



PROMISE ZONES - Third Round Urban Application Guide



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1 GENERAL OVERVIEW

2 **Description of the Promise Zones Initiative**

3 The Promise Zones Initiative seeks to revitalize high-poverty communities across the
4 country by creating jobs, increasing economic activity, improving educational opportunities,
5 reducing violent crime, leveraging private capital, and assisting local leaders in navigating
6 federal programs. This is the application guide for urban Promise Zones. The rural and tribal
7 application guide is located at <http://www.hud.gov/promisezones/>. Promise Zones will not
8 receive grant funding. The Promise Zone designation partners the Federal government with
9 local leaders who are addressing multiple community revitalization challenges in a collaborative
10 way and have demonstrated a commitment to results. Subject to the limitations described
11 below, Promise Zone Designees will receive:

- 12 • Opportunity to engage Five [AmeriCorps VISTA](#) members in the Promise Zone
- 13 • A federal liaison assigned to assist with navigating federal programs.
- 14 • Preferences for certain competitive federal programs and technical assistance from
- 15 participating agencies.
- 16 • Promise Zone tax incentives if enacted by Congress.

17 Altogether, this package of assistance will help local leaders accelerate efforts to revitalize
18 their communities. The Promise Zone designation will be for a term of 10 years, and may be
19 extended as necessary to capture the full term of availability of the Promise Zones tax
20 incentives, if enacted by Congress. During this term, the specific benefits made available to
21 Promise Zones will vary from year to year, and sometimes more often than annually, due to
22 changes in an agency's policies and changes in appropriations and authorizations for relevant
23 programs. All assistance provided to Promise Zones is subject to applicable regulations,
24 statutes, and changes in Federal agency policies, appropriations, and authorizations for relevant
25 programs. Subject to these limitations, the Promise Zone designation commits the Federal
26 government to partner with local leaders who are addressing multiple community revitalization
27 challenges in a collaborative way and have demonstrated a commitment to results.

28 **Third Round Promise Zone Designation Process**

29 The third round of Urban Promise Zone designations will be made pursuant to this
30 document.¹ A total of 20 Promise Zone designations will be made by spring 2016. To date,
31 nine urban, two rural and two tribal communities have been designated. As a result of this
32 competition, the Department of Housing and Urban Development (HUD) intends to designate
33 five urban communities and the Department of Agriculture (USDA) intends to designate one
34 rural and one tribal community.

¹ The rural and tribal application guide is located at: <https://www.hud.gov/promisezones/>.



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1 Applications for Promise Zone designations will be reviewed and evaluated by
2 representatives from across the federal government including: USDA, HUD, Department of
3 Education, Department of Justice, Department of Health and Human Services, Department of
4 Labor, Department of Transportation, Department of Treasury, Department of Commerce,
5 Corporation for National and Community Service, National Endowment for the Arts,
6 Environmental Protection Agency, and the Small Business Administration. Reviewers will first
7 verify that the proposed Promise Zone meets the community eligibility criteria and that the
8 Lead Applicant meets the eligibility criteria (see page 9 and 10 for eligibility and community
9 eligibility criteria and page 22 for a complete list of the threshold requirements). For urban
10 applications, reviewers will confirm the subcategory in which each application should be
11 considered (large Metropolitan Core Based Statistical Area [Metro CBSA] or small/medium
12 Metro CBSA).²

13 After verifying for each application that all the required components were submitted, that
14 the Lead Applicant is eligible and the proposed Promise Zone would qualify, the reviewers will
15 score all of the applications according to the points assigned to selection criteria shown in the
16 *Application Guide* for the appropriate Promise Zones category (urban, rural or tribal).

17 After scoring each application according to the Application Guide criteria, HUD may
18 consider, in addition, to the application materials, information available from participating
19 agency records, public sources such as newspapers, Inspector General or Government
20 Accountability Office reports or findings (see footnote 12 for information on possible
21 disqualification based on audit finding). Any evidence cited in the Goals and Activities Template
22 may also be reviewed.

23 ➤ **Categories and Sub-Categories**

24 An application must score a total of 75 points or more out of 105 points, to be
25 considered for a designation. Once scored, applications will be ranked competitively
26 within each of the three Promise Zones categories and within the urban
27 subcategories, as applicable. Rural applications will be ranked against other rural
28 applications, tribal applications will be ranked against other tribal applications, and
29 urban applications will be ranked against other urban applications within their
30 Metro CBSA subcategory, as applicable.

31 HUD intends to designate at least one applicant from the small/medium Metro
32 CBSA sub-category if the highest scoring small/medium Metro CBSA application is
33 comparable in quality to other urban designees (within 10 points of the lowest
34 scoring designee and not otherwise disqualified in accordance with all other
35 requirements contained within this application guide). If the number of eligible
36 applications determined to belong to the small/medium Metro CBSA subcategory is

² See urban application subcategory definitions on page 25.



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1 fewer than the greater of 1) five total applications, or 2) ten percent of the total
2 number of urban applications received, then the applications in the small/medium
3 Metro CBSA subcategory will be included in the large Metro CBSA subcategory and
4 ranked against those applications.

5 ➤ **Geographic Diversity**

6 The Promise Zones initiative will provide communities and the federal
7 government with the opportunity to demonstrate and accelerate the impact of
8 coordinated federal investment in communities in which stakeholders have come
9 together with a focus on results. The participating federal agencies seek to establish
10 a diverse cohort of quality designees in order to demonstrate strategies that may be
11 useful for communities working on comprehensive revitalization in many contexts
12 nationwide. Therefore, the agencies may select a lower-ranked application over a
13 higher-ranked application, within a category or subcategory, from among those
14 scoring 75 points or more overall, for purposes of establishing geographic diversity
15 with respect to both existing Promise Zones and those to be selected as a result of
16 the third round selection process.

17 ➤ **Promise Zone Finalists**

18 The participating federal agencies may also choose to name the applicants who
19 scored just below the level needed for a designation as "Promise Zone Finalists".
20 The purpose of selecting Promise Zone Finalists is to recognize communities whose
21 application scores reflect high-quality strategies under the criteria set forth in the
22 *Application Guide*, but who did not score sufficiently high enough for a designation
23 under the terms of the competition set forth in the *Application Guide*. The number
24 of finalists designated will be determined by HUD taking into account scores
25 received by all of the applicants in the relevant category and/or subcategory, and
26 other elements of the selection process set forth in the *Application Guide*. The
27 participating federal agencies will seek to expand national knowledge about Promise
28 Zone Finalist communities and their revitalization strategies by posting information
29 submitted in the Finalists' applications on agency websites. The participating federal
30 agencies will also communicate regularly with Finalists about opportunities for
31 relevant funding or technical assistance that may become available, although no
32 preference points or other Promise Zone designation advantages in federal funding
33 competitions will be awarded as a result of Finalist status.

34 ➤ **Notifications of Decisions**

35 Notification of decisions will be made by letter. Additional notification may be
36 sent by email to the designated applicant point of contact listed in the application.

37



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1 Application Submission Instructions and Deadline

2 **Overview**

3 The Third Round Application Guide is the controlling document for the Third Round
4 Selection Process. Application materials must be submitted according to the requirements and
5 specifications articulated in this document, including any technical amendments published in
6 the Federal Register. Clarifications will be issued through Questions and Answers posted to the
7 Promise Zones Initiative website at www.hud.gov/promisezones.

8 A non-binding Application Request Form is due by **[TBD]**, 24 hours before the application
9 submission deadline. The Application Request Form should include the Lead Applicant
10 organization and tentative name of the proposed Promise Zone. The Application Request Form
11 can be completed and submitted via [MAX Survey](#). Once the form is submitted, the applicant
12 will receive, no later than by the next business day, an individualized, tokenized link to access
13 the Promise Zone application.

14 **HUD encourages applicants to request a token (online access to the application) several**
15 **weeks before** the application submission deadline. In addition, HUD urges applicants to submit
16 applications 72 hours prior to the application due date to address in a timely fashion any
17 technical problems that the applicant may experience in MAX Survey. Applicants are also
18 encouraged to participate in tutorial and help sessions that may be organized by HUD to
19 support applicants in using the MAX Survey system. Notification of such sessions will be posted
20 to the Promise Zone website and distributed via email during the application response period.
21 Electronic copies of application materials must be received by 5:00 p.m. EST on **[TBD]** via [MAX](#)
22 [Survey](#). Your application must be **received** by MAX.gov. Your application is “received” when
23 MAX.gov provides you an email confirmation of receipt with a date and time stamp. **If you do**
24 **not see this confirmation of receipt with a date and time stamp, your application has not**
25 **been received.** Please note that busy servers, slow processing or upload issues due to large file
26 sizes are not valid reasons for extensions, and only applications received via Max.gov by 5:00
27 PM EST will be considered.

