



Second Round Rural/Tribal Promise Zone Application Guide

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25

The Promise Zones initiative will revitalize high-poverty communities across the country by creating jobs, increasing economic activity, improving educational opportunities, reducing serious and violent crime, leveraging private capital, and assisting local leaders in navigating federal programs and cutting through red tape. This is the application guide for rural and tribal Promise Zones. The urban application guide is located at <https://www.onecpd.info/promise-zones/>.

The Promise Zone designation commits the federal government to partner with local leaders who are addressing multiple community revitalization challenges in a collaborative way and have demonstrated a commitment to results. Specifically, federal staff will be stationed in each designated community to help navigate the array of federal assistance and programs available to Promise Zones, subject to availability of appropriations and agency rules and statutes. This level of engagement will help communities make the most of funding that is already available to them. In addition, organizations contributing to Promise Zone strategies will be provided preferred access to certain competitive federal programs, as permissible under the rules and statutes of the individual programs and participating federal agencies, and subject to appropriations. Organizations contributing to Promise Zone strategies will also receive technical assistance and other non-competitive support, again as permissible under individual program and agency rules and statutes. Businesses investing in Promise Zones or hiring residents of Promise Zones will also be eligible to receive tax incentives for these activities, if the tax incentives are enacted by Congress. Altogether, this package of assistance will help local leaders accelerate efforts to revitalize their communities.

The Promise Zone designation will be for a term of 10 years, and will be extended as necessary to capture the full term of availability of the Promise Zones tax incentives, if the tax incentives are enacted. During this term, the specific benefits made available to Promise Zones will vary from year to year, and sometimes more often than annually, due to changes in agency policies, and changes in appropriations and authorizations for relevant programs.

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



- 26
- 27
- 28
- 29
- 30
- 31
- *Required:* A narrative of not more than 25 total pages (Calibri font, 12 point, double-spaced with line numbers and one inch margins) that includes the most important information for purposes of Promise Zone selection. The narrative and Promise Zone Strategy template (see Appendix) will be the main sources of information used for scoring the application; and
 - *Additional documentation:* Additional materials of not more than 35 pages included as attachments, including Letters of Support and a Memorandum of Understanding (where feasible, provide other information in summaries or pull most relevant text, charts, graphs instead of including large documents).

32

33 All lead organizations of designated Promise Zones, implementation partner organizations in the Promise Zone strategies, and any federal

34 grantees whose federally funded work contributes to Promise Zone strategies will be required to participate in evaluations of Promise Zones and

35 related federal grant activities that may be conducted. Lead organizations, implementation partners, and federal grantees contributing to

36 Promise Zones must agree to work with evaluators designated by participating federal agencies, as specified in their respective grant

37 agreements, regulations and other requirements. Guidance on evaluation and data points will be forthcoming. For Promise Zone lead

38 organizations and implementing partners, this may include providing access to program personnel and all relevant programmatic and

39 administrative data, as specified by the evaluator(s) under the direction of a federal agency, as legally attainable, during the term of the Promise

40 Zone designation and/or grant agreement. (See pages 20 and 21 for definitions of lead organization and implementation partner organizations.)

41

42 **How the second round of Promise Zone designations will be made**

43

44 A second round of designation of Promise Zones is now being planned to open for solicitation in 2014 and be announced in early 2015. A total

45 of 20 Promise Zone designations will be made by the end of 2016, including the five designations announced in January 2014. The federal

46 Promise Zone team anticipates making at least five and as many as 15 total designations in the second round in the urban, rural and tribal

47 categories, depending on resources.

48

49 Applications for Promise Zone designations will be reviewed by representatives from the Department of Agriculture, the Department of Housing

50 and Urban Development, the Department of Education, the Department of Justice, and the Department of Health and Human Services.

51 Additional federal agencies and outside entities may contribute reviewers, depending upon the anticipated volume of applications. Specific

FR-5775-N-01 Application Guide



52 federal agencies providing reviewers for the application round will be posted to <https://www.onecpd.info/promise-zones/> by the application
53 due date.

