Successful Transitions

Sustaining Supportive Services beyond HOPE VI

HOPE VI is a unique program that has provided practitioners with a flexible tool for revitalizing distressed communities and improving the lives of public housing residents. A time-limited program, HOPE VI may ultimately be judged more on how successfully it helps to improve the lives of public housing residents and less on its ability to construct and rehabilitate houses. As its “sunset” approaches in 2002, the question of its sustainability looms large. In both theory and practice, HOPE VI grants were intended to be seed funds and were meant to act as a catalyst for change. Grantees must not only sustain the new real estate portfolio that results from HOPE VI, they must also develop strategies for sustaining the innovative and successful supportive services that are critical to helping residents move toward greater self-sufficiency.

HOPE VI practitioners face fundamental dilemmas in their day-to-day task of helping low-wage, often low skilled individuals advance and be successful participants in the labor force. Furthermore, developing and implementing effective strategies to address the issues of affordable housing and economic self-sufficiency is difficult and complex, and often compounded by local, regional and national economic and political issues. In addition, much of the story told to date about HOPE VI has focused on the many challenges. However, there are many successes.

This paper highlights some of the successful and compelling stories of innovation and promising practices in developing strategies to sustain HOPE VI Community and Supportive Services beyond the HOPE VI redevelopment phase.

Overview of HOPE VI Program

In 1989, Congress authorized the establishment of a National Commission on Severely Distressed Public Housing with a mandate to 1) identify those public housing developments that are severely distressed; 2) assess strategies to improve their conditions; and 3) develop a National Action Plan. Based on the Commission’s findings that about seven percent of the nation’s housing stock had to be replaced, HOPE VI was created in 1993 through an Appropriations Act, and with extensive bipartisan support. This was a major HUD initiative with no implementing regulations and with a focus on comprehensive and holistic approaches to physical improvements, resident self-sufficiency, management improvements and local decision making. At the time, funding for HOPE VI was roughly equivalent to 80% ‘brick and mortar’ and 20% community and supportive services.

Since its inception, the HOPE VI program has evolved, though remaining true to the original mandate. Today, there are 166 HOPE VI grants that are in varying stages of development. These grants represent an investment in excess of $4.5 billion in Federal funds. More significantly, these grants have been used to leverage an additional $7.6 billion in local funds.

In a similar fashion, HOPE VI sites have invested nearly $400 million in community and supportive services for public housing residents, and have leveraged this with nearly $300 million in additional local funds.
Using HOPE VI to Promote Economic Self Sufficiency

The impact of HOPE VI is infinitely greater than simply providing public housing residents with new homes in more mixed-income communities. HOPE VI is fundamentally about effectively helping low-income and low-wage individuals move toward greater economic independence. It is about providing these individuals with better tools that will help them to create new social and economic possibilities for themselves, their families and their communities. Central to the HOPE VI mission is physical redevelopment that creates vibrant and viable communities and helping public housing residents achieve income stability and self-sufficiency. The Community and Supportive Services (CSS) component of HOPE VI is intended to achieve the latter.

Research Methodology

Given the explicit assumption that HOPE VI grantees would both develop community and supportive services to assist residents and develop sustainability plans to address CSS after HOPE VI funds are exhausted, the authors set out to ask two primary questions:

1. How many HOPE VI grantees have sustainability plans or strategies, and
2. What are the elements of those sustainability plans?

The authors define a sustainability plan as a document that outlines a strategy or group of strategies that will be used to secure resources to sustain supportive services for resident use, beyond HOPE VI funding.

The information contained in this paper is based in part on a sample of 101 HOPE VI grantees nationwide that received grants in either 1998 or earlier. This sample pool was selected based on the assumption that they would be most likely furthest along in the implementation of their CSS programs and would have more experience in addressing the issues of long-term sustainability. Sites that received grants either in 1999 or later, as well as Elderly HOPE VI grants, were excluded from the pool.

Of 101 sites in the pool, 61 were successfully contacted and surveyed. Not surprisingly, most grantees were either developing a plan, or were already implementing elements of their plans. Specifically, 54 sites have sustainability plans. An important point to note is that most sites did not have a formal document called “Sustainability Plan”, but they could readily articulate the activities in which they were engaged. Seven sites had no sustainability plans (formal or informal) and were not planning to develop one.

