



OMB Control #: 2577-0279
(expires 04/30/2014)

2013 Urban Promise Zone Application Guide

The Promise Zones initiative will revitalize high-poverty communities across the country by attracting private investment, improving affordable housing, improving educational opportunities, creating jobs, reducing serious and violent crime, and assisting local leaders in navigating federal programs and cutting through red tape.

Applications must provide a clear description of how the Promise Zones designation would accelerate and strengthen efforts at comprehensive neighborhood revitalization. Applications must provide clearly labeled sections:

- *Required:* A narrative of not more than 25 total pages that includes the most important information for purposes of Promise Zone selection. The narrative will be the main source for scoring; and
- *Optional:* Additional documentation of not more than 25 pages included as attachments (where feasible, provide in summaries or pull most relevant text, charts, graphs instead of including large documents).

All lead organizations of designated Promise Zones, implementation partners in the Promise Zones strategies and any federal grantees whose federally funded work contributes to Promise Zone strategies will be required to participate in evaluations of Promise Zones and related federal grant activities that may be conducted from time to time. Lead organizations, implementation partners and federal grantees contributing to Promise Zones must agree to work with evaluators designated by federal agencies, including providing access to program personnel and all relevant programmatic and administrative data as specified by the evaluator(s) under the direction of a federal agency, during and after the term of the Promise Zone designation and/or grant agreement.



SUMMARY INFORMATION	SUBMISSIONS, SECTION I
<p>LEAD APPLICANT</p> <p>Due to the nature of the initiative, Promise Zone activities are likely to be carried out by a variety of organizations and organization types, including government entities, nonprofit organizations and for-profit organizations. Eligible lead applicants for Promise Zone designations include:</p> <ol style="list-style-type: none"> 1. Local governments 2. Non-profit organizations applying in partnership with local government 3. Housing authorities applying in partnership with local government <p>The application must clearly identify the lead applicant and provide the email and telephone contact information of the lead applicant.</p>	<p><i>Required:</i> Complete the Abstract form posted at www.hud.gov/promisezones. Within the Abstract form, provide an Executive Summary that describes how the Promise Zone designation would accelerate and strengthen existing efforts at comprehensive neighborhood revitalization. (Suggested one page limit for the Executive Summary)</p> <p><i>Note:</i> The Abstract does not count toward the 25 page limit.</p>
QUALIFYING CRITERIA	SUBMISSIONS, SECTION II
<p>All of the following must be present for a proposed Promise Zone for the application to be eligible for designation:</p> <ol style="list-style-type: none"> 1. The Promise Zone may encompass one or more census tract(s) across a contiguous geography. 2. The overall poverty rate within the Promise Zone must be over 20 percent. 3. The Promise Zone must contain at least one census tract with a 	<p><i>Note:</i> If your application does not meet all of these qualifying criteria, it will not be considered for designation as a Promise Zone.</p> <p><i>Required: <u>City and Zone Maps</u>.</i> Provide a to-scale city map and neighborhood map that clearly labels the proposed Promise Zone in the context of existing city streets, the</p>



poverty rate above 30 percent.

4. Promise Zone boundaries must encompass a population of at least 10,000 but no more than 200,000 residents.
5. An existing boundary of a current Promise Neighborhoods or Choice Neighborhoods Implementation grant or Byrne Criminal Justice Innovation grant must be encompassed within the proposed Promise Zone boundaries, and the lead grantee and major partner or partners implementing activities under those grants must play substantial roles in the Promise Zone application, such as lead applicant, implementation partner or other partner making significant commitments.
6. Local leadership, including the mayors of jurisdictions represented in the Promise Zone, must demonstrate commitment to the Promise Zone effort.

For applications across jurisdictional lines, a clear lead applicant must be identified, and commitment must be demonstrated by leadership of all jurisdictions involved.

central business district, other key city and neighborhood sites, and census tracts.

Applicants should submit a map that clearly labels the following information:

- a. The eligible Promise Zone;
- b. The boundaries of other federal place-based investments: Choice Neighborhoods grant, Promise Neighborhoods grant, Byrne Criminal Justice Innovation grant;
- c. Other useful information to place the Promise Zone in the context of the city, county/parish, or municipality: schools, health centers, transit stops, job centers, and other neighborhood assets. Additional information may also include any crime hot spots or concentration of crime locations, health hazards, and revitalization activity underway or planned.

