations have traditionally played a strong role in urban planning and development, citing the fact that Daniel Burnham was hired by the Commercial Club to write the original plan for Chicago (which was also the first comprehensive urban growth plan in the U.S.). Businesses help build cities, and Roper believes the Carnegies and Mellons of today can play an important role.

Roberto Requejo, a CCT program officer, says that it's important to invest in developing more leadership at the city, regional and state levels. Chicago has pockets of leaders with this mindset but more work is needed to create a cohort of public sector practitioners and elected officials that understand smart growth and sustainable communities.

There is also a need to change the federal mindset. While the partnership between HUD, EPA and DOT is promising, GO TO 2040 calls for policy, legislative and regulatory changes that focus more on cities and regions. Randy Blankenhorn says the federal government needs to understand that collaboration is a better way and get policies and resources aligned accordingly.

Invest in engaging and educating community. CMAP and its partners stress the importance of investing early in community outreach and education, saying a plan has to belong to the region if implementation is going to be successful. CMAP and CCT emphasize that it takes time and money to reach people, but the investment is worthwhile because of the buy-in it creates.

Leverage opportunities for public engagement. CMAP's Randy Blankenhorn said he thinks Chicago had an advantage because of its history. Residents have an appreciation for architecture, design and public space, so it wasn't hard to get people engaged in the regional vision conversation. The 2040 planning process also happened to coincide with a yearlong celebration of the 100-year anniversary of Daniel Burnham's legendary "The Plan of Chicago." The commemoration provided opportunities to engage residents at public events to talk about the next plan and what they thought was important for the region.

Reaching out to nontraditional partners can pay off. CMAP reached out in ways that had not been done before, and nonprofits—which hadn't been part of previous planning processes—played a major role by contributing many ideas that went into the final plan. CCT's Ngoan Le notes that she was particularly impressed with the enthusiastic and well organized participation of the arts and culture community, which had never before been involved in regional planning.

Recognize and build off assets. Jerry Roper encourages other regions to identify and build off the assets they already have. GO TO 2040 leverages Chicago's strengths: its geographic location as "the capital of the Midwest," great transportation, top notch universities, and a livable city that attracts young professionals. The region also made a strategic decision to embrace the diversity represented by the sheer number of municipalities in the metro area as a strength rather than a weakness.

Recognizing its strengths helped the city transform its former industrial economy into a modern day global center for business, finance and innovation. GO TO 2040's commitment to innovation has the business community particularly excited. Jerry Roper explained that half a dozen years ago, inspired by the work of John Kao, author of "Innovation Nation," the Chamber committed to pursuing innovation as an economic engine for the region. Through its Innovate Now initiative, the Chamber forged partnerships with academia and the public and nonprofit sectors to support entrepreneurs and help existing firms explore new ideas, products, and technologies. Chicago is now home to innovation centers for Microsoft, Google, Motorola and Wrigley. Attracting venture capital and entrepreneurs to start and grow new businesses and expand the innovation economy is a central tenet of Chicago's plan for building a resilient regional economy.

Thanks to Randy Blankenhorn, Chicago Metropolitan Agency for Planning; Jerry Roper, Chicagoland Chamber of Commerce; David Bennett, Allison Milld, Kate Agasie and Eve Pytel, Metropolitan Mayors Caucus; *Ngoan Le and Roberto Requejo, Chicago Community Trust; MarySue Barrett, Metropolitan Planning Council.*

FOR MORE INFORMATION

Chicago Metropolitan Agency for Planning, http://www.cmap.illinois.gov.

See in particular the GO TO 2040 plan (http://www.cmap.illinois.gov/2040) and Strategy Papers (http://www.cmap.illinois.gov/go-to-2040-strategy-papers)

MetroPulse, http://www.metropulsechicago.org

MMC, http://www.mayorscaucus.org

Denver's Transit-Oriented Development Fund

As Denver advanced light rail and high frequency bus service in its Regional Transit District, it recognized that it was putting affordable housing in jeopardy. Affordable housing around the planned stations and along transit routes was already scarce and at risk of reverting to market-rate rents. The transit projects would exacerbate the problems by raising property values, making it more difficult to build new affordable housing in these areas. To deal with these issues, the City of Denver, the Urban Land Conservancy and Enterprise Community Partners established a $15 million fund for acquiring property on which to build energy efficient, affordable housing, or for retaining affordable housing. The Fund, the result of a unique public-private partnership, guaranteed housing affordability for a minimum of ten years and established new policies in the region for future land development connected with transit.

THE TRANSIT-ORIENTED DEVELOPMENT FUND

Getting started. In 2004 voters approved a sales tax increase of $4.7 billion for FasTracks, a project to add 122 miles of rail lines, 57 new rail stations and 18 miles of bus rapid transit to the Denver region.[1] Voters later approved an additional increase to the sales tax to make up a budget shortfall. Today, the estimated cost for completion of the project is $6.5B and construction is scheduled to end in 2017. This investment—considered the largest for transit in the United States—is designed to meet the demands of an expected 1.4 million new residents in the region by 2035.[2] Denver and the surrounding counties could not afford to meet this growth with miles of new highways, greater traffic congestion, a decline in air quality and costly sprawl. FasTracks provides new transportation options, while enhancing the market for transit-oriented development (TOD) along bus lines and at rail stations.

The City of Denver has been interested in such smart growth strategies for two reasons: it wants to accommodate the expected growth within city limits, but it doesn't have enough vacant land for all of the expected newcomers. An increase in property values along the transit lines is expected to spur gentrification and to preclude low- and moderate-income households from enjoying the benefits of TOD. The City was sensitive to the issue in part because affordable housing was a priority for Mayor Hickenlooper.

Image credit:
http://www.cltnetwork.org/index.php?fuseaction=Blog.dspBlogPost&postID=2161

[1] The FasTracks story is an informative case study in itself. For more information see ISC's case study on the project here: http://www.iscvt.org/resources/documents/denver_fastracks.pdf

[2] Denver COG, http://www.drcog.org/documents/HH_Pop_Forecasts_2035.pdf.

Demand for housing within a half-mile of light rail stations is expected to grow from 45,000 households to 155,000 households in 2030. Some forty percent of the increased demand is projected to come from low-income households. Without additional affordable housing near the new transit infrastructure, new residents would likely be forced to spend more money on their rents and commutes. It's estimated that low- and moderate-income households in the Denver metropolitan region already spend nearly 60% of their income on housing and transportation.

After two and a half years of discussion on how to finance the creation and preservation of affordable housing along FasTracks, a unique public-private partnership was created in 2009. The City of Denver, the Urban Land Conservancy and Enterprise Community Partners created a TOD Fund. The non-governmental members of this partnership brought critical skills: ULC brought strong real estate expertise, and Enterprise Community Partners brought financing and affordable housing expertise. The City's involvement in the Fund was an outgrowth of its efforts to leverage the benefits of the FasTracks investment. Those efforts involved planning, programming of capital improvements, public engagement, and solicitation of grants to address related needs, such as housing stabilization, sidewalk repair, and street improvements. The City's Office of Strategic Partnerships provided $1.5 million from the local utility's public benefit funds for energy efficiency, and the city's Office of Economic Development committed $500,000 from its general funds. Additional start-up resources from Enterprise ($4M) and ULC ($1.5M) helped garner an additional $2.25M—$2 million in program-related investments (PRIs) and $250,000 as a grant—from the John D. and Catherine T. MacArthur Foundation.

From there, the partnership set out to attract more investors. Banks, local foundations, and the Colorado Housing and Finance Authority (CHFA) soon joined the partners. Today the fund has $15M for acquiring, developing and preserving affordable housing within a half mile of transit stations or a quarter mile of high frequency, high travel bus routes.[3]

Goals of the Fund. The Fund will ensure that over 1,200 low- and moderate-income households benefit from not only affordable housing but also from low-cost transit access to employment centers. By developing more housing along transit routes and at stations, the TOD Fund will also assist in increasing transit ridership, reducing congestion and minimizing the environmental impacts of sprawl. The partners aim to grow the fund to $25 million over the next two years. The Fund will operate for ten years; at the end of that period, it is projected that the Fund resources will have revolved twice and that the initial investment will leverage an additional $150M in development along the transit corridor and help create up to 2,200 jobs.

TOD Fund Waterfall

Position	Organization	Amount/ Rate
Equity	Urban Land Conservancy	$1.5 million /0%
First Loss	City of Denver	$2.5 million/0%
Second Loss	Enterprise Community Partners	$1 million/ 2%
Third Loss	Mac Arthur Foundation	$2 million/ PRI 2%
Third Loss	CHFA	$2 million/ 2%
Third Loss	Rose Community Foundation	$500,000/ 2%
Senior Debt	Enterprise Community Loan Fund (with Wells Fargo and US Bank)	$6 million / 5%
Senior Debt	Mile High Community Loan Fund	$500,000/ 4%
TOTAL		**$ 15 Million/ 3.5%**

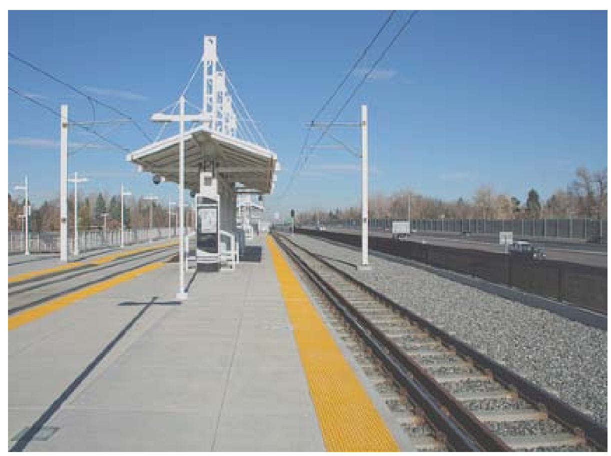
[3] The partners arrived at a $15M target for the fund by taking into account, among other factors, the amount of federal Low Income Housing Tax Credits the city of Denver could expect over the next ten years based on allocations in previous years; the development costs associated with the estimated tax credits; and the costs to the Partnership from the anticipated projects.

Operating the Fund. Enterprise is the fund manager and is responsible for assembling loan capital. ULC, which contributed $1.5 million, is the sole borrower of the high-risk but low-cost funds to acquire, manage, preserve and dispose of properties. ULC has guaranteed that a minimum of $6 million will be returned to lenders. The average return on investment is estimated to be 3.5% and ranges from zero to 5% to individual investors. The City of Denver is the first loss investor, with Enterprise Community Partners the second loss investor, followed by CHFA and foundations with third loss and the financial institutions with senior debt.

The fund will offer short-term money, not permanent financing. Properties acquired with the fund may be held for three to five years while resources are assembled to finance the rehabilitation, preservation or development of affordable housing. Acquiring now enables ULC to afford properties before their values escalate further, as the benefit of proximate transit becomes more apparent to the market. This form of land banking is one approach ULC uses to increase affordability. However, only 25% of the fund may be used for land banking because of the high risk involved in acquiring undeveloped land, and the attendant uncertainties in being able to attract appropriate projects and financing. Another approach is a 99-year land lease to the developer with the provision that affordability be guaranteed for the period which ULC holds the land. Once developers take over the projects, they most likely will use federal Low Income Housing Tax Credits in order to maintain affordability beyond the initial period. Maintenance of affordability is critical as 15% of Fund resources will be allocated to very low income households (30% of Annual Median Income or less).

The grant portion of the MacArthur monies was used to create an "early warning system," which helps partners track any affordable housing that is in jeopardy of losing its status, as well as any market-rate housing that is at risk of becoming unaffordable.[4]

Progress to date. The Fund became operational early in 2010 and is already being used in connection with three properties. Dahlia Apartments consists of 36 units along a high frequency, high travel bus line. The units are being held while a permanent owner can assemble resources, take over the property, complete rehabilitation work and possibly add new units. ULC also purchased 1.2 acres of vacant land at Yale Circle contiguous to a rail station on the Southeast Corridor line. Mercy Housing, the nonprofit developer of that project, is in the process of assembling financing for construction. A third project, not yet acquired, would provide 70 affordable units in a mixed use development along a high frequency bus line and two blocks from a rail station opening in 2013.



Yale Circle light rail station, where the TOD Fund has invested in a currently vacant 1.2 acre parcel, at a cost of $25/ft^2 ($1.45 million) and total development costs of $11.5 million. Image credit: http://www.cltnetwork.org/index.php?fuseaction=Blog.dspBlogPost&postID=2161

[4] A case study by Enterprise, the National Housing Trust, and Reconnecting America, describes: "Denver's housing preservation ordinance requires owners of HUD-assisted proper-ties to notify the city at least one year before opting out of their contracts. With MacArthur Foundation support, the city is developing an early-warning system that includes mandated opt-out notices and inventories of subsidized housing and unassisted housing with transit access."

FOOD FOR THOUGHT

New ways of working together creates momentum for more collaboration. Denver's partnership with Enterprise Community Partners, nonprofit organizations, foundations and lending institutions on the TOD Fund took years to cultivate. Over the next ten years, the partners will "have an opportunity to institutionalize these arrangements and get agencies and other partners used to working with one another," according to Melinda Pollack of Enterprise. The potential for other similar associations is strong. The city is now considering taking a similar approach to economic development. Fund partners, however, emphasize that it takes time, patience and persistence to develop these relationships. As Dace West at the Denver Office of Strategic Partnerships put it, "It's not about coming together in a superficial way or just for one grant. You need to think deeply together and engage deeply, in order to actually enable decisionmaking and allow your group to go through conflict."

New funding sources can lead to shifts in financing strategies in the region. Enterprise Community Partners introduced the partners to new investment approaches that will serve as models for future projects. One funding source that Enterprise promoted was Program Related Investments, investments of funds made by foundations to support their charitable purposes, usually with below market rate returns. PRIs have been used by major national foundations for some time, but have not been used much by smaller, local foundations. Enterprise successfully made the case about the unique impact of PRIs to the CFOs of the local foundations,[5] since "program officers don't have the capacity or ability to make PRIs without full support of the CFO to bring along the board and leadership," said Pollack. Now that the local foundations in Denver are familiar with PRIs they may be willing to try them again for other purposes related to their charitable missions.[6]

Enterprise also had to convince banks to participate. Banks normally hold debt for land acquisition for only two to three years; the TOD fund projects would need financing for three to five. Enterprise demonstrated how the fund was aligned with the banks' mission for community reinvestment and how the banks' share of the fund would be secured through a guaranteed 5% return. As a result two banks agreed to become partners. They, too, may be open to such unconventional arrangements in the future. In general to invest this kind of patient capital, explained Pollack, "it's really important to talk about economics to engage people outside the land trust community."

Several other financing sources were tried but have not yet been secured. The partners, with the support of the City, are working to persuade communities and counties that are benefiting from FasTracks to support the Fund. The partners have also tried to convince the Denver Metropolitan Planning Organization to contribute to the TOD Fund. The partners hope that the MPO will follow the example of its counterparts in other parts of the country (see box) and join the partnership.

BAY AREA MODEL FOR MPO PARTICIPATION IN TOD FUNDS

In the San Francisco Bay Area, nonprofits, foundations, and governmental organizations have built trust over ten years with the Metropolitan Transportation Commission—the region's MPO—on land use and transportation issues. MTC credits this painstaking groundwork for their ready commitment of $10 million to the Bay Area TOD Fund, spearheaded by the Great Communities Collaborative (see related case study elsewhere in the Resource Guide).

[5] Download Enterprise's talking points on PRIs for TOD Funds here: http://www.cltnetwork.org/userfiles/file/Enterprise%20-%20PRI%20talking%20points%207_7_08.pdf

[6] Enterprise cautions that smaller communities may have difficulty obtaining PRIs from local foundations due to the size of their assets and limited staff capacity.

Preserving affordability. The TOD Fund offers a model for preserving affordability in housing where major transit investments have been made. The Fund enables ULC to act quickly to acquire property, hold the property while developers assemble financing and insure long-term affordability through a ground lease. While this approach is typical for community land trusts, what makes it unique in this context is its link to transit and the opportunity to apply it to other transit projects in the Denver area and elsewhere. There is now talk of setting up a region-wide community land trust that would also secure long-term affordability in housing in adjoining counties.

Recent actions in the Regional Transit District where the FasTracks lines are being built, promise to expand the use of this model. The management of RTD obtained legislative authority to enter into agreements with for-profit and nonprofit developers to promote affordable housing on land that it owns. In addition, RTD, after significant community outreach by the City of Denver, the TOD Fund partners and others, has agreed to prioritize affordable housing in joint development projects. Solicitation materials (RFQ/RFPs) must include affordable housing goals, which are to be determined in conjunction with the local jurisdiction. Joint development agreements must demonstrate how those affordable housing goals will be met. Although affordable housing is not mandated by RTD, these changes will provide more opportunities for affordable housing and transit to be linked in the Denver region.

Taking a regional approach. The partnership aims to grow the TOD Fund to $25 million over time primarily by adding new regional partners. The City of Denver is eager to attract the support of the surrounding areas because it cannot alone meet the need for affordable housing. The current $15M fund is expected to create some 1,200 units within city limits, which accounts for only 5% of the metropolitan region's needs.

Still, there are many issues to resolve in going regional. Can Denver's funds be used outside the region? Will additional foundations come to the table? Is there the staff capacity to raise additional money? In addition, the fund will need to be underwritten again. In spite of these hurdles, partners are committed to regionalizing the Fund for its many benefits.

Institutionalizing support for affordable housing requires considerable up-front planning and public engagement. Led by the Denver Community Planning and Development Department, city agencies and other key partners—including RTD, the Denver Housing Authority and the Chamber of Commerce—came together to develop a TOD Strategic Plan. Planning efforts yielded a form-based code for many of the station areas in the city. Coupled with Denver's inclusionary zoning provisions and public infrastructure investments, the code increased the opportunities to undertake affordable housing preservation and development. In spite of the extensive planning, there still were no specific goals for affordable housing for each of the station areas. Now, station area planning is underway through RTD. But in the interim the TOD Fund partners have to do considerable outreach to gain support for affordable housing and TOD.

Although the City of Denver has devoted considerable resources and time to advancing affordable housing in TODs, other communities served by FasTracks still need to take action. RTD's new policies on affordable housing and its station area planning processes, now underway, should help to move these jurisdictions along to meet affordable housing needs in TOD developments.

Thank you to Melinda Pollack, Director of Vulnerable Populations, Enterprise Community Partners; Catherine Cox-Blair, Program Director, Reconnecting America; and Allison Brooks, Chief of Staff, Reconnecting America.