All sites were interviewed via telephone during the fall of 2001. In a few cases, supplemental information was collected via email. The majority of the interviewees were members of the site’s HOPE VI staff (either the HOPE VI Coordinator or the CSS Program Coordinator). At some sites, the HUD Technical Assistance Providers and consultants hired by the PHA provided data or supplemental information.

The remainder of this document highlights some of the successful sustainability strategies across the sites surveyed.

Successful Sustainability Strategies

The HOPE VI sites surveyed use a variety of strategies to address HOPE VI CSS sustainability. Some strategies are more developed, and most have been refined over time. Across the sites surveyed, more than 20 different strategies were being implemented and/or explored (See Exhibit 1). These strategies are categorized based on three dominant themes—Generate Income, Leverage Services and Relationships, and Housing Authority Policy/Operations Change. In nearly all cases, sites have undertaken a combination of strategies (at least two, but up to seven), thereby minimizing risk and maximizing results. The strategies discussed in this paper focus on both long and short-term goals. Many of these strategies can be readily replicated.

Strategy Area I: Income Generation

Perhaps the key driver of all HOPE VI sustainability efforts is income. How will sites generate enough income
to support the programs that are needed by residents? While some sites discuss “stretching” CSS funds for as long as they can, these funds are typically insufficient to sustain programs well into the future. The following strategies to generate income are currently being implemented or explored by HOPE VI sites across the country.

### Sustainability Strategies

**Income Generation**
- Endowments
- Special Events
- Grant Writing
- Nonprofit/501(c)(3)
- Rent and Fees

**Leverage**
- Service Hand Off
- Space-for-Service Swap
- “Inkind” Services
- Partnerships and Creative Alignments

**Policy Changes**
- Moving To Work/Block Grant
- Tax Credit Set Asides

### Grants

For most housing authorities, competing for federal grants is not a new activity, but for most, writing grants to private foundations and corporations is an entirely new endeavor. Two of the most frequently sought after sources of federal funds that HOPE VI sites include in their sustainability strategy are ROSS and FSS. However, HOPE VI sites are encouraged to think more strategically about the combinations of federal and private support that can be used in conjunction with housing authority funds to support CSS activities. The following sources of funds represent the most frequently cited funding sources that are part of sites’ sustainability portfolio:

- Community Outreach Partnership Centers (HUD)
- Community Development Block Grant (Local)
- The Public Housing Resident Opportunities and Self Sufficiency Program (HUD)
- Family Self Sufficiency (HUD)
- Welfare to Work (HUD)
- Youth Opportunity Grant (Department of Labor)
- Urban Youth Corps (HUD)

Consult the SuperNOFA or the HUD website (www.hud.gov) for further information.

Housing authorities have also pursued grants from local family foundations, national and regional foundations and corporate foundations. In Allegheny County, the McKees Rocks Terrace site has been successful at raising funds from local and regional foundations. It has also been successful at raising funds from private corporations to support CSS programs.

### Rental Income

Rent is a key component of sustainability strategies, and yet it is often overlooked as a source of income. Most HOPE VI sites have developed new or rehabilitated facilities such as community and childcare centers. These centers not only provide opportunities for leveraging inkind services, they also provide avenues to generate income from rent. Charlotte, Cleveland, Denver, Jacksonville, Jersey City, Spartanburg and St. Petersburg have all entered (or will enter) into lease agreements with local service providers that includes the payment of full or reduced rent. The rent generated is used, in part, to support resident services and pay for the upkeep and maintenance of these facilities.

In Denver and Charlotte, the rental income that is generated by leasing space to service partners supports the operation of the community building. As a result, these housing authorities are not paying for the maintenance of community space out of their operating fund, and at the same time, residents have access to needed services on site.

### Nonprofit (501(c)(3) Organizations

Nonprofits as a vehicle to generate income to sustain services is among the most sought after tools by HOPE VI sites. Of the sites surveyed, 13 are actively engaged in using nonprofits either as a primary or secondary funding mechanism. Many housing authorities are either establishing HOPE VI-supported nonprofits to fully manage and implement CSS, leveraging the (501(c)(3) status of the resident organization to raise funds, and/or partnering with established community development corporations (CDCs) to jointly raise private funds. These three mechanisms can be equally successful to generate income, but they also each have varying degrees of complication.