54

55 Only one Promise Zone application may be submitted within the boundaries of a unit of general local government¹ (UGLG or local government)
56 or tribal area per application cycle. If more than one application is submitted for a Promise Zone meeting the qualifying criteria, the one
57 submitted with local government support will be accepted. If more than one application is submitted with local government support in
58 association with a UGLG or tribal area, all of the applications from that UGLG or tribal area will be disqualified for the current application cycle.

59

60 Reviewers will first verify that the application is submitted by a community eligible for selection, by verifying that the proposed Promise Zone
61 and lead applicant meets the qualifying criteria for the second round selection process (see page 6 and 7 for qualifying criteria). After verifying
62 that the application is eligible and the proposed Promise Zone would qualify, the reviewers will score the applications according to the points
63 assigned to selection criteria shown in the *Application Guide* for the appropriate Promise Zones category (urban, rural or tribal).

64

65 In addition to the application materials, to the extent permitted, reviewers may consider public information available from participating agency
66 records, the name check review, public sources such as newspapers, Inspector General or Government Accountability Office reports or findings.

67

68 In order to be selected, an application must score a total of 75 points or more. Once scored, applications will be ranked competitively within
69 each of the three Promise Zones categories. In other words, rural applications will be ranked against other rural applications, tribal applications
70 will be ranked against other tribal applications, and urban applications will be ranked against other urban applications.

71

72 The Promise Zones initiative will provide communities and the federal government with the opportunity to demonstrate and accelerate the
73 impact of coordinated federal investment in communities in which stakeholders have come together with a focus on results. The participating
74 federal agencies seek to establish a diverse cohort of quality designees in order to demonstrate strategies that may be useful for communities

¹ 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.](#)



75 working on comprehensive revitalization in many contexts nationwide. Therefore the agencies may select a lower ranked application over a
76 higher ranked application, from among those scoring 75 points or more overall, for purposes of establishing geographic diversity.

77

78 **Promise Zone Finalists**

79

80 The participating federal agencies may also choose to name some applicants as "Promise Zone Finalists" as a result of this selection process. The
81 purpose of selecting Promise Zone Finalists will be to recognize communities whose applications reflect high-quality strategies under the criteria
82 set forth in the final *Application Guide*, but are not selected as Promise Zone designees. The participating federal agencies will seek to expand
83 national knowledge about Promise Zone Finalist communities and their revitalization strategies by posting information submitted in the Finalists'
84 applications on agency websites, and the participating federal agencies will communicate regularly with Finalists about opportunities for
85 relevant funding or technical assistance that may become available, although no preference points or other advantages will be awarded as a
86 result of Finalist status. Promise Zone Finalists will not be precluded from applying for Promise Zone designation in future rounds of the Promise
87 Zones initiative.

88

89 **Application submission instructions and deadline**

90

91 Electronic copies of application materials must be received by email by [DEADLINE]. Additional information or substantive or technical
92 corrections will not be accepted or considered after the application deadline. Application materials must follow the formats, page limits and
93 other requirements set forth in the Promise Zones *Second Round Application Guide* as appropriate.

94

95 Applicants who are unable to submit their applications by email must submit a request by email to PromiseZones@HUD.gov and make
96 alternative arrangements by [DEADLINE FOR ALTERNATIVE ARRANGEMENTS]. Such requests will be considered on a case by case basis, but the
97 deadline for submission of application materials will not be changed.

98

99 To the extent that application components require resolutions, approvals or other actions by local governing boards, legislative bodies,
100 regulatory bodies or other entities with fixed schedules for consideration of such actions, and such actions cannot be taken prior to the

FR-5775-N-01 Application Guide



101 application deadline, applicants must submit the following information by the application deadline: description of the action to be taken, date
102 on which the action is expected, and information necessary to demonstrate its relevance to the proposal. Depending upon the importance of
103 such actions to a selected applicant's Promise Zone strategy, the participating federal agencies may make the Promise Zone designation
104 contingent upon the receipt of evidence that the action has been taken.

105

106 **Notifications of decisions**

107

108 Notification of decisions will be made by letter.

109

110 The Promise Zones initiative ultimately aims to designate 20 Promise Zones located in urban, rural and tribal communities by the end of calendar
111 year 2016.