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Meridian, MS Union Station Multi-Modal Transportation Center

Meridian's Union Station serves as a one-stop for rail, bus and other forms of transportation in eastern Mississippi's rural border region with Alabama. Meridian revitalized its transit station to spur economic activity and growth and to provide access to opportunity for the area's low-income and disadvantaged populations. Fourteen years later, it continues to be a catalyst for the area's economy. As a hub of commercial activity, the station provides Meridian's young adults a reason to return to the area after college graduation, boosting the region's long-term viability. Through collaboration, public-private financing, and community engagement, Meridian has delivered on a vision to reconnect the city to its past and link the city and regions' residents to a better future.

Image credit: www.city-data.com/picfilesv/picv10392.php

THE INITIATIVE

Meridian, Mississippi capitalized on its railroad heritage to develop the deteriorated rail station into a Multi-Modal Transportation Center (MMTC) for an 11-county rural area in eastern Mississippi and western Alabama. Under the leadership of then-Mayor John Robert Smith, Union Station was envisioned to be more than just a transit hub. The station would serve as a catalyst for the redevelopment of downtown. The City's $1M investment in the Union Station project turned into a $135M public-private investment in historic downtown, sparking growth and opportunity for the city and its residents and making Meridian a model for smart growth in the nation's rural areas.

> *"Any city needs to understand its place within the state and the region historically, understand where it is today, and be able to tell an outsider what that city aspires to be in 10 to 20 years."*
>
> **JOHN ROBERT SMITH**
> Former Mayor,
> Meridian, MS

Getting Started. Beginning in the 1850s, Meridian was introduced to the railroad and eventually grew to be the largest city in Mississippi at the turn of the 20th Century. Union Station, with five major rails lines running daily, was the architectural icon of the city. But by mid-century, when the car was increasingly replacing the railroad as the primary mode of transportation, Meridian became more isolated. The city lost many of the jobs associated with the railroad and more and more of Meridian natives pursued careers and economic advancement outside of their hometown. Young people tended to move away after college graduation. In the 1990s, the downtown had become neglected and run-down.

"We're seeing rural areas of this country depopulated because the younger generation feels cut-off from their region. They're voting with their feet and moving elsewhere, and we certainly didn't want that for Meridian," said former Mayor John Robert Smith.

The City of Meridian recognized that it needed to revitalize downtown and to bring back a critical mass of people, as well as connect its residents to the larger region. That led the City Council to reach out to Gilbert Carmichael, Federal Railroad Administrator under President George H.W. Bush and a Meridian native. As a result, the FRA provided a $35,000 grant to help Meridian undertake a feasibility study for a small town Multi-Modal Transportation Center. The feasibility study identified the site of the Amtrak station on Front Street as a potential new MMTC station.[1]

The Amtrak station occupied the east wing of the once thriving Union Station, which used to be comprised of both an east and west wing and a long-since demolished tower. In 1993, following the feasibility study and under the leadership of the newly elected Mayor John Robert Smith,[2] Meridian formed a vision and a plan for the Union Station MMTC project. "I believe if you want to succeed you need to play to your strengths, as an individual or as a city. We had always wanted to be someone else; we wanted to be Jackson, Gulfport and Biloxi, but we couldn't be those cities. We had lost the understanding of what our strengths were. So it was back to transportation," said Smith.

Funding. In the midst of Meridian's planning process, the Intermodal Surface Transportation Efficiency Act (ISTEA) was drafted. "Sections sounded like they were talking directly to Meridian's project," Smith said. Suddenly there was federal money under ISTEA for which the city could compete in order to make Meridian's plans a reality.

Union Station was awarded $5.1 million in federal and state grants from the Mississippi Department of Transportation, which included the first ISTEA grant awarded by the state for a historic reconstruction project. The City raised $1.3 million for the project through Certificates of Participation (COPs), a state-authorized funding mechanism that allows the city to lease the facility from a nonprofit corporation that, in turn, sells shares of the lease to financial institutions.[3] COPs were particularly attractive because they could be authorized by the City Council and did not affect the city's bonded indebtedness. Amtrak also donated $430,000 for the project, which it hoped would serve as a model for other small cities along Amtrak routes. The project's price tag totaled $6.5 million.

The station officially opened in December 1997. It now serves as the central point among passenger transportation, including the Meridian Transit System, Amtrak, Norfolk Southern rail corridor, Greyhound, Trailways and other transit service providers.

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[1] The feasibility study was overseen by a Study Committee, made up of community leaders, property owners, government officials and citizens, participated in design charrettes facilitated by the consulting engineering firm. The Committee collectively decided to pursue a transit project that could serve as a model for small city inter-modal operations (for more information, see http://www.meridianms.org).

[2] John Robert Smith was a City Councilman for Meridian from 1989-1992 and Mayor from 1993-2009. His leadership on the MMTC stemmed from his interest in the history of transit and the way it transformed America; it led him to become a proponent of multi-modal transit options as a way to achieve economic revival (from interview notes with John Robert Smith on 2 November 2010).

[3] See "Guidelines for Leases and Certificates of Participation," California Debt Advisory Commission (State of California, November 1993), p. 4, http://www.treasurer.ca.gov/cdiac/reports/Guidelines93-8.pdf, for a model of the lease structure.

The annual Soulé Live Steam Festival in Meridian held two blocks away from Union Station at the Mississippi Industrial Heritage Museum (founded in 2002). The 2009 festival drew a record crowd of several thousand visitors from 15 states. Image credit: http://www.glimpsesofmeridian.com

Where it is today. Meridian worked hard to recapture the best elements of the iconic Union Station in its new landmark. Today, the station is the most heavily used public space in the city. Over 300,000 people a year use the station in a city of only 40,000. Its public space and conference rooms host hundreds of public events each year. The station is also a popular site for weddings and receptions, birthday parties and celebrations, business meetings and press conferences. It also houses restaurants and gift shops, a tour bus company, a package shipping store, a trolley link to the central business district area, and shuttle services to the airport and the nearby Naval Air Station.

The Union Station Multi-Modal Transportation Center story is one of smart growth, climate-friendly transportation and historic preservation. But it is also a story of economic revitalization, as the station has catalyzed an additional $135M in public-private sector investment around the facility and within 3-4 blocks of downtown. The area now showcases a restored performing arts center, new shops, restaurants, boutiques, condominiums, market-rate apartments, commercial improvements to existing historic structures and new structures that are sensitive to the city's historic feel, and entertainment facilities, such as the revitalized 1890 Grand Opera House. "It's really become a place you want to be, and a place you want to be after 5 o'clock," said John Robert Smith.

Meridian also received a Hope VI Revitalization Grant in 2003.[4] The Hope VI project, located on the edge of downtown, is connected by Meridian transit to Union Station and the rest of the city. The project restored neighborhoods in a historic part of Meridian and created over 200 mixed-income housing units by rebuilding duplexes, triplexes and rent-to-own properties, which all blend in with surrounding historic properties. Now, it makes up one of the most walkable and livable parts of the city's residential downtown area.

[4] For more information on HUD Hope VI projects, including those currently available, see http://www.hud.gov/offices/pih/programs/ph/hope6/about/index.cfm#3.

From the outset, the plans for Hope VI kept it in line with Meridian's historic architecture and connected it to healthcare, commercial centers, and educational opportunities at Meridian Community College and Mississippi State University campuses. With a little over $17M in federal funding and by leveraging $35M in city and county infrastructure improvements, the project has transformed how people who live there see their engagement in the community, partly because of the transit options now available to them through the MMTC project.

Midtowne Apartments, affordable housing located four blocks from Union Station. A two-bedroom, 2.5 bath unit rents for $800. Image credit: http://www.meridianapartmenthome.com/Mississippi/Meridian/apartment/12.html

A major change over the past 14 years as a result of the MMTC project is that private investors can now see for themselves what they are investing in. According to Smith, investors comment on the station, the people, and the surrounding energy. "There's the perception that [we're] a can-do city that cares about its future and is willing to invest in it," he said. Property values have quadrupled in the downtown and a perception of safety has materialized from the investment in downtown, "none of which happens by accident." So, Smith's recommendation to other small cities is, "spend the extra money to make a statement in your downtowns that will last generations."

FOOD FOR THOUGHT

Develop a sense of place. According to John Robert Smith, "Cities face the same issues, large or small. We face them in a different order of magnitude and a different magnitude of resources, but we address very similar issues, honestly, whether it's New York or Los Angeles, or Meridian, MS." Cities, especially those on high speed routes or corridors, must offer transit connections once a person gets off the train. Smith advises such cities to ask themselves, "How is this person connected to the rest of my community?" and "What does our station say about our community when they arrive?" If it says, "I don't care about you" and "I don't care about this part of town," then that's what visitors will feel; if they are disconnected with the options in the community, then they will spend less money there. "So it is incumbent on the local community to get the station right and to make sure transit connections are provided," says Smith.

Image credit: Wikimedia Commons

Build momentum through constant communication and relationship building. The concept and vision for Union Station was created in 1991, when very few people in the country—especially in the South—were talking about livability, sustainability, and multi-modalism. In Meridian, the Mayor had to overcome political and public opposition to the project,[5] including several close City Council votes on the project. In one instance, the deciding vote in favor of funding the project through COPs came after the Mayor had a councilman to his office for a prayer session. The key councilman ultimately changed his vote in favor of the COPs, and the Mayor received the necessary three out of five votes to proceed with the project.

The Mayor also built support of the project through extensive outreach. "I spoke at every possible service club, garden club and community meeting I could," he said, "to speak to what I thought it would do for the downtown and the quality of life." He put a great deal of effort into telling the story, crafting the vision and offering renderings of the projects to gain support. Essentially, he had to get the message right, explain what a multi-modal center was and why Meridian should undertake the project, especially in the neglected downtown. Public support grew, but it took time. "First, they have to give you the chance to succeed. And it's made other projects easier [such as the renovated Opera House, performing arts center, and the Hope VI project]…Each success builds on the other. It's also important for cities to remember that these are not one-term projects. Cities must be willing to begin a project the current administration may not finish. But it's the right thing to do, and it takes perseverance."

Collaborate along your transit corridor. Collaboration played a big role in the success of Union Station. Not only were local leaders and citizens key to the success of such a project, but collaborative partners emerged along the transit corridor. Midway through the project's development, Amtrak decided to cut service from seven to three days a week. Mayor Smith organized his counterparts in New Orleans and Atlanta, who joined him in pushing to reverse Amtrak's decision with the help of their respective Congressional delegations.

Mayor Smith approached Trent Lott, then a Mississippi Senator, who called Tom Downes, then President of Amtrak, to find a way to reinstate the daily service along the corridor. Ever since, there has been a connection among the Mayors along that transit corridor because they share a similar need for train service passing through their city centers. The connection has yielded cooperation on other station redevelopment projects: Smith worked closely with Mayor Dupree of Hattiesburg when that town redeveloped its station. Now New Orleans is rethinking the role of its station. That city is using its most recent TIGER (Transportation Investment Generating Economic Recovery) grant to connect a streetcar line to its passenger rail station. Thus, the cities along the corridor continue to learn from one another and discuss ways to attract people and the private sector to their downtowns.

***Understand the financing to articulate the message and attract support and investment*.** Mayor Smith committed himself to articulating the message and vision of the MMTC station to Meridian's citizens. But in order to build support, he had to start by understanding the money, and making the financing piece understood and accessible to everyone from the City Council, to the media, to the community. "You have to get out to the neighborhood meetings and garden clubs to explain the project, the financing, and articulate the vision," said Smith. "Then you have to gain support from your Department of Transportation and show your federal delegation the need, the impact, and why it should be done in your community, especially in a rural area." He added: "All of this is

[5] Community charrettes created a general vision for transit in Meridian in 1991. In the design process in 1993, a design team commissioned by the city held a series of town meetings and discussed design concerns with the Study Committee. As these efforts had not engaged or educated the public in a way that led to widespread support, the Mayor ended up needing to build public support for the project among people who had not participated in the visioning or design stages of the project.

messaging and a creation of hope and optimism about a project. But it's got to be based in the numbers. Ultimately it's about what it costs, and what the return on investment is."

Meridian used a set of financial instruments that allowed developers to provide a mix of housing types while preserving their profit margins:

- New Market Tax Credits, which allow developers to receive tax credits and sell them to the company that needs them, putting money in their pocket. Often this option can move a project forward when nothing else can.
- Historic Tax Credits were used in Meridian's downtown because of their historic structures.
- Tax Increment Financing (TIF) was used by Meridian to entice developers. (Some education was required of elected officials and the public before the City Council agreed to use the tool.)

Understand who is being served, and who could be. According to Smith, "It's really about understanding who is served by public transit. It's not just the person riding the bus who is served. If they're working at the hospital, then the hospital is served by public transit. If they're working at your home or your factory, then you are served by public transit…and that's overlooked, often."

A connected community is a prosperous community. As the regional commercial, medical, education and entertainment center for 350,000 people in the 11 county area, it was important that Union Station be connected to all of the transportation services in the city. Meridian has also worked to meet the needs of another area community: the Meridian Naval Air Station, 12 miles north of Meridian. The Chief of Naval Operations approached the city and explained that the base, although ideal in location for air space, wasn't tied into the community, leaving the service people feeling marooned. So Meridian connected the base to local transit. The resulting shuttle service brought bright young people from different parts of the country and the world to Meridian's downtown commercial and entertainment areas. John Robert Smith said, "It's good for them and it's good for us as well."

As a result of the Union Station project, people are now more connected than they've ever been. Some small communities in the surrounding area are using the transportation options to connect their residents to the job opportunities of downtown, and people are coming to Meridian in order to travel on Amtrak. Single parents with children use transit because it's the only affordable transportation option, and the elderly use it because it's the most comfortable way to move around. "In many ways it's listening to and sensing what the people need in their lives that they might not even realize or articulate," said Smith. "Once you've experienced in a real, tangible way the needs of your people and being able to be connected to the rest of the region and the country, it's not a matter of transportation welfare, it's a matter of connectivity."

Thanks to John Robert Smith, former Meridian Mayor and current President and CEO of Reconnecting America.

FOR MORE INFORMATION

City of Meridian's Union Station website, http://www.meridianms.org/transportunionstation

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Contact: Don Farrar, City of Meridian Community Development Coordinator, 601-485-1910.

CASE STUDY: MULTI-SECTOR COLLABORATION AND CONTINUOUS LEARNING

Minneapolis–Saint Paul Central Corridor Light Rail Line

Image credit: http://minnesota.publicradio.org

The Twin Cities' Central Corridor Light Rail Project—a core component of a broader and still-emerging regional story—features an unusually well-integrated approach to land use, transportation and economic development planning and action; extraordinary degrees of collaboration (both within and across sectors of the community and among government agencies and jurisdictions); and diverse strategies aimed at ensuring inclusive decision-making and equitable outcomes. It also is a story of a range of stakeholders coming together at the metropolitan regional scale to become a "learning community"—one that takes action, assesses successes and mistakes, and is intentional about plowing those lessons learned into future phases of its work in search of continuously better development practices and patterns.

THE INITIATIVE

Overview. The Central Corridor Light Rail Line travels across an 11-mile transit corridor between the downtowns of St. Paul and Minneapolis. The corridor represents the anchor segment of an emerging regional transit system that comprises two other light rail lines, the existing Hiawatha LRT and the Southwest Corridor LRT that is in design; the North Star commuter rail; and the regional bus system, including the Cedar Avenue Bus Rapid Transit Line. At full buildout, the Central Corridor LRT will feature 18 new transit stations, connect five major job centers that provide 350,000 jobs, and serve 120,000 residents—23% of whom currently live below the poverty line. About half of the nearly $1 billion project will be funded by the Federal Government, with another 30% coming from a relatively unusual source: a regional transit fund created via a quarter-cent increase in the sales tax.[1]

Transit as economic development. In many ways, the Central Corridor project—and the broader regional transportation strategy of which it is a core element—are economic development initiatives under the guise of transit projects. Economic development is not a subplot or a sideshow of this work; it's the primary driver.

St. Paul Mayor Chris Coleman cited the Central Corridor Light Rail Line as a key priority in his inaugural address in 2006, dubbing it "a corridor of opportunity." "The whole reason for building a light rail system is to connect people to economic opportunity," said Caren Dewar, executive

[1] State legislation in 2007 authorized the seven counties in the Twin Cities region to opt in to the new tax; five decided to do so.

director of the Urban Land Institute's Minnesota branch. "You use this expensive public infrastructure to attract private investment and attract jobs. That's what it's all about."

"We've really shifted our thinking as a region," added Katie Hatt, chief policy aide to Hennepin County Commissioner Peter McLaughlin, a long-time advocate of the light rail system, and chair of the Hennepin County Regional Railroad Authority. "Where once we saw just a transit system, now we see a web of issues, needs, and opportunities."

The Itasca Group, a self-organized alliance of more than 40 mostly private sector CEOs in the region, has been a driving force behind this shift. The group came together in 2004 largely because of rising concerns about the Twin Cities region's future economic competitiveness. Itasca helped lead the effort to pass the state legislation that allowed jurisdictions within the region to increase their local sales tax to fund transit improvements.[2]

> *"The whole reason for building a light rail system is to connect people to economic opportunity. "You use this very expensive public infrastructure to attract private investment and attract jobs. That's what it's all about."*
>
> **- CAREN DEWAR**
> Executive Director
> Urban Land Institute - Minnesota

The specific economic development goals integrated into the project include linking people, especially those from lower-income neighborhoods, to major job centers. The project also seeks to lower the employment barriers that these people face, notably high commuting costs and a lack of affordable housing in the immediate proximity of those job centers. "We're being very intentional about connecting communities to jobs via transit," said Eric Muschler, a program officer at the McKnight Foundation, which has been a major player in the project. "These new transit projects will carry people from some of the poorest neighborhoods in our region to the 'Golden Triangle,' where most of our new jobs are being created, but where there is very little affordable housing. We're creating a way for low-income people to leapfrog those employment barriers."

Next steps include the Central Corridor Economic/Workforce Development Project, which will entail a detailed economic and workforce development strategy that will better align job skills needs assessment and training with existing and emerging industries and small businesses all along the corridor.

But despite the considerable progress in recognizing economic development opportunities and integrating economic development goals and strategies into the Central Corridor project—and the broader regional transportation program of which it is a part—there is no systematic regional structure or approach to developing and implementing economic development strategy at the regional scale in the Twin Cities. The Metropolitan Council (the MPO that does regional land use and transportation planning and also is the major transit service provider in the region) does not focus on regional economic development planning and is not interested in doing so. "We see economic development as local governments' role," said Karen Lyons, a senior planner with the Met Council. "We don't want to get into that, and we don't think it's necessarily an appropriate or effective role for us to play."