One of the key assumptions behind the use of tax-exempt nonprofits is the ability to access private, foundation and non-traditional sources of funding. While a government entity may not be permitted to accept private philanthropic funding, an affiliated non-profit might. One example of a site that has successfully used nonprofits is Broadway Homes in Baltimore. There is in place a plan...
to use a resident-established nonprofit organization as a source for long-term sustainability. The plan includes capacity building for the resident organization so that the group can apply for various grants and serve as the vehicle for non-traditional funding.

McKees Rocks Terrace in Allegheny County has a similar strategy. In New Haven (Monterey Place), the housing authority has established a nonprofit that will manage all CSS activities, and will solicit alternative sources of funding. During the first year of operation, HOPE VI funds were used to support the nonprofit. However, there is an explicit expectation that the nonprofit will rely on fundraising to be self-sustaining. At the Ellen Wilson HOPE VI site in Washington, DC and the Mission Main site in Boston, MA, similar models have been established. At New Holly in Seattle, the housing authority has established a nonprofit that has already raised $2 million (goal of $7 million) toward the development of a community facility.

At Carver Park in Cleveland, the housing authority has partnered with nonprofits that will spearhead a fundraising campaign (goal of $5.9 million) and construct a new facility that will house services for residents. In exchange, the housing authority will provide the property to build the facility as a long-term lease.

Of the three mechanisms that involve the use of nonprofits, housing authorities surveyed generally utilize resident organization nonprofits less. While they cite the benefits of this mechanism, they also worry about some of the unique challenges such as the bylaws of resident organizations. In addition, the organizations also control the procurement processes. Furthermore, resident organizations may lack the capacity, which might render them ineffective tools to generate income. However, even with these challenges, the use of resident organizations to raise funds to support CSS programs remains a viable option that housing authorities may want to consider, especially where there is a strong resident organization and strong resident leadership. Two salient points for housing authorities to consider if they are interested in pursuing this strategy are: 1) what is the management capacity of the resident organization, and 2) what role will the housing authority play in this relationship?

- **Special Events and Other Sources of Income**

Special events can be powerful ways to publicize the HOPE VI program and at the same time, raise funds. The Mission Main HOPE VI site in Boston has launched an annual fundraising campaign called “Launching the Vision” in which they leverage their connection to “very famous people” and prominent community leaders to raise funds to support supportive services. The Resident Services Corporation, a tax-exempt organization that manages the CSS component, hosts the event. In addition to special events, examples of other mechanisms include:

- Allegheny County has been very successful at securing corporate support—a local corporation has donated $45,000 to support resident activities.
- Jersey City has used the proceeds from the sale of 140 homeownership units to support CSS programs.

- **Fees: Developers and Section 3**

Using fees generated from developers and other HOPE VI contractors is another example of how creative and comprehensive HOPE VI sites have become in their ability to package multiple sources of funds to support CSS. Sites that have Section 3 policies often include a provision in their contracts that allows the contractor to contribute to a Housing Authority-specified fund, either in lieu of meeting Section 3 obligations or as a good-will gesture.

Several of the sites surveyed have earmarked a portion of the developer fees to support CSS. Some of the sites using developer fees include Allegheny County (McKees Rocks Terrace) and Buffalo (Lakeview Homes). Other sites such as Charlotte (Earle Village, Dalton Village and Fairview), Denver (Quigg Newton), Jacksonville (Durkeeville), Jersey City (Curries Wood), Spartanburg (Tobias Booker) and Stamford (Southfield Village) are all using other fees and income such as construction interest to fund and sustain CSS programs.

- **Endowments**

First introduced as an option for HOPE VI grantees in the FY 2000 SuperNOFA (Notice of Funding Availability), endowments have quickly become a most sought after tool for HOPE VI CSS sustainability. If prudently invested, endowments can generate a steady flow of...
income to support CSS activities. Nineteen of the sites surveyed expressed interest in establishing an endowment, though they are precluded from using HOPE VI funds to do so under current HUD guidelines. Eligibility for using HOPE VI funds to establish an endowment is limited to grantees funded in FY 2000 and later (This paper focuses on sites funded in FY 1998 or earlier). The FY 2000 SuperNOFA allows grantees funded in 2000 and after to deposit up to 15 percent of their HOPE VI grant into an endowment.