LEAD APPLICANT ELIGIBILITY	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. Eligible lead applicants for Promise Zone designations are:</p> <ol style="list-style-type: none"> 1. Local or tribal governments (which includes county, city, town, township, parish, village, governmental authority or other general-purpose political subdivision of a state or Tribe or any combination thereof); 2. Non-profit organizations² applying in partnership with local government; 3. Housing authorities applying in partnership with local government; or 4. School districts applying in partnership with local government. <p>The application must clearly identify one lead applicant organization, a staff point of contact and provide the email and telephone contact information of the lead applicant.</p>	<p><i>Required:</i> Provide an Executive Summary that describes how the Promise Zone designation would accelerate and strengthen existing efforts at comprehensive community revitalization. (Suggested one page limit)</p> <p><i>Note:</i> See Definitions for Lead Applicant, page 20.</p> <p><i>Note:</i> Only one Promise Zone application may be submitted in association with a UGLG or tribal area per application cycle. If more than one application is submitted for a Promise Zone meeting the qualifying criteria, the one submitted with local government support will be accepted. If more than one application is submitted with local government support, all of the applications from that UGLG or tribal area will be disqualified for the current application cycle.</p>

² Including Workforce Investment Boards (WIBS) and Community Action Agencies (CAA)



QUALIFYING CRITERIA	SUBMISSIONS, SECTION II
<p>All of the following must be present in an application for a proposed Promise Zone to be eligible for designation:</p> <ol style="list-style-type: none"> 1. Rural Promise Zones must encompass one or more census tract(s) across a contiguous geography and include one or more non-metro counties³; they do not need to include an entire county or counties. Rural Promise Zones may not include any part of a metro county. <p>Tribal⁴ applicants can define boundaries which may encompass: one or more census tracts and nearby tribally-owned areas; or reservations; or consortia of tribal and non-tribal jurisdictions.</p> <ol style="list-style-type: none"> 2. The rate of overall poverty or Extremely Low Income rate 	<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: Local Leadership Support.</i> Provide a letter that demonstrates the commitment from UGLG or tribal area leadership, including tribal Resolutions for tribal applicants involved in the Promise Zone. For applications across UGLG or tribal area lines, a commitment must be demonstrated by leadership of all UGLG or tribal areas involved.⁶ The letter(s) count toward the 35-page limit for additional documents.</p> <p><i>Required:</i> The Promise Zones mapping tool is located at</p>

³ Definition of Metro County: <http://www.census.gov/population/metro/>

⁴ Federally-recognized tribes, Alaska Native Corporations and Alaska Native governments as well as consortia approved by tribal resolution/by-laws or equivalent.

⁶ 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.



	<p>(whichever is greater) of residents within the Promise Zone must be over 25 percent⁵.</p> <ol style="list-style-type: none"> 3. Promise Zone boundaries must encompass a population of no more than 200,000 residents. 4. Local leadership must demonstrate commitment to the Promise Zone effort. Tribal applications must include commitment of tribal jurisdictions represented. <p>For applications across UGLG or tribal area lines, one lead applicant must be identified, and commitment must be demonstrated by leadership of all UGLG or tribal areas involved.</p>	<p>http://www.huduser.org/PZ2013/promiseZone.html. The tool allows applicants to draw a community-level boundary and will send an email that provides data on poverty level/ELI, highest census tract poverty level, population, demographic data as well as a community-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. All applications must provide the data sheet produced by the mapping tool to demonstrate poverty levels and population levels.</p> <p><i>Note:</i> Maps and the data sheet will not count toward the 25-page narrative or 35-page additional materials page limits.</p>
--	--	---

113

114

⁵ Applicants are required to use the Promise Zones mapping tool to determine the overall poverty rate. The mapping tool determines the overall poverty rate in two ways and uses the higher percentage. See the Definitions section on page 20 for more information.