[2] Itasca is currently working to create a regional public-private economic development entity in the Twin Cities, after "realizing that we were one of the only big cities without one," said Kathy Schmidlkofer of General Mills and Itasca. More about this strategy can be found here: http://www.gwdc.org/committees/Full_Council/PDFs/ItascaProject._11_18_10_GWDC.pdf

"A lot of people have a hard time figuring out how governments and markets ought to work together; many think they can't or shouldn't," said Nancy Homans of Mayor Coleman's office. "So it's a difficult dance for all levels of government, and it has been for a long time."

Clusters of collaboration. The Twin Cities region has achieved extraordinarily high degrees of collaboration on many levels, including within and across major community sectors, and across local and regional governments.

The Twin Cities mayors have led the way. When Minneapolis Mayor R.T. Rybak invited St. Paul Mayor Coleman to lunch shortly after Coleman's election in 2005, it was a major media event, which marked the end of an era of intense competition between the two cities. As Mayor Coleman put it in his second inaugural address earlier this year: "Putting behind us the inter-city competition that had consumed so much civic energy, we set our sights squarely to the future and the task of building the foundation for a new prosperity and a new vitality."

In a similar spirit, efforts to pool resources, ideas and influence are reducing their own intra- and inter-sector fragmentation in the region. The Central Corridor Funders' Collaborative (see inset box) is one excellent example. Other examples include the Itasca Group, a mechanism for convening the private sector, and the Regional Council of Mayors, a coordinating body for more than 40 of the region's mayors. The RCM has created advisory committees to address the issues of housing, environment, transportation and jobs. That a mayor and a private sector leader co-chair each of the committees signals the extraordinary inter-jurisdictional collaboration that exists in the Twin Cities region.

Analogous efforts abound in the nonprofit/social equity community, including collaboration among groups historically focused either only on specific places, such as a neighborhood, and those focused mostly on issues, such as affordable housing and transportation equity. For example, the Minneapolis-based Alliance for Metropolitan Stability is a coalition of more than 25 advocacy organizations working to advance racial, economic and environmental justice in

CENTRAL CORRIDOR FUNDERS COLLABORATIVE

The Central Corridor Funders Collaborative (CCFC) is "a group of local and national funders working with others to unlock the transformative potential" of the Central Corridor project by "encouraging thinking, planning and investment 'beyond the rail.'"

Initiated by the St. Paul Foundation and the McKnight Foundation and formally launched in 2009, the Collaborative goes well beyond pooling and spending some of the resources of its 12 members: it articulates and advances a vision for the Central Corridor as "a place of opportunity for all, where residents and businesses thrive."

Said Executive Director Jonathan Sage-Martinson: "We see our role as holding up that big picture, and continuously reminding people of that."

Launched in 2009, the Collaborative was initiated by two philanthropies—the St. Paul Foundation and the McKnight Foundation—but now has 12 members.

The CCFC's key initiatives include promoting, leading and/or funding the development and implementation of a number of cross-sector, cross-jurisdiction, corridor-wide strategies in four key areas: ensuring access to affordable housing; building a strong local economy; creating vibrant, transit-oriented places; and promoting effective communication and collaboration.

In addition, the Collaborative raises and manages a Catalyst Fund, intended to pool and deploy philanthropic funding to better-leverage public and private sector investments. The Collaborative has raised about a quarter of the envisioned $20 million in this10-year fund. Key projects funded so far include the Central Corridor TOD Investment Framework, the Central Corridor Affordable Housing Partnership and the Central Corridor Business Resources Collaborative.

Nieeta Presley and Joan Vanhala of the Stops for Us! Coalition.
Image credit: http://aurora.newsletterpartnership.net/?p=274

growth and development patterns in the Twin Cities region. The District Councils Collaborative reflects an alliance of nine district councils in St. Paul working to facilitate neighborhood participation in Central Corridor LRT development. These two groups joined with other groups to form the influential "Stops for Us!" coalition. The overarching coalition agreed on a single, high-priority goal of adding three "missing stations" to the Central Corridor LRT, so that the project could better serve some of the lowest-income neighborhoods along the corridor. Together they crafted a strategy, stuck to it, and won.[3]

Part of the motivation for these and other efforts is that, in the Twin Cities, collaboration is seen not just as "the right thing to do," but also as a much-needed cost cutting measure during difficult economic conditions. "Collaboration—sustaining relationships and connecting the dots—doesn't *cost* a lot of money but it does *save* a lot of money," said Caren Dewar of ULI-MN. "It allows us to integrate our efforts, pool resources and reduce costs."

Collaboration across the public and private sectors remains a work in progress. "I'm often the only private sector person in the room," said Michael Lander, a Minneapolis-based developer, who is doing work at two of the new Central Corridor LRT stations. "They (public and nonprofit sector stakeholders) should be coming to *me*. Otherwise, it's going to continue to be tough sledding if it's that hard for private sector folks to get engaged." He added: "We all should recognize that we *need* private sector involvement and investment to get this stuff done. It's not optional."

Some of the distance that remains between the public and private sectors on these issues may have to do with what Lander called a fundamental distrust. "We need to move beyond 'left' and 'right' and 'public' and 'private' to a new model of social entrepreneurship in which we're all coming together, with accountability and discipline, to solve our social problems. It's a different paradigm."

Delivering equitable process and product. A number of activities are underway as part of the Central Corridor project that are intended to foster inclusive planning and decision-making processes that result in the equitable distribution of benefits and costs. Spurred in part by past mistakes and the legacy of distrust that they created—notably the decimation of the African-American Rondo neighborhood during the construction of Interstate 94—the Minneapolis-St. Paul leaders are taking social equity seriously, with many stakeholders taking action on many levels. Specific examples include:

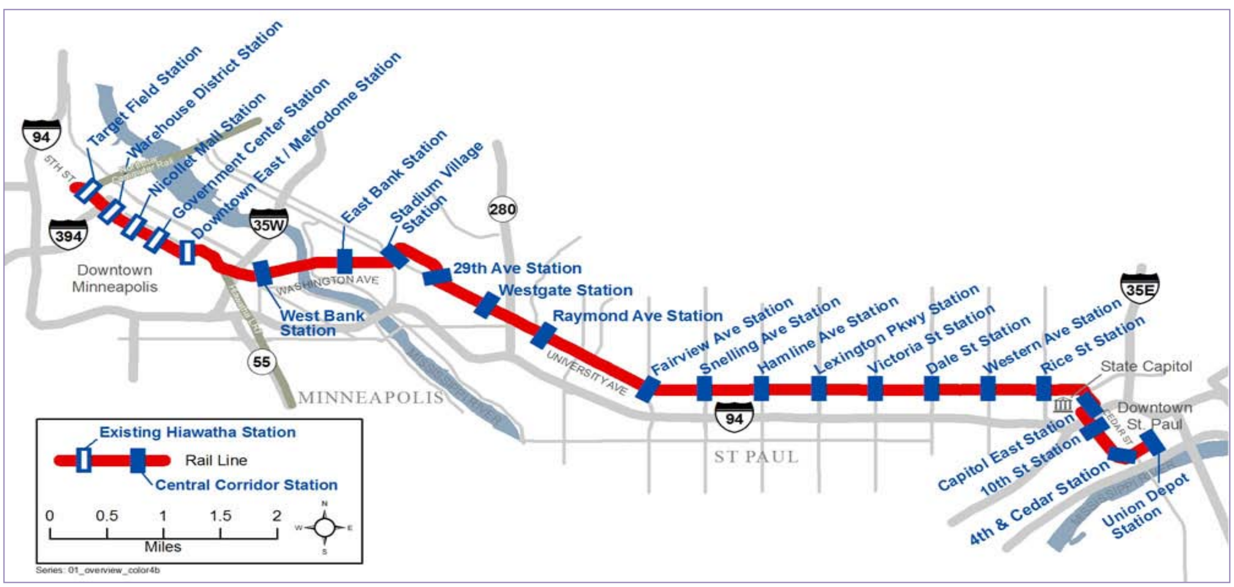
- A decision, early in the project, to establish so-called "low-impact areas" in some neighborhoods within the corridor that had been especially adversely affected by the displacement and gentrification resulting from previous public transit projects;

[3] See: http://dcc-stpaul-mpls.org/special-projects/stops-4-us

- A major effort by a range of public, nonprofit and philanthropic stakeholders to add three stations to the Central Corridor LRT to keep it from, in Nancy Homan's words, "whizzing through some of the lowest-income neighborhoods in the corridor";
- Goals for filling jobs associated with the construction of the Central Corridor LRT with local, low-income residents;
- The newly formed Business Resource Collaborative designed to help small businesses in the corridor, a high percentage of which are owned and operated by low-income and/or minority residents, "prepare, survive and thrive" before, during and after the construction of the project; and
- Goals for ensuring a percentage of affordable housing as part of new development around transit stations.

"It's been a lot of little steps," said Nancy Homans of St. Paul Mayor Chris Coleman's office. "There is no silver bullet with 'equity' written on it. But I think people can see a pattern of decisions and investments that support equitable development in our region."

All involved acknowledge that more needs to be done to deliver equitable processes and products in the Twin Cities region, and part of the recently received Sustainable Communities Regional Planning Grant from the U.S. Department of Housing and Urban Development will be dedicated to this cause. The main limiting factor at this juncture is not a lack of awareness or will, but a need for new, breakthrough ideas. "I think we've done what we can so far," said Karen Lyons of the Met Council. "We need specific ideas of what more we can and should do."



FOOD FOR THOUGHT

Using transit corridors as vehicles for integrated action. The Twin Cities is aggressively—and successfully—using the Central Corridor as a platform for more coordinated action and investment on everything from affordable housing to energy efficiency to green infrastructure. The Central Corridor Funders' Collaborative is a key player here, facilitating and helping to fund a number of corridor-wide strategies, including the Central Corridor Transit-Oriented Development (TOD) Investment Framework, an effort to assess the investment needs and opportunities throughout the corridor, and to better facilitate, align and sequence public, philanthropic and private efforts to meet those needs and opportunities.

There is also the emerging Energy Innovation Corridor, an effort by a variety of leading public, private and nonprofit organizations whose goal is to "advance critical local, state, regional and federal efforts to invest in alternative and renewable energy, address global climate change and create new jobs" along the Central Corridor LRT. Similarly, a Central Corridor Affordable Housing Partnership, consisting of a range of housing-oriented community groups, stakeholder groups and individuals, has assembled under the auspices of the Housing Preservation Project to develop and pursue strategies to promote affordable housing along the Central Corridor.

'Placemaking' vs. 'Station Area Planning'. The number one lesson learned (from the Hiawatha Light Rail Line experience) was that just because you build a rail station doesn't automatically mean that you've created a good place," said Caren Dewar of ULI-Minnesota. "Placemaking is a separate exercise altogether. It's very important to give equal status to placemaking. That's essential. You've got to put the planners and the engineers on the same footing and in the same room right from the beginning, and working hand-in-hand throughout the process."

Funders as catalysts, and keepers, of the big-picture vision. Private foundations in the Twin Cities region have taken an especially strong leadership role, not only in helping to finance various aspects of the Central Corridor project, but more importantly in helping to forge, articulate and rally the region around a vision of equitable, environmentally sustainable development as a pathway to economic prosperity and resilience. "Our Catalyst Fund by itself is a pittance in the grand scheme of a $1 billion project," said the McKnight Foundation's Eric Muschler about the role of the Central Corridor Funders' Collaborative. "I see us in more of a stewarding role, laying out the bigger-picture vision, setting expectations and helping to align and leverage everyone's resources…We have the blessing of not being voted in or out," Muschler said.

Similarly, several actors in the region credit the HUD Sustainable Communities Regional Planning Grant and the Living Cities Integration Initiative[4] opportunities for changing their thinking. They say that as significant pools of money, these programs encouraged them to think more deeply about social equity, and how to work together.

The local philanthropic community also has been active in helping to build the capacity and effectiveness of social equity organizations. As Muschler put it: "We encourage social equity organizations to develop both an 'inside' and an 'outside' game. It's not just about putting external pressure on the system; they also need to understand the challenges of implementation, and see a role for themselves in it."

Self-organization for a stronger voice. Yearning for more, and more effective, input into regional transportation and economic development initiatives, many groups have ventured beyond the formal community engagement structure put in place by the Metropolitan Council to create their own mechanisms for influencing the Central Corridor LRT and similar initiatives.

[4] http://newsletter.livingcities.org/story/?id=12

"A number of us were frustrated with what we perceived to be a lack of voice and influence on the Met Council's Community Advisory Committee, so we peeled off and organized ourselves," said Russ Adams, executive director of the Alliance for Metropolitan Stability. Without the self-organization of grassroots groups, the three "missing stops" on the Central Corridor would never have been included.

Other sectors, previously discussed, have also self-organized for better effect: the philanthropic community through the Central Corridor Funders Collaborative; the private sector via the Itasca Project; and mayors through the Regional Council of Mayors, now under the auspices of the Urban Land Institute's Minnesota branch. "We wanted to work outside of the Met Council structure, so we could be less tied to electoral cycles and shifting priorities," said Dewar of ULI-MN.

Creating a "learning community." In the Twin Cities region, individuals and groups have embraced the concept of adaptive management—being intentional about distilling out the lessons learned (positive, and not so positive) from on-the-ground experience, and integrating those lessons into future phases of the work. "With the Hiawatha LRT (the region's first rail corridor, which began service in 2004 and links downtown Minneapolis, the Minneapolis/St. Paul International Airport, and the Mall of America), we were very much behind the curve in terms of integrating our land use, transportation, housing, economic development and equity goals," said Katie Hatt of Commissioner McLaughlin's office. "With the Central Corridor project, we were just in time. With the Southwest Corridor [a third corridor currently in the design phase] we'll be ahead of the curve. We're getting better as we go."

Thanks to Russ Adams and Joan Vanhala, Alliance for Metropolitan; Caren Dewar, ULI-MN; Katie Hatt, Principal Aide to Hennepin County Commissioner Peter McLaughlin; Nancy Homans, Policy Director for St. Paul Mayor Chris Coleman; Michael Lander, Lander Group; Eric Muschler, McKnight Foundation; Karen Lyons, Metropolitan Council; and Jonathan Sage-Martinson, Central Corridor Funder's Collaborative.

FOR MORE INFORMATION

Metropolitan Council, http://www.metrocouncil.org/transportation/ccorridor/centralcorridor.asp

City of St. Paul, http://www.stpaul.gov/index.aspx?NID=85

Central Corridor Funders Collaborative, http://www.funderscollaborative.org

Alliance for Metropolitan Stability, http://www.metrostability.org

Itasca, http://www.theitascaproject.com

SACOG Sacramento Blueprint

The Sacramento Area Council of Governments adopted an integrated, nationally-recognized regional Blueprint in 2004—a guide for growth, transportation, and housing for the half century across six counties. The Blueprint has led to notable changes in land use, housing stock and type, and local government zoning codes. It has also provided the groundwork for other regional planning efforts. Stakeholders and staff credit the success of the Blueprint to a commitment to meaningful community engagement (the focus of this case study), the use of fine-grained data and impact modeling, and the ability to connect planning efforts to transportation funding.

THE INITIATIVE

Overview. Sacramento in 2000 was a sprawling, car-dependent region with contentious urban/suburban political tensions. The region's air quality ranked 11th worst in the country by the American Lung Association. The dominant housing model was large lot, single-family homes, and three housing units to an acre of land was considered high density. Beginning in 2001, the Sacramento Council of Governments (SACOG)—which also serves as the regional MPO—led an intensive, collaborative, data-driven process to turn things around. The effort resulted in the Sacramento Blueprint, a bold vision for growth management that promotes compact, mixed-use development and more climate-friendly transportation choices.

"Community engagement and quality data on the front end is the reason why we got traction on the back end. But there was a lot to it. Often, we make presentations on the Blueprint and the audience will say, 'We did community engagement. We used data and models, but it didn't work for us.' So, it's not as simple as saying those two things. It's like saying, 'those are both cars' – you really need to get under the hood to understand the difference between a good engagement effort, and a solid education program."

-MIKE MCKEEVER
Executive Director,
Sacramento Area Council of Governments

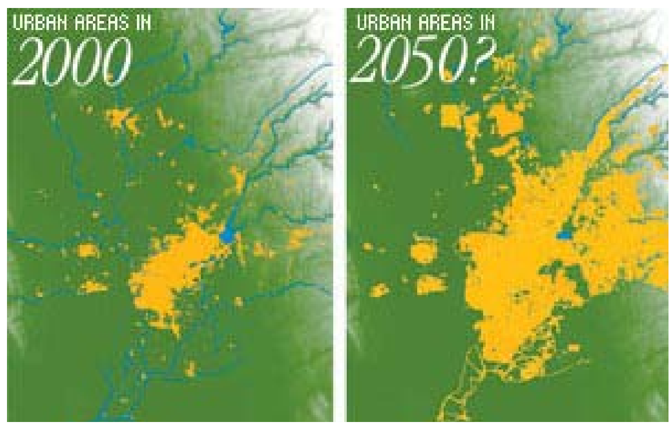
The Blueprint was the result of 38 neighborhood workshops, an Elected Official Summit, two regional forums, and more than 220 gatherings with traditionally underrepresented groups, involving over 5,000 people. The SACOG Board of Directors unanimously adopted the plan in December 2004. SACOG's Metropolitan Transportation Plan has now been updated to serve a future growth pattern that is substantially based on Blueprint principles, and which links transportation investments to the plan. Together, these two plans are projected to reduce the amount of driving per household by 8% compared to 2005 levels, which translates into a 12% reduction in greenhouse gas emissions per household. Though implementation of this long-range plan is still in its first decade, there are already some signs of progress: a dramatic shift in new housing stock to small-lot and multi-family; and the fastest growing market share for new housing is being built around the three major employment centers in the region.[1]

[1] See 'Blueprint Successes and Challenges Video' here: http://www.sacregionBlueprint.org/implementation/anniversary5/

Getting started. SACOG's first truly regional Metropolitan Transportation Plan, MTP 2025, was adopted in 2002. This was the first of SACOG's plans that was more than just a compilation of the individual transportation plans of its member jurisdictions. The plan instead sought to optimize the travel and emissions performance of the regional transportation system. Despite its many innovations, the MTP projected a worsening in congestion even with a buildout of $25 billion in planned transportation improvements. This finding sparked a shift in thinking among opinion leaders throughout the region that growth patterns, and not just lack transportation infrastructure, were part of the congestion problem. "It was this environment that led the SACOG Board to launch the technically challenging and politically risky regional land use scenario planning project that eventually came to be known as Blueprint," said current SACOG Executive Director Mike McKeever.