28 Receipt of a confirmation email from Max.gov does not indicate that the application
29 contains all of the required information, only that information has been input to the survey
30 and/or files have been attached, and such information and files have been received. Applicants
31 are strongly encouraged to review the application checklist prior to clicking the “submit” button
32 at the end of the survey, in order to check that they have included all required information.
33 Once an applicant clicks the “submit” button, the applicant loses the ability to modify its
34 information. After a submission, Max.gov provides an opportunity to download a copy of
35 submitted information in addition to providing an email confirmation of submission. Except as
36 provided for below in regards to technical corrections to deficient applications, HUD may not
37 consider any unsolicited information that applicants may want to provide after the application
38 deadline.



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1 **Corrections to Deficient Applications**

2 HUD may not seek clarification of items or responses that improve the substantive quality
3 of an applicant's response to any rating factors or which correct deficiencies which are in whole
4 or part of a rating factor. HUD may contact the applicant to clarify other items in its
5 application. In order not to unreasonably exclude applications from being rated and ranked in
6 situations where there are curable deficiencies, HUD will notify applicants of each technical
7 deficiency and will do so on a uniform basis.

8 If HUD finds a curable deficiency in an application, HUD will notify the contact(s) listed in
9 the application by email describing the clarification or technical deficiency. Email notification
10 will be sent from HUD with confirmation of delivery receipt requested. The email notification
11 will be the official notification of the need to cure a technical deficiency. It is the responsibility
12 of applicants to provide accurate email addresses for receipt of these notifications and to
13 monitor their email accounts to determine whether a cure letter has been received. The
14 applicant must carefully review the request for cure of a technical deficiency and must provide
15 the response in accordance with the instructions contained in the deficiency notification.

16 Clarifications or corrections of technical deficiencies must be received by HUD within the
17 time limits specified in the notification. In no case shall the time allowed to correct deficiencies
18 exceed 14 calendar days or be less than 48 hours from the date of the email notification. The
19 start of the cure period will be the date stamp on the email HUD sends to the applicant. If the
20 deficiency cure deadline date falls on a Saturday, Sunday, federal holiday, or other day when
21 HUD's Headquarters offices in Washington, DC, are closed, then the applicant's correction must
22 be received on the next day that is not a Saturday, Sunday, or federal holiday, or other day
23 when the HUD's Headquarters offices in Washington, DC, are closed.

24 **Waiver of Electronic Submission Requirements**

25 An applicant demonstrating good cause (such as an inability to access MAX Survey in a
26 reliable way) may request a waiver from the requirement for electronic submission. Applicants
27 who are unable to submit their applications via [MAX Survey](#) must submit a request by email to
28 make alternative arrangements 15 days prior to the application due date **[TBD]**. Applicants that
29 are granted a waiver of the electronic submission requirements will not be given additional
30 time to submit their applications. The deadline date for paper and electronic applications will
31 remain the same. Applicants requesting a waiver should submit their waiver requests via e-
32 mail to Promisezones@hud.gov. The subject line must contain the name of the applicant and
33 "Request for Waiver to Electronic Application for Promise Zones." Such requests will be
34 considered on a case-by-case basis and approvals or rejections for alternative submission will
35 be sent by **[a date TBD]** by HUD. If an applicant is granted a waiver of the electronic
36 submission, the approval notice will provide instructions for submission, as well as how and
37 where to submit each copy. Paper applications received without a currently approved waiver
38 from the Promise Zone office and/or after the established deadline date will not be considered.



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1 **Application Overview**

2 The application consists of a combination of items directly entered into MAX Survey
3 (executive summary, general abstract information, and a Goals and Activities Template) and a
4 series of attachments that must be uploaded independently into MAX Survey. A more
5 thorough breakdown of the application components and threshold requirements are located on
6 page 22. The documents that must be uploaded into MAX Survey include:

- 7 • A Mapping tool data sheet (automatically generated for applicant when using the
8 Promise Zone mapping tool as detailed within Application Section II, page 11),
- 9 • Additional Documents that when combined do not exceed 35 pages (does not include
10 the mapping tool or narrative). These additional documents include:
 - 11 ▪ Letter(s) that demonstrates the commitment from UGLG leadership,
 - 12 ▪ A to scale city map and community level map,
 - 13 ▪ Preliminary Memorandum of Understanding (MOU),
 - 14 ▪ Any additional letters of support, tables, figures, charts, or additional maps.
- 15 • A separate 25 page narrative detailing items as requested in Application Sections III, IV,
16 and V. The specific formatting requirements of the narrative are as follows:
 - 17 **1)** Double-spaced text to include any tables or figures (pages with single-
18 spaced text will be counted as two pages),
 - 19 **2)** 8½ x 11-inch paper;
 - 20 **3)** Approximately one inch margins (½ inch margins or smaller will count as 2 pages);
 - 21 **4)** 12-point Times New Roman font (to include text that accompanies tables or figures);
 - 22 **5)** All pages should be numbered, any pages marked as sub-pages (e.g., with numbers
23 and letters such as 25A, 25B, 25C), will be treated as separate pages
 - 24 **6)** Mark each section clearly (i.e. Section IV Part A: Needs and Assets)
 - 25 **7)** Shrunken pages, or pages where a minimized/reduced font are used, will be counted
26 as multiple pages

27 To the extent that application components require resolutions, approvals or other actions
28 by local governing boards, legislative bodies, regulatory bodies, or other entities with fixed
29 schedules for consideration of such actions and such actions cannot be taken prior to the
30 application deadline, applicants must submit electronically by email to PromiseZones@hud.gov
31 the following information by the application deadline: description of the action to be taken,
32 date on which the action is expected, and information necessary to demonstrate its relevance
33 to the proposal. Upon completion of the identified governmental action, applicants must
34 submit by email evidence of the action taken. All emails must include the subject line
35 “Additional submission materials” and the name of the Promise Zone lead applicant. If
36 applicants are not able to send electronic copies of the materials, they may request to send
37 paper copies. However HUD must grant written permission for such a paper transmission in
38 advance. Depending upon the importance of such actions to a selected applicant’s Promise
39 Zone Plan, the participating federal agencies may make the Promise Zone designation
40 contingent upon the receipt of evidence that the action has been taken.



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1 APPLICATION SECTIONS

2 **Section I – Executive Summary**

3 An Executive Summary that describes the Promise Zone Plan, including (1) a brief
4 description of the needs and assets of the proposed Promise Zone; (2) the goals of
5 the Promise Zone; (3) activities to achieve goals; (4) the Lead Applicant’s capacity to
6 achieve results; and (5) how the Promise Zone designation would accelerate or
7 strengthen existing efforts at comprehensive community revitalization.

8 An optional submission of no more than 3 JPEG photographs of the
9 neighborhoods, buildings and streets within the proposed Promise Zone is also
10 encouraged. Since these photos may be used in promotional material in association
11 with the announcement of the third round designees, be sure the photographs do
12 not include images of individuals as this would require specific release forms from
13 anyone in the image. The submission of photographs will in no way affect the
14 scoring outcome of an application.

15 **Section I Submission Requirement:**

- 16 i. Executive Summary via [MAX Survey](#) with a 2,000 character limit, including
17 spaces (this limit is applied automatically to information entered into MAX
18 Survey).
- 19 ii. **Optional:** Up to 3 optional JPEG images of the neighborhoods, buildings and
20 streets within the proposed Promise Zone. Include a statement verifying that
21 the applicant owns all rights to the images submitted and that HUD and its
22 federal partners may use those images for promotional purposes.

23 **Section II – Eligibility Criteria**

24 ➤ **Abstract**

25 The abstract will serve as a summary of key application information and must
26 clearly identify one Lead Applicant organization, staff point(s) of contact and provide
27 the email and telephone contact information of the Lead Applicant. The abstract
28 must also: identify the application category (urban, rural or tribal; see page 23) and,
29 for urban applications, the subcategory (large Metro CBSA or small/medium Metro
30 CBSA; see page 25); jurisdictions included in the proposed Promise Zone boundaries;
31 name of the supporting UGLG; and list of implementation partners; and provide the
32 economic and population data provided from the Promise Zone mapping tool data
33 sheet (described below under Community Eligibility Criteria).

34 ➤ **Lead Applicant Eligibility**

35 Due to the nature of the initiative, Promise Zone activities are likely to be carried
36 out by a variety of organizations and organization types. Eligible Lead
37 Applicant/Lead Organization for Promise Zone designations are:



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- 1 i. Units of Local Government (UGLG)³;
- 2 ii. An office/department of a local government submitting on behalf of the local
- 3 government under a local delegation of authority;
- 4 iii. Nonprofit organizations⁴ applying with the support of the UGLG; and
- 5 iv. Public Housing Agencies, Community Colleges, Local Education Agencies
- 6 (LEAs), or Metropolitan Planning Organizations (MPO)⁵ applying with the
- 7 support of the UGLG.