115 **SELECTION CRITERIA, 100 points total**

Points	Factors	
10	<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. Data will be compared with that submitted by other applicants in the applicant pool. Points will be awarded for:</p> <ol style="list-style-type: none"> 1. Higher poverty rate/extremely low income rate – Concentration of households in poverty or with extremely low incomes (whichever is greater) residing within the proposed Promise Zone; 2. Lower employment rate – Employment rate for working-age adults within the Promise Zone; and 3. For Rural Applicants only: Higher Part I serious and violent crime rate – Rate of Part I serious and violent crimes within the Promise Zone. 	<p><i>Required:</i> Narrative highlighting and providing context for the Need data points for the proposed Promise Zone geographic area. The mapping tool used in the Qualifying Criteria section will provide data points for poverty and employment rates. It does not contain crime data. See the Definitions page at the end of this document for information on how these data points are calculated. Secondary sources or locally published data can be used to supplement the mapping tool, with attribution to the publications.</p> <p>For crime data, applicants must provide the total number of Uniform Crime Reporting Act (UCR)⁷ Part I crime data offenses within the Promise Zones boundaries. Reviewers will calculate the rate based on the population submitted in the mapping tool. UCR data can be obtained from the local law enforcement agency and should cover the years</p>

⁷ Information on UCR data can be found at <http://www.bjs.gov/ucrdata/offenses.cfm>



		<p>2011-2013 (or 2010-2012 or 2009-2011 if more recent data are unavailable).</p> <p>Tribal Applicants may request permission to submit alternative data and should submit requests as early as possible to Promisezones@HUD.gov.</p> <p>(Suggested 1 page limit)</p>
40	STRATEGY	SUBMISSIONS, SECTION IV
10	<p>1. Quality of the applicant’s current assessment of the needs and assets of the proposed Promise Zone, including identified gaps in current community revitalization efforts and areas of opportunity.</p>	<p><i>Required:</i> Narrative summarizing needs and assets of the community. Where relevant, the assessment should include breakdowns of indicators by specific subpopulations (including age, race and gender) or specific geographic areas within the community. The assessment should also include relevant information on education, barriers to employment, existing regional economic growth efforts and industries, areas of commercial blight, private economic activity, access to capital, transportation options and mobility and/or other characteristics. (Suggested limit of two pages)</p> <p><i>Note:</i> If crime is a focus in the community’s plan, applicants should provide and/or a break out of the number of incidences for each type of relevant Part I and Part II crime that will be addressed as part of the Promise</p>



		<p>Zone strategy described on page 12.</p> <p><i>Note:</i> As applicable, assessment should include data points and analysis based on information that is no more than 24 months old.</p> <p><i>Optional: Map(s)</i> Provide additional maps if relevant that clearly labels the following information:</p> <ol style="list-style-type: none"> a. The proposed Promise Zone; b. If applicable, the boundaries of other federal investments. <p><i>Additional Documents:</i> Attachments providing detail on community needs and assets referenced in the narrative.</p>
<p>25</p>	<p>2. Strength of the applicant’s plan for revitalizing the Promise Zone and addressing the Promise Zones initiative goals: creating jobs, increasing economic activity, improving educational opportunities, reducing serious and violent crime, and leveraging private capital. Reviewers will rate all of the following factors:</p> <ol style="list-style-type: none"> a. Coherence of the overarching narrative of the Promise Zone plan: <ol style="list-style-type: none"> i. Extent to which plan addresses synergies and potential conflicts among individual goals, including addressing connections among different policy areas; ii. Extent to which plan articulates a rationale for setting priorities among different strategies, and if necessary, 	<p><i>Required:</i> Create a table [See Appendix for suggested Promise Zone Strategy template] to address Promise Zone community goals and strategies that address the Promise Zones initiative goals listed in the Selection Criteria.</p> <p>Specific information on each community strategy:</p> <ul style="list-style-type: none"> • Community Goal • Context: Specific gap or opportunity identified in the Needs Assessment trying to address



