

# U.S. Department of Housing and Urban Development

## Office of Sustainable Housing and Communities

### FY2011 Sustainable Communities Regional Planning Grants



**OSHC FY2011 Grant Announcement**

**August 1, 2011**



# Basics of Sustainability

While every community has a different interpretation of sustainability....

*For HUD, sustainability means tying the quality and location of housing to broader opportunities, like access to good jobs, quality schools, and safe streets. It means helping communities that face common problems start sharing solutions. It means being a partner to sustainable development, not a barrier.*

~ Secretary Shaun Donovan



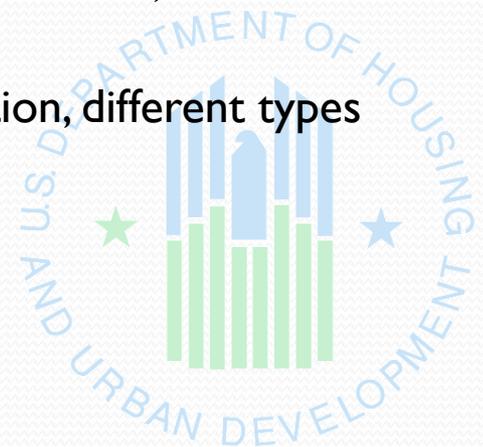
# Defining the Terms

## Sustainable Communities

- Urban, suburban, and rural places that successfully integrate housing, land use, economic and workforce development, transportation and infrastructure investments in a manner that empowers jurisdictions to consider the interdependent challenges of 1) economic competitiveness and revitalization; 2) social equity, inclusion and access to opportunity; 3) energy use and climate change; and, 4) public health and environmental impact.

## Livability

- A measure of integration of the housing, transportation, environmental, and employment amenities accessible to residents.
- A livable community is one with multiple modes of transportation, different types of housing, and amenities located within a reasonable distance.



# Partnership for Sustainable Communities

- HUD, DOT, EPA have formed the Partnership for Sustainable Communities and are committed to aligning programs and resources in support of 6 Livability Principles:



# The Partnership's 6 Livability Principles



Provide more **transportation choices** to increase safety, accessibility, and reliability while reducing household transportation costs.



Promote equitable, affordable housing that expands **location- and energy-efficient housing choices**



Improve **economic competitiveness** of neighborhoods by giving people reliable access to employment centers, educational opportunities, and other basic services.



Target Federal funding toward **existing communities** to increase community revitalization, maintain infrastructure & support local needs



**Align federal policies** and funding to remove barriers to collaboration, leverage funding and increase the effectiveness of existing programs.



Enhance the **unique characteristics** of all communities, whether rural, suburban or urban.

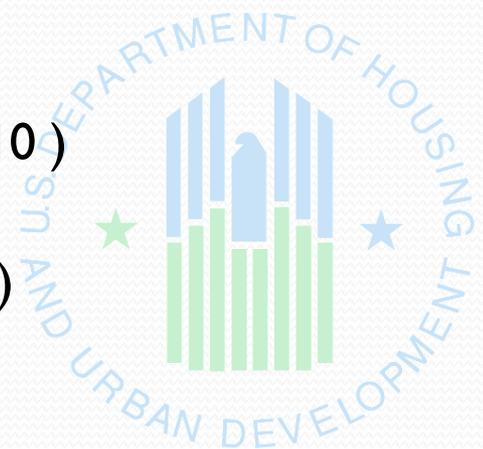
# HUD's Role in the Partnership

## Goal

- To stimulate more integrated planning to guide state, metropolitan, and local investments in land use, transportation and housing, as well as to challenge localities to undertake zoning and land use reforms to support more ***inclusive***, sustainable communities.

## FY 2010-II HUD Resources

- \$166 million for Regional Planning Grants in FY2010-II
- \$68 million for Community Challenge Grants (combined with DOT's TIGER II planning grants in FY2010)
- \$5 million in Capacity Building Grants to intermediaries (with \$0.65 million in EPA technical assistance resources)
- \$10 million for HUD/DOT/EPA research effort