The optional Promise Zones mapping tool is located at <http://www.huduser.org/PZ2013/promiseZone.html>. The tool will allow applicants to draw a neighborhood-level boundary and will send an email that provides data on poverty level, highest census tract poverty level,



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		<p>population, as well as a neighborhood-level map. It will not show the boundaries of current federal place-based investments. See Section III for more information on the mapping tool data. If using, provide the data sheet produced from the mapping tool to demonstrate poverty levels and the population levels.</p> <p><i>Note:</i> Maps and the data sheet will not count toward the 25 page narrative or additional materials page limits.</p> <p><i>Required: <u>Local Leadership Support</u>.</i> Provide a letter that that demonstrates the commitment from local leadership, including the mayors of the jurisdictions represented in the Promise Zone. For applications across jurisdictional lines, a commitment must be demonstrated by leadership of all jurisdictions involved.¹</p> <p><i>Note:</i> Letters of support will not count toward the 25 page narrative or additional materials page limits.</p>
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¹ To the extent that application components require resolutions, approvals or other actions by governing boards, legislative bodies, regulatory bodies or other entities with fixed schedules for consideration of such actions, and such actions cannot be taken prior to the application deadline, applicants must submit the following information by the application deadline: description of the action to be taken, date on which the action is expected, and information necessary to demonstrate its relevance to the proposal. Depending upon the importance of such actions to a selected applicant’s Promise Zone strategy, the agencies may make the Promise Zone designation contingent upon the receipt of evidence that the action has been taken.



OMB Control #: 2577-0279
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SELECTION CRITERIA, 100 points total

Points	Factors	
5	<p>NEED</p> <p>The application must include information sufficient to demonstrate:</p>	<p>SUBMISSIONS, SECTION III</p>
	<p>The applicant’s submission materials must contain sufficient information to verify the following data within the boundaries of the geographic area proposed as a Promise Zone, to the greatest level of specificity possible using available data sources. Points will be awarded for:</p> <ol style="list-style-type: none"> 1. Higher poverty rate/ELI rate – Concentration of households in poverty or with extremely low incomes (whichever is greater) residing within the Promise Zone; 2. Higher Part I serious and violent crime rate – Rate of Part I serious and violent crimes within the Promise Zone; 3. Lower employment rate – Employment rate for working-age adults within the Promise Zone; and 4. Higher long-term vacancy rate – Percentage of residential properties experiencing long-term vacancy within the Promise Zone. 	<p><i>Required:</i> Narrative describing data points for the proposed Promise Zone geographic area. The mapping tool used in the Qualifying Criteria section will provide data points for poverty, employment and vacancy rates. It does not contain crime data. Crime data can be ascertained by the local law enforcement agency and should cover the years 2010-2012 (or 2009-2011 if 2012 is unavailable), and preferably break out the number of incidences for serious and violent crime. Secondary sources or locally published data can supplement the mapping tool. Additionally, include this data in the Abstract form. (Suggested 1 page limit)</p>