8 ➤ **Community Eligibility Criteria**

9 All of the following must be present in an application for a proposed Promise
10 Zone to be eligible for designation:

- 11 i. Proposed Promise Zone must have one contiguous boundary and cannot
12 include separate geographic areas;⁶
- 13 ii. The rate of overall poverty or Extremely Low Income rate (whichever is
14 greater) of residents within the Promise Zone must be at or above 32.5%;⁷
- 15 iii. Promise Zone boundaries must encompass a population of at least 10,000
16 but no more than 200,000 residents;
- 17 iv. The Promise Zone application must affirmatively demonstrate support from
18 all mayors or chief executives of UGLGs that include any geographical area
19 within the proposed Promise Zone boundary, where such city(is), county(ies),
20 parish(es), or county equivalent(s) is(are) the sole UGLG(s) providing general
21 government services for such geographical area(s), subject to the following
22 conditions:
 - 23 a. The chief executive of a city, county, parish, or county equivalent may
24 only affirmatively demonstrate support for the Promise Zone Plan of one
25 proposed Promise Zone containing a geographical area in which the city,
26 county, parish or county equivalent is the sole provider of general public
27 services;

³ Unit of general local government as defined in section 102(a)(1) of the Housing and Community Development Act of 1974 (42 U.S.C. 5302(a)(1)). [See definition \(a\) \(1\) Unit of General Local Government.](#)

⁴ Including Workforce Investment Boards (WIBS) and Community Action Agencies (CAA) Examples are illustrative and not exhaustive. See Definition of nonprofit on page 24.

⁵ See Definitions of Public Housing Agency, LEAs and MPO on page 24.

⁶ Applicants are required to use the Promise Zone mapping tool to show both the boundary and the poverty levels. The mapping tool emails this information as a PDF to the applicant. This PDF must be included in the application. See page 27 for more information on the mapping tool.

⁷ The reported poverty rate or Extremely Low Income rate will be rounded to the nearest .1%.



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- 1 b. Subject to the limitation in paragraph a. above, the chief executive of a
- 2 county, parish, or county equivalent may affirmatively demonstrate
- 3 support for the Promise Zone Plan of any proposed Promise Zone located
- 4 in the county, parish, or county equivalent where another UGLG also
- 5 provides general government services;
- 6 c. With the exception of paragraph b. above, if the Mayor or chief executive
- 7 of a county, parish or county equivalent demonstrates affirmative
- 8 support for the Promise Zone Plan of more than one proposed Promise
- 9 Zone in which the UGLG he or she represents is the sole provider of
- 10 general government services, all of the applications from that UGLG will
- 11 be disqualified from the competition;
- 12 d. Where the proposed Promise Zone boundaries cross UGLG boundaries,
- 13 one Lead Applicant must be identified for the Promise Zone application,
- 14 and commitment must be demonstrated by the mayors or chief
- 15 executives of all of the UGLGs that are sole providers of general
- 16 government services for any part of the proposed Promise Zone
- 17 geographical area; and
- 18 e. If a Promise Zone designated in Round 1 or 2 is located within a UGLG in
- 19 which a new application is being submitted, the applicant must include
- 20 an explanation of how, if a second Promise Zone designation is made, the
- 21 UGLG that is the sole provider of general government services plans to
- 22 work with both of the Promise Zone designees at the same time and
- 23 sustain the level of effort, resources and support committed to each
- 24 Promise Zone under its respective Promise Zone Plan for the full term of
- 25 each Promise Zone designation. This explanation must be evidenced by
- 26 commitments from the UGLG in materials submitted by the mayor or
- 27 chief executive in support of the application.

Section II Submission Requirements:

- 29 i. All pages of the PDF mapping tool data sheet to demonstrate poverty level
- 30 and population levels. *Does not count toward 25 page narrative (a*
- 31 *combination of sections III-V) or the 35 page limit for attachments.*
- 32 ii. Abstract and mapping tool data information to be entered on [MAX Survey](#).
- 33 iii. Letter(s) that demonstrates the commitment from Mayors or Chief
- 34 Executives of all UGLGs (see page 8 for approved delays). *Letter(s) of support*
- 35 *from UGLGs count toward the 35 page limit for attachments.*

36 **Note:** If the local elected executive leadership is in transition, the city manager or city

37 council may submit a letter of support. A letter from the incoming local leader may also be

38 included in application materials. The letters count toward the 35 page limit for attachments.

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1 Section III – Selection Criteria: Need (10 points)

2 The applicant’s submission materials must contain the mapping tool data sheet (submitted
3 in Section II) and sufficient information to verify the following data within the boundaries of the
4 proposed geographic area of the Promise Zone, to the greatest level of specificity possible using
5 available data sources. Data will be compared with that submitted by other applicants in the
6 applicant pool. Points will be awarded for:

- 7 i. Higher poverty rate/extremely low income rate – Concentration of
8 households in poverty or with extremely low incomes (whichever is greater)
9 residing within the proposed Promise Zone;
- 10 ii. Lower employment rate – Employment rate for working-age adults within
11 the Promise Zone;
- 12 iii. Description of the nature and scope of crime in the proposed Promise Zone

13 **Note:** Secondary sources or locally published data can be used in Section IV—Strategy and
14 Section V—Capacity, to supplement the data points provided by the mapping tool, with
15 attribution to the publication. If the Lead Applicant requests to use alternative data sources in
16 Section II—Eligibility Criteria or for Section III—Need, a one-page explanation noting the
17 alternative data source must be submitted along with the Promise Zone mapping tool data
18 sheet to promisезones@hud.gov with the subject line “Alternative data source request” by
19 [XXX XX], 2015 to be approved by the relevant designating agency.

20 Section III Submission Requirements:

- 21 i. A narrative describing the nature and scope of crime in the Promise Zone,
22 highlighting Part I Violent Crime data. Applicants should provide any
23 available local/state data for the Promise Zone (including data, Uniform
24 Crime Reporting (UCR)⁸, calls for service, and survey results from target area
25 residents) to support the discussion. As applicable, applicants should identify
26 any hot spots where a large proportion of crime or types of crime occur, as
27 compared with crime rates in the overall jurisdiction, and provide additional
28 information about what is causing the crime to occur in the crime hot spots
29 (e.g. the crime drivers⁹). Applicants may use charts and graphs to display
30 data.

31 *Suggested 2 page limit of the 25 page narrative.*

⁸ Information on UCR data can be found at <http://www.bjs.gov/ucrdata/offenses.cfm>

⁹ Refers to the underlying causes of criminal offending and victims' experiences of crime. It recognizes that certain circumstances of people's lives are associated with a greater likelihood of offending and victimization. For example, the following may be considered examples of “crime drivers” - concentrated poverty, high unemployment, low performing schools, and limited infrastructure such as housing, public transportation, social services, and business.



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1 Section IV – Selection Criteria: Strategy (45 points)

2 ➤ Section IV Part A: Needs and Assets Assessment (10 points)

3 Reviewers will assess the quality of applicant’s current assessment of the needs
4 and assets of the proposed Promise Zone, including identified gaps in current
5 neighborhood revitalization efforts and areas of opportunity. Where relevant, the
6 assessment should include breakdowns of indicators by specific subpopulations
7 (including age, race, national origin, gender, and individuals in households where
8 languages other than English are spoken) or specific geographic areas within the
9 neighborhood. The assessment should also include relevant information on crime
10 dynamics or hot spots, education, barriers to employment, existing regional
11 economic growth efforts and industries, areas of commercial blight and/or
12 environmental concern, private economic activity, access to capital, transportation
13 options and mobility and/or other characteristics related to connectivity and public
14 safety.

15 □ Section IV Part A: Submission Requirements

- 16 i. A narrative summarizing needs and assets of the proposed Promise Zone
17 community. The narrative should describe proposed Promise Zone boundary
18 and provide a justification regarding why the boundaries were determined as
19 such. As applicable, the assessment should include data points and analysis
20 based on information that is no more than 24 months old.