# HUD Sustainable Communities Initiative

## Regional Planning Grants

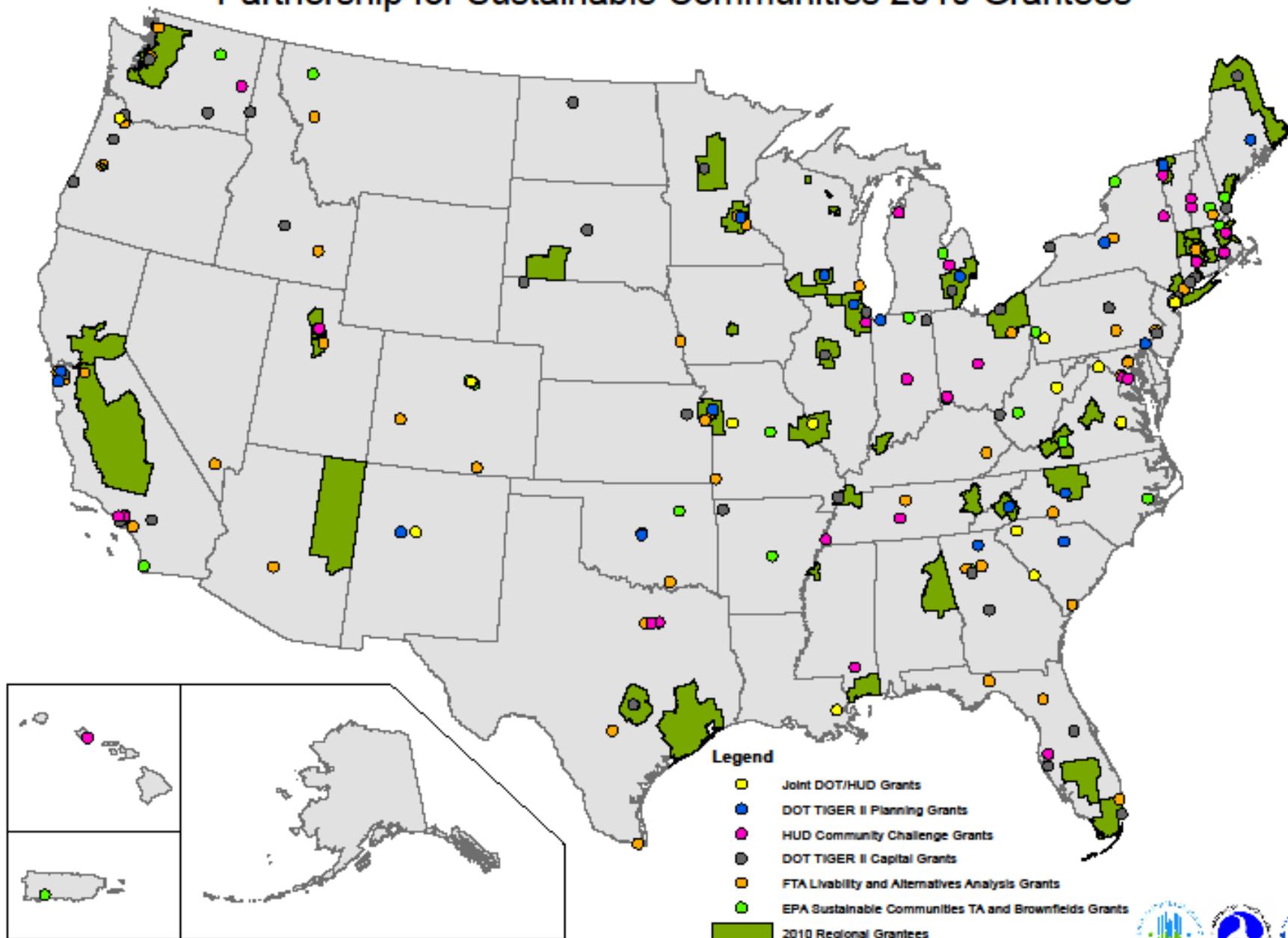
- 225 applicants, \$450 million in demand
- \$98 million awarded to 45 regions
- 13 went to regions with populations under 200,000
- Rich diversity reflects local goals and challenges: Greater Boston, New York, Apache County, AZ; Porcupine, SD, Gulfport, MS

## Community Challenge Planning Grants

- \$40 million awarded by HUD, some in combination with DOT to support better integration between transportation, housing, economic development and land use
- \$1.28 billion in demand
- 43 percent of awards went to places with population less than 100,000



# Partnership for Sustainable Communities 2010 Grantees

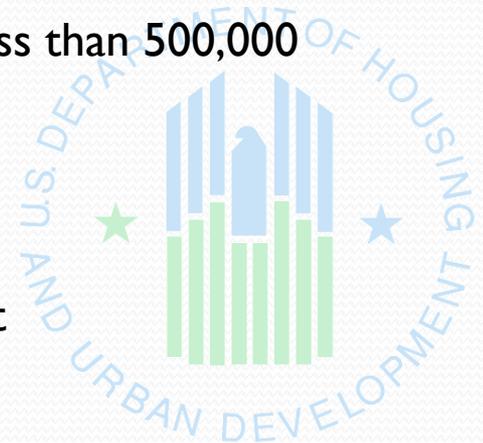


# Sustainable Communities Regional Planning Grant Program



# Overview Information

- Purpose of the Program:
  - support metropolitan and multijurisdictional planning efforts that integrate housing, land use, economic and workforce development, transportation, infrastructure plans
  - empower jurisdictions to consider the interdependent challenges of economic growth and revitalization, social equity, access to opportunity, public health, and environmental impact simultaneously
- Available Funds:
  - approximately \$70 million of which \$2 million will be for a capacity building grant program
  - \$17.5 million committed to regions with a population of less than 500,000
- Period of Performance: 36 months
- Type of Award: Cooperative Agreement
- Funding Categories:
  - **Category 1** – Regional Plans for Sustainable Development
  - **Category 2** – Detailed Execution Plans and Programs