Empowering local planners. One of McKeever's first activities as the head of SACOG was to convene all of the land use planners in the organization's member jurisdictions (six counties and 22 cities), which created a forum for information about their assets, challenges, and concerns. For these planners, who were proponents of smart growth, but who lacked political support for it, the forum was the first opportunity to commiserate. "It was like leading the thirsty to water," said McKeever. "It revitalized them as advocates for good planning."

Phase 1: Developing powerful data. McKeever asked the planners two questions: 1) What will your general plan look like at full buildout; and 2) If the plan will be insufficient to handle all of your projected growth, where will you put people? When this information was subsequently compiled into one regional picture, the effect "was stunning," said Susan Frazier of Valley Vision, who ran the public engagement process for Blueprint. "The base case looked like a huge blob of urbanization [right] with no differentiation between the lovely towns. At the first public forum we held, we used an interactive 'clicker' audience engagement system, and we showed this visualization. We asked them, 'Do you like this?' and got back a resounding 'NO!' This gave us permission to move forward on the project."



The analysis that led to the Base Case Scenario, developed by SACOG and local planners, showed that the region's population would almost double, the number of homes would more than double, and that 661 sq. miles of vacant land would be urbanized—166 sq. miles of it agricultural land—as a result. Image credit: http://www.sacregionBlueprint.org/process/basecase

From the beginning of the project, SACOG was committed to developing a fine-grained vision for the region, not a general document that said where growth might go at a macro level. The danger of the latter approach was that, as McKeever put it, "once you move into implementation, local planners won't have figured out what the vision means for their comprehensive plans; developers don't know what housing products will be in demand in the market." In addition, they knew that implementing smart growth at a regional level required getting it right at the neighborhood level. Accordingly, SACOG built a database of detailed parcel level characteristics, including natural environment type, number of dwellings per acre, the number of employees commercial areas could handle, and number of parking spaces it could support. This database would provide critical, real-world, fine-grained information they required to model impacts.

Also as part of the Blueprint project, the Sacramento chapter of the Urban Land Institute and a regional builders association paid for a regional housing market preference survey. The results showed "a strong interest in higher density products, particularly when placed in a setting that reduced driving distances to jobs and services…[interest was] particularly strong among households 55 and older," which represent two-thirds of the projected regional demographic growth through 2050.[2]

Phase 2: Engaging people in the process. SACOG understood that it was important to build a regional vision by engaging communities at the neighborhood level "The risk is that people will sign onto a lofty [regional] goal, but then fight you in implementation from NIMBYism," explains McKeever.

Advisors to SACOG tried to argue that community members would figure out that it was "all about bringing density to their neighborhood" and essentially shut down the process. But staff believed that the community could be meaningfully engaged locally in helping solve the issues of the region.

SACOG, which lacked experience in public participation, sought the help of Valley Vision, an organization with a reputation for neutrality and expertise in community engagement. Valley Vision and SACOG knew that they would have to make their engagement activities different from the "zillions of community workshops." Their strategy was threefold: 1) take an 'Amway' approach to recruiting participants, 2) work with disadvantaged groups ahead of community workshops, and 3) create workshops that were personalized and interactive.

1) The 'Amway' approach to participant recruitment. Valley Vision began by imagining what an ideal group of participants might be, including every group of people whose input would be needed—everyone from the Hispanic community, to builders, to town officials, to unions. Valley Vision then targeted its outreach to influential members of each constituency. Those who responded became Valley Vision's initial region-wide recruitment partners, who, in turn, helped form local recruitment teams. This outreach network grew by word of mouth, while Valley Vision used an electronic RSVP system to identify stakeholders who were still missing from the engagement process.

2) Pre-work with disadvantaged groups. Valley Vision put in extra effort to engage with historically underrepresented groups in advance of the planning workshops. For example, to facilitate full engagement of blind community members, SACOG translated all materials into Braille and provided them in advance. SACOG also provided transportation to disabled people who wished to participate in the meetings.

Valley Vision reached out to the African American community by co-hosting a large gathering with the Black Chamber of Commerce. At that event, it became clear that jargon was a barrier to participation. "They'd say, 'I keep hearing that word, 'land use,' what does that mean?'" recalled Frazier of Valley Vision. So SACOG and Valley Vision sought to define the terms and to contextualize them by describing how land use affects social equity and quality of life.

The Hmong community, too, had been historically cut off from planning processes because of language and cultural barriers, and their common characterization as refugees. Valley Vision recruited translators and met them on their turf, the Hmong Cultural Center. They presented some

[2] McKeever, Mike (forthcoming, 2010). "Cutting Edge Integrated Land Use, Transportation and Air Quality Planning," in *Regional Planning Comes of Age: Excerpts on Regional Planning Best Practices.*

materials for 15 minutes, and spent the rest of the time in a robust discussion between those who felt the regional plan was important to them and those who didn't. Eventually, the group reached a point where "they started thinking of themselves as Americans with a voice they needed to exercise, and that they weren't just refugees. It was a poignant moment," said Frazier.

Valley Vision and their partners also worked to ensure that advocacy groups participated meaningfully in the process. The Irvine Foundation, one of the partners, funded specific capacity building tutorials for members of housing and low-income social justice groups, which were intended to help enhance their advocacy skills.

This work paid off as many new faces attended the workshops, people who the elected officials weren't used to seeing or hearing from.

3) Personalized, interactive, educational workshops. The community workshops themselves were unique. The goal was not to tell participants why smart growth was a good idea, but rather to engage them in shaping their neighborhoods by asking them to consider of growth projections and impacts.

The workshops were organized as a game. Participants were divided into groups of 5-7 people at a round table with a SACOG staffer on a laptop. The laptop held modeling software called I-PLACE3S[3], and the game was to create a plan for a recognized piece of land in that community that was 'in play' according to informal consensus, such as infill or lands adjacent to urbanized areas.

Community workshop in South Sacramento. Note the relative diversity in participants, large maps, stickers indicating different development types to aid participant revisions to the map, and the laptop at right which gives the participants the ability to get instant feedback on the impacts their suggestions have on metrics such as vehicle miles traveled, greenhouse gas emissions, and housing. Image credit: SACOG

Participants were first asked to create a plan that tested smart growth principles. They were then shown the impacts of their plans, using computer-generated indicators such as air quality, walkability, affordability, and public investment required. Participants could then modify their plans if they wished. When that plan was completed, people could create a second plan based just on what they wanted to see occur in their neighborhood, which was not necessarily guided by smart growth principles. Interestingly, nearly all tables liked their first plan enough that they saw no reason to create a second plan. Said McKeever, "I knew we were winning the battle when, at the workshop in one of our fastest growing recalcitrant suburbs, a major developer bragged in detail about a smart growth plan they'd created at their table. I saw that, and thought, 'we may be cresting this hill.'"

[3] More on I-PLAC3S, including tutorial, demo, and user's guide, can be found here: http://www.sacregionBlueprint.org/technology.

Phase 3: From neighborhood to region. After the neighborhood workshops, SACOG brought together county committees to work through scenario plans for growth through 2050. With the citizen input, housing market preference survey and long-range demographic forecasts in hand, they developed targets for housing stock types. They also reviewed current general plans and zoning codes and discussed what changes to them were possible in the next 50 years. This information helped each county committee develop three scenarios. These, in addition to the Base Case scenario, were then used in county-level workshops. Tables of varied participants, recruited from those who had attended the neighborhood-level workshops, reviewed maps and performance metrics, made modifications and again received feedback from the computer models about the impacts of their modifications.

This input then was used by SACOG and the county committees of planners to develop three regional scenarios which were used, along with the Base Case, in a day-long region-wide forum, run in an analogous fashion to the previous workshops. One key difference was that the facilitators at each table were recruited from local elected officials, senior local government staff, and staff from related state agencies, transit districts, and air districts. The training that they received, and their direct participation "was an important element in building their understanding and support for what became the final preferred scenario," according to McKeever.

Outcomes. At the SACOG Board meeting where the Blueprint was unanimously approved, an impressively broad cross-section of people attended in support, including the Building Industry Association and an environmental organization that had previously sued SACOG over an earlier Metropolitan Transportation Plan. This organization ended up giving SACOG and Valley Vision its Environmental Leadership Award in 2004.

Many local jurisdictions have now revised their own general plans or developed specific plans in accordance with the Blueprint. They are also working on updates to their zoning codes and fee structures to provide better conditions for mixed use and affordable housing developers.

FOOD FOR THOUGHT

How regional focus can help overcome parochialism. The workshops helped participants of all kinds—from low-income to more privileged communities—develop an understanding of the regional issues of congestion and housing demand, and shift them away from NIMBYism. "Instead of deliberating, 'Can we stand 30 units an acre?' the density and mixed-income discussion was humanized: neighbors talked about what the community *needed*, what their kids needed, and what they themselves needed," said McKeever. The image also worked with local officials." As the decisionmakers got used to looking at regional maps," says McKeever, "they stopped looking at turf boundaries. "

Quality public engagement doesn't have to be expensive. Valley Vision estimates that their total non-staffing costs (for three people) to run the engagement effort over one year came to $12,000. Much of the work relied on mobilizing, driving, and expanding informal networks; spending face-to-face time with key groups; relying on local sponsors to host and provide lunch to meeting participants (chambers of commerce were often willing; where there weren't hosts, participants were asked to pay $10 to cover lunch costs); and simply-produced fliers.

Politicians need political cover. This long-term effort to engage the community, and the education effort that allowed the region to come to a meaningful, resounding consensus, created the "political cover," (in Frazier's words) that the politicians needed to endorse the plan. The transformation in engagement was well-tracked in the regional press. Community papers reported on community workshops as clearly something more than a standard public hearing; two headlines from the period read: "Workshop to serve as residents' crystal ball," and "Neighbors…chart the region's future."

Real data makes a powerful community engagement tool. Before undertaking the Blueprint process, SACOG lacked the ability to show differential impacts of land use changes at the scale needed to demonstrate the benefits of transit-oriented development. "It was like fighting the game with both hands tied behind your back. You had no science to use as a selling point; all you had was your religion," said McKeever. The visual model that SACOG subsequently used in engaging communities helped planners make the case for better regional planning. "Believe it or not," McKeever said, "quality information starts getting people to change their minds. It gets you down to talk about facts, not about religion and ideology—when that information is from a grassroots and data-driven model. That's good old fashioned education, and democracy."

Similarly, SACOG used images to show residents what was possible through good design of density and mixed use (see right for example), versus what they thought density looked like. Using images of real

Image credit: http://www.sacog.org/cgi-bin/ImageFolio4/imageFolio.cgi?direct=Blueprint projects, local and national, and computer renderings of what existing areas could become over time, residents could see that density was not ugly but that it enhanced a sense of place.[4]

Informal long term infrastructure. Frazier notes that the convening of regional planners, which McKeever orchestrated for the first time, continues to this day, creating an infrastructure for continued collaboration that previously did not exist.

From the standpoint of the citizenry, McKeever explains that in the land use planning field, you can't rely on heavy-handed regulatory mechanisms, or citizens will backlash. But, "you win this battle on the ground through a democratic process, and you can't stop that," says McKeever. "My biggest worry going forward: we're doing it, but is it going to last? I'm trying to put in place the tools, attitudes and structures to institutionalize smart growth. Commitment to engagement and quality information is what gives this a better chance of making something last into decades, and not years and months."

Thanks to Mike McKeever, SACOG; Susan Frazier and Chris Aguirre, Valley Vision; Randy Sater, Stonebridge Properties; and Chris Pahule, Sacramento Housing and Redevelopment Agency.

FOR MORE INFORMATION

Sacramento Blueprint website, http://www.sacregionblueprint.org.

[4] SACOG's archive of such images is available here: http://www.sacog.org/cgi-bin/ImageFolio4/imageFolio.cgi?direct=Blueprint. The Natural Resource Defense Council has also developed a nation-wide library of visualizations: http://www.nrdc.org/smartgrowth/visions.

Supplemental Case Studies

The case studies developed for the Sustainable Communities Boot Camp cover aspects of a particular framework described in the Introduction and Overview to this Resource Guide. Many subtopics are given passing treatment in this Guide, which nevertheless are important to developing sustainable communities. We present here three case studies developed for other workshops (under the Institute for Sustainable Communities' Climate Leadership Academy, or CLA, program), by way of introducing other resources that are available on topics of importance.

Cleveland's Evergreen Cooperatives

The Evergreen Cooperatives represent promising examples of how rigorous business planning, relationships, and collaborative action can create business models that help a historically marginalized community create wealth and green jobs. This case study describes the efforts of a community foundation to create businesses and jobs rather than train residents into non-existing jobs, and the integral support of local government and anchor institutions.

THE MODEL

The Evergreen Cooperatives are envisioned as an assemblage of thriving, worker-owned, environmentally sensitive businesses in Cleveland. The goal of the cooperatives is to employ and eventually be owned by a locally developed workforce from the historically marginalized neighborhoods surrounding the privileged "University Circle" of Cleveland's educational and medical institutions. The cooperatives provide quality, competitively green services geared to the procurement needs of these institutions. The Evergreen Cooperative Laundry is the first of these businesses; it employs seven people, but its business plan projects hiring 50 workers. It was launched in a remodeled LEED-certified building in October of 2009, and it is on track to turn a profit within 18 months. The Ohio Cooperative Solar, another such venture with 14 employees, leases, installs, and maintains photovoltaic arrays on institutional, government, and commercial buildings. OCS also provides weatherization services for residential and commercial buildings. The next green business set to launch is the Green City Growers Cooperative, a greenhouse that will supply produce to local institutions.

KEY CHARACTERISTICS

Industry Sectors*:* Service, Renewable energy, Food production

Workforce type*:* 'hard to employ'

Financing: Philanthropic, public, bank loans

Partners*:* City (Dept. of Economic Development, Mayor's office, Sustainability Department), Philanthropic orgs, Non-profit orgs, University centers, Consultants, expert advisors, entrepreneurs, anchor institutions, CDCs, others

People Employed: 21 as of early 2010; projected 500 direct, more in secondary businesses

Getting Started. The primary goal of the Evergreen Cooperatives is economic inclusion. The Cleveland Foundation, which for years ran multi-million dollar job training programs, realized that status quo approaches were not working, and hired the Democracy Collaborative to organize a roundtable in December 2006 to bring together people in University Circle who were separately working on wealth-building in the so-called 'Greater University Circle area': the Mayor's office, the Chamber of Commerce, community development corporations, the anchor educational and medical institutions, and the Ohio Employee Ownership Center at Kent State University. The idea of cooperatives was discussed as a mechanism that could promote asset accumulation and other neighborhood-stabilizing enterprises, and would be more likely to remain in the area for the long-term.

Following the roundtable, the Democracy Collaborative interviewed 120 people in all levels of the participating organizations, with the goal of identifying mutually beneficial strategies for moving forward. The result of the analysis was a 'three-legged stool' strategy: gearing new businesses to the local purchasing needs of the anchor institutions; developing local residents into employee-owners; and taking advantage of business opportunities emerging in the green economy space.

To help finance cooperatives through startup, some of the partners created the Evergreen Cooperative Development Fund. Managed by ShoreBank Enterprise Cleveland, the fund was initially capitalized by the Cleveland Foundation and a matching award from Department of Treasury's Community Development Financial Institution Fund for Financial and Technical Assistance. ShoreBank sought and received certification as a CDFI in part so that it would qualify for this grant money to put toward the Evergreen Cooperative Development Fund.

DEVELOPING THE BUSINESS MODELS

Laundry Maintenance Technician Keith Parkham from Evergreen Cooperative Laundry. Image credit: Janet Century

Evergreen Cooperative Laundry. The idea for a laundry came from the Executive Director of the newly built Cleveland Veterans Administration Medical Center, who noted that the Center would need a laundry service provider. This sparked a feasibility study of other potential customers for a green, water efficient, cooperative laundry. The expert team that performed the study found that there was strong demand for such vendor-provided services, because of the costs of in-house laundry services. With the business plan finalized by May of 2008, the next hurdle was capitalization. Because the banks that they approached would not fund startups, the partners had to come up with an unconventional financing strategy. The city's Economic Development Department was central to this effort. It not only identified and provided the Laundry access to federal funds, but was also instrumental in working through how to comingle HUD money with new market tax credit dollars, an innovative capital structure that was key to fully capitalizing the business. The strong finance background of staff, involvement as a city department, and the time they invested in extensive deliberations with attorneys were all indispensible to the successful capitalization effort.

Ohio Cooperative Solar. The Cleveland Clinic, a nonprofit organization, was the first to plant the idea for a solar installer co-op. As a nonprofit, the Clinic could not take advantage of all the public incentives available for solar installations, nor could it raise capital from other sources. Clinic administrators, however, were very interested in having solar on their roofs, which led to OCS's business model, in which OCS owns and installs solar arrays. The Cleveland Clinic was the co-ops first customer; University Hospitals, Case Western Reserve University, the City of Cleveland, and the Cleveland Housing Network soon followed suit. OCS is now adding surrounding municipalities and colleges to its list of customers.

OCS has Power Purchasing Agreements (PPA) with its customers, where OCS funds the design, installation, and maintenance of photovoltaic arrays on the roofs of client institutions, and then sells the generated power to those clients. OCS sells the power at a fixed rate over 15 years; the first round of installations has contracts for 12 cents/kwh. This cost is little higher than what the purchasers are currently paying for power, but it is anticipated to be lower than what they would otherwise pay, on average, over the 15 years of the contract. This arrangement offers cost stability and savings to the purchaser, uses none of the purchaser's capital, and helps them meet their social missions and environmental commitments.

FUNDING SOURCES FOR OHIO COOPERATIVE SOLAR'S FIRST 30 INSTALLATIONS OVER 5 YEARS

- Federal energy tax credit grant (first year to OCS, subsequently to LLC tax investor): $4.5 million
- State grant for qualified installs of 100kw: $4 million
- Evergreen Cooperative Development Fund for Initial construction financing
- Bank for subsequent financing (in negotiation)—OCS qualifies for a low-cost loan program from an Ohio job stimulus bill

For OCS, the credit of the revenue stream from a PPA helps them obtain loans from banks, necessary to help close the gap left once federal, state, and philanthropic sources are applied (see box at right). The current business plan includes 30 installations of 100 kW each over 5 years. At $500,000 per installation, a $15 million investment is required.