40	STRATEGY	SUBMISSIONS, SECTION IV
10	<p>The application must include information sufficient to demonstrate:</p> <ol style="list-style-type: none"> 1. The quality of the applicant’s current assessment of the needs and assets of the proposed Promise Zone, including level of detail on the needs and assets of particular segments of the targeted population and of the overall resident population; level of detail for relevant crime data; and identification of needs and assets related to civic institutions, existing regional economic growth efforts and industries, private economic activity, access to capital and other characteristics. 	<p><i>Required:</i> Narrative summarizing needs and assets of the community. (Suggested limit of two pages)</p> <p><i>Optional:</i> Attachments providing detail on community needs and assets referenced in the narrative.</p>
20	<ol style="list-style-type: none"> 2. Soundness of the applicant’s overall strategy for revitalizing the Promise Zone (and achieving Promise Zone outcomes) such that the Promise Zone offers children the safe, healthy environment they need to succeed, residents with quality choices of where to live and private actors with incentives to invest within the Promise Zone. In considering ratings under this factor, reviewers will consider items such as: <ol style="list-style-type: none"> a. Responsiveness of the strategy to the Promise Zone’s needs and assets; b. Extent to which the strategy targets and aligns existing efforts, actors, and investments within the Promise Zones community; c. Extent to which the strategy aligns with, and leverages, existing evidence-based regional/metropolitan efforts related to Promise Zones outcomes; d. Extent to which the strategy is likely to improve outcomes for existing residents of the Promise Zone; e. Clear rationale with regard to priorities and sequencing within the strategy, including building on existing Choice Neighborhoods, 	<p><i>Required:</i> Narrative explaining the applicant’s overall approach to achieving the goals of creating jobs, increasing economic activity, improving educational opportunities, improving public safety, reducing poverty, and leveraging private capital. (Suggested limit of five pages)</p> <p>The narrative should make specific reference to those items listed under this criterion which are relevant to its situation and priorities, and note those items which it does not consider relevant. Applicants may also include items not listed under this criterion if they are relevant to the local strategy, with explanation.</p> <p><i>Optional:</i> Logic models explaining the proposed strategy.</p>



	<p>Promise Neighborhoods, or Byrne Criminal Justice Innovation efforts as appropriate;</p> <ul style="list-style-type: none"> f. Clear description of the interconnections between interventions across different policy areas (e.g., housing, education, transit, safety, economic development, and health); g. Clear plan to remove barriers and improve systems that impede delivery of services such as changes in policies, technology, and program reporting; h. Plan to manage, share, and use data for evaluation and continuous improvement – particularly where the evidence base for chosen strategies is still emergent; i. Clarity of definition of outcomes, including whether annual goals are set for 5 years and whether a system is in place for accountability and measurement; and j. Overall likely impact of the strategy’s implementation within the Promise Zone. 	
5	<p>3. Evidence base supporting the goals of the strategy’s likelihood of:</p> <ul style="list-style-type: none"> a. Creating jobs within the Promise Zone; b. Increasing economic activity within the Promise Zone; c. Improving cradle to career educational opportunities within the Promise Zone; d. Reducing serious and violent crime or maintaining a low rate of serious and violent crime within the Promise Zone; and e. Achieving other key outcomes necessary for success, including reduction of Promise Zone poverty rate. 	<p><i>Required:</i> Narrative summarizing the evidence base for strategy elements supporting each goal listed under this criterion. (Suggested limit of two pages)</p> <p><i>Optional:</i> Copies or web links to studies, cases or other evidence reviewed in the selection of approaches to incorporate into the community’s strategy. Emphasize relevant excerpts/findings.</p>
5	<p>4. Sustainability and financial feasibility of the strategy:</p>	<p><i>Required:</i> Narrative summarizing strategy to achieve a</p>



	<ul style="list-style-type: none"> a. Soundness of strategy to build a consortium of implementation partners that promotes sustainability of the Promise Zones strategy, including public and private partners and stakeholders; b. Leverage of private/non-profit capital already committed to elements of the strategy; c. Soundness of overall sustainability strategy, including future anticipated sources of funds and planning for contingencies including loss of anticipated funding or anticipated funding becoming available more slowly than anticipated. 	<p>financially feasible and sustainable operation in each major component of the applicant’s strategy. (Suggested limit of two pages)</p> <p>The narrative should make specific reference to those items listed under this criterion which are relevant to its situation and priorities, and note those items which it does not consider relevant. Applicants may also include items not listed under this criterion if they are relevant to the local strategy, with explanation.</p>
55	CAPACITY AND LOCAL COMMITMENT The application must include information sufficient to demonstrate:	SUBMISSIONS, SECTION V
10	<p>1. Soundness of the partnership structure:</p> <ul style="list-style-type: none"> a. Clarity of roles and responsibilities, including factors such as: <ul style="list-style-type: none"> i. Clarity of implementation partner responsibilities for executing components of Promise Zone; ii. Appropriateness of implementation partners designated for executing each component (e.g., engagement of private employers/small businesses to create jobs and increase economic activity, engagement of affordable and mixed income housing developers, owners and investors to address needs for housing stability, engagement of educational stakeholders to improve educational opportunities, and engagement of public safety institutions to reduce serious and violent crime); and iii. Clarity of partnership governance structure. 	<p><i>Required:</i> Identification of lead applicant. Provide an organizational chart and accompanying narrative detailing your partnership structures, including the roles and responsibilities of each implementation partner organization and the accountability mechanisms. (Suggested three to four page limit)</p> <p><i>Optional:</i> Attach existing MOUs, partnership agreements, other evidence of arrangements among parties. These materials are exempt from the 25 page additional documentation limit.</p> <p><i>Note:</i> Upon designation, the Promise Zone lead organization will be required to execute MOUs between</p>