# Overall Program Goals

- Foster development of Sustainable Communities consistent with the six livability principles;
- Support metropolitan areas and multijurisdictional partnerships to adopt integrated plans, strategies, and management tools;
- Create strong alliances of residents and regional interest groups able to maintain a long-term regional vision and simultaneously support incremental sustainable development practices;
- Build greater transparency into planning efforts and assess progress toward national goals by identifying best practices and performance;
- Expedite implementation of the Livability Principles through changes in local zoning and land use that remove barriers to sustainable development;
- Assist regions that have shown a long-term commitment to sustainability to prepare for implementation and demonstrate on-the-ground results
- Identify how Federal agencies can better support local and regional planning and reduce redundant and conflicting Federal requirements



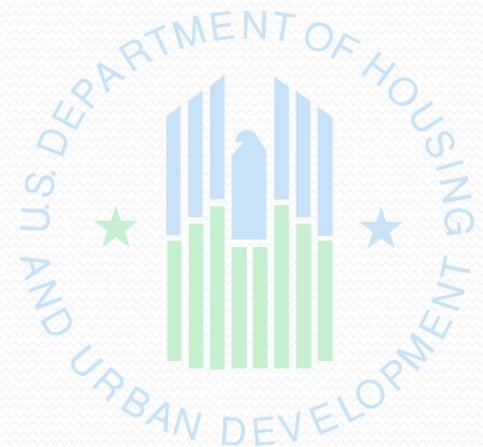
# Changes in the FY2011 NOFA

- **Grant Resources Available.** Formerly \$98 million, now \$68 million.
- **Small Population Set-Aside.** Formerly \$25 million to regions with populations less than 500,000, now \$17.5 million.
- **Eligibility.** FY2010 Regional Planning Grant recipients are not eligible for the FY2011 competition.
- **Purpose.** Educational references added in numerous locations to emphasize its importance to regional sustainability. Prevalence of economic development heightened throughout the NOFA.
- **Definitions.** Cooperative Agreement, Social Equity definitions clarified. Tribal entities involvement as eligible consortium partner clarified.
- **Category 2 Qualification.** Applicants required to show plan that is basis for moving to Category 2 during preapplication.



# Changes in the FY2011 NOFA (cont.)

- **Geography.** State-designated regional planning districts and U.S. EDA economic development districts added as eligible geographies.
- **Grant Amounts.** Formerly \$5M (large), \$2M (medium), \$1M (small); now \$5M (large), \$3M (medium), \$1.5M (small). Minimums raised.
- **Map.** HUD providing web-based tool to produce map of proposed region.
- **Eligible Activities.** Energy efficiency, green building, climate mitigation added as eligible activities. Private finance strategies highlighted.
- **Civil Rights Violations.** Details expanded from FY2010 NOFA summary/reference.



# Funding Categories

Category 1: Regional Plans for Sustainable Development – Prepare Regional Plans for Sustainable Development where such plans do not currently exist (or need significant revision).

- urban design and open space visioning
- outreach efforts to achieve a collective vision among stakeholders
- efforts to have a plan adopted by all appropriate regional governmental bodies

Category 2: Detailed Execution Plans and Programs – Implementation of Regional Plans for Sustainable Development or strengthen elements of existing plans.

- inter-jurisdictional affordable and fair housing strategies
- regional transportation investment strategies and corridor planning
- resident engagement and decisionmaking strategies
- limited predevelopment expenses for regionally significant projects
- applicant must demonstrate it has adopted, and **accepted** long-range plan



# Grant Recipient Expectations

Successful applicants should be able to:

- Identify housing, transportation, economic development, land use, environmental, energy, green space and water infrastructure needs and priorities in a region;
- Establish performance goals and measures that are, at a minimum, consistent with the Livability Principles
- Clearly define a single, integrated plan for regional growth and/or reinvestment over a minimum 20-year timeframe that meets established performance goals;
- Show how the proposed plan is consistent with HUD, DOT, and EPA plans, such as Consolidated, Long Range Transportation, and Stormwater Management Plans;
- Engage residents and stakeholders substantively in the development of shared vision and its implementation early and throughout the process.



# Threshold Requirements

- Meet **pre-application** deadline.
- Meet all threshold requirements contained in HUD's General Section.
- Provide minimum 20 percent in matching funds or in-kind contributions of the total grant request.
- Meet the eligibility requirements set forth in Section III.A.
- Submit proof of partnerships.
- Identify itself as applying in one of the three size applicant types and provide a map of the proposed geography.