21 *Suggested 2 page limit of the 25 page narrative.*

- 22 ii. Provide a to-scale city map and community-level map that clearly labels the
23 proposed Promise Zone in the context of existing city streets, the central
24 business district, other city and neighborhood sites important to the Promise
25 Zone Plan, and census tracts. Applicants should submit a map that clearly
26 labels the following information:
- 27 • If applicable, the boundaries of other federal investments, such as:
28 Choice Neighborhoods grant, Promise Neighborhoods grant, Byrne
29 Criminal Justice Innovation grant, Transportation Investment Generating
30 Economic Recovery (TIGER) grant, Sustainable Communities Regional
31 Planning, Challenge grants, Investing in Manufacturing Communities
32 Partnerships, HUD Community Needs Assessment, EPA Making a Visible
33 Difference in Communities initiative, or Preferred Sustainability Status;
 - 34 • Other useful information to place the Promise Zone in the context of the
35 region, city, county/parish, or municipality: schools, health centers,
36 transit centers/hubs, job centers, other community assets, as well as
37 physical barriers, crime hot spots or concentrations of crime locations,
38 health hazards, and revitalization activity underway or already planned.
39 Maps count toward the 35 page attachment limit.



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➤ Section IV Part B: Promise Zone Plan (25 points)

Reviewers will assess the strength of the applicant's plan to revitalize the Promise Zone and address the Promise Zone initiative goals: creating jobs, increasing economic activity, improving educational opportunities, reducing violent crime, leveraging private capital and other community goals such as increase access to quality affordable housing, promote health and access to healthcare, improve community infrastructure and promote civic engagement.

Reviewers will rate all of the following factors:

i. Rationale and Sequencing of the Promise Zone Plan including elements such as:

- Extent to which the plan addresses synergies and potential conflicts among identified goals, including addressing connections among different policy areas;
- Extent to which the plan articulates a rationale for setting priorities among different goals and activities, and if necessary, addresses the timing of implementation of specific goals and activities;

ii. Alignment of Activities of the Promise Zone Plan including elements such as:

- Extent to which the plan aligns activities within the proposed Promise Zone, including specific description of how the Promise Zone plan includes and integrates the activities of any other federal investments including: Choice Neighborhoods, HOPE VI, Promise Neighborhoods, Byrne Criminal Justice Innovation, Transportation Investment Generating Economic Recovery (TIGER) grants, HUD Community Needs Assessment, EPA Making a Visible Difference in Communities initiative, or federally qualified health center funding in the proposed Promise Zone, if applicable; and
- Extent to which the plan will contribute to or benefit from broader regional economic development, livability or revitalization efforts, including sustainable communities regional plans, federally funded Jobs Accelerator plans, IMCP plans, CEDS or other multi-jurisdictional plans submitted to federal agencies.

iii. Responsiveness of the Promise Zone Plan to the gaps and opportunities identified in the assessment of needs and assets Section IV-Part A;

iv. Accountability and Measurement of the Promise Zone Plan including elements such as:

- Extent to which the Promise Zone Plan establishes a clear system for accountability and measurement of progress and performance among the partners, for example, the plan and timeline for finalizing the set of intended outcomes, metrics for measuring progress towards those



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1 outcomes, and timelines for when each metric will be measured and
2 when milestones and outcomes will be achieved;

- 3 v. Barriers to Implementation of the Promise Zone Plan including elements such
4 as:
- 5 • Extent to which the Plan addresses removing barriers and improving
6 systems that impede delivery of services, such as changes in policies,
7 delivery capacity, technology, and program reporting including barriers
8 related to cross-jurisdictional work, if applicable.

9 **Note:** For example, if improving transportation is a goal of the Promise Zone Plan, include
10 specific efforts – planned or underway – to address infrastructure and flow in a way that will
11 provide for more reliable and affordable transportation options. If job creation is a goal of the
12 Promise Zone Plan, address how job-driven training for workers is addressed. Consider: how
13 employers will identify the skills and credentials required for in-demand jobs and help develop
14 training programs; how workers and job seekers will access education and training that meets
15 their unique needs and the requirements for good jobs and careers; and how you will assist
16 employers find workers who have or can acquire those skills.

17 **Section IV Part B: Submission Requirements**

- 18 i. An overarching narrative of the Promise Zone Plan. The narrative should
19 cover all the selection criteria listed above. However, the narrative should
20 not repeat specific information presented in the Goals and Activities
21 Template.

22 Suggested 2 page limit of the 25 page narrative.

- 23 ii. Complete the Goals and Activities Template within [MAX Survey](#) for each
24 proposed goal in the Promise Zone. The applicant must complete at least
25 one template for each applicable Promise Zone goal and may identify
26 additional community goals if needed. The [MAX Survey](#) will allow the
27 applicant to identify up to six goals each of which may include up to four
28 activities. The applicant is required to select at least three of the Promise
29 Zone Initiative goals and may select up to 3 additional identified community
30 goals. See the Goals and Activities Template on page 29 for examples. *The
31 Goals and Activities Template will not count toward the narrative's 25 page
32 limit.*

33 ➤ **Section IV Part C: Promise Zone Sustainability and Financial Feasibility (5 points)**

34 Reviewers will assess the sustainability and financial feasibility of the Promise
35 Zone Plan and coordinating structure.

36 Reviewers will rate all of the following factors:

- 37 i. Across all of the identified goals, the strength of the plan for obtaining funds
38 for activities;



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- 1 ii. Soundness of the organizational structure for retaining commitment and
2 coordination of implementation partner organizations that promotes
3 sustainability of the Promise Zone Plan, including public and private
4 partnerships and stakeholders, during the planned life of the Promise Zone.

5 □ **Section IV Part C: Submission Requirements**

- 6 i. A narrative outlining the budget projection for funding project coordination
7 for the first 5 years of designation; and
8 ii. A narrative description of how a Promise Zone designation would bolster
9 efforts to secure additional funds for partnership structure and/or specific
10 Promise Zone goals and activities.

11 *Suggested 2-3 page limit of the 25 page narrative for sub-sections i & ii above.*

12 **Note:** Financial support sections of the Goals and Activities Template will be considered for
13 scoring.

14 ➤ **Section IV Part D: Resident Engagement Strategy (5 points)**

15 Reviewers will assess the strength of the applicant’s strategy for meaningful
16 resident engagement in the Promise Zone plan.

17 Reviewers will rate all of the following factors:

- 18 i. Involvement by resident and community organizations in development of
19 overall Promise Zone Plan;
20 ii. Engagement with current residents and New Americans that may include
21 immigrants and refugees. Narrative should address how the strategy
22 addresses barriers to meaningful, constructive involvement of all residents,
23 including racial and ethnic minorities and other disadvantaged groups; and
24 iii. Extent to which the strategy ensures sustained, informed, inclusive, and
25 substantive resident participation in the continued development
26 implementation and oversight of the Promise Zone Plan.

27 □ **Section IV Part D: Submission Requirements**

- 28 i. A narrative describing the role of residents in developing the Promise Zone
29 Plan and the proposed strategy for ongoing resident engagement in the
30 Promise Zone Plan, including engagement with current residents and New
31 Americans that may include immigrants and refugees. Narrative should
32 address how the strategy addresses barriers to meaningful, constructive
33 involvement of all residents including racial and ethnic minorities and other
34 disadvantaged groups.

35 *Suggested 1-2 page limit of the 25 page narrative.*

36

37



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1 Section V – Selection Criteria: Capacity and Local Commitment (50 points)

2 ➤ Section V Part A: Partnership Structure and Commitment (10 points)

3 Reviewers will assess the soundness of the partnership structure and the
4 strength/extent of partnership commitment.

5 Examples of such partnership commitment may include:

- 6 i. Local anchor institution commitment (e.g., hospitals, colleges/universities,
7 major employers and business leaders, national and community
8 foundations);
- 9 ii. City council, county, Metropolitan Planning Organization, and state officials;
- 10 iii. Local educational officials, criminal justice officials, housing authority
11 officials, transit authorities/operators, and the workforce investment board;
- 12 iv. Involvement of neighborhood-serving businesses and/or business
13 associations.

14 Reviewers will rate the following factors:

- 15 i. The clarity of roles and responsibilities, including factors such as:
 - 16 • Clarity of implementation partner responsibilities for executing
17 components of the Promise Zone Plan;
 - 18 • Appropriateness of implementation partners based on their designated
19 role in the Promise Zone Plan (Section IV-Part B);
 - 20 • The role of Promise Zone residents in the governance structure; and
21 • Clarity of partnership governance structure.
- 22 ii. The strength of accountability mechanisms for ensuring effective
23 partnerships, including oversight processes and contractual measures and
24 remedies for non-performance.
- 25 iii. The strength/extent of commitment to coordinate work and investments to
26 achieve outcomes within the Promise Zone (that is not contingent upon
27 receipt of a Promise Zone designation).