	<p>b. Strength of accountability mechanisms for ensuring effective partnerships, including oversight processes and contractual measures and remedies for non-performance.</p>	<p>implementation partners no sooner than 60 days after selection as a Promise Zone.</p>
<p>10 (a and b: 7.5; c: 2.5)</p>	<p>2. Capacity of lead applicant – capacity of the organization leading the Promise Zone effort to achieve outcomes through implementation of sophisticated, multi-layered neighborhood revitalization efforts. Points will be based on the following:</p> <ul style="list-style-type: none"> a. Degree to which prior experience of the lead organization is similar to, or has prepared the applicant for the scale, scope, and complexity of the proposed Promise Zone effort. In scoring this factor, the reviewers will consider factors including the following, as appropriate to the situation of the proposed Promise Zone and proposed activities: <ul style="list-style-type: none"> i. Role of current organizational leadership within the prior work; ii. Previous success achieving intended outcomes; iii. Previous success leveraging private resources, including investment capital, and managing large capital investments; iv. Previous success identifying and managing multiple non-profit, for-profit, public sector and philanthropic partners toward successful project completion and positive outcomes; and v. Previous success identifying and implementing evidence-based strategies, either independently or through partners. 	<p><i>Required:</i> Narrative describing the lead organization’s capacity to achieve Promise Zone outcomes through implementation of sophisticated, multi-layered neighborhood revitalization efforts as described in the Selection Criteria. Provide examples of past relevant experience and results achieved, use of data to drive outcomes, and experience engaging residents. (Suggested limit of two pages)</p>



	<ul style="list-style-type: none"> b. Demonstrated ability to manage, share, and use data for evaluation and continuous improvement, or to engage and manage capacity for such purposes; and c. Extent of past experience in resident engagement by the lead applicant working directly with or overseeing partners responsible for resident engagement in similar efforts, including: <ul style="list-style-type: none"> i. Similarity between proposed Promise Zone activities and the previous efforts of the organization responsible for such engagement; and ii. Extent of impact of resident input on project design and execution for those previous efforts. 	
<p>10 (a: 7.5; b: 2.5)</p>	<p>3. Capacity of implementation partner(s) to implement Promise Zone strategy. In scoring for this factor, the reviewers will consider the capacity of partners most relevant to each component of the strategy. Points will be based on the following:</p> <ul style="list-style-type: none"> a. Level of previous success of each implementation partner in identifying and implementing evidence-based strategies similar to those for which they would be responsible in the Promise Zone, particularly to create jobs, increase economic activity, improve educational opportunities, or reduce serious and violent crime within a specified geographic area; b. Extent of past experience in resident engagement by the organization responsible for such engagement, including the factors listed below. If the initiative lead is taking direct responsibility for resident engagement activities, these points will be distributed to the other aspects of implementation partner 	<p><i>Required:</i> Narrative describing implementation partner capacity to implement Promise Zone strategy as described in the Selection Criteria, including examples of past relevant experience and results achieved, use of data to drive outcomes, and experience engaging residents. Implementation partners are organizations that have a direct operational role in implementing strategy. (Suggested four page limit)</p> <p><i>Note:</i> See “Definitions and Clarifying Information” section for a definition of Implementation Partners.</p>