Ohio Cooperative Solar's current three-megawatt business plan considers institutional customers only, because of the infeasibility of small residential installations. However, Ohio recently passed legislation enabling Property Assessed Clean Energy finance districts, a mechanism for financing renewable energy and energy efficiency retrofits in the residential sector. So OCS, with its ready workforce, anticipates being able to expand into the residential market, as the cooperative will not have to raise the capital for those smaller installations.

OCS is also expanding to provide weatherization services as a way of employing its worker-owners year-round; it serves as weatherization contractor to utilities and the federal government.

Green City Growers Cooperative started with entrepreneurs who "thought that the time was right to bring the greenhouse industry back to Northern Ohio." The idea was to localize fresh produce production, in line with the Cooperatives' interest in sustainability and carbon reduction. This Cooperative, which is still in the works, has interviewed a number of potential customers, including food retailers, wholesalers, and food service companies. The organization also hopes eventually to enhance neighborhood access to fresh produce.

In developing the business plan, Mary Denel, a horticulturalist who left her job at a private equity firm to join the team, came to the conclusion that lettuce would have profitability as a primary crop. Lettuce, for instance, compared favorably to locally grown tomatoes, which would not be able to compete with Toronto's plentiful greenhouse tomatoes.

The scale of planned production is surprisingly impressive for a downtown site; the plan is to have five acres of a 12-acre site under glass to grow 5 million heads of lettuce per year. Green City Growers has worked with the city to assemble this 12-acre parcel out of the city-owned land bank, and is on track to have all acreage under the Growers management by fall 2010. Greenhouse construction is anticipated by 2011.

Capitalization of the Cooperative is still underway. Some funding to prepare the site itself has been obtained; a small portion of the parcel is a brownfield where a book printing operation was previously located. Because the greenhouses will be growing lettuce hydroponically the soil quality of the parcel is not an issue, but the site did qualify for and received a $2 million brownfield cleanup grant.

Working towards Employment. There are ten cooperative businesses in some stage of scoping. The plan is that each one should be able to employ at least 50 staff, and that all workers be hired locally. In addition to these projected 500 direct hires, each business should also have the potential to attract associated businesses to the area, which would employ even more community members.

Though modest, reaching this direct employment goal in these neighborhoods will be an achievement. The unemployment rate in the seven wards of the City of Cleveland that the Evergreen Cooperatives are working to stabilize stands around 35%. Most of the unemployed fall in the "hard to employ" category, because of criminal history, or other factors that arise from being chronically unemployed. This workforce requires a complex range of training, including basic work skills (e.g. punctuality, how to get to work), how to manage life responsibilities outside of work such that they don't disrupt work responsibilities, cost reduction and cost containment, environmental sustainability, and employee ownership.

In March 2010, the Evergreen Cooperative Laundry and Ohio Cooperative Solar held a celebration for eleven employees of their current twenty-one. This event marked the six-month period after which employees are invited to become investors via 50 cent/hr payroll deductions. At this rate, employee-owners could earn a potential equity stake of $65,000 after nine years. The prospect of building significant equity and having pride of ownership is a positive incentive for new employees, but it does not avert the need for workforce training and development. Attendance problems (stemming from spousal issues, childcare, and parole issues), fighting, accused thefts, or simply the lack of a driver's license have all been challenges that cooperative managers have been working through with the new employees. Their approach to these management and workforce development issues is consistent with their community-based mission, as expressed by Ohio Cooperative Solar CEO Stephen Kiel: "Part of the job of the CEO is to get to know the people really, really well. You can't outsource that by letting an external agency deal with the lifestyle issues. The person running the business has got to know something about the problem set or you can't manage it; and then it's frustrating for both parties." One goal of the cooperatives is to achieve a different employment relationship. "They've likely had no voice in previous employment situations, were disrespected, and did not trust their previous employers. We're trying from day one to establish honesty and truth and respect for leadership and among each other," says Kiel.

FOOD FOR THOUGHT

Leveraging Procurement of Anchor Institutions. Cleveland's University Circle institutions procure hundreds of thousands of dollars worth of services every year. They are also highly unlikely to relocate. One of the catalyzing insights for the stakeholder roundtable was that business plans for new local ventures should be anchored to the procurement needs of these institutions: doing so would give them long-term viability. Developing such grounded business plans required taking time to understand the needs and situations of these anchor institutions. In the case of the Laundry, an in-depth interview brought up the need for laundry services. Although this particular procurement was (and is still) not out for bid, this suggestion enabled partners to explore the ideas with other University Circle institutions, most importantly via educational marketing visits where administrators could be presented with the true costs of in-house laundry services. In addition, the Laundry's current customers will provide them a track record that will benefit their bid for the larger VA Hospital contract.

Sound Financials. It is worth reiterating how the Greater University Circle initiative frames its goals: wealth accumulation, neighborhood stabilization, economic inclusion. To accomplish these goals, the stakeholders know that the Evergreen Cooperatives cannot be another charity program, but must be profitable businesses with long-term viability. They ensure that business opportunities are put through rigorous financial feasibility assessment and planning process before they commit capital. In addition, they recruit quality managers, monitor results, and provide technical assistance.

Stephen Kiel, who wrote the first two business plans, also has some related self-criticism in hindsight: the two-year lag between having 'the good idea' and the first hires could have been shortened had the Laundry brought in people with more experience in capitalizing the business. They were surprised when the banks informed them that they didn't fund startups; the team could have geared their financing strategy towards unconventional mixes from the outset had they known this in advance.

Using Green Economic Development to Alleviate Poverty. Cleveland realized that wealth could not be created for people being trained for jobs that didn't exist. So partners are now working with the strategy of creating viable businesses in the Evergreen Cooperatives first, and then training the local workforce to operate them. In addition, these businesses are tuned into the current marketplace advantage in employing green standards and practices. One of the collaborators, Cleveland Sustainability Director Andrew Watterson, assists the development of new Evergreen Cooperative opportunities by identifying particular roles they might play in Cleveland's emerging green economy.

The Cooperative Model as a Means for Achieving Social and Financial Equity. No narrative relating the Evergreen Cooperatives story would be complete without mentioning their inspiration—the Mondragon Cooperatives in the Basque region of Spain. These co-ops began small, like the Evergreen Cooperatives, but after 50 years of self-development by a historically marginalized ethnic minority, the current Mondragon Cooperative Corporation now includes 100 industrial, financial, and retail co-ops with a combined 100,000 investor-employees. In addition, the Ohio Employee Ownership Center has found that cooperative jobs are less likely to be outsourced. These stories exemplify how co-ops can fairly organize and capitalize entrepreneurial pursuits that create good jobs and wealth for disadvantaged communities.

Key Relationships. The Evergreen Cooperatives are the result of the work of many entities: anchor institutions, locally oriented philanthropic funders, city government officials, community groups, and mission-driven experts. What allows the Evergreen Cooperatives to yield fruit for the Greater University Circle area is not any formal organization of this assemblage, but the spirit of collaboration under which they work. The glue that holds together the effort absent a formal structure is the strong leadership of a few among this group: Case Western University, University Hospitals, the Mayor of Cleveland, and the Cleveland Foundation. Staff members at all levels understand the value of the model and pitch in when needed—whether to create a training program, find money, or identify land.

The Cleveland Foundation study trip group at Mondragon University at the memorial to Fr. Jose Maria Arizmendiarrieta, the founder of the Mondragon cooperatives. From left to right, Lillian Kuri, Cleveland Foundation; Margaret Hewitt, University Hospitals; Andrew Watterson, City of Cleveland, Christina Ayers, Cleveland Clinic, Bob Eckardt, Cleveland Foundation; Ted Howard, Democracy Collaborative and Cleveland Foundation; Steve Kiel, Hudson Consulting Group (now CEO of Ohio Cooperative Solar); Mary Ann Stopkay, ShoreBank; Jim Anderson, Ohio Employee Ownership Center at Kent State University (and now CEO of Evergreen Cooperative Laundry); Margaret Careny, Case Western Reserve University; Margaret Bau, US Department of Agriculture; and Mikel Lezamiz, Mondragon Cooperative Corporation. Image credit: Ohio Employee Ownership Center.

Relationships are important in other ways too. Two of the individuals at the Cleveland Foundation who have been thought leaders in this effort have previously been staff at city hall, and so not only understand Cleveland's bureaucracy, but can draw on relationships to advance the effort.

The Evergreen Cooperatives story is also about the value of fostering relationships, not just taking advantage of existing ones. Mentioned above is the importance of such work within each cooperative business between employee-owners and management. Fostering relationships was also instrumental to the genesis of the effort. In October of 2008, many of the individuals convened for the original roundtable in 2006 went on a study tour together to Mondragon. The relationship building and co-learning that this trip enabled has continued to pay dividends over time.

Thanks to Stephen Kiel, CEO, Ohio Cooperative Solar

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FOR MORE INFORMATION

Ohio Employee Ownership Center site on the cooperatives:
http://www.oeockent.org/index.php/for-business-owners/cooperatives

Evergreen Cooperatives website: http://www.evergreencoop.com

Vancouver's TransLink

Since its inception, TransLink has emerged as a unique model of regional cooperation on transportation planning, development and implementation. This quasi-governmental regional organization is the first of its kind to consolidate bus, rail, cycling, ferries, road networks, air quality, bridges and transportation demand management into one authority. This case highlights governance and innovative funding features used by the authority to expand transit services and reduce greenhouse gas emissions.

THE BASICS

A brief history. In 1996, Greater Vancouver residents rated transportation as the top issue in the region, and 50% of them believed that better transit was the solution. This was taken into account in a multi-year strategic planning process for the Greater Vancouver region that began in the 1990s, where citizens, businesses and government developed the *Livable Region Strategic Plan* and *Transport 2021* strategy to manage metropolitan growth. Out of this process TransLink was born.

Formed in 1998 through negotiations between the provincial government and the Greater Vancouver Regional District (GVRD, now *Metro Vancouver*—a local governmental entity established by provincial legislation), TransLink serves as the regional transportation authority for Metro Vancouver's 30 municipalities and 2.2 million residents. TransLink's mandate is to plan, finance and operate a regional transportation system that moves people and goods efficiently, and supports the regional growth strategy, air quality objectives and economic development of the GVRD.[1] The authority streamlined transportation planning and implementation functions previously distributed between the municipalities, provincial government and private entities into one publicly accountable authority.[2]

Dual authority. Most significantly, TransLink has authority over both major roads and public transportation, such that it has the power to improve the transportation network on multiple fronts and in an integrated fashion. As Clive Rock, then head of GVRD and TransLink's first director of strategic planning, said, "BC Transit wasn't doing a bad job, but it was just transit. And it was very mode-specific, yet the challenges are multi-modal." Since the creation of TransLink, transit ridership has increased about 40 percent.

Local governance structure**.** The provincial government overhauled TransLink's governance and territory in 2007 to address the growing need for regional solutions. A new three-way governance structure includes the Mayor's Council on Regional Transportation, Board of Directors, and the Regional Transportation Commissioner. The Mayor's Council, which is comprised of mayors from

[1] *Transportation in Greater Vancouver: A Review of Agreements Between the Province and TransLink, and of TransLink's Governance Structure*, Office of the Auditor General of British Columbia. 2001. Page 13. www.llbc.leg.bc.ca/public/PubDocs/bcdocs/347755/TransLink.pdf

[2] For details, see *The Greater Vancouver Transportation Authority – An Innovation in Transportation Governance and Funding*, a Paper prepared for the Thredbo 6 – Sixth International Conference on Competition and Ownership in Land Passenger Transport, Councilor George Puil; Cape Town, South Africa, September 19-23, 1999.

the local municipalities, appoints the commissioner and the professionals who populate the board. This structure was intended to increase accountability and effectiveness compared with the original structure of elected representatives and Cabinet Ministers.

Climate change drivers. In 2008, the provincial government announced a C$14 billion transit plan with more than $10 billion of new transit infrastructure by 2020.[3] This plan followed the provincial *Greenhouse Gas Reduction Targets Act of 2007* with targets of 33% reductions below 2007 levels by 2020 and 80% by 2050.[4] The legislation underpins current efforts to expand regional transit, as does the law that restructured TransLink. TransLink must develop a long-range transportation plan with goals and strategies along with its own 10-year transportation and financial plan to achieve the goals. By law, the plan must be fully funded, showing the amount and sources of funding needed. The first goal of *Transport 2040*, released in 2008, focuses on greenhouse gas reductions as the top priority.

Creative funding. TransLink's predecessor, B.C. Transit, needed annual funding from the provincial government leading to unpredictable revenues and difficulty implementing long-range improvements. The formative negotiations for TransLink between the province and GVRD focused on balancing obligations between the two. The province provides its 35% share through parking taxes, six cents per liter fuel tax, debt service on certain capital costs, and assumption of funding obligations for hospital construction—40% of which had been paid by local property taxes. The authority's 2009 contribution includes transit fares (C$370m), fuel taxes (C$265m), property taxes (C$260m), a levy on hydro in the province (C$18m) and other sources.[5] The hydro levy derives from the ability of provincial government to levy taxes on energy production.

TransLink faces an almost 14% budget shortfall for its 2009 budget, driven by labor and operational costs that are outpacing inflation, as well as less revenue from the fuel tax (~30% of annual revenue), which is yielding less cash due to decreased driving and fuel price hikes. As in so many other regions, this situation is forcing difficult choices about transit in the Vancouver metro region even as population and demand grow. The authority is exploring three options to manage the situation ranging from service cuts under a *no new revenues* scenario to *expansion of integrated transit* options at a cost of C$450 million per year.[6]

FOOD FOR THOUGHT

A long process. The brief history outlined above is deceptively straightforward. For other regions that have debated the merits of big or aggressive ideas for long periods, TransLink's story is a hopeful one. "We thought there was a need for a new kind of approach, but this wasn't just some dream that came about overnight," says Clive Rock. "The region had been trying for decades to get

[3] *The Provincial Transit Plan,* Ministry of British Columbia. www.th.gov.bc.ca/Transit_Plan/index.html

[4] *Greenhouse Gas Reduction Targets Act*, Ministry of Environment, British Columbia. www.env.gov.bc.ca/epd/codes/ggrta/index.htm

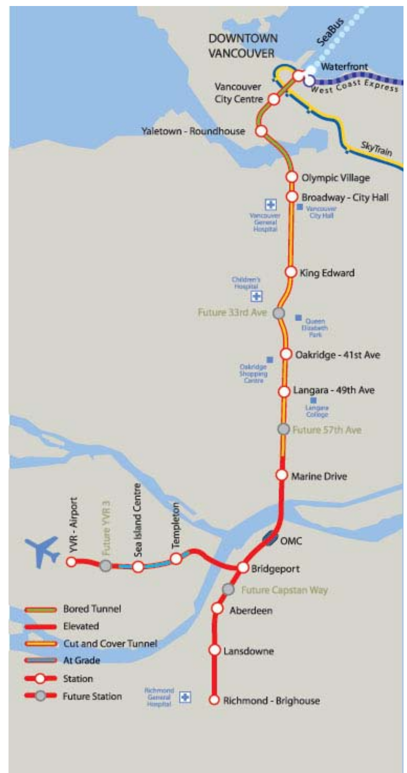
[5] See *Current Funding Sources*, TransLink. www.translink.ca/en/Get-Involved/featured-Be-Part-of-the-Plan/Be-Part-of-the-Plan-Choices/Funding-Options/Current-Funding-Sources.aspx

[6] *Vancouver's TransLink Faces Serious Funding Gap*, July 31, 2009. www.thetransportpolitic.com/2009/07/31/vancouvers-translink-faces-serious-funding-gap

something off the ground." Tenacity, solid planning foundations, and a clear mandate from the public combined to pay off in the long run.

Exploratory funding options. TransLink is considering a set of creative options to fund transit needs. These include:

- *Climate Friendly Revenue:* One set of options includes vehicle charges similar to those assessed in Toronto that range from flat to variable fees depending on vehicle efficiency. Revenues would range between C$150 and $200 million annually. Other options include a carbon tax, road user fees, property transfer fees and goods movement fees.[7] The carbon tax has the potential to yield C$2.3 billion between 2008 and 2011.[8]
- *Transit Related Real Estate:* In 2008, TransLink began using real estate development as an option for raising revenue to cover operating expenses and expansion costs to meet the aggressive climate and economic development goals. This plan was developed in lieu of raising property taxes to cover budget shortfalls. Estimates suggest that the authority could raise C$20-36 million from real estate transactions near proposed stations that would fund the transit system.
- *Private Investment:* In August 2009, Vancouver witnessed the opening of the new Canada Line that links northern parts of the city to southern communities and the airport. Opened ahead of schedule at a cost of C$2 billion, this public-private system may serve as a model for other cities. In an attempt to minimize the costs for developing the new line, TransLink selected a private group of industrial companies (InTransitBC) to design, build and operate the rail through a 35 year lease. This consortium invested C$700 million and will collect a percentage of the fares in hopes of making a profit while the government sets fares and owns the line. The agreement stipulates that TransLink must compensate the private operators should the rail fail to meet its projected 100,000 daily ridership by 2013.



The newly opened Canada Line links downtown Vancouver and its southern suburbs. Image credit: TransLink

FOR MORE INFORMATION

TransLink website: www.translink.ca

How TransLink was formed: *The Road Less Travelled: TransLink's Improbable Journey from 1999 to 2008.* http://www.llbc.leg.bc.ca/public/PubDocs/bcdocs/455993/TransLink_History_Nov_2008.pdf

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[7] See *Funding Options*, TransLink. www.translink.ca/en/Get-Involved/featured-Be-Part-of-the-Plan/Be-Part-of-the-Plan-Choices/Funding-Options.aspx

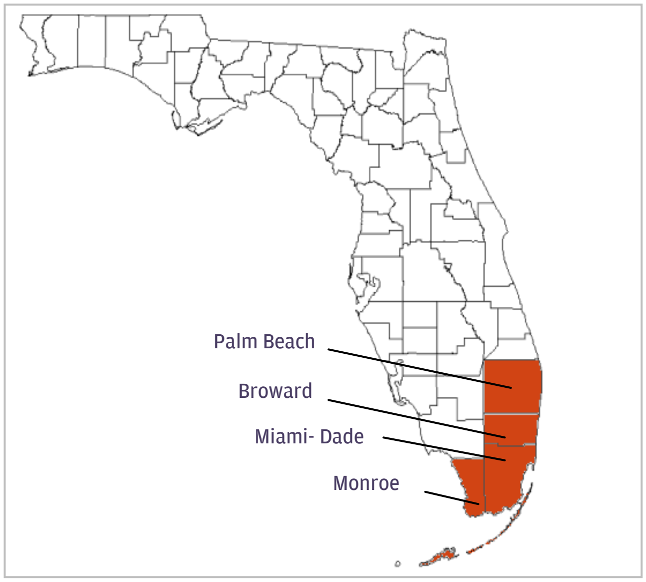
[8] See *Carbon Tax Backgrounder*, TransLink (May 25, 2009) www.translink.ca/~/media/Documents/Get%20Involved/BePartofthePlan/1192_TL_CarbonTax_prs.ashx

Southeast Florida Regional Climate Change Initiative

Broward County has been leading an initiative since 2009 to coordinate the mitigation and adaptation planning of a four-county area representing 127 municipalities. The initiative is based on an understanding of shared concerns, and is driven by strong leadership and a commitment to fostering relationships. The initiative has a diverse funding strategy, and is becoming a promising model of how governments can collaborate on climate planning across jurisdictional boundaries.