For the HOPE VI sites surveyed, two models are being explored—endowments that are capitalized wholly or in part using HOPE VI funds, and endowments capitalized entirely with private funds.

**Endowments capitalized with HOPE VI funds**
An endowment established using HOPE VI funds—and any income generated as a result of the endowment—can only be used to support eligible HOPE VI CSS activities. The endowment must adhere to all applicable Federal laws and requirements including (but not limited to) the HOPE VI Grant Agreement.

For housing authorities that wish to establish an endowment using HOPE VI funds, the housing authority must include this information in its CSS Workplan which is subject to HUD approval. HUD expects to shortly issue guidance that will provide further details on the elements that must be included in the CSS Workplan for HUD approval.

**Endowments capitalized with private funds**
The use of private funds to establish an endowment or trust for HOPE VI CSS sustainability purposes does not require HUD approval. It offers more flexibility in terms of the stated goals and purpose. However, these endowments must adhere to all applicable State and local laws that govern and regulate the establishment and operation of such entities.

In Tucson, the Pasado Sentinel HOPE VI site has established a Neighborhood Equity Fund (NEF) in partnership with the Community Foundation of Southern Arizona. The foundation manages and staffs the NEF, with a Board of Trustees made up of neighborhood residents and other stakeholders. The intent of the NEF is, in part, to sustain neighborhood initiatives that support, but transcend HOPE VI. The NEF is a neighborhood-driven vehicle for managing and sustaining long-term economic growth and support services.

There are four key components to the fund—the equity raised, profit sharing and other revenue generated by fund activities, related investments or loans for community reinvestment, and grants to support neighborhood activities. An important tenet that the site hopes to capitalize on is to use a local foundation as leverage for the national funding community.

Foundations are just one source of funding for endowments. In Chicago, the developer for Henry Horner Homes has decided to establish an endowment to support resident-approved priorities. The developer has committed up to 10 percent of its developer fee (after expenses) to capitalize this initiative. In addition to foundations, HOPE VI funds and developer funds, nearly all the strategies described previously can be used to generate capital for an endowment.

**Elements to include in CSS Workplan**

1. Demonstration of the PHA’s clear intention to establish an endowment trust to provide long-term funding of community and supportive services in connection with the HOPE VI revitalization program and the sustainability of community and supportive services.

2. Process for establishment of a 501(c)(3) tax exempt organization to be the legal entity for the endowment trust.

3. Schedule and process for soliciting RFPs for an Investment Fund Manager/Trustee.

4. Amount of funds to be conveyed to the endowment trust. (PHAs will be expected to demonstrate their ability to pay for current CSS activities with HOPE VI or other funds before CSS funds are released for an endowment trust.)

5. Establishment of goals that will be reflected in the charitable intent and spending policies for the endowment trust.

6. Description of process to solicit additional, non-federal funds for the endowment trust.

7. Expected duration (time limits) of the endowment trust.

8. Selection of advisory board, comprised of PHA staff, residents, and community stakeholders, to review and recommend disbursements.
Strategy Area II: Leveraging “In-Kind” Services and Relationships

The factors of supply and demand suggest that the leveraging of services will almost always be a “win-win” for both parties. Local community- and faith-based organizations that are funded by local governments or other sources need a pool of eligible residents to serve. Housing authorities have that pool of eligible residents. Leveraging becomes the tool that connects supply with demand. Housing authorities can also avoid duplicating services that already exist in the community. Examples of successful leveraging tools include:

- Service “Handoff”

The concept of service “handoff” involves a formal arrangement with a partner agency to effectively assume the caseload of HOPE VI residents. This model is more suited for HOPE VI sites that are furthest along in terms of the redevelopment and re-occupancy of the site. Though simple in concept, this requires a strong partner with the resources to readily absorb the caseload and a clear vision of the HOPE VI program.