28 □ Section V Part A Submission Requirements:

- 29 i. A narrative detailing the partnership structure, including the specific roles
30 and responsibilities of each implementation partner organization, and the
31 role of residents and the accountability mechanisms. If different offices
32 within a larger organization (for example, departments within city
33 government) are responsible for particular functions, please specify. Should
34 AmeriCorps VISTA members be available to support the Promise Zone Plan,



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1 describe potential roles and responsibilities and potential organizational
2 sponsors.¹⁰

3 ii. A Promise Zone-specific diagram of the partnership structure that clearly
4 shows the structure for implementing, coordinating, governing, and
5 reporting on the different goals and activities for the Promise Zone Plan.
6 Diagram should be included within the narrative attachment and counts
7 toward the 25-page limit for the narrative.

8 *Suggested 3-4 page limit of the 25 page narrative for sub-sections i & ii above.*

9 iii. A preliminary Memorandum of Understanding (MOU) to be finalized upon
10 designation. The lead organization and all implementation partners should
11 sign the MOU. The MOU should clearly state the role and responsibilities of
12 partners, and note the commitment to data tracking and sharing.

13 iv. Optional: Letters of support.¹¹

14 **Note:** The preliminary MOU and all letters of support (to include Letter(s) that
15 demonstrates the commitment from Mayors or Chief Executives of all UGLGs) counts toward
16 the 35 page attachment limit.

17 ➤ **Section V Part B: Capacity of Lead Applicant (10 points)**

18 Reviewers will assess the capacity of the Lead Applicant organization to achieve
19 outcomes through implementation of sophisticated, multi-layered neighborhood
20 revitalization efforts. Reviewers will also assess the degree to which prior
21 experience of the lead organization is similar to, or has prepared the applicant for,
22 the scale, scope, and complexity of the proposed Promise Zone effort.

23 As applicable to the Promise Zone Plan, reviewers will rate the following factors:

24 i. Role of current organizational leadership within the community and this type
25 of work at the local level;

26 ii. Previous success achieving intended outcomes through identifying and
27 implementing evidence-based strategies appropriate to goals;

28 iii. Previous success leveraging private resources, including grants and
29 investment capital, and managing large grants and/or capital investments;
30 and

¹⁰ More information about AmeriCorps Vista can be found at
<http://www.nationalservice.gov/programs/ameriCorps/ameriCorps-vista>

¹¹ Optional letters of support from partner organizations included with the application will count against the 35 page attachment limit; however, optional Congressional letters of support will not be scored nor counted against the 35 page attachment limit. Congressional letters should be addressed to Secretary Castro and submitted via promisезones@hud.gov.



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- 1 **iv.** Previous success identifying and managing multiple non-profit, for-profit,
2 public sector and philanthropic partners towards successful project
3 completion and positive outcomes.

4 **Section V Part B: Submission Requirements:**

- 5 **i.** A narrative describing the lead organization’s capacity to achieve Promise
6 Zone outcomes through implementation of sophisticated, multi-layered
7 neighborhood revitalization efforts. Provide examples of past relevant
8 experience and results achieved.
- 9 **ii.** A narrative assessing the financial stability of the lead organization and
10 discussion of any issues that could affect its ability to play the lead
11 organization role in the Promise Zone Plan. Specifically, the narrative must
12 address any past performance issues under any federal grants, and how the
13 proposed Promise Zone will avoid such issues in future grants that may be
14 made with Promise Zone preferences.¹²

15 *Suggested 2-3 page limit of the 25 page narrative for sub-sections i & ii above.*

- 16 **iii.** Nonprofit lead organizations must submit their most current IRS Form 990,
17 Return of Organization Exempt from Income Tax. Public sector lead
18 organizations (local governments, including an office or department within
19 local government, public housing agencies, metropolitan planning
20 organizations, etc.) must submit their most current OMB Circular A-133 (now
21 2 CFR Part 200) audit report, including balance sheet (statement of Net
22 Position), Statement of Activities (Income Statement), Statement of Cash
23 Flows, Notes to the Financial Statements, Schedule of Findings and
24 Questioned Costs, Report on Compliance for Each Major Federal Program,
25 Report on Internal Controls Over Compliance, and Schedule of Expenditures
26 of Federal Awards. The Lead Applicant should include IRS Form 990, Return
27 of Organization Exempt from Income Tax or the most recent OMB Circular A-
28 133 audit. *Section is not counted against page limit requirements.*

¹² The application must note past performance issues under Federal grants and bankruptcies within in the past 5 years. To the extent that the Lead Applicant or any of the partner organizations listed in the application has experienced a recapture of funds, disallowance of costs, monitoring finding, Inspector General finding, or failure to expend funds within the performance period under a federal grant, the applicant must disclose the incident(s), and in its narrative discuss the issues raised, and how, if funds are awarded in the future with Promise Zone preferences, those grants will not experience similar problems. Failure to disclose past performance issues may result in disqualification of the application depending upon the importance of the role that the organization with performance issues will play in the Promise Zone Plan as proposed.



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1 **Note:** sub-section i & ii submissions will count towards the page limits and scored for 8
2 points, sub-section iii will not count towards the page limits and scored for 2 points (10 points
3 total for Section V Part B.

4 ➤ **Section V Part C: Capacity of Implementation Partner Organizations (10 points)**

5 Reviewers will assess the capacity of implementation partner organizations to
6 implement Promise Zone Plan.

7 Reviewers will consider the capacity of implementation partner organizations
8 most relevant to roles and responsibilities within the plan. Points will be based on
9 the degree to which prior experience of each implementation partner has prepared
10 the applicant to successfully fulfill their roles and responsibilities in the context of a
11 situation with the scale, scope, and complexity of the proposed Promise Zone effort.

12 ☐ **Section V Part C: Submission Requirements**

- 13 i. A narrative describing implementation partner organizations' capacity to
14 implement their roles and responsibilities under the proposed Promise Zone
15 Plan. A definition of implementation partners is included in the Appendix.
16 Also include any information related to past performance issues under
17 federal grants.¹³

18 *Suggested 2-3 page limit of the 25 page narrative.*

19 ➤ **Section V Part D: Data and Evaluation Capacity (5 points)**

20 Reviewers will assess the extent of the prior experience that the organization
21 responsible for data and evaluation has to collect, manage, share, and use data for
22 evaluation and continuous improvement towards each intended outcome. Plans to
23 address challenges should be described. This should include describing any existing
24 data sharing agreements, experience using technology to track metrics, and/or plans
25 to promote access to data in a way that protects privacy, such as local data
26 protections, informed consent procedures, and staff training.

27 Identify the organization (lead organization or implementation partner
28 organization) that will manage data collection and evaluation for the Promise Zone
29 goals and activities. Reviewers will also evaluate how organizations relevant to the
30 Promise Zone Plan, such as police departments or local education agencies, have
31 been and/or will be engaged in providing and analyzing data.¹⁴

32 ☐ **Section V Part D: Submission Requirements**

- 33 i. A narrative explaining the prior experiences of the organization to manage,
34 share, and use data. Discuss how data, including operational outputs and

¹³ See Footnote 12.

¹⁴ More detailed information about data and evaluation can be found on page 26.



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1 outcome indicators, will be used in the management of activities in the
2 Promise Zone Plan.

3 *Suggested 1-2 page limit of the 25 page narrative.*

4 ➤ **Section V Part E: Resident Engagement Capacity (5 points)**

5 Reviewers will assess the extent of past experience in resident engagement.
6 Applicants should identify the organization (lead or implementation partner
7 organization) responsible for resident engagement. Describe their experience
8 leading resident engagement efforts of a similar scope to the Promise Zone plan.

9 Reviewers will rate the applications based on:

- 10 i. Similarity between proposed resident engagement strategy and the previous
11 efforts of the organization responsible for such engagement; and
12 ii. Extent of resident input on project design and execution for those previous
13 efforts.

14 The organization responsible for leading resident engagement should be clearly
15 identified in the diagram of partnership structure required in Section V, Part A.

16 □ **Section V Part E: Submission Requirements**

- 17 i. A narrative with detailed information on the organization's past experience
18 with resident engagement.

19 *Suggested 1 page limit of the 25 page narrative.*

20 ➤ **Section V Part F: Strength and Extent of Local Government Commitment (10
21 points)**

22 Reviewers will assess the strength and extent of local government commitment
23 to target local funds and locally-controlled state and federal funds (not contingent
24 upon receipt of Promise Zone designation) to achieve proposed Promise Zone
25 outcomes. This could include: CDBG, MAP-21, HOME, Section 108 or other formula-
26 based program commitments, state bonds, tax-credits, etc.

27 □ **Section V Part F: Submission Requirements**

- 28 i. Letter from local government executive, attached in Section II—Eligibility
29 Criteria. Letter should describe the commitment of local government to
30 coordinate work and investments, including targeting of local and locally-
31 controlled state and federal funds toward Promise Zone activities. The letter
32 must list specific programs, amounts of commitment, distinguish between
33 existing and new commitments, and note how funds are being realigned to
34 support the Promise Zone Plan.