THE BASICS

Getting started. In May of 2009, elected officials and staff representing several Florida counties, including Broward, Miami-Dade, and Monroe traveled to Washington D.C. to attend the Local Climate Leadership Summit, seek Congressional support for a national climate policy, and bring attention to the unique vulnerabilities that climate change poses for Southeast Florida. On this trip, the group realized that they were all trying to tell the same story about climate change in Florida, but that they were using different information. Their projections for sea level rise and maps of vulnerabilities, for example, were slightly different. The discrepancies detracted from their shared message because it meant that the Southeast Florida delegation had to spend time explaining the differences while building a case for their adaptation needs.



Counties participating in the Southeast Florida Regional Climate Initiative.

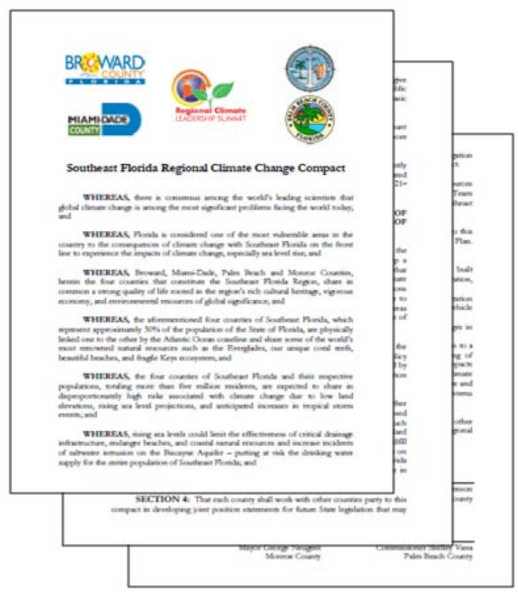
These discrepancies, once noted by the delegation, spurred a discussion about the need to generate a common message and garner the regional attention and support of other elected officials. Commissioner Kristin Jacobs of Broward County, who had experience with regional water initiatives, directed her staff to organize a summit of Southeast Florida officials. The purpose of the summit was to kick off regional collaboration on climate strategies. Though these strategies would encompass both mitigation and adaptation, the summit would maintain a focus on adaptation because it provided an effective rallying point, given the anticipated Southeast Florida impacts of climate change on tropical storm intensity, drainage and flood control system operations, and local water supplies.

Southeast Florida Regional Climate Change Leadership Summit (Oct. 23, 2009). Broward County, working with the three other Southeast Florida counties, led the organization of the summit. The Climate Leadership Institute at the University Oregon provided policy guidance, while Broward County staff in the Natural Resource Planning & Management Division set the overall framework for the event. Representatives from all 127 municipalities in the four counties were invited, which resulted in 300 people attending. Some one half of the people who attended were elected officials from local, county, state, and federal levels. Other attendees included regional government staff in transportation, planning, and water management and climate. The context for the day-long summit was set by national experts and federal officials. The counties shared their existing efforts and regional considerations in transportation, water, and land use, and one Commissioner from each of the four counties participated in a panel discussion of focal points for regional collaboration. The day ended with a press event during which these Commissioners signed the Southeast Florida Regional Climate Change Compact.

Audience at the first Southeast Florida Regional Climate Leadership Summit.
Image credit: http://www.pbcgov.com/newsroom/1109/11-04-09_climate_change.htm

Southeast Florida Regional Climate Change Compact. The Compact committed to four types of activities:

- Coordination in development and advocacy of climate legislation at the state and federal level;
- Dedicating staff for a Regional Climate Team that would develop a Southeast Florida Regional Climate Action Plan;
- Developing a regional strategy for climate mitigation and adaptation; and
- Hosting a summit annually to document progress and coordinate future activities.



Southeast Florida Regional Climate Change Compact

WHEREAS, there is consensus among the world's leading scientists that global climate change is among the most significant problems facing the world today; and

WHEREAS, Florida is considered one of the most vulnerable areas in the country to the consequences of climate change with Southeast Florida on the front line to experience the impacts of climate change, especially sea level rise; and

WHEREAS, Broward, Miami-Dade, Palm Beach and Monroe Counties, herein the four counties that constitute the Southeast Florida Region, share in common a strong quality of life rooted in the region's rich cultural heritage, vigorous economy, and environmental resources of global significance; and

WHEREAS, the aforementioned four counties of Southeast Florida, which represent approximately 30% of the population of the State of Florida, are physically linked one to the other by the Atlantic Ocean coastline and share some of the world's most renowned natural resources such as the Everglades, our unique coral reefs, beautiful beaches, and fragile Keys ecosystem; and

WHEREAS, the four counties of Southeast Florida and their respective populations, totaling more than five million residents, are expected to share in disproportionately high risks associated with climate change due to low land elevations, rising sea level projections, and anticipated increases in tropical storm events; and

WHEREAS, rising sea levels could limit the effectiveness of critical drainage infrastructure, endanger beaches, and coastal natural resources and increase incidents of saltwater intrusion on the Biscayne Aquifer – putting at risk the drinking water supply for the entire population of Southeast Florida; and

SECTION 4: That each county shall work with other counties party to this compact in developing joint position statements for future State legislation that may

At the conclusion of the Summit, each of the county representatives then had to gain support for implementation of the commitments from the county boards of commissioners. By January, each of the four boards had unanimously adopted the compact.

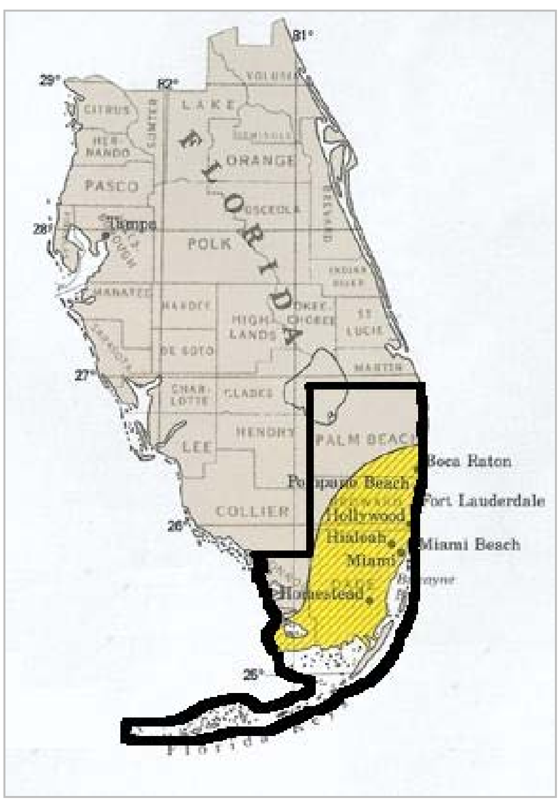
Current status A Regional Climate Steering Committee has been formed and is comprised of two representatives from each county, the Climate Leadership Institute, and the South Florida Water Management District, which serves sixteen counties. The Steering Committee meets on a monthly basis with sub-committees convening to take up specific assignments: Summit Logistics, Policy Coordination, and technical projects, the latter of which is part of the Regional Climate Team. This Committee has created a two year work plan geared to producing a regional climate action strategy. In service of this, current projects include a regional greenhouse gas inventory, a regionally-integrated vulnerability map, and unified sea level rise projections. The Compact Counties have also undertaken joint solicitation for resources to support their efforts and are in the process of developing a joint federal and state legislative policy program. The second annual summit will be hosted by Miami-Dade County in October 2010.

FOOD FOR THOUGHT

Building buy-in in the face of political challenges. Not all of the four counties had Boards that immediately supported regional collaboration. They eventually agreed to support the effort for two reasons:

- *Recognition of changes in the physical environment.* Though philosophies differed on the validity of anthropogenic global warming, the four counties have all experienced salt water going through drainage culverts, and extreme high tide events causing seawater to overtop sea walls and flood people's backyards with greater frequency. Officials could all appreciate the need to make investments to respond to these trends, look beyond the inevitable historical contentions among the counties, and commit to working on sea level rise issues together.
- *Leverage.* By collaborating, the counties could enhance their ability to gain additional resources for the huge task at hand, too great for each of them alone. Together the 127 municipalities of the four counties represent one-third of the state economy and 5.5 million residents. As a group then, the four counties could better command money for adaptation.

In a regional collaboration, the two counties with fewer resources could gain access to the experts used by the other two. Broward County, for example, is considering extending the boundaries of its combined hydrological and climate change model to include suitable sections of Palm County, which could substantially reduce the cost of model development for Palm Beach County.



This map shows that the Biscayne Aquifer (in yellow) underlies the four counties in the compact (outlined in black), illustrating their shared resource, vulnerability, and opportunity for practical collaboration. Image credit: USGS

Successful coordination requires extensive communication. Dr. Jennifer Jurado, Director of Broward County's Division of Natural Resources and Management, who has led the initiative at the staff level, said that "extensive, extensive communications" has made the Compact work. She attributes the achievement of the four-way collaboration to the time taken initially to understand the points of view of the respective Boards of Commissioners and to build relationships across the counties.

Stepwise leadership. Commissioner Kristin Jacobs of Broward County led the initiative by initiating the conversation about collaborating with the other county representatives and by dedicating staff to the effort. Jacobs also solicited the support of a counterpart in each of the three other counties to sign the Compact. Each of these commissioners then sought and won support for the initiative from their full county boards.

One framework for collaboration facilitates other joint activities. Collaboration on adaptation under the Compact is allowing the counties to work together on other political issues. The counties, for example, organized a shared press event to voice their concerns about the BP oil spill. During the event, Commissioners from each county signed a joint letter to Congress, the Obama Administration, and the Florida State Legislature urging action, including passage of "comprehensive climate change legislation prior to the end of the Congressional session."

Commissioners from the four Southeast Florida Compact counties send a joint letter to President Obama, Congress and Florida State Legislature. Left to right: Monroe Commissioner George Neugent, Miami-Dade Commissioner Katy Sorenson, Palm Beach Commissioner Shelley Vana, Broward Commissioner Kristin Jacobs.

Diverse funding and support strategies. As money explicitly available for climate adaptation work is not readily available, the Compact Counties have a diversified fundraising strategy, including pursuing federal appropriations, EPA Smart Growth Initiative, and NOAA Climate Program opportunities. They have also looked to stretch existing dollars via partnerships and the technical assistance programs of state, regional, and non-governmental entities.

FOR MORE INFORMATION

Text of Southeast Florida Regional Climate Change Compact.
http://www.broward.org/ClimateChange/Documents/fourcounty_compact.pdf

Program for the Southeast Florida Regional Climate Leadership Summit.
http://www.broward.org/ClimateChange/Documents/sfrcls2009program.pdf

Contact: Dr. Jennifer Jurado, Director of Broward County's Natural Resource Planning and Management Division, jjurado@broward.org

Resource Lists

The Resource Lists are organized as follows:

Economic Strategies: Development Approaches

This list includes resources list for developing economic strategies across a region, regional case studies, and economic strategies for cities with different market characteristics.

REGIONAL ECONOMIC STRATEGIES

1. **The Economic Development and Workforce Development Systems**
   This report discusses the current structure and challenges of the nation's workforce and economic development systems.
   Beth Siegel, Karl Seidman, **Surdna Foundation**, 2009, 19pp.
   Download ▸ http://www.surdna.org/images/stories/content_img/docs/pubs/mt%20auburn_economic_development_workforce_whitepaper.pdf

2. **Metropolitan Business Plans: A New Approach to Economic Growth**
   This brief proposes an approach for repositioning metros as compelling investment opportunities: "metropolitan business planning," which Brookings is piloting in Northeast Ohio, Minneapolis-Saint Paul, and Puget Sound, profiled in this brief. The approach reorients typical economic development practices to standard private-sector business planning, including disciplined analysis in the service of place-specific economic strategies. The Minneapolis-St. Paul Metropolitan Business Plan can be viewed here: http://minnesota.uli.org/~/media/DC/Minnesota/Minnesota%20Docs/Minneapolis%20Saint%20Paul%20Metropolitan%20Business%20Plan.ashx
   Rober Weissbourd, Mark Muro, **Brookings Institution**, 2010, 24pp.
   Download ▸ http://www.brookings.edu/~/media/Files/events/2010/1208_metro_summit/1208_metro_summit_business_framing_paper.pdf

3. **The New "Cluster Moment": How Regional Innovation Clusters Can Foster the Next Economy**
   This report reviews the history of regional innovation clusters as an economic development approach and finds that it has had demonstrable impacts to workers, firms, and regions. It provides recommendations for best practices in cultivating clusters, and roles for different levels for government.
   Mark Muro, Bruce Katz, **Brookings Institution**, 2010, 59pp.
   Download ▸ http://www.brookings.edu/~/media/Files/rc/papers/2010/0921_clusters_muro_katz/0921_clusters_muro_katz.pdf

REGIONAL ECONOMIC STRATEGIES CASE STUDIES

4. **Regional Growth and Opportunity Case Studies**
   These four case studies (Charlotte, Denver, Milwaukee, and San Diego) describe regions that are convening stakeholders to develop growth strategies and manage implementation.
   National Center for Education and the Economy, **Jobs for the Future**, 2009, pp.
   Download ▸ http://www.jff.org/publications/workforce/building-regional-capacity-stimulate-eco/1039

5. **Regional Advantage: Culture and Competition in Silicon Valley and Route 128**

This book explores why business in Silicon Valley flourished and economic development declined along Route 128 in Massachusetts during the 1990s. The analysis suggests that despite similar histories and technologies, Silicon Valley developed a decentralized but cooperative industrial system, while Route 128 came to be dominated by independent, self-sufficient corporations.

Annalee Saxenian, **http://www.hup.harvard.edu/catalog.php?isbn=9780674753402**, 1996, 226pp.
Preview ▸ http://books.google.com (search by title)

ECONOMIC STRATEGIES FOR CITIES BY MARKET TYPE

6. **To Be Strong Again: Renewing the Promise in Smaller Industrial Cities**
This report presents an equitable development agenda for rebuilding smaller industrial cities in a manner where everyone can participate and prosper. It provides action ideas and corresponding real-world examples in the areas of land use and fiscal policy, infrastructure, economic renewal, and neighborhood revitalization.

Radhika Fox, Miriam Axel-Lute, **PolicyLink**, 2008, 64pp.
Download ▸ http://www.policylink.org/atf/cf/%7B97C6D565-BB43-406D-A6D5-ECA3BBF35AF0%7D/ToBeStrongAgain_final.pdf

7. **Retooling for Growth: Regional Economic Development in Weak Market Cities**
This book offers a compilation of new frameworks, analysis, and innovative policy solutions through which government, business, civic, and community leaders can create a sustainable and supportable economy for older industrial areas. The book outlines ideas for reshaping the role of public agencies, business organizations, and technology. Implementation of these measures addresses challenges such as fostering entrepreneurship, reducing poverty and inequality, and maintaining and augmenting the number of skilled professionals who reside and work in a community. Chapters available for free download: 'The Talent Imperative for Older Industrial Areas' at http://www.compete.org/images/uploads/File/PDF%20Files/Talent%20Imperative%20Older%20Indust_Kempner.pdf, and 'Regional Economic Development in Theory and Practice' at http://www.brookings.edu/~/media/Files/Press/Books/2008/retoolingforgrowth/retoolingforgrowth_chapter.pdf.

The American Assembly, 2007, 309pp.
Preview ▸ http://books.google.com (search by title)

8. **Restoring Prosperity: A Roadmap for Revitalizing America's Older Industrial Cities**
This report provides a framework for understanding how to restore prosperity in America's struggling cities, particularly those in the Northeast and Midwest. The report is written for state and local government, business, and civic leaders.

Jennifer S. Vey,, **Smart Growth America**, 2007, 84pp.
Download ▸ http://www.brookings.edu/~/media/Files/rc/reports/2007/05metropolitanpolicy_vey/20070520_oic.pdf

Economic Strategies for Equitable Outcomes

This list includes resources for developing strategies that create economic opportunity for low-income people.

RECOMMENDED RESOURCES

9. **Regions That Work**
   In this book, the authors argue that social equity is not just something to pursue because it is the right thing to do, but that it enhances regional economic competitiveness. The first chapter, which explains the premise of the book and how it is organized, is available for free viewing at books.google.com.

   Pastor el al, **University of Minnesota Press**, 2000, 263pp.
   Preview ▸ http://books.google.com (search by title)

10. **New Approaches to Comprehensive Neighborhood Change: Replicating and Adapting LISC's Building Sustainable Communities Program**
   This report evaluates practices from LISC's Building Sustainable Communities program. It provides examples of how 10 demonstration low-income neighborhoods are integrating ongoing investments in affordable housing and other real estate with plans and programs focused on economic development, education, healthy lifestyles and environments, and family income and asset-building. The report summarizes challenges and discusses ways in which communities have dealt with them, including support of community leadership, and plans for enhancing quality of life.

   Chris Walker, Sarah Rankin, Francisca Winston, **LISC**, May 2010, 53pp.
   Download ▸ http://www.lisc.org/content/publications/detail/18424

11. **The Tracking Toolbox: A Resource for Understanding Your City's Development Process and Making It Work Better for Workers, Neighborhoods and Communities**
   This toolkit is a resource for advocates and community members seeking to understand a city's development process and how to improve impacts on communities. Its components can also provide useful context to city development staff seeking to understand how to better engage their communities.