# Threshold Requirements (cont.)

- Request allowable grant amount.
- Represent a region that meets all geographic requirements.
- Select only one funding category.
- Be lead applicant in no more than one application.
- Submit a budget summary.
- (Category 2) Provide a copy of the working regional plan for sustainability that is the basis for the proposed work and that has been accepted within the region as the framing document for regional planning (failing that, the applicant will automatically be reviewed as a Category I applicant).

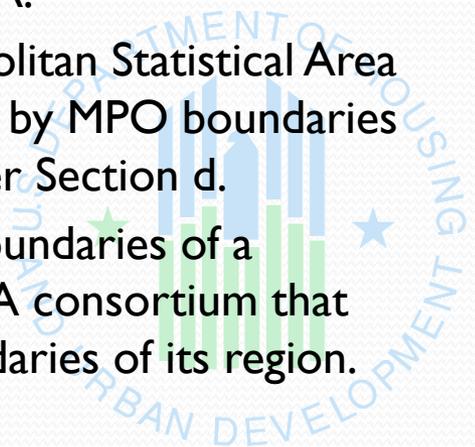


# NOFA Geography

1. An area that includes, but may be larger or greater than, the entire area of:
  - a. The jurisdiction of a single MPO, or jurisdictions of two or more adjacent MPOs;
  - b. A Metropolitan Statistical Area, a Micropolitan Statistical Area, a Metropolitan Division (*if the region is within a Combined Statistical Area with a population exceeding 7,000,000, or a Combined Statistical Area*);
  - c. A region designated under State law or gubernatorial executive order for the purpose of facilitating and coordinating local government planning for land use, transportation, economic development, parks and open space, or other related activities; **OR**
  - d. An Economic Development District designated by the EDA.

In no case shall a region consist of only a portion of a Metropolitan Statistical Area or a Micropolitan Statistical Area unless such region is defined by MPO boundaries under Section a, or State-designated planning boundaries under Section d.

2. A non-delineated area – an area that is entirely outside the boundaries of a Metropolitan Statistical Area or Micropolitan Statistical Area. A consortium that represents a non-delineated area may self-designate the boundaries of its region.



# Eligible Applicants

A consortium representing a region shall, at a minimum, include:

- The traditional central city (or cities) within the boundaries of the region if the region is within a Metropolitan Statistical Area as defined by OMB;
- The city, county, or any other unit of general local government located within the region representing at least 50 percent of the population residing within the region;
- Indian Tribe that will ensure that the consortium represents at least 50 percent of the population residing within the region;
- The MPO, if any, or if the region has multiple MPOs, all MPOs that have jurisdiction within the region; and,
- A non-profit organization or educational institution within the region with the capacity and ability to work with the units of general local government and MPO or MPOs comprising a consortium to advance the objectives of the Sustainable Communities Planning Grant Program.



# Eligible Applicants (cont.)

A consortium representing a non-defined area under II.B. I.c shall, at a minimum, include:

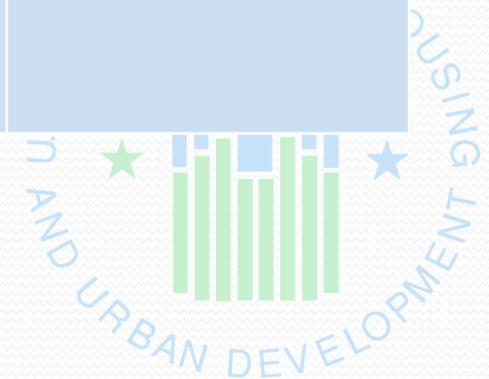
- Units of general local government and/or Indian Tribe representing at least 50 percent of the population residing within the region; and,
- A non-profit organization or educational institution within the region with the capacity and ability to work in partnership with the units of general local government and MPO or MPOs comprising a consortium to advance the program objectives of the Sustainable Communities Planning Grant Program.

A consortium may also include a State government or entity established by a State government, a Council of Governments, a rural planning organization, an Indian Tribal group or body or a Multi-Tribal Organization which has been delegated authority by member Indian tribes to conduct planning and associated management activities on behalf of the member Tribes, additional non-profit organizations and educational institutions, or any other regional governmental organization or body.



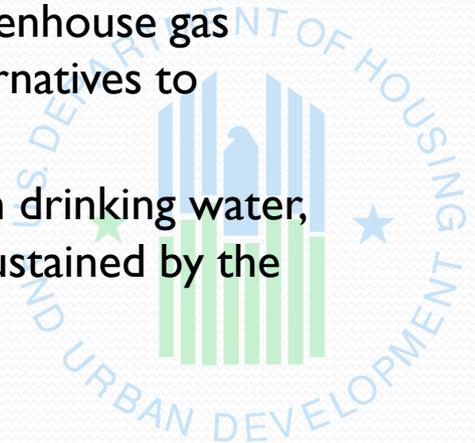
# Geographic Boundaries

Size Category	Population Range	Appropriate Geography	Grant Amount
Large Metropolitan Area	Population greater than 500,000 within the proposed geographic area.	A Metropolitan Statistical Area, a Metropolitan Division, or the jurisdiction of one or more MPOs.	Minimum \$1,000,000 and maximum \$5,000,000
Mid-Sized Region	Population between 200,000 and 499,999 within the proposed geographic area.	A Metropolitan Statistical Area, a Micropolitan Statistical Area, or the jurisdiction of one or more MPOs.	Minimum \$600,000 and maximum \$3,000,000
Small-Sized Region, Rural Communities, or Small Town Area	Population less than 200,000 within the proposed geographic area.	A Micropolitan Statistical Area, the jurisdiction of one or more MPOs, or, if outside the boundaries of a Micropolitan Statistical Area or MPO, the self-designated boundaries of the applicant consortium.	Minimum \$400,000 and maximum \$1,500,000



# Eligible Activities

- Coordinated intergovernmental planning and related public and private development.
- Develop a comprehensive Regional Plan for Sustainable Development, which is a guide for local, regional, and state governmental policy and investments, including:
  - A housing plan that ensures the full range of housing affordable to all ranges of family income is identified and financed throughout the region.
  - Incorporation of equity and fair housing analysis into regional planning through the development of a regional analysis of impediments to fair housing choice.
  - Regional transportation planning that reduces VMT and greenhouse gas emissions, expands transportation choices, and creates alternatives to automobile ownership.
  - Water infrastructure planning to ensure that investments in drinking water, wastewater, and stormwater systems support and can be sustained by the community long term.



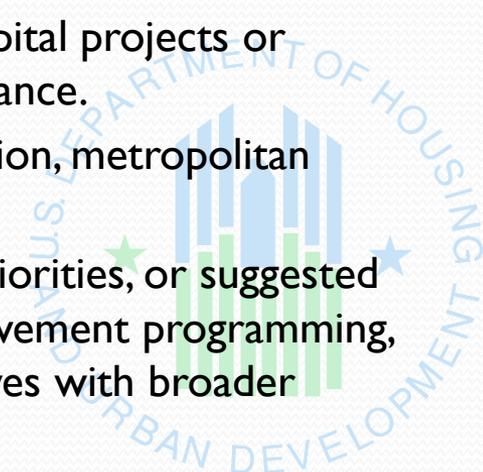
# Eligible Activities (cont.)

- Develop a comprehensive Regional Plan for Sustainable Development, which is a guide for local, regional, and state governmental policy and investments, including:
  - Environmental planning, including assessing the impact of land use decisions on the environment, addressing adverse neighborhood impacts from development, maintaining effective waste management, and protecting natural areas.
  - Planning for economic development activities that stimulate the regional economy and create jobs, including the expansion of existing commercial centers, innovative project finance, and workforce training.
  - Scenario planning to project a variety of economic growth possibilities and anticipate responses to each.
  - Comprehensive climate change impacts assessments.
  - Energy efficiency and green building plans aimed at reducing building energy consumption through a range of community-scale energy strategies.



# Eligible Activities (cont.)

- Identify immediate and long-term policies, administrative procedures, and legislative proposals that influence where growth and development should and should not take place.
- Align infrastructure investment to ensure equitable land use planning consistent with the RPSD.
- Ensure public decision-making and meaningful resident participation throughout the visioning, development, and implementation of the RPSD.
- Identify measures to track the progress toward creating sustainable communities.
- Strengthen management and decision-making capacities of applicable government units and other partners to execute sustainable regional planning.
- **(Category 2 only)** Engage in site-specific planning and design of capital projects or programs to be included in the RPSD and of clear regional significance.
- Preparation of administrative and regulatory measures for the region, metropolitan planning organization, or jurisdictions.
- Technical planning studies concerning local development issues, priorities, or suggested new approaches to housing, economic development, capital improvement programming, or community relations to further the integration of local objectives with broader regional concerns consistent with the Livability Principles.



# Ineligible Activities

- Ineligible administrative activities under OMB Circular A-102, Grants and Cooperative Agreements with States and Local Governments or OMB Circular A-110 Uniform Administrative Requirements for Grants and Cooperative Agreement with Institutions of Higher Education, Hospitals and other Non-Profit Organizations
- Ineligible costs under OMB Circular A-87 (2 CFR 225), Cost Principles for State and Local and Indian Tribal Governments; and OMB Circular A-122, Cost Principles for Non-Profit Organizations
- Duplicative activities that have been approved in a previously awarded planning grant.
- Activities which are funded or are planned to be funded through an existing formula or other award by a federal agency.
- Developing plans that would assist business or industry to relocate to an area to the detriment of communities where the business or industry is currently located. The Uniform Relocation Assistance and Real Property Acquisition.
- Substitution of Sustainable Communities funds for funding already pledged to support community development, housing, watershed, air and water quality, transportation planning, food production and distribution planning, and other planning activities eligible under this Program.



# Factor 1 – Capacity of the Applicant

## Relevant Organizational Experience (15 points)

Organizational Capacity and Qualification (8 points)

Capability and Qualification of Key Personnel (4 points)

Capacity to Address Economic and Social Disparities (3 points)

Applicants should exhibit the following capacities:

- Fiscal management (lead applicant and partners)
- Coordination – Well-described coordinating experience to ensure the participation and accountability of all its partners (lead applicant)
- Administrative management (lead applicant and partners)
- Experience in advancing sustainable development policies
- Experience providing and/or accomplishing intergovernmental planning



# Factor 1 – Capacity of the Applicant

## Relevant Organizational Experience (15 points)

Organizational Capacity and Qualification (8 points)

Capability and Qualification of Key Personnel (4 points)

Capacity to Address Economic and Social Disparities (3 points)

Applicants should exhibit the following capacities:

- Ability to execute housing, transportation, environment, and related long-range plans
- Experience addressing particular challenges facing disadvantaged communities in the region
- Ability to analyze job trends, traffic patterns, demographics, and other indicators
- Ability to develop effective civic engagement strategies
- Description of activities accomplished by the organization that towards achieving the livability principles
- Description of how you have engaged the private sector in your planning activities



# Factor 2 – Need/extent of the problem

## (10 points)

Rating Factor 2 Form (4 points)

Narrative Statement of Need (5 points)

Area of Severe Economic Distress (1 point)

This factor addresses the extent to which there is a need for the proposed program to address a documented problem related to the lack of a regional plan for sustainable development. To assess the applicants need HUD will consider indicators including:

- Housing Costs
- Environmental Quality
- Transportation Access
- Socioeconomic Inequity
- Economic Opportunity
- Food Access
- Healthy Communities



# Factor 3 – Soundness of Approach (50 points)

General Description of Proposed Regional Plan (8 points)

Process to Develop a RPSD (15 points)

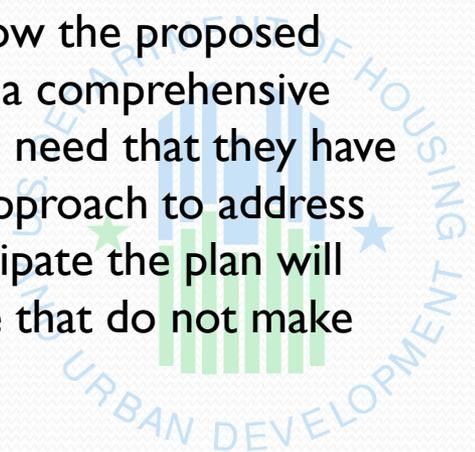
Governance and Management (15 points)

Project Implementation Schedule (4 points)

Budget Proposal (4 points)

HUD Department Policy Priorities (4 points)

Addresses the quality and cost effectiveness of the applicants proposed work plan. Applicants should develop a work plan that includes specific, measurable, and time phased objectives for each major activity. HUD will consider how the proposed approach incorporates all of the requested elements and builds a comprehensive strategy. Applications that show a clear connection between the need that they have identified within their regions (Rating Factor 2), the proposed approach to address those conditions (Rating Factor 3), and the outcomes they anticipate the plan will produce (Rating Factor 5) will receive greater points than those that do not make these connections in the narrative provided.



# Factor 3 – Soundness of Approach (50 points)

## General Description of Proposed Regional Plan (8 points)

Describe the general contents of the plan, including, but not limited to, housing, land use, economic and workforce development, transportation, and water supply and infrastructure plans, that the consortium hopes to produce as a result of its regional visioning and planning process. How will the plan/consortium:

- advance sustainable development in the region?
- use scenario planning to sharpen the regional visioning process?
- incorporate the six Livability Principles into its regional planning exercise?
- respond to the needs demonstrated under Rating Factor 2?
- leverage critical regional economic assets to advance sustainability?
- build inclusive communities free from discrimination, and advance access to economic opportunity for all segments of the population?



# Factor 3 – Soundness of Approach (50 points)

## Process to Develop a RPSD (15 points)

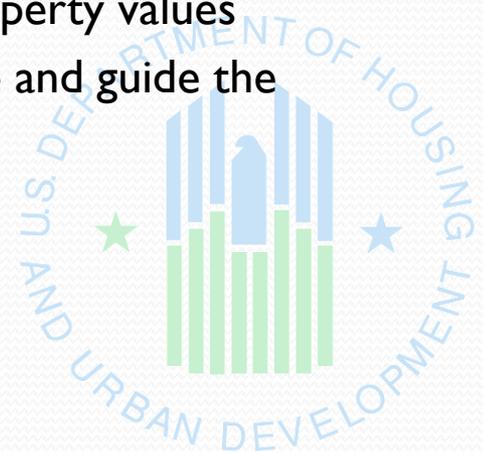
- how the consortium plans to engage a broad cross-section of local communities in the regional visioning process, including low-income, minority, and economically disadvantaged communities, and what efforts will be made to ensure that such communities will have an effective role in developing the regional vision, and in participating in a sustained manner throughout implementation
- how the consortium will assess existing conditions and projected trends in the region with respect to the location of infrastructure investments, regional employment centers, hazardous land uses, and housing choices
- data the consortium will use in developing its regional vision and what role the data described under Rating Factor 2 will play in developing that vision.
- the relationship between the engagement activities anticipated through the planning process and the populations that face social, economic, and health disparities identified in Rating Factor 2
- will formulate a strategy to address the barriers to sustainability identified as a result of the regional visioning process



# Factor 3 – Soundness of Approach (50 points)

## Process to Develop a RPSD (15 points)

- how to achieve regional consensus in support of the RPSD. Detail strategies for solidifying the participation of local independent jurisdictions in coordinated activities while acknowledging local autonomy, where appropriate.
- how other public agencies, including state agencies and special districts, will be engaged to advance elements of the RPSD.
- how the consortium plans to implement the resulting regional vision
- how to deal with residential and small business displacement that could result from infrastructure investments that will increase land costs and property values
- how the consortium will establish and track metrics that gauge and guide the progress of plan implementation



# Factor 3 – Soundness of Approach (50 points)

## Governance and Management (15 points)

- detail the formal structure of the consortium, including its decision-making mechanisms and specific strategies to ensure that perspectives of diverse, traditionally underrepresented populations directly influence the development and implementation of the RPSD. **(5 points)**
- describe the role each consortium member will play in the regional visioning and planning process.
- describe the commitment of each partner, the strategy for incorporating any additional potential partners who may not currently be part of the consortium
- describe the budget resources that will be dedicated to ensuring that organizations that can deepen the diversity of participation in the planning process can do so
- describe the data management plan
- ensure the implementation of the RPSD, including, if possible, the identification of future funding commitments.



# Factor 3 – Soundness of Approach (50 points)

## Project Implementation Schedule (4 points)

- describe the timeline for developing the RPSD, including start and end dates for each activity, milestones for the critical actions you will take, and the expected metrics you will use to track progress towards achieving results
- detail the mechanisms that will be used to advance economic opportunity for populations performing below the regional median, including and not limited to community monitoring agreements, employment development strategies, targeted neighborhood plans, and activities that affirmatively further fair housing.



# Factor 3 – Soundness of Approach (50 points)

## Budget Proposal (4 points)

- the applicant's budget proposal should thoroughly estimate all applicable costs (direct, indirect, and administrative), and be presented in a clear and coherent format in accordance with the requirements listed in the General Section. *HUD is not required to approve or fund all proposed activities.*
- no less than 10 percent of the budget request should be committed to activities that specifically support the goals of the NOFA to deepen the engagement, participation, and nontraditional governance structures
- the applicant's budget justification narrative associated with these budgeted costs should be submitted as part of the Total Budget



# Factor 3 – Soundness of Approach (50 points)

## HUD Department Policy Priorities (4 points)

### Capacity Building and Knowledge Sharing

- Increase the skills and technical expertise of partner organizations
- Share knowledge among partners

### Expand Cross-Cutting Policy Knowledge

- To achieve full points, the applicant must indicate what data they and/or partner organizations will collect on outcomes for the defined target area (e.g., changes in commuting time, improved health outcomes, VMT measures, etc.).
- The applicant should specifically describe how they intend to disseminate policy lessons learned during the planning process to a diverse range of potential audiences, including policymakers, other regional consortia, and interested community leadership



## Factor 4 – Leveraged Resources (7 points)

- This factor addresses the ability to obtain other community, public sector, private sector, and other resources that can be combined with HUD’s program resources to achieve program objectives and to increase the effectiveness of the proposed program activities.
- Federal dollars do not count toward leverage unless otherwise permitted by that program’s authorizing statute , but applicants that demonstrate that they will integrate activities supported by other HUD programs, Partnership agencies (EPA and DOT), and other federal agencies for the specific planning efforts supported by this grant will receive a greater rating (e.g., *federally mandated transportation planning, EDA CEDS Planning, EPA State Revolving Fund plans*).
- HUD will provide up to 2 points for applicants who demonstrate that their planning efforts will align with state government initiatives that prioritize sustainable planning and development that reinforce the Federal Partnership Livability Principles.

<b>Documented Match, Leveraged Resources, and Other Contributions</b>	<b>Points Awarded</b>
20 percent (required match)	0 Points
>20 - ≤ 35 percent	1 Points
>35 - ≤ 50 percent	2 Points
> 50 percent	3 Points
Integration of state planning activities	Up to 2 points
Integration of other federal planning activities	Up to 2 points

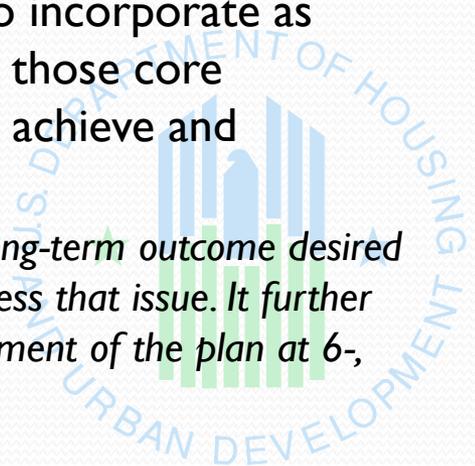


# Factor 5 – Performance Measures (18 points)

## Rating Factor 5 Form (8 points)

## Rating Factor 5 Narrative Statement of Need (10 points)

- The applicant is required to clearly identify the benefits or outcomes of their proposed program. Because all of those outcomes will not be realized during the duration of the grant period, applicants will be evaluated on their ability to identify the outcomes they seek to achieve, the clarity with which they articulate the elements of the RPSD that will help achieve those outcomes, and the specificity of the benchmarks that they establish to measure progress.
- HUD has identified eight outcomes that it expects all regions to incorporate as central to achieving sustainability. Applicants should supplement those core expectations with whichever additional outcomes they hope to achieve and complete the Rating Factor 5 form
- *The table describes the issues that are being targeted to be addressed, the long-term outcome desired for the region, and the element of the regional plan that will attempt to address that issue. It further allows the applicant to specify to benchmarks toward completion of each element of the plan at 6-, 12-, and 24-month intervals.*



# Factor 5 – Performance Measures (18 points)

## Rating Factor 5 Form (8 points)

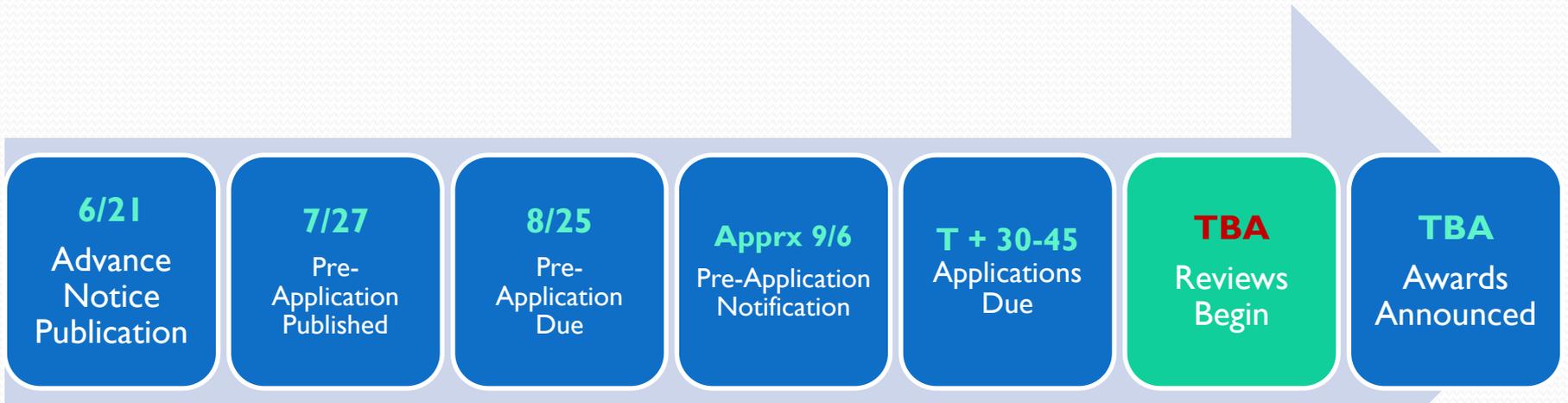
## Rating Factor 5 Narrative Statement of Need (10 points)

### **Mandatory Outcomes from Creation of a Regional Plan for Sustainable Development**

- Regional transportation, housing, water, and air quality plans that are deeply aligned and tied to local comprehensive land use and capital investment plans.
- Aligned federal planning and investment resources that mirror the local and regional strategies for achieving sustainable communities.
- Increased participation and decision-making in developing and implementing a long range vision for the region by populations traditionally marginalized in public planning processes.
- Reduced social and economic disparities for the low-income, minority communities, and other disadvantaged populations within the target region.
- Decreased per capita VMT and transportation-related emissions for the region.
- Decreased overall combined housing and transportation costs per household.
- Increased share of residential and commercial construction on underutilized infill development sites that encourage revitalization, while minimizing displacement in neighborhoods with significant disadvantaged populations.
- Increased proportion of low and very low-income households within a 30-minute transit commute of major employment centers.



# NOFA - Timeline



# NOFA Support Materials

- Web: [www.hud.gov/sustainability](http://www.hud.gov/sustainability)
- Email: [sustainablecommunities@hud.gov](mailto:sustainablecommunities@hud.gov)
  
- Frequently Asked Questions
- Webinars for external stakeholders