35 **Note:** The letter from local government executive(s), required for Section II-Eligibility
36 Criteria, will be used to evaluate this selection criterion. Please include only one copy of the
37 letter within the application submission. See Section II—Eligibility Criteria page 9 for more
38 information about this letter. All letters of support will be counted towards the 35-page limit
39 for attachments.



PROMISE ZONES: Definitions and Clarifying Information



THRESHOLD REQUIREMENTS

To be rated and ranked, all applicants and applications must meet all threshold requirements of this application guide. Applicants must demonstrate compliance with the threshold requirements through the information provided in their application, unless instructed otherwise in this application guide. If an application does not meet all threshold requirements, HUD will not consider the application as eligible and will not rate and rank it.

The threshold requirements of this application guide include:

- Completed Abstract (Section II-Eligibility Criteria, page 9)
- Meet all Lead Applicant Eligibility Criteria, including submission of a letter of commitment from Mayors of all UGLGs (Section II-Eligibility Criteria, page 9)
- Meet all Community Eligibility Criteria, including submission of the mapping tool data sheet (Section II-Eligibility Criteria, page 10)

SUMMARY OF APPLICATION COMPONENTS

In addition to the threshold requirements above, an application that does not include all of the components listed below (except the optional photos) may not receive the maximum possible points:

1. Executive Summary - entered on [MAX Survey](#) (2000 character limit).
2. Abstract - entered on [MAX Survey](#) (various character limits).
3. Mapping tool data sheet. **All pages of the mapping tool must be included and do not count against page limitations.**
4. UGLG Letter(s) of support - demonstrates the commitment from UGLG leadership, including the mayors or chief executives of the UGLGs represented in the Promise Zone. For applications across UGLG lines, a commitment must be demonstrated by leadership of all UGLGs involved (See Footnote 8 for approval delay). **All letters count towards the 35 page attachment limit.**
5. Narrative - **25 pages or less** that includes the most important information for purposes of Promise Zone selection, including a Promise Zone-specific diagram of the partnership structure (see the formatting requirements on page 8). Any pages beyond this limit will not be considered or reviewed. **The narrative does NOT count against the 35 page attachment limit.**
6. To scale city map and community level map. **Maps will count towards the 35 page attachment limit.**
7. Goals and Activities Template (page 29) - entered on [MAX Survey](#) (various character limits)
8. Preliminary Memorandum of Understanding (MOU) (page 18). **The MOU will count towards the 35-page attachment limit.**
9. *Additional documentation:* Applicants may include additional materials in Microsoft Word or PDF format as attachments, including any tables, figures, charts, or additional maps. **All additional documentation will count towards the 35-page attachment limit.** Applicants are encouraged not to restate commitments made in the MOU in additional Letters of Support. Any pages beyond this limit will not be considered or reviewed.
10. *Optional:* Up to 3 optional JPEG images of the neighborhoods, buildings and streets within the proposed Promise Zone. Photographs should not include images of individuals, as this would require specific release forms from anyone in the image. The submission of photographs will in no way affect the scoring outcome of an application.



PROMISE ZONES: Definitions and Clarifying Information



Definitions and Clarifying Information

Applicant/lead organization: The applicant is the organization that will, if selected, act as the lead organization for a designated Promise Zone. Due to the nature of the initiative, Promise Zone activities are likely to be carried out by a variety of organizations and organization types. Eligible applicants for Promise Zone designations are Units of Local Government (ULG); An office/department of a local government submitting on behalf of the local government under a local delegation of authority; or any of the following applying with support of the UGLG: Nonprofit organizations, Public Housing Agencies, Community Colleges, Local Education Agencies (LEAs), or Metropolitan Planning Organizations (MPOs). The lead organization will execute a Promise Zone designation agreement and be responsible to HUD for fulfilling the responsibilities of the Promise Zone designation. These responsibilities will include organizing and/or coordinating activities pursuant to the plan proposed in the designated community's application and administering any funding or other benefits that a designation may confer in the future to the designated Promise Zone. The lead organization will also be responsible for tracking outcomes, periodically reporting to the participating federal agencies, and participating in evaluation activities as requested by federal agencies. The lead organization will provide, as requested, any necessary certification to other organizations applying for grants and other benefits that, if received, would help to advance the Promise Zone Plan. Organizations receiving such certification will provide them in federal funding competitions and in other activities relating to the conferring of benefits to designated Promise Zones.

To the extent that the lead organization is unable to directly perform any of these duties, it will delegate them specifically to an implementation partner organization, and continue to oversee the fulfillment of all of the responsibilities under the Promise Zone designation agreement. The lead organization will be responsible for reassigning the roles that implementation partner organizations and other partners may play in the Promise Zone Plan in the event that one or more such partners are unable to fulfill their responsibilities. Transfer of the role of 'lead organization' from the lead applicant to another entity will require approval by participating federal agencies, pursuant to the terms of the Promise Zone designation agreement.

Implementation partner organization: An implementation partner organization is an organization that agrees to fulfill specific responsibilities to carry out the day-to-day work and operations of the Promise Zone Plan, as detailed in the community's Promise Zone application and any amendments, documents referenced in the Promise Zone designation agreement, and other documents that may exist among the partner organizations in the Promise Zone Plan.

Local Education Agency: As defined in Elementary and Secondary Education Act (ESEA), a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political



PROMISE ZONES: Definitions and Clarifying Information



subdivision of a State, or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools.

Metropolitan Planning Organization: 1) Regional policy body, required in urbanized areas with populations over 50,000, and designated by local officials and the governor of the state. Responsible in cooperation with the state and other transportation providers for carrying out the metropolitan transportation planning requirements of federal highway and transit legislation. 2) Formed in cooperation with the state, develops transportation plans and programs for the metropolitan area. For each urbanized area, a Metropolitan Planning Organization (MPO) must be designated by agreement between the Governor and local units of government representing 75% of the affected population (in the metropolitan area), including the central cities or cities as defined by the Bureau of the Census, or in accordance with procedures established by applicable State or local law (23 U.S.C. 134(b)(1)/Federal Transit Act of 1991 Sec. 8(b)(1)).

Nonprofit: Nonprofits eligible to be an applicant under this notice are entities that are classified as such in accordance with section 501(c) of the Federal Tax Code or have been designated as such by their state government. A nonprofit organization can be organized for the following purposes: charitable, religious, educational, scientific, or other similar purposes in the public interest. To obtain tax-exempt status, qualified organizations must file an application with the Internal Revenue Service (IRS) and receive designation as such by the IRS. For more information, go to www.irs.gov. Entities that are in the process of applying for tax-exempt status, but have not yet received nonprofit designation from the IRS by the application deadline date, will not be considered an eligible applicant. All nonprofit applicants must submit either their IRS determination letter to prove their 501(c) status or the letter from the state government to prove their nonprofit status.

Public Housing Agency: The term “public housing agency” has the meaning provided in section 3(b)(6) of the United States Housing Act of 1937 (42 U.S.C. 1437a).

Examples of local government and other partner commitment: Commitments may be made to the Promise Zone Plan by many organizations acting in the community in ways that support Promise Zone goals and activities. The level of intensity and duration of such commitments may range from occasional assistance and expressions of general support, to the ongoing roles and day-to-day responsibilities taken on by implementation partners, to the lead organization’s responsibility for overall coordination, reporting and delivery of results. Examples of commitments that would be less intensive and consistent than those of an implementation partner might include: in-kind donations of the use of meeting space, equipment, telecommunications services, or staffing for particular functions; letters or other expressions of support for Promise Zone activities and applications for resources at the local,



PROMISE ZONES: Definitions and Clarifying Information



state and federal levels; participation in steering committees or other advisory bodies with respect to the overall Promise Zone Plan or particular elements of it; permanent donations of funding, land, equipment, facilities, or other resources; or the provision of other types of support without taking on a formal role in the day-to-day operations and advancement of the Promise Zone Plan as described in the definitions of implementation partner or lead organization.

Urban application sub-categories:¹⁵

Large Metro CBSA: The proposed Promise Zone community is located in a Metropolitan Core Based Statistical Area (Metro CBSA) with a total population of 500,000 or more.

Small/medium Metro CBSA: The proposed Promise Zone community is located within the geographic boundaries of a Metro CBSA with a population of 499,999 or less.