   Partnership for Working Families, 44pp.
   Download ▸ http://www.communitybenefits.org/downloads/0510_Dev_tracking_manual.f.pdf

12. **Growing Successful Inner City Businesses: Findings From A Decade of ICIC Data**
   This presentation provides a thorough, data-driven analysis of inner city economies with recommendations that can help governments cultivate inner-city firms. It provides an overview of their recent performance; the benefits to inner cities; characteristics of growing inner city firms; and factors influencing their growth.

   Dr. Michael Porter, **Initiative for a Competitive Inner City**, 2009, 66 slides
   Download ▸ http://www.icic.org/atf/cf/%7BC81898B2-76E9-4A18-B838-A3F65C9F06B9%7D/FINAL%20ICEF%20PRESENTATION.PDF

13. **Going Comprehensive: Anatomy of an Initiative That Worked**
   This detailed case study of the Comprehensive Community Revitalization Program in the South Bronx shows how community-based organizations can, with the right support, broaden their focus from bricks and mortar revitalization projects to improving the quality of their neighborhoods, in terms of social,

economic, and human service infrastructure. The lessons discussed include making critical early design decisions that set the stage for what comes next; finding, managing and spending the flexible dollars that stimulate and fuel the creative efforts of community leaders; nurturing new visioning and planning activities that set the initiative's direction and are essential to engaging the community; assuming a bridge-building role to connect expert technical and programmatic resources with the work going on in the participating communities; and steering the effort with the entrepreneurial leadership needed solve problems, recover from mistakes and keep the initiative moving.

Anita Miller, Tom Burns, **Local Initiatives Support Corp. (LISC)**, 2006, 87pp.
Download ▸ http://www.lisc.org/content/publications/detail/5396

OTHER USEFUL INFORMATION

14. **Community Benefits: Practical Tools for Proactive Development**
This website explains the use of Community Benefit Agreements, a tool for ensuring communities benefit from nearby development projects. The website profiles 15 CBA sites, including in those in the states of WA, PA, CA, CO, and CT.
Partnership for Working Families
Website ▸ http://www.communitybenefits.org/section.php?id=155

15. **Faith-Based Community Economic Development: Principles & Practices**
This paper provides an introduction to faith-based community economic development. It includes an overview of tools, techniques for soliciting the support of a congregation in undertaking a faith-based CED project, and examples of typical faith-based CED projects.
T. David Reese, Christina A. Clamp, Ph.D., **Boston Federal Reserve Bank**, 2001, 68pp.
Download ▸ http://www.bos.frb.org/commdev/faith/ced.pdf

16. **Framing the Issues—The Positive Impacts of Affordable Housing on Education**
This report reviews the literature on the development and rehabilitation of affordable housing and the connections to improved educational outcomes for children. It discusses several promising hypotheses regarding the impacts of affordable housing on children's education, including contributing to education achievement by reducing moves; housing subsidies that allow moves to stronger school system communities; reducing overcrowding and its impacts; and reducing health and learning impacts.
Jeffrey Lubell and Maya Brennan, **National Housing Conference /Center for Housing Policy**, 2007, 23pp.
Download ▸ http://www.nhc.org/media/documents/FramingIssues_Education1.pdf

17. **Private Sector Solutions for Workforce Housing: What Realtors and Their Partners Can Do**
This report highlights initiatives that have been tried by realtors, employers, and other private sector partners to increase workforce housing opportunities. It could also be useful to local Chambers of Commerce or other business groups in raising awareness of and advocating for workforce housing in their communities. It includes examples that illustrate effective media campaigns, Employer-Assisted Housing Programs, and advocacy. It also describes how to do a 'Paycheck to Paycheck analysis', for assessing the affordability of workforce housing in service of making the case for taking action.
Mark Ishi, **National Housing Conference /Center for Housing Policy**, 2006, 31pp.
Download ▸ http://www.nhc.org/media/documents/PrivateSectorSolutionsPDF.pdf

18. **Under One Roof: New Governance Structures for Local Economic and Workforce Development**

This three-part series of reports guide jurisdictions that are considering how to align their workforce and economic development organizations. Case studies and strategies are highlighted.

National Center for Education and the Economy, **Jobs for the Future**, 2007
Download ▸ http://www.jff.org/publications/workforce/under-one-roof-new-governance-structures/1040

Sustainable Rural Communities

These resources attempt to address the unique challenges faced by rural communities seeking to enhance their environmental, economic, and social sustainability.

19. **Putting Smart Growth to Work in Rural Communities**
    This report focuses on smart growth strategies that can help guide growth in rural areas while protecting natural and working lands and preserving the rural character of existing communities. These strategies are based around three central goals: 1) support the rural landscape by creating an economic climate that enhances the viability of working lands and conserves natural lands; 2) help existing places to thrive by taking care of assets and investments such as downtowns, Main Streets, existing infrastructure, and places that the community values; and 3) create great new places by building vibrant, enduring neighborhoods and communities that people, especially young people, don't want to leave.

    International City/County Management Association (ICMA), 2010, 36pp.
    Download ▸ http://icma.org/ruralsmartgrowth

20. **Principles for Improving Transportation Options in Rural and Small Town Communities**
    This white paper presents challenges to transportation in rural America and it discusses ways that transportation can enhance rural economies and their livability. Challenges discussed include: transportation safety and public health; local self-determination; regional connectivity; public transportation; and state and local funding. Principles discussed include involving rural communities in planning for their future; improving conditions on existing infrastructure; improving transportation safety; restoring and upgrading freight rail connections; investing in public transportation and paratransit services; and providing inter-city and multimodal transportation connectivity. Members of the Rural Transportation Roundtable aided development of the white paper.

    Lilly Shoup, Becca Homa, **Transportation for America**, Mar 2010, 28pp.
    Download ▸ http://t4america.org/wp-content/uploads/2010/03/T4-Whitepaper-Rural-and-Small-Town-Communities.pdf

21. **Case Studies on Transit and Livable Communities in Rural and Small Town America**
    This report profiles several small communities that have improved their livability via paratransit, rural-scale transit, encouraging growth in village downtowns, accessible services, and bike/ped amenities.

    Sean Barry, **Transportation for America**, 14pp.
    Download ▸ http://t4america.org/wp-content/uploads/2010/09/Livability-Transit-Rural-Case-Studies-WEB.pdf

22. **Application of Industry Cluster-Based and Sector-Focused Strategies to Rural Economies**
    This paper offers examples and recommendations for building the skilled workforce and competitive industries that rural regions need to thrive.

    Lindsey Woolsey, **Corporation for a Skilled Workforce**, 2009, 21pp.
    Download ▸ http://www.skilledwork.org/sites/default/files/Sector-focused%20Strategies%20for%20Rural%20Economies_Final.pdf

23. **Measuring Community Success and Sustainability: An Interactive Workbook**
    This workbook helps rural communities define and evaluate sustainability efforts, citing these five major outcomes:

1. *Increased use of the skills, knowledge and ability of local people;*
2. *Strengthened relationships and communication;*
3. *Improved community initiative, responsibility and adaptability;*
4. *Sustainable, healthy ecosystems with multiple community benefits;*
5. *Appropriately diverse and healthy economies.*

The work plan details what measures to use to evaluate these outcomes, offers case studies, measurement plans, and year-end assessments. The work plan is designed to guide rural communities in evaluating their performance in achieving sustainability goals.

North Central Regional Center for Rural Development, 1999, 83pp.
Download ▸ http://ncrcrd.org/LinkClick.aspx?fileticket=hkoHxss/CTI=&tabid=87

Planning for Environmental Outcomes

These resources cover strategies for improving environmental quality, including tools for planning transit-oriented development. More resources on building demand for alternative modes, smart growth, expanding options, improving collaboration, funding, and tracking progress can be found here: http://www.iscvt.org/who_we_are/publications/Chicago_CLA_Resource_Guide.pdf

APPROACHES FOR ENVIRONMENTAL OUTCOMES

24. **Cost-Effective GHG Reductions through Smart Growth & Improved Transportation Choices**
This report reviews the financial and carbon dioxide emissions benefits of smart growth, improved transportation choices, and transportation pricing.
Steve Winkelman, Alison Bishin, Chuck Kooshian, **Center for Clean Air Policy**, 2009, 19pp.
Download ▸ http://www.ccap.org/docs/resources/677/CCAP%20Smart%20Growth%20-$%20per%20ton%20CO2%20%28June%202009%29%20FINAL%202.pdf

25. **Institutionalizing Smart Growth Principles into the Metropolitan Planning Process**
This final report of a U.S. EPA project is useful to Metropolitan Planning Organizations that are interested in applying smart growth principles to transportation planning. As part of this project the EPA provided technical assistance on smart growth to four MPOs.
The Association of MPOs (AMPO), 2003, 16pp.
Download ▸ http://www.ampo.org/assets/library/3_34846amposmartgrowth.pdf

26. **Noteworthy MPO practices in transportation-land use planning integration**
This report focuses on lessons and experiences of highly effective MPO projects that support transportation-land use integration. AMPO screened these initiatives for innovation, effectiveness and transferability, and selected five examples of notable practices for further assessment. This report would be useful to local policymakers, sustainability directors, and planners.
The Association of MPOs, 2004, 49pp.
Download ▸ http://www.ampo.org/assets/library/4_ampotranlanduserptfinal05.pdf

27. **Brownfield Redevelopment and Urban Economies**
This article discusses the potential benefits of brownfield redevelopment, mainly job creation and reducing sprawl, as well as how to overcome the environmental clean up barriers. It could help community leaders understand the basic issues of brownfield redevelopment.
Federal Reserve Bank of Chicago, 1995, 4pp.
Download ▸ http://www.chicagofed.org/webpages/publications/chicago_fed_letter/1995/may_93.cfm

28. **Sustainable Neighborhoods: Connecting Housing, Community Development & Water**
As community developers engage in comprehensive redevelopment of neighborhoods, water systems are an area of increasing interest and demand. This presentation shows the relationship among water, housing and community development, and it highlights non-profit initiatives for building water/wastewater infrastructure, water conversation programs, and housing development with sustainable water components.

Nancy Stoner, Nathan Wildfire,Mary Jane Jagodzinski, **LISC**, 2009, 63pp.
Download ▸ http://www.lisc.org/docs/experts/2009/eo_2009_06_04.pdf

CASE STUDIES

29. **FHWA Livability Initiative resources**
    The Federal Highway Administration's Livability Initiative provides several resources, including:
    - *Case studies that discuss how livability principles have been incorporated into transportation planning, programming, and project design, by states, regions, and localities:* http://www.fhwa.dot.gov/livability/case_studies
    - *Transit-Oriented Development case studies:* http://fta.dot.gov/publications/publications_10991.html
    - **Livability in Transportation Guidebook: Planning Approaches that Promote Livability**, Oct 2010, 120 pp.: http://www.wsdot.wa.gov/NR/rdonlyres/035FF785-7D8E-4DB0-8D9B-08C0ED2AD936/0/Livability_in_Transportation_Guide.pdf

30. **SB 375 Impact Analysis Report**
    This report can be useful to regions in making the case for integrated, regional, transportation and land use planning. The report examines the potential effects of California Senate Bill 375 on the economic future for the state and the quality of life for its residents. The report did not reach specific conclusions on the overall economic impacts of SB 375 but rather provided an overview of the debate and highlighted available empirical data.

    Urban Land Institute, June 2010, 20pp.
    Download ▸ http://www.uli.org/~/media/Documents/ResearchAndPublications/Reports/Sustainable%20Development/SB375ImpactAnalysisReport.ashx

Planning for Environmental and Equitable Outcomes

These resources offer help in ensuring that environmental strategies also improve social equity.The resources include frameworks and tools for considering both goals, and several resources on the special topic of preserving affordable housing in transit-oriented developments (guides and case studies).

31. **Equitable Development Toolkit**
    This online toolkit includes 27 tools for reversing patterns of segregation and disinvestment, preventing displacement, and promoting equitable revitalization. Tools are organized under affordable housing, health and place, economic opportunity, and land use and environment.

    PolicyLink
    Download ▸ http://www.policylink.org/site/c.lkIXLbMNJrE/b.5136575/k.39A1/Equitable_Development_Toolkit.htm

FRAMEWORKS

32. **Communities of Opportunity: A Framework for a More Equitable and Sustainable Future for All**
    This report describes a framework, "Communities of Opportunity," for remedying chronic inequality. The framework is based on analyses that show that poverty is spatially concentrated, and that housing is central to accessing opportunities in our society.

    John Powell et al, **Kirwan Institute for the Study of Race and Ethnicity, The Ohio State University**, 2007, 24pp.
    Download ▸ http://4909e99d35cada63e7f757471b7243be73e53e14.gripelements.com/publications/Comm_of_Opportunity_Jan_2007.pdf

33. **The Transportation Prescription**
    This policy guide explores the intersection of transportation, health, and equity. It also provides policy and program recommendations for improving health outcomes in vulnerable communities, creating economic opportunity, and enhancing environmental quality.

    Judith Bell & Larry Cohen, **PolicyLink**, 36pp.
    Download ▸ http://www.policylink.org/atf/cf/%7B97C6D565-BB43-406D-A6D5-ECA3BBF35AF0%7D/transportationRX_final.pdf

34. **Education and Smart Growth: Reversing School Sprawl for Better Schools and Communities**
    This report is useful for communities, education reformers, and philanthropists who are interested in incorporating school site placement into smart growth considerations for the benefit of communities and students. The report discusses the benefits of school siting, which include walkable neighborhoods, smaller schools, student performance, and parental/community involvement. The report also includes models for reform and describes opportunities for funders. For a case study of how this concept was implemented in New Jersey, see "Creating Communities of Learning: Schools and Smart Growth", 2004: http://www.edlawcenter.org/ELCPublic/AbbottSchoolFacilities/FacilitiesPages/Resources/SchoolFacilities/PDF/CommunitiesOfLearning.pdf

    Sam Passmore, **Funders Network**, 2002, 12pp.

Download ▸ http://www.fundersnetwork.org/files/learn/education_smart_growth_tpaper.pdf

TRANSIT-ORIENTED DEVELOPMENT & EQUITY

35. **Fostering Equitable and Sustainable Transit-Oriented Development: Briefing Papers for a Convening on Transit-Oriented Development**
    This briefing book includes papers on the perspectives of the public sector, investors/financiers, private sector, and foundations on TOD.
    Center for Transit-Oriented Development, Living Cities, Boston College Institute for Responsible Investment, 2009, 56pp.
    Download ▸ http://www.livingcities.org/download/?id=11

36. **Great Communities Toolkit**
    This toolkit includes stories, policy fact sheets, handouts, campaign instructions, technical tools, and background developed for stakeholders and the advocate community in the Bay Area. The information can also be useful to other regions, in particular the fact sheets on Preventing Residential Displacement, Vibrant Neighborhood Businesses and Great Communities, and Policy Checklist: How to Craft a High Quality Station Area Plan.
    Great Communities Collaborative
    Download ▸ http://greatcommunities.org/resources/regional-tools/gcc-tookit-table-of-contents

37. **Mixed-Income Transit Oriented Development (MITOD) Action Guide**
    This interactive website provides guidance to practitioners seeking to foster mixed-income transit-oriented development. The guide helps identify appropriate planning tools for achieving MITOD in transit station areas by characteristics. It also includes data describing demographics and the market potential of particular transit districts.
    Reconnecting America and the Center for Transit-Oriented Development, 2010
    Website ▸ http://www.mitod.org

38. **Maintaining Diversity In America's Transit-Rich Neighborhoods: Tools for Equitable Neighborhood Change**
    This website presents the results of research into the diversity of transit-rich neighborhoods, the symbiotic relationship between diverse neighborhoods and successful transit, and patterns of neighborhood change in transit-rich neighborhoods. A report on this site discusses the underlying mechanisms of neighborhood change; a toolkit explains policies to create equitable neighborhood change in transit-rich neighborhoods.
    Stephanie Pollack, Barry Bluestone, Chase Billingham, **Dukakis Center for Urban and Regional Policy at Northeastern University**, 2010
    Website ▸ http://www.dukakiscenter.org/trnequity

39. **Preserving Affordability and Access in Livable Communities: Subsidized Housing Opportunities near Transit and the 50+ Population**
    This report explores the availability of affordable rental housing, near public transit, to low-income, older people. The report makes three policy recommendations: preserve existing affordable housing; integrate housing, transportation and land effectively; and improve and invest in public transportation effectively
    Rodney Harrell, PhD, Allison Brooks,Todd Nedwick, **AARP Foundation**, 2009, 53pp.
    Download ▸ http://assets.aarp.org/rgcenter/ppi/liv-com/2009-15x.pdf

40. **Regional Coordination in Atlanta Metro and in the Twin Cities: Understanding the Challenges and Opportunities of Coordinating Housing, Transportation and Workforce Policies**
This report explores regional perspectives on the coordination of housing, transportation and workforce policies.
Emily Salomon and Lynn Ross, **National Housing Conference /Center for Housing Policy**, Jan 2010, 12pp.
Download ▸ http://www.nhc.org/media/documents/Regional_Coordination_in_Atlanta_and_Twin_Cities.pdf

41. **Preserving Affordable Housing Near Transit: Case Studies from Atlanta, Denver, Seattle and Washington, D.C.**
This is a collection of case studies examining what Atlanta, Denver, Seattle and Washington, D.C. are doing to ensure that affordable housing is preserved as cities pursue transit-oriented development. It discusses how the cities are using various tools such as acquisition funds, tax increment financing, and early warning systems.
Leo Quigley, **Center for Transit-Oriented Development**, Sept 2010, 41pp.
Download ▸ http://reconnectingamerica.org/public/display_asset/preservingaffordablehousingneartransit2010

42. **Preserving Affordable Housing Near Transit**
The case studies in this report highlight financing tools and strategies that cities have used to preserve or build new affordable housing near public transit. The case studies also provide creative ways to integrate housing preservation concerns in transit-oriented development.
Leo Quigley, Ed., **AARP and Reconnecting America**, 2010, 41pp.
Download ▸ http://www.reconnectingamerica.org/public/display_asset/preservingaffordablehousingneartransit2010

43. **The Effects of Inclusionary Zoning on Local Housing Markets: Lessons from the San Francisco, Washington DC and Suburban Boston Areas**
This report summarizes lessons learned from implementing inclusionary zoning in the San Francisco, Washington DC and Suburban Boston Areas, representing the experiences of 147 cities/towns and 12 counties. The report includes summaries of the program requirements and how housing markets have been affected.
Furman Center for Real Estate and Urban Policy, The Center for Housing Policy, 2008, 13pp.
Download ▸ http://furmancenter.org/files/publications/IZPolicyBrief_LowRes.pdf

44. **Development Without Displacement, Development With Diversity**
This analysis maps displacement and transit-oriented development dynamics in the Bay Area; it also discusses equitable TOD strategies; it provides city-level case studies of community partnerships around the bay area; it discusses TOD components of existing regional governance programs; and it recommends regional actions.
Marisa Cravens et al., **Association of Bay Area Governments**, 2009, 66pp.
Download ▸ http://greatcommunities.org/intranet/library/sites-tools/dwd-final.pdf

Collaborative Structures: Regional Planning

These resources discuss how various regional planning entities can collaborate more effectively.