	<p>capacity:</p> <ul style="list-style-type: none"> i. Similarity between proposed Promise Zone activities and the previous efforts of the organization responsible for such engagement; and ii. Extent of impact of resident input on project design and execution for those previous efforts. 	
15	<p>4. Strength/extent of local government commitment (not contingent upon receipt of Promise Zone designation) to target local funds and locally-controlled funds from other sources toward evidence-based strategies to achieve Promise Zone outcomes within the Promise Zone.</p>	<p><i>Required:</i> Letter from local government executive that describes the commitment of local government to coordinate work and investments, including targeting of local and locally-controlled funds from other sources toward Promise Zone activities. (Suggested two page limit)</p> <p><i>Note:</i> See Footnote 1 for approval delays.</p>
10	<p>5. Strength/extent of partnership commitment (not contingent upon receipt of Promise Zone designation) to coordinate work and investments through evidence-based strategies to achieve Promise Zone outcomes within the Promise Zone. Examples of such partnership commitments may include, as appropriate for the context of the proposed Promise Zone, but are not limited to the strength/extent of:</p> <ul style="list-style-type: none"> a. Local anchor institution commitment (e.g., hospitals, colleges/universities, major employers and business leaders, national and community foundations) to actions and investments likely to achieve Promise Zone outcomes; b. Commitment from city council, county, Metropolitan Planning 	<p><i>Required:</i> Narrative that describes partnership commitments, including the extent of supporting partnerships with organizations that will not carry out day-to-day work of initiative, but will contribute resources or advise on the direction of the strategy regardless of the Promise Zone designation. (Suggested two page limit)</p> <p><i>Note:</i> See “Definitions and Clarifying Information” section for a definition of Supporting Partners.</p> <p><i>Note:</i> See Footnote 1 for approval delays.</p>



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(expires 04/30/2014)

	<p>Organization, and state officials, as demonstrated through their description of activities to be carried out in coordination with the Promise Zone;</p> <ul style="list-style-type: none"> c. Commitment of local educational officials, criminal justice officials, housing authority officials, and the workforce investment board, as demonstrated through their description of activities to be carried out in coordination with the Promise Zone; d. Involvement by resident and community organizations in development of overall strategy and commitment to continued involvement; e. Involvement of neighborhood-serving businesses and/or business associations; and f. Commitment to share data across partners within the Promise Zone for purposes of program improvement and accountability. 	
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Note: Public reporting burden for this collection of information is estimated to average 48 hours. This includes the time for collecting, reviewing, and reporting the data. The information is being collected for OMB #2577-0279. Response to this request for information is required in order to receive the benefits to be derived. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number. No confidentiality is assured.

DEFINITIONS AND CLARIFYING INFORMATION

Lead applicant/lead organization: The lead applicant is the organization that will, if selected, act as lead organization for a designated Promise Zone. The lead organization will execute a Promise Zone designation agreement and be responsible to the federal agencies for fulfilling the responsibilities of the Promise Zone designation. These responsibilities will include organizing and/or coordinating activities pursuant to the strategy proposed in the designated community’s application, and administering any funding or other benefits that designation may confer in the future to designated Promise Zones. The lead organization will also be responsible for tracking outcomes, periodically reporting to the participating federal agencies, and participating in evaluation activities from time to time as requested by federal agencies. The lead organization will provide certifications to other organizations applying for grants and other benefits that, if received, would help to advance the



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(expires 04/30/2014)

Promise Zone strategy. Organizations receiving such certifications will provide them in the context of federal funding competitions and 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 replacing the roles that implementation partners and other partners may play in the Promise Zone strategy in the event that one or more such partners are unable to fulfill their responsibilities as planned. Transferral of the lead organization to another organization than the lead applicant will require approval by federal agencies, pursuant to the terms of the Promise Zone designation agreement.

Implementation partner organization: An implementation partner organization is an organization that commits to fulfill specific responsibilities to carry out the day-to-day work and operations of the Promise Zone strategy, 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 strategy.

Supporting partner organization: A supporting partner organization is an organization that will not carry out day-to-day work of initiative, but will contribute resources or advise on the direction of the strategy.

Examples of local government and other partner commitment: Commitments may be made to the Promise Zone strategy by many organizations acting in the community in ways that support Promise Zone strategy and goals. 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, state and federal level; participation in steering committees or other advisory bodies with respect to the overall Promise Zone strategy 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 strategy as described in the definitions of implementation partner or lead organization.