Elements of Success – Service Handoff

- Invest in a strong and efficient case management system prior to service handoff. This will allow the housing authority to make reasonable projections about the current caseload to be handed off, and the types of partners that are needed to address resident needs.
- Know your caseload well. You may be handing them off to different providers.
- Relationships matter! Having strong relationships with service partners means that problems can be readily addressed.
- Partner with mature organizations that have secured funding, and well-established track records.
- Develop a transition plan that clearly articulates the timeline for service handoff.
- Clearly articulate roles of each party.
- When possible, establish a formal agreement (such as MOU) with local partners that clearly articulates roles and responsibilities, expectations and timeline.

The Denver Quigg Newton HOPE VI grant will be one of the first HOPE VI grants to closeout. In June of 1999, Denver “closed” out its HOPE VI-funded CSS program and “handed off” the case load to local on-site partners including the Denver Department of Social Services (TANF agency), the Mayor’s Office of Employment and Training (WIB/PIC), and the Denver Community College. Prior to service handoff, Denver developed a detailed transition plan that had the housing authority, over a 60-day period, winding down its portion of the CSS Plan, and the local partners gearing up their portion.

The housing authority does not provide payment to these providers. As part of the agreement, local partners locate on site in housing authority-provided space. They accept the families “handed off” as part of their new caseload, and provide these families (or new families) with required case management services. Incidentally, these agencies were previous partners with the housing authority and simply continued to function in their previous capacity.

One of the key assumptions behind the Denver model is that the housing authority is in effect providing a ready pool of eligible participants to help their local partners meet their own service targets. This is a symbiotic relationship that is mutually beneficial to all parties concerned. Furthermore, these partners have both the funding and the mandate to undertake this work.

- Partnerships and Creative Alignments

Many PHAs are often perceived as insular and not working in collaboration with local partners. HOPE VI has helped to change both this perception and the reality. Today, partnerships represent the cornerstone of all successful CSS programs and form the basis of many sites sustainability plans. Several HOPE VI sites surveyed have based the sustainability of their CSS program wholly or in part on establishing and/or maintaining creative and effective interagency partnerships. At Curries Park in Jersey City, the CSS Coordinator sits on the board of a consortium of local colleges and universities. Jersey City is also a Community Outreach Partnership Center (COPC) grantee in which partnerships are entered into between the housing authority and local universities. The housing authority benefits from volunteers from the local University who teach classes such as computer education.

Some of the most common alignments that are being used to sustain CSS programs are manifested in partnerships between the housing authority and the faith-based community, the school district, local hospitals, the City, private developers, corporations and employers, the police, foundations, advocacy groups and residents.

- Space-for-Service Swap

Many HOPE VI sites are engaged in providing needed space in exchange for services to residents. This strategy is embodied in the service handoff model, and it is embedded in the on-site leverage model. This may include rent payments, but in many cases, it does not. Of
the sites surveyed, thirteen of them were formally engaged in or pursuing this strategy. In Cleveland (Outhwaite Homes/King Kennedy), the site offers to “house” social services agencies on site, in exchange for services. These agencies bring secured and stabilized funding, which is a crucial benefit of this strategy.

Strategy Area III: Policy and Operations Change

This strategy area was least cited among the sites surveyed but is very critical. This suggests that housing authorities need to engage in critical self-assessment to determine the policy tools that may exist internally, but are not fully maximized.

- Tax Credit Set Asides

The Jervay Place HOPE VI site in Wilmington, NC successfully applied for a $2.5 million tax credit allocation in 2001 from the state finance agency. Of these funds received, $750,000 was set aside for CSS sustainability. The housing authority and its developer jointly wrote the tax credit application. For sites interested in this strategy, please check local and State eligibility criteria as it varies by state.

- Moving To Work/PHA Funds

At least one site, Pittsburgh, has indicated that it intends to use its Moving To Work (MTW) block grant flexibility as part of its CSS sustainability strategy.

The Housing Authority of the City of Pittsburgh has embarked on a comprehensive rethinking of how it delivers services to residents and how to sustain human services across the agency. As a result, the housing authority will establish an endowment that will exist outside the agency to support human services. See “Profile of Success: The Housing Authority of the City of Pittsburgh”.

The Moving To Work Demonstration Program

MTW is a demonstration program that allows Public and Indian Housing Authorities to design and test ways to give incentives to families to become economically self-sufficient, achieve programmatic efficiencies, reduce costs and increase housing choice for low-income households. The purpose of MTW is to develop more effective strategies and replicable models for managing public and tenant-based housing assistance, and achieving self-sufficiency among assisted families.

To permit flexibility, participating housing authorities are exempt from much of the Housing Act of 1937 and associated HUD regulations, to the extent delineated in an MTW Agreement between HUD and the housing authority.

Some housing authorities have opted to receive their housing funds as a block grant, which allows them considerable flexibility in determining how to use Federal funds. Under the block grant formula for example, housing authorities can combine funds from operations, modernization, and Section 8 to meet the demonstration’s goals.

For more information, visit the MTW web site at www.hud.gov/pih/programs/mtw.

Concluding Lessons

There is a strong case for developing and implementing effective CSS sustainability plans as part of the effort to extend supportive services to original and new residents of HOPE VI communities. The examples of various strategies across the country offer the opportunity for HOPE VI practitioners to learn from each other and to strengthen their own programs. The legacy of HOPE VI CSS is hinged, in part, on housing authorities being successful at sustaining key programs that meet current and future needs of residents.

Sustainability is a critical component of any HOPE VI CSS Plan. For it to be effective, start the planning process early, no later than year three. While most grantees are required by HUD to discuss their plan for sustainability in the CSS Workplan, the information provided tends to be very general. At the time the CSS Workplan is submitted to HUD, most sites do not have a good concept of how to address sustainability as issues such as simply getting their CSS program operational distract them.
■ Identify a planning team. Establish a committee to facilitate the planning process and develop the sustainability plan. The committee should consist of housing authority staff, service provider representatives, representatives from the local philanthropic community, developer representatives, property management staff and residents. The committee should establish a timeline for completing the sustainability plan and implementation. Local community Task Forces may be an excellent way to enlist local partners in the planning process.

■ Allocate appropriate resources. Sites will only be marginally successful unless they dedicate the resources needed to develop a sustainability plan, implement the plan and monitor the progress of the implementation. While many sites have “stumbled” into sustainability, most recognize the truism that one has to “spend money to make money.” Sites should include a line item in the CSS budget in years three and four to accommodate for sustainability planning.

■ Complete an assessment of the CSS program. Sustainability plans should not be developed in a vacuum. Most housing authorities engage in some type of assessment along the way. However, it is recommended that in order to develop an effective plan, the housing authority needs to be aware of the following issues:

• How much money has been spent to date and how much HOPE VI CSS funds remain?
• What is the universe of services that is available to public housing residents either on or off site?
• What is the extent of the housing authority’s relationship with key service providers? Is the relationship worth continuing?
• What are the priorities of the housing authority and the remaining residents?
• How have welfare reform and current local economic conditions impacted residents’ needs?

■ Integrate HOPE VI services into the overall housing authority operations. Many housing authorities tend to operate HOPE VI as a silo, separate from other housing authority functions. While this has often been deliberate, particularly with respect to the criteria for re-occupancy and management, HOPE VI programmatic and sustainability goals should be reflected in the agency’s Annual Plan. One of the key benefits of integration is that it decreases duplicity. In addition, sites can better leverage other housing authority resources across a wider set of programs.

■ Understand the challenges that any one—or combination of—strategy poses. One of the key lessons learned by HOPE VI practitioners is that HOPE VI itself is a challenge. Depending on the strategy, the implications for staffing or budget is different. For example, service handoff will require little housing authority staff time on an ongoing basis, hence little administrative cost. However, investing in a full- or part-time grant writer can be costly. Similarly, working with new partners might pose different challenges than capitalizing on a relationship with a long-term partner. Working with city government can also pose bureaucratic challenges. The key point to underscore here is that the housing authority should be aware of the implications of each strategy it chooses.

■ Relationships matter. The most significant theme expressed by all sites is the need for effective partnerships. Sites should focus on either forming new or maintaining existing relationships that are strong and produce results. Local community- and faith-based organizations are often excellent allies. Partners are needed to help get the job done!

■ Residents can be strong allies; do not underestimate the contribution they can make. HOPE VI sites need to seriously consider a role for residents. Residents can help identify shifts in community needs and potential new partnerships.

■ Develop a Plan. While many housing authorities can discuss various sustainability strategies, the lack of a detailed plan results in fragmentation and an inability to measure progress. Housing authorities should consider developing 5-year plans that get reviewed on an annual basis. The plan should have measurable outcomes and a schedule for implementation. The plan should also include an evaluation mechanism that assesses shifts in philanthropic priorities and economic trends.

■ Implement the Plan!

Elements of a Sustainability Plan

• Purpose
• Goals and Objectives
• Strategies to achieve goals and objectives
• Schedule for implementation
• Roles and responsibilities
• Resource Development Strategy (e.g. Endowments, Grants, Revenue Generation)
### Exhibit 1
**HOPE VI SITES WITH SUSTAINABILITY STRATEGIES**

<table>
<thead>
<tr>
<th>Housing Authorities</th>
<th>HOPE VI Site</th>
<th>Special Event</th>
<th>Partnerships</th>
<th>Construction Interests</th>
<th>Corporate Support</th>
<th>Developer fees</th>
<th>Endowments</th>
<th>Faith Based Initiative</th>
<th>Federal/State Grants</th>
<th>Affordable Housing</th>
<th>Service Handoff</th>
<th>Tax Credit Set Aside</th>
<th>Leverage: Inkind</th>
<th>MTW Flexibility</th>
<th>Non Profit</th>
<th>Partnership with City Govt.</th>
<th>PHA Funds</th>
<th>Proceeds/Homeownership Units</th>
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* Strategy currently being implemented
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**HOPE VI CSS Sustainability**
McKees Rocks Terrace is currently employing new and innovative fund-raising techniques to assure the continuance of CSS programs.

The strategies being employed at McKees Rocks Terrace include:

- **Leveraging “in-kind” services**: The housing authority is aggressively leveraging its relationships with service providers to locate services on site.

- **Partnerships** with the city and local service providers are central components of the site’s sustainability strategy. The Department of Welfare is one of the agency’s key partners.

- An extensive **grant writing campaign**, in collaboration with the resident corporation (501(c)(3) status pending) has produced two successful ROSS grants ($200,000) and an EDSS grant ($300,000).

- The housing authority has also successfully partnered with the Pittsburgh Foundation to establish the **Fund for Children**. The program, which is operated by the resident corporation, receives between $70,000-$100,000 annually to provide services to children aged 5-10. The Pittsburgh Foundation, the local Department of Human Services, and the housing authority represent the three partners in the Fund.

- **Corporate Support**: The agency has developed a successful relationship with APT Pittsburgh Limited Partnership, a local business that has a cell tower on-site. The cell tower predates the HOPE VI application. APT has donated $45,000 in support of resident programs.

- The site also has a requirement in the developer’s contract that commits the **developer to raise funds** to support CSS programs.

- The site is also interested in establishing an **endowment** capitalized with CSS funds. However, given the current limitations imposed by HUD, they are unable to do so at this time. The site will continue to explore ways of establishing an endowment.

McKees Rocks Terrace CSS Sustainability Plan has been very successful. The plan is diversified and it has significant support from the housing authority staff, the developer and residents (all members of the sustainability committee). The housing authority credits the success of its sustainability plan to:

- The planning process;

- A strong relationship with the resident corporation and with residents;

- Starting early (the planning process began soon after the HOPE VI grant was awarded);

- Dedicating a professional staff person to help develop and implement the plan; and

- “Thinking outside the box.”
Profile of Success
Housing Authority of the City of Los Angeles: Pico Gardens and Aliso Village

Pico Gardens and Aliso Village, L.A.’s two HOPE VI sites, are relying on a mixture of strategies to ensure the continuation of services beyond the grant periods. By blending collaboration and partnerships, leveraging, local grants, PHA funds, and available space, they have created a plan for the future that leaves little room for failure. While the two HOPE VI grants are distinct in a variety of ways, the sustainability strategy developed is for both sites.