45. **Collaborate: Leading Regional Innovation Clusters**
    This report provides guidance on and examples of regional collaboration.

    Council on Competitiveness, 2010, 76pp.
    Download ▸ http://www.compete.org/images/uploads/File/PDF%20Files/Final_Collaborate.pdf

46. **Building Regional Partnerships for Economic Growth and Opportunity**
    This report summarizes lessons from regions developing asset-based economic development strategies based on partnerships. The findings are based on experiences of regional coordination entities, workforce developers, and leading researchers and practitioners.

    Pete Carlson et al., **Jobs for the Future**, 2009, 20 pp.
    Download ▸ http://www.jff.org/sites/default/files/Bldg-RegPartner-EconGrowthOpp.pdf

47. **Metropolitan and Rural Transportation Planning: Case Studies and Checklists for Regional Collaboration**
    This guide provides tools for collaboration between MPOs and RPOs. Brief case studies illustrate specific collaborative processes across a variety of areas.

    National Association of Development Organizations (NADO) Research Foundation, Association of Metropolitan Planning Organizations (AMPO), 2009, 24pp.
    Download ▸ http://66.132.139.69/uploads/rpompo.pdf

Collaborative Structures: Building the Constituency

These resources provide overviews of the field of public engagement; approaches for meaningful engagement; and tools for civic engagement on various aspects of sustainable communities.

OVERVIEWS

48. **Resource Guide on Public Engagement**
    This user-friendly guide is a good starting point for understanding the variety of public engagement tools and resources that are available to practitioners.
    National Coalition for Dialogue & Deliberation, Fall 2010, 20pp.
    Download ▸ http://www.ncdd.org/files/NCDD2010_Resource_Guide.pdf

49. **Handbook on Citizen Engagement: Beyond Consultation**
    This comprehensive guidebook discusses how to institutionalize citizen engagement, how to engage members of specific populations, and how to prepare an engagement process. Its explicit treatment of how to engage historically underrepresented communities is unique among overall how-to guides.
    Amanda Sheedy et al., **Canadian Policy Research Networks**, 2008, 59pp.
    Download ▸ http://www.cprn.org/doc.cfm?l=en&doc=1857

50. **The Connected Community: Local Governments as Partners in Citizen Engagement and Community Building**
    This collection of essays identify steps local governments can take to achieve a higher level of citizen engagement by strengthening connections via the internet and social media, service delivery and performance measurement, the arts, neighborhood organizations, and organizational processes. The following questions are addressed: What are the alternative goals of citizen participation and engagement? What is citizen engagement and what forms does it take? Who is responsible for citizen engagement efforts? How does citizen engagement contribute to community building? What kind of local issues and decisions can benefit from positive and innovative engagement with residents?
    James H. Svara, Janet Denhardt, eds., **Alliance for Innovation**, Oct 2010, 125pp.
    Download ▸ http://www.tlgconference.org/communityconnectionswhitepaper.pdf

HISTORICALLY UNDERREPRESENTED COMMUNITIES

51. **Serving Diverse Communities — Best Practices**
    This online article discusses how to provide services to diverse populations. It includes case studies on work in Oregon and California, involving Latinos, and Southeast Asian refugees.
    Julie C.T. Hernandez, John C. Brown, Christine C. Tien, **International City/County Management Association (ICMA)**, 2007
    Webpage ▸ http://webapps.icma.org/pm/8905/public/cover.cfm?author=&title=Serving%20Diverse%20Communities%20%E2%80%94%20Best%20Practices

52. **Civic Participation**
    This compendium of 21 articles on civic participation examines inclusive and effective civic engagements, and explores community participation options on issues such as affordable housing. It includes articles specific to several ethnic groups.

League of California Cities, 2009, 50pp.
Download ▸ http://transformgov.org/en/knowledge_network/documents/kn/document/3498/civic_participation

TOOLS

53. **Promising Practices In Online Engagement**
This article discusses in detail several examples of online methods of public engagement for empowering citizens to set priorities and gather data; generating bipartisan buy-in; merging online and face-to-face engagement; helping experts and citizens to collaborate; and fostering local problem-solving. It also makes recommendations for organizing an online engagement effort.
Scott Bittle et al., **Public Agenda**
Webpage ▸ http://www.publicagenda.org/pages/promising-practices-in-online-engagement

54. **Picturing Virtual Smart Growth**
This resource provides visual examples of how utilizing smart growth principles can transform communities into vital, thriving places. An interactive map allows users to compare a present day, real place, to its virtual smart growth version.
Natural Resources Defense Council
Webpage ▸ http://www.nrdc.org/smartGrowth/visions/default.asp

55. **Transforming Community Development with Land Information Systems**
This report describes how pioneering organizations and partnerships are turning robust, integrated parcel data systems into powerful tools for guiding community change. It demonstrates how land information systems can be used to address a wide range of community development challenges, including monitoring and preserving affordable housing and planning commercial district revitalization.
PolicyLink, Lincoln Institute of Land Policy, 2008, 52pp.
Download ▸ http://www.policylink.org/atf/cf/%7B97c6d565-bb43-406d-a6d5-eca3bbf35af0%7D/TRANSFORMINGCOMMDEVELOPMENT_FINAL.PDF

Collaborative Structures: Building the Capacity of Participants

These resources can help guide agencies that seek to engage their diverse constituencies, but where the capacity of participants must be enhanced in order to ensure positive outcomes for all concerned.

56. **Beginning with the End in Mind: A Call for Goal-Driven Deliberative Practice**
    This paper argues for fostering deliberative democracy as a means of building capacity for civic engagement in public problem solving, and for improved outcomes of governance and community development.

    Martín Carcasson, **Public Agenda**, 2009, 20pp.
    Download ▸ http://www.publicagenda.org/files/pdf/PA_CAPE_Paper2_Beginning_SinglePgs_Rev.pdf

57. **Briefing Document: What is Deliberative Democracy?**
    This briefing paper includes a detailed table of techniques for engaging citizens in cooperatively analyzing and developing strategies to address issues of public concern.

    Janette Hartz-Karp et al., 15pp.
    Download ▸ http://api.ning.com/files/axR6cah2nweHprlk8LB*jW-hThbznyV5IY1ugo5AKMpt6J4UBK7LhtRrKdRCKkX6nCe*puGueqtlt4iYnrAOFYcLQ2697ujG/CCBriefingDeliberativeDemocracy.pdf

58. **Community Engagement and Capacity Building in Cultural Planning**
    This presentation provides a straightforward framework for capacity building, which is based on building on existing assets. Strategies include connecting to a variety of institutions, leadership development, and collaborative processes.

    Jeff Kohl, **The Ontario Rural Council**, 2008, 30 slides
    Download ▸ http://www.slideshare.net/erobson/community-engagementand-capacity-buildingin-cultural-planning-presentation

59. **Building Community in Place: Limitations and Promise**
    This article argues for community building as a key component of effective engagement of disadvantaged populations. It provides ideas about how to transition to effective community building, including investing in opportunities for peer-to-peer connections, and allowing for more organic development of community institutions. A 2005 case study about Lawrence CommunityWorks that illustrates these ideas in practice is available here: http://www.lcworks.org/ShelterForce%20Magazine%20Network%20Organizing.pdf

    Bill Traynor, **Lawrence CommunityWorks**, 2008, 13pp.
    Download ▸ http://www.lcworks.org/Building%20Community%20in%20Place.pdf

60. **Fostering Social Equity and Economic Opportunity through Citizen Participation: An Innovative Approach to Municipal Service Delivery**
    This paper presents a capacity-building approach to citizen engagement on issues of social and economic equity, focusing on the interdependent nature of government and citizens. The approach is presented via a case study from Rochester, New York.

    Sydney Cresswell et al., University at Albany, **National League of Cities**, 2003, 18pp.

Download ▸ http://www.nlc.org/ASSETS/1D17F8C616B045BCA687FC1E1927D405/Rochester%20Fostering%20Social%20Equity%20and%20Economic%20Opp.pdf

Data for Planning and Monitoring

These resources describe various approaches to developing indicators for sustainable communities offer examples of how particular communities have gone about measuring their progress.

61. **Redefining the Role of United Ways with Results Based Accountability and Asset Based Community Development**
    This article describes how results based accountability and asset based community development strategies can help community development organizations more effectively engage their communities and strengthen them. Though written to United Way's work, the insights in this report are applicable to other community development entities.

    H. Daniels Duncan, **Results Leadership Group**, Jan 2010, 6pp.
    Download ▸ http://resultsleadership.org/media-center/documents/RBA_ABCD_Paper.pdf

62. **Building Environmentally Sustainable Communities: A Framework for Inclusivity**
    This report provides insights about developing metrics for environmental sustainability and economic opportunity. It also provides a framework for integrating inclusion and environmental sustainability goals and activities.

    Urban Institute, Apr 2010, 95pp.
    Download ▸ http://www.urban.org/UploadedPDF/412088-environmentally-sustainable-communities.pdf

63. **Transportation and Community Livability: How Do We Measure Progress and Success?**
    This presentation presents a process for developing a livability measurement (it does not tell the reader how to measure livability). It includes an overview of the types and common properties of indicators, and statistical methods.

    Harvey J. Miller, Frank Witlox, **Transportation Research Board**, Oct 2010, 22 slides
    Download ▸ http://onlinepubs.trb.org/onlinepubs/conferences/2010/livability/Miller.pdf

TOOLS

64. **Housing and Transportation (H+T) Affordability Index**
    This web-based tool measures the affordability of metro regions based on the cost of transportation and housing. Over 330 metro regions in the United States are covered, including Asheville NC, Boston, Cleveland, Detroit, Fresno, Gulfport, Fort Lauderdale, Houston, Madison, Minneapolis-St. Paul, New York, and Seattle.

    Center for Neighborhood Technology
    Website ▸ http://htaindex.cnt.org

65. **TOD Database**
    This database provides extensive economic and demographic information for every existing and proposed fixed guideway transit station in the United States. Data are available at three geographic levels (transit zone, transit shed, and transit region) for over 4,000 current and proposed stations in almost 50 metropolitan areas. A guidebook that builds on the database, "Performance-Based Transit-Oriented Development Typology Guidebook", can be accessed here: http://www.reconnectingamerica.org/public/display_asset/2010_performancebasedtodtypologyguidebook

Center for Transit Oriented Development, 2010
Website ▸ http://toddata.cnt.org

EXAMPLES

66. **Driving: A Hard Bargain**
This paper offers a model for how CNT's Housing and Transportation (H+T) analysis can inform and guide regional planning. CNT produced this customized analysis incorporating detailed, local data provided by the Chicago Metropolitan Agency for Planning and presents recommendations for sustainable growth targeted to municipal, regional and state entities.
Center for Neighborhood Technology, July 2010, 24pp.
Download ▸ http://www.cnt.org/repository/DAHB.pdf

67. **Dashboard Indicators for the Northeast Ohio Economy: Prepared for the Fund for Our Economic Future**
This report presents the analysis that led to the development of eight indicators that correlate to the region's economic activity areas. It analyzes 118 metro areas similar in size to those in Northeast Ohio, and concludes that the following factors correlate with growth metros: skilled workforce, urban assimilation, racial inclusion, legacy of place, income equality, locational amenities, business dynamics, and urbanization/metro structure.
Randall Eberts, George Erickcek, Jack Kleinhenz, **Federal Reserve Bank of Cleveland**, 2006, 54pp.
Download ▸ http://www.clevelandfed.org/research/workpaper/2006/wp06-05.pdf

68. **The Santa Cruz County-Wide Data Book is a Powerful Tool for Community Change**
This online case study presents how the Community Assessment Project of Santa Cruz County has been a critical component, allowing local collaboratives to meet community goals. This case study is taken from the Results-Based Accountability and Outcomes Based Accountability Implementation Guide, which can be viewed here: http://www.raguide.org
Lynn DeLapp, **Results Leadership Group**
Website ▸ http://www.raguide.org/RA/santa_cruz_data_book.htm

69. **The State of Maryland's Spatial Economy**
This is an example of an analysis that can be helpful in tying land use and transportation planning to regional economic development strategies.The webpage links to an article and maps of the spatial economy of Maryland, developed using data from the Quarterly Census of Employment and Wages.
Economic Pulse: An Overview of Maryland's Economic Indicators, Oct 2010, 4pp.
Webpage ▸ http://www.emarketingmd.org/pubs/economicpulse/2010-10-28/story4.htm

Financing Components of Sustainable Communities

These reports discuss approaches financing several aspects of sustainable communities, including transit-oriented development, transportation options, and low-income community businesses.

OVERALL

70. **The Role of Community Partners in Urban Investments**
    This report argues for partnerships between investment intermediaries and community intermediaries to maximize the community benefits of institutional investors, and prevent gentrification.
    Anna Steiger, Tessa Hebb, Lisa Hagerman, **Boston Federal Reserve Bank**, 2008, 27pp.
    Download ▸ http://www.bos.frb.org/commdev/pcadp/2008/pcadp0802.pdf

TRANSIT-ORIENTED DEVELOPMENT

71. **Capturing the Value of Transit**
    This report is geared to policy makers, transit planners and elected officials, who are interested in harnessing a portion of the value that transit confers to surrounding properties in order to fund transit infrastructure or related improvements in station areas. It discusses strategies such as assessment districts, tax-increment financing, joint development, and development impact fees.
    Center for Transit-Oriented Development, 2008, 38pp.
    Download ▸ http://www.reconnectingamerica.org/public/display_asset/ctodvalcapture110508v2

72. **Financing Transit Systems Through Value Capture: An Annotated Bibliography**
    This annotated bibliography reviews decades of national and international research, case studies, and reports on several aspects of capturing the development value of transportation systems: financing, prospects for cost recovery, effects of transit facilities on property values, and walkability impacts on property values.
    Jeffery J. Smith, Thomas Gihring, **Victoria Transport Policy Institute**, Nov 2010, 41pp.
    Download ▸ http://www.vtpi.org/smith.pdf

73. **CDFIs and Transit-Oriented Development**
    This report helps make the case to community development finance institutions to help promote TOD. It provides a description of the benefits of equitable TOD, and how TOD relates to the broad goals of the CDFI industry. There is also a discussion of challenges in ensuring that TOD is equitable; a description of the range of strategies employed to overcome these challenges; and a framework for understanding the potential role(s) of CDFIs in promoting equitable TOD.
    Sujata Srivastava et al., **Federal Reserve Bank of San Francisco, Low Income Investment Fund, Center for Transit-Oriented Development,**, Oct 2010, 43pp.
    Download ▸ http://www.reconnectingamerica.org/public/display_asset/1010_cdfi_transit_oriented_design?docid=463

TRANSPORTATION OPTIONS

For many more resources on financing transportation options, see the Funding Resource List in ISC's 'Promising Practices in Transportation Efficiency Resource Guide', available here: http://www.iscvt.org/who_we_are/publications/Chicago_CLA_Resource_Guide.pdf

74. **Value Capture And Tax-Increment Financing Options For Streetcar Construction**
These case studies on the transit-oriented development experiences of Portland, Tampa and Seattle helped shape the findings of a D.C.-based study that showed that it is possible to forego federal funding and still fully pay for construction costs ($140 million) of a streetcar project by using three value capture tools: tax increment financing, special assessment district, and sharing of private property value increases. The study can be downloaded here: http://www.reconnectingamerica.org/public/reports/1044.

The Brooking Institution, HDR, Reconnecting America, RCLCO, 2009, 73pp.
Download ▸ http://www.reconnectingamerica.org/public/download/brookingsvalueaddedtif2009

75. **Back to the Future: The Need for Patient Equity in Real Estate Development Finance**
This paper makes the case for "patient equity" in walkable projects, i.e. that part of the development financing structure that does not have a defined payback period. It discusses successful examples built over the past 15 years, and argues that high quality, mixed-use development can and should result in superior financial returns.

Christopher B. Leinberger, **Brookings Institution**, 2007, 12pp.
Download ▸ http://www.brookings.edu/~/media/Files/rc/reports/2007/01cities_leinberger/01cities_leinberger.pdf

LOW-INCOME COMMUNITY BUSINESSES

76. **Inner City Capital Connections: Investing in America's Inner Cities**
This report describes how the Inner City Capital Connections program helps inner city businesses, by increasing the flow of equity financing to them. Their strategies include educating businesses on equity financing, increasing their access to capital.

Initiative for a Competitive Inner City, 2009, 24pp.
Download ▸ http://www.icic.org/atf/cf/%7Bc81898b2-76e9-4a18-b838-a3f65c9f06b9%7D/ICCC%20IMPACT%20REPORT%202009.PDF

77. **Enhancing New Markets Tax Credit Pipeline Flow**
The federal New Markets Tax Credit Program permits taxpayers to receive a credit against Federal income taxes for making qualified equity investments in designated Community Development Entities, where all of the investment must be then used by the CDE to provide investments in low-income communities. This report examines the performance of these tax credits during the recession and provides recommendations for maintaining deal flow to support the NMTC project pipeline and overcome financing gaps.

Kevin Leichner, **Federal Reserve Bank of San Francisco**, Oct 2010, 72pp.
Download ▸ http://www.frbsf.org/publications/community/wpapers/2010/working_paper_2010_06_leichner.html

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- Denver's TOD Fund: Beth Humstone, consultant to ISC
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About the Institute for Sustainable Communities

Since its founding in 1991 by former Vermont Governor Madeleine Kunin, ISC has led 72 transformative, community-driven projects in 20 countries. ISC specializes in developing and delivering highly successful training and technical assistance programs that improve the effectiveness of communities and the leaders and institutions that support them.

We welcome your feedback!

This Resource Guide is a work in progress. It will be converted into a web-based resource and continually updated to provide valuable resources to public, private and nonprofit sector leaders working to build sustainable communities. If you have comments on the guide, or ideas for how to improve it, please send them to George Sarrinikolaou at the Institute for Sustainable Communities at gsarrinikoloau@iscvt.org.

This Resource Guide was printed on 100% recycled paper.