Evidence - Levels of evidence:¹⁶

The five evidence levels are:

- 1. No evidence** means that the applicant has not provided evidence that they have collected any qualitative or quantitative data to date.
- 2. Pre-preliminary evidence** means the applicant presents evidence that it has collected quantitative or qualitative data from program staff, program participants, or beneficiaries that have been used for program improvement, performance measurement reporting, and/or tracking. An example could be gathering feedback from program participants following their receipt of the intervention.
- 3. Preliminary evidence** means the applicant presents an initial evidence base that can support conclusions about the program's contribution to observed outcomes. The evidence base consists of at least one non-experimental study conducted on the proposed program (or another similar program that uses a comparable intervention). A study that demonstrates improvement in program beneficiaries over time on one or more intended outcomes OR an implementation (process evaluation) study used to learn and improve program operations would constitute preliminary evidence. Examples of research that meet the standards include: 1) outcome studies that track program beneficiaries through a service pipeline and measure beneficiaries' responses at the end of the program; and 2) pre- and post-test research that determines whether beneficiaries have improved on an intended outcome.

¹⁵ Additional information regarding Metropolitan Core Based Statistical Areas can be found at <http://www.whitehouse.gov/sites/default/files/omb/bulletins/2013/b13-01.pdf>

¹⁶ Corporation for National and Community Service, Operation AmeriCorps NOFO 2014, http://www.nationalservice.gov/sites/default/files/documents/Operation_AmeriCorps_NOFO_2014.pdf-evaluation



PROMISE ZONES: Definitions and Clarifying Information



4. **Moderate evidence** means the applicant presents a reasonably developed evidence base that can support causal conclusions for the specific program proposed by the applicant with moderate confidence. The evidence base consists of one or more quasi-experimental studies conducted on the proposed program (or another similar program that uses a comparable intervention) with positive findings on one or more intended outcome OR two or more non-experimental studies conducted on the proposed program with positive findings on one or more intended outcome OR one or more experimental studies of another relevant program that uses a similar intervention. Examples of research that meet the standards include: well-designed and well-implemented quasi-experimental studies that compare outcomes between the group receiving the intervention and a matched comparison group (i.e. a similar population that does not receive the intervention).
5. **Strong evidence** means the applicant presents an evidence base that can support causal conclusions for the specific program proposed by the applicant with the highest level of confidence. This consists of one or more well-designed and well-implemented experimental studies conducted on the proposed program with positive findings on one or more intended outcome.

Data and Evaluation: All lead organizations of designated Promise Zones, implementation partner organizations in the Promise Zone strategies, and any federal grantees whose federally funded work contributes to Promise Zone strategies will be required to participate in evaluation of Promise Zones and related federal grant activities that may be conducted, as well as tracking outcome and performance indicators.

Lead organizations, implementation partners, and federal grantees contributing to Promise Zones must agree to work with evaluators designated by participating federal agencies, and other agency partner staff working on evaluation-related activities, as specified in their respective grant agreements, regulations and other requirements. Guidance on evaluation, performance/outcome indicators, measures and data sources will be forthcoming, but all participants will be expected to put forth their best efforts to connect HUD/USDA or other partners working on indicators tracking activities with data collected at the local level (e.g. from city government for urban zones, county for rural zones, and tribal government for tribal zones). For Promise Zone lead organizations and implementation partners, this may include providing access to program personnel and all relevant programmatic and administrative data, as specified by the evaluator(s) or federal PZ staff under the direction of a federal agency, as legally attainable, during the term of the Promise Zone designation and/or grant agreement. (See page 23 for definitions of lead organization and implementation partner organizations.)



PROMISE ZONES: Definitions and Clarifying Information



Mapping Tool Overview¹⁷

The Promise Zone mapping tool (<http://www.huduser.org/PZ2013/promiseZone.html>) overlays the locally defined neighborhood/community boundaries with data associated with that area and estimates the rates of certain indicators in that area using a proportional allocation methodology. For metropolitan areas, the tool uses Census block group (as defined for Census 2010) as the smallest statistical boundary for the available data. For non-metropolitan areas, the tool uses census tract data to account for less precision in low-population areas. If the locally defined neighborhood/community is partially within two different Census areas, the data for each factor or threshold criteria are calculated based on the portion of the 2010 housing units located in each Census area for the vacancy variables and 2010 population for the population, poverty, and employment variables. The 2010 housing unit and population count data are available to HUD at the block level and thus can be used as the underlying data to apportion each block group and tract's appropriate share of importance.

For example, based on a user defined geography, 80 percent of the housing units in the locally defined neighborhood/community are in a block group with a poverty rate of 40 percent and 20 percent of the units are in a Block group with a poverty rate of 10 percent. The "neighborhood poverty rate" would be calculated as: $(80\% \times 40\%) + (20\% \times 10\%) = 34\%$.

Mapping Tool Data Sources:

The data are from a variety of sources:

1. **ACS 2011** refers to the US Census American Community Survey 2007-2011 five-year estimates. These are the most recent nationally available data for small geographies at the same Census 2010 boundaries as the other data provided, using a statistical technique that combines five years of data to create reliable estimates for small areas.
2. **CHAS 2010** refers to the Comprehensive Housing Affordability Strategy (CHAS) special tabulations HUD receives of Census ACS data. The CHAS data used for this tool are based on ACS 2006-2010 five-year estimates see <http://www.huduser.org/portal/datasets/cp.html> for more information.
3. **Census 2010** refers to block-level 2010 decennial counts of housing and population.
4. **USPS 2013** refers to the United States Postal Service long-term vacancy data as of June 30, 2013.

¹⁷ <http://www.huduser.org/PZ2013/promiseZone.html>



PROMISE ZONES: Additional Notes On Specific Variables



Additional Notes on Specific Variables

Concentration of People in Poverty is calculated with data at the block group level from ACS 2011 for metropolitan areas and the tract level for non-metropolitan areas. This indicator represents the percent of people within the target geography who are below the poverty line. The estimated concentration of Extremely Low Income (ELI) households represents an approximation of the percent of households within the specified area whose household combined income is below 30% of the HUD defined Area Median Income (AMI). This ELI indicator is calculated with data from the block group level from CHAS 2010. The final number included in this report for "poverty rate" is the greater of these two indicators.

Employment Rate is calculated with data at the block group level from ACS 2011 for metropolitan areas and the tract level for non-metropolitan areas. This indicator represents the percent of the labor force (age 16 and above) that is employed or in the armed forces. Neither the numerator nor the denominator includes people outside of the labor force.



PROMISE ZONES: Goals And Activities Template



Goals and Activities Template

Use the template below to lay out the goals and activities of the proposed Promise Zone Plan. Complete the template in MAX Survey for each relevant goal in the Promise Zone application. MAX Survey will allow the Applicant to identify up to six goals, each of which include up to four activities per applicable goal.

Check the box to acknowledge the following statement:

- I give HUD and USDA permission to share information included in mapping tool data sheet and the Goals and Activities Template.

Non-federal organizations including foundations, social investors, researchers, consultants, and networks of professionals and organizations have expressed interest in the work underway in communities applying for Promise Zone designations. Community stakeholders and other members of the public also request information from time to time.

Note: Applicants may select up to six goals in total. Applicants must select at least three of the four Promise Zone Initiative goals in their Goals and Activities Template. The four Promise Zone Initiative goals are: Create Jobs, Increase Economic Activity, Improve Educational Opportunities, and Reduce Violent Crime. Applicants may also choose up to three other community goals from the following list: Increase Access to Quality Affordable Housing, Promote Health and Access to Healthcare, Improve Community Infrastructure and Promote Civic Engagement. The range of potential goals has been drawn from experience with the first round Promise Zone designees and review of second round Promise Zone applications.

Promise Zone Goal
Select at least 3 of the Promise Zone Initiative goals from options listed below:
<input type="checkbox"/> Create jobs <input type="checkbox"/> Increase economic activity <input type="checkbox"/> Improve educational opportunities <input type="checkbox"/> Reduce violent crime
Select up to 3 other community goals from the options listed below:
<input type="checkbox"/> Increase access to quality affordable housing <input type="checkbox"/> Promote health and access to healthcare <input type="checkbox"/> Improve community infrastructure <input type="checkbox"/> Promote civic engagement
Description of Promise Zone Goal – 250 character limit
[Description of the goal and how it connects to the needs identified in Section IV-A.]