- The PHA has established partnerships with the Department of Parks and Recreation, the LA Workforce Investment Act (WIA), and Sylvan Learning Centers to operate on site. The Department of Parks and Recreation funds on-site staff. LA WIA continues to provide staffing and programs for residents, in addition to funding the jobs program. The Sylvan Learning Center provides educational services to residents. In addition, two local schools offer adult education classes both on-site and at the schools for Aliso Village residents. Transportation is also offered in order to ensure that participants can get to the classes held off-site. This program is paid for by State ADA funds. Aliso Village has a partnership with Jobs for the Future, which runs the HomeBoys Industries, a job training for youth. This program is self-sufficient, requiring no funding from the PHA.

- The PHA has a space-for-services arrangement with a number of service providers. In exchange for providing services to residents, the housing authority provides rent-free space to service providers. This strategy has been reported to be the most effective method of guaranteeing services to the residents.

- The PHA has also actively pursued grants as a source of funding. They recently won a five-year $22 million Youth Opportunity Grant from the Department of Labor.

- The housing authority plans to partner with an existing nonprofit to take the lead in writing grant applications in the future.

- The PHA is considering creating an endowment with the HOPE VI funds originally earmarked for job training which are no longer needed as WIA currently funds these programs. Given current eligibility restriction, the site is awaiting further guidance from HUD.

Combined, these strategies have netted the housing authority million of dollars that will be used to provide an array of human services to existing and news residents.

### Pico Gardens: Basic Information

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<th>Grant Year</th>
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### Aliso Village: Basic Information

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Profile of Success
Housing Authority of the City of Pittsburgh: Alequippa Terrace, Bedford, and Manchester

The Housing Authority of the City of Pittsburgh (HACP)—a Moving to Work Demonstration (MTW) site—has taken a radically innovative approach to ensuring the continuation of its human services, including case management. The housing authority has chosen to use its MTW flexibility to not only overhaul its real estate portfolio, but to designate funds toward the establishment of a permanent endowment with a mission of providing human services supports. Though born out of HOPE VI, the idea for the endowment represents a HACP-wide shift in both thinking and policy. Recognizing that effective and comprehensive case management is the single most important activity to help residents move toward greater self-sufficiency, the endowment will allow the agency to generate a steady stream of income to support it in its mission to improve the lives of public housing residents.

The endowment has a capitalization goal of between $26 and $27 million, and a targeted launch date of March 2002. The housing authority has already set aside $4 million for the endeavor for this year, and expects to raise additional funds from the local philanthropic community. Over the next three to seven years, between $3 million and $8 million will be set aside from Operating, Section 8, Capital funds and other sources each year to capitalize the endowment. The endowment will be capitalized in phases over approximately eight years.

The HACP is also targeting local, regional and national foundations for capitalization support. Pittsburgh is fortunate to have a large base of family foundations, such as the R.K Mellon Family Foundation, McKune Family Foundation, Grable Foundation and Heintz Family Foundation. Additionally, national and regional foundations such as The Annie E. Casey and Brookings Foundation are also being targeted.

While the details of the endowment are still being finalized, the following principles are among those that are central to the housing authority’s philosophy and will be incorporated into the design of the endowment:

- Monies that are “donated” by individual developments to the endowment will have a “fire-wall” for a period of 7-10 years, during which time the proceeds will be earmarked for the donating development. After this period, the donation will be dissolved into the larger pool that will be accessible to all developments.
- The endowment’s corpus (principal) will remain intact and grow over time. The housing authority anticipates that income generated from the endowment will be used to support CSS and other human services needs.
- Funds will be disbursed through a RFP process. The endowment entity will issue RFP for services that can be bid on by all qualified entities. Human service priorities will be determined by the endowment’s governing board.
- The endowment will be established outside the housing authority with a separate governing structure. A wider advisory committee will be established that will include residents, and other key stakeholders.
- Once the endowment is established, the housing authority will relinquish all ownership of the funds. The PHA and other funds used to capitalize the endowment become an irrevocable gift to the endowment.

The creation of the endowment enjoys firm support throughout the housing authority and the City of Pittsburgh, including the Office of the Mayor. The endowment represents a fundamental policy shift for the HACP and is consistent with its MTW goal of completely overhauling the way the housing authority delivers housing and services to its clients. While the MTW designation allowed the housing authority tremendous flexibility and the ability to move quickly, absent MTW, the endowment would have been possible given the determination of the HACP.
### Contact Information

<table>
<thead>
<tr>
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