	<p>addresses the timing of implementation of specific strategies and activities;</p> <p>iii. Extent to which plan addresses activities of partners and non-partners doing work in the proposed Promise Zone or work that would have an effect on Promise Zone activities or success.</p> <p>b. Responsiveness of the Promise Zone plan to the gaps and opportunities identified in the assessment of needs and assets;</p> <p>c. Extent to which the Promise Zone plan addresses:</p> <p>i. The need to manage, share, and use data for evaluation and continuous improvement – particularly where the evidence base for chosen strategies is still emergent and/or where federal, state and local privacy act protection creates barriers to sharing such data; and</p> <p>ii. A system for accountability and measurement, including the plan and timeline for finalizing: intended end outcomes, metrics for measuring progress towards those outcomes, and timelines for each metric and outcome; and</p> <p>d. Inclusion of specific strategies that address removing barriers and improving systems that impede delivery of services, such as changes in policies, technology, and program reporting.</p>	<ul style="list-style-type: none"> • Description of strategy • Activities and interventions • Primary implementing organization for the strategy (provide page and line numbers referencing the Capacity narrative [page 14]) • Implementation and supporting partner organizations, including list of roles and responsibilities for each (provide page and line numbers referencing the Capacity narrative [page 14]). • Existing resources to be used • Timeline/milestones for implementation • Description of how or why proposed activities will lead to achievement of the goal • Discussion of evidence supporting the selection or use of proposed activities to achieve the goal, as available <p>A diagram and narrative of the Promise Zone plan. This diagram and accompanying text should:</p> <ul style="list-style-type: none"> • Show and describe the connections among each individual Promise Zone goal, including both points of synergy and support as well as potential conflicts or tradeoffs. Explicitly address interconnections among different policy areas.
--	---	---



		<ul style="list-style-type: none"> • Show the timing of implementation of specific strategies and activities. • Show ongoing activities of partners and non-partners that are doing related work. <p><i>(Suggested limit of six pages. The Promise Zone Strategy Template is part of the required page limits.)</i></p>
<p>5</p>	<p>3. Sustainability and financial feasibility of the Promise Zone plan and coordinating structure. Reviewers will rate all of the following factors:</p> <ol style="list-style-type: none"> a. Across all of the individual goals, the strength of the current, planned, or potential plan for obtaining funds for the activities; b. Soundness of the mechanism or infrastructure for retaining commitment and coordination of implementation partner organizations that promotes sustainability of the Promise Zone strategy, including public and private partners and stakeholders; and c. General sustainability of Promise Zone and the Lead Applicant organization. 	<p><i>Required:</i></p> <ol style="list-style-type: none"> 1) For each community goal (noted in the above section) for which funds have not already been secured, describe plan for obtaining funds. 2) For the overall Promise Zone plan: <ol style="list-style-type: none"> a. Explain (with visuals if needed) the mechanism or infrastructure for retaining commitment and coordination of all implementing partners. b. Plan for funding Promise Zone mechanism or infrastructure for planned life of Promise Zone (or 10 years – whichever is shorter). Include a budget projection for funding project coordination for the first 5 years of the Promise Zone designation. 3) Description of how Promise Zone designation would bolster efforts to secure additional funds



		<p>for partnership structure and/or specific Promise Zone strategies or projects.</p> <p><i>(Suggested limit of two to three pages)</i></p>
50	CAPACITY AND LOCAL COMMITMENT	SUBMISSIONS, SECTION V
10	<p>1. Soundness of the partnership structure:</p> <p>a. Clarity of roles and responsibilities, including factors such as:</p> <ul style="list-style-type: none"> i. Clarity of implementation partner responsibilities for executing components of the Promise Zone plan; ii. Appropriateness of implementation partners based on their designated role in the community plan; and iii. Clarity of partnership governance structure. <p>b. Strength of accountability mechanisms for ensuring effective partnerships, including oversight processes and contractual measures and remedies for non-performance.</p>	<p><i>Required:</i> Provide a narrative detailing your partnership structures, including the specific roles and responsibilities of each implementation partner organization and the accountability mechanisms. If different offices within a larger organization (for example, programs within a large nonprofit) are responsible for particular functions, please specify.</p> <p>The narrative should identify which organization will lead the day-to-day effort for each strategy comprising the Promise Zone plan, and explain their specific role. To the extent that additional organizations are involved in specific strategies, please specify their roles. The roles and responsibilities for each organization should be identified in the Promise Zone Strategy template