PROMISE ZONES: Goals And Activities Template



<p><i>Example: Increase educational opportunities and college and career readiness for all children living and attending school in the proposed Promise Zone. Increase graduation rate for all students. In the proposed Promise Zone, there is a 43% high school graduation rate.</i></p>	
<p>Description of Technical Assistance Need– 250 character limit</p>	
<p>[Describe any technical assistance needed to implement activities related to this goal. .]</p>	
<p>Activity 1 – 250 character limit</p>	
<p>[Description of an activity or intervention for implementing this goal. Distinguish between new and ongoing activities.]</p>	
<p><u>Example:</u></p> <ul style="list-style-type: none"> • <i>Expand college preparatory program for high school students to help with financial aid, testing, and college applications [Ongoing]</i> 	
<p>Policy Area</p>	
<p>Below is a list of goals for Promise Zones. Please select the policy area that best represents the proposed activity: <i>Note: Policy areas will appear as dropdown options.</i></p>	
<p><u>Create Jobs:</u></p> <p><input type="checkbox"/> Workforce Development</p> <p><input type="checkbox"/> Family Asset Building</p> <p><input type="checkbox"/> Other _____</p>	<p><u>Increase Economic Activity:</u></p> <p><input type="checkbox"/> Private Sector Investment</p> <p><input type="checkbox"/> Entrepreneurship</p> <p><input type="checkbox"/> Other _____</p>
<p><u>Improve Educational Opportunities:</u></p> <p><input type="checkbox"/> Early Childhood</p> <p><input type="checkbox"/> K-12</p> <p><input type="checkbox"/> Adult Education</p> <p><input type="checkbox"/> Other _____</p>	<p><u>Reduce Violent Crime:</u></p> <p><input type="checkbox"/> Crime Prevention and Intervention</p> <p><input type="checkbox"/> Community Policing and Trust</p> <p><input type="checkbox"/> Public Safety Capacity Building</p> <p><input type="checkbox"/> Other _____</p>
<p><u>Expand Affordable Housing:</u></p> <p><input type="checkbox"/> Housing Development</p> <p><input type="checkbox"/> Homeownership</p> <p><input type="checkbox"/> Renter Assistance</p> <p><input type="checkbox"/> Homelessness</p> <p><input type="checkbox"/> Other _____</p>	<p><u>Improve Health and Wellness:</u></p> <p><input type="checkbox"/> Health</p> <p><input type="checkbox"/> Healthy Food Access</p> <p><input type="checkbox"/> Environmental Health</p> <p><input type="checkbox"/> Other _____</p>
<p><u>Improve Community Infrastructure:</u></p> <p><input type="checkbox"/> Commercial Corridors</p> <p><input type="checkbox"/> Community Infrastructure</p> <p><input type="checkbox"/> Transportation</p> <p><input type="checkbox"/> Broadband</p> <p><input type="checkbox"/> Other _____</p>	<p><u>Increase Civic Engagement:</u></p> <p><input type="checkbox"/> Capacity Building</p> <p><input type="checkbox"/> Strategic Planning</p> <p><input type="checkbox"/> Other _____</p>
<p>Rationale/Evidence- 500 character limit</p>	
<p>Discuss how or why you believe the proposed activity will lead to the achievement of the goal in this specific context.</p>	



PROMISE ZONES: Goals And Activities Template



Implementation Partners- 500 character limit

[List implementation partner organizations, including roles and responsibilities for each.]
Example:

- The School District 123 and Principal of the neighborhood high school located in the Promise Zone. The School District will provide additional resources to school counselors and provided targeted interventions to students at-risk of dropping out.*

Committed Financial Support

List all firm financial commitments for implementing this activity. For each commitment, select the type of funding source from the drop down menu. Indicate the source of funds, activity, amount, start and end date for each source, and identify the organization receiving the funds. Type N/A if not applicable
Example:

<u>Financial Commitment 1</u>	<u>Financial Commitment 2</u>	<u>Financial Commitment 3</u>
<p><i>Type:</i> <input type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Below-Market Loan <input type="checkbox"/> Equity <input type="checkbox"/> Tax Credit Proceeds</p> <p><i>Source:</i> <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Local <input type="checkbox"/> Private/Philanthropic</p> <p><i>Source of Funds:</i> General Fund, School District 123</p> <p><i>Activity:</i> Salary for additional school counselor</p> <p><i>Amount:</i> \$75,000</p> <p><i>Start and end date:</i> August 2015-July 2020</p> <p><i>Recipient:</i> Neighborhood High School</p>	<p><i>Type:</i> <input type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Below-Market Loan <input type="checkbox"/> Equity <input type="checkbox"/> Tax Credit Proceeds</p> <p><i>Source:</i> <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Local <input type="checkbox"/> Private/Philanthropic</p> <p><i>Source of Funds:</i> Promise Neighborhoods Grant, Dept. of Education</p> <p><i>Activity:</i> Develop a family engagement program</p> <p><i>Amount:</i> \$10,000</p> <p><i>Start and end date:</i> August 2015-July 2020</p> <p><i>Recipient:</i> School District 123</p>	<p><i>Type:</i> <input type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Below-Market Loan <input type="checkbox"/> Equity <input type="checkbox"/> Tax Credit Proceeds</p> <p><i>Source:</i> <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Local <input type="checkbox"/> Private/Philanthropic</p> <p><i>Source of Funds:</i> Private Grant, Foundation ABCD</p> <p><i>Activity:</i> Establish summer college prep program</p> <p><i>Amount:</i> \$200,000</p> <p><i>Start and end date:</i> June 2016-August 2018</p> <p><i>Recipient:</i> Neighborhood High School</p>

Financial Support Needed

List the financial support needed for implementing this activity. For each financial need, select the type of funding source from the drop down menu. Indicate the activity, estimated amount,



PROMISE ZONES: Goals And Activities Template



date of needed funds and intended organization receiving the funds start and end date for each source, and identify the organization receiving the funds. Type N/A if not applicable.

Example:

<u>Financial Need 1</u>	<u>Financial Need 2</u>	<u>Financial Need 3</u>
<p><i>Type:</i> <input type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Below-Market Loan <input type="checkbox"/> Equity <input type="checkbox"/> Tax Credit Proceeds</p> <p><i>Activity:</i> Funds to purchase test preparation materials for students</p> <p><i>Estimated Amount:</i> \$25,000</p> <p><i>Start and end date:</i> Beginning September 2016</p> <p><i>Recipient:</i> School District 123</p>	<p><i>Type:</i> <input type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Below-Market Loan <input type="checkbox"/> Equity <input type="checkbox"/> Tax Credit Proceeds</p> <p><i>Activity:</i> Funds to increase professional development opportunities related to college- and career readiness for educators</p> <p><i>Estimated Amount:</i> \$50,000</p> <p><i>Start and end date:</i> Beginning September 2016</p> <p><i>Recipient:</i> Neighborhood High School</p>	<p><i>Type:</i> <input type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Below-Market Loan <input type="checkbox"/> Equity <input type="checkbox"/> Tax Credit Proceeds</p> <p><i>Activity:</i> Funds to establish a data collection system to track student achievement</p> <p><i>Estimated Amount:</i> \$100,000</p> <p><i>Start and end date:</i> Beginning September 2016</p> <p><i>Recipient:</i> School District 123</p>

Committed Non-Financial Support

[List any committed non-financial support for this activity. List the source and type of support, activity, start and end date for each resource and identify the organization receiving each resource. Type N/A if not applicable.]

Example:

- *Source and type:* AmeriCorps Grant, Corporation for National and Community Service
- *Activity:* AmeriCorps member currently helps a small number of students after school
- *Start and end date:* August 2014-July 2015
- *Recipient:* Neighborhood High School

Non-Financial Support Needed

[List the types of non-financial support needed for implementing this activity. List the type of support, activity, start and end date for each resource and identify the intended organization receiving each resource. Type N/A if not applicable.]



PROMISE ZONES: Goals And Activities Template



Example:

- *Type: Volunteers*
- *Activity: Need 10-15 total, part- and full-time staff and volunteers to expand the afterschool program beyond a small group of students*
- *Start and end date: September 2015-2018*
- *Recipient: Neighborhood High School*

Expected Outcomes and Measurement- 500 character limit

[List measures or metrics that will be used to determine whether the activity is leading to the achievement of the goal or any interim outcomes.]

Example:

- *Increase graduation rate 10 percentage points by 2018*
- *Increase in student and parent satisfaction on school district survey*
- *Increase in college acceptance rate*

Data Collection, Tracking and Sharing –500 character limit

[For top-level tracking of progress of subgoals, describe how data will be collected, tracked and shared.]

Example:

- *Track graduation, college acceptance, and student and parent satisfaction rates*
- *Share information annually with Promise Zone partners and community*

Timeline/Milestones for Implementation – 500 character limit

[Briefly describe anticipated timeline and milestones for implementation of this activity. Omit information on needed financial or non-financial support that would be redundant with information provided above.]

Example:

- *Hire extra afterschool staff by the beginning of 2015-16 school year*
- *Have a completed and staffed tracking system by 2016-17 school year*
- *Secure Federal grant funding by 2017*

Any federal regulatory and/or statutory barriers

[Describe any federal regulations and/or authorizing statutes that create barriers to the implementation of the activity, with citations, or type N/A if not applicable.]

Example:

- *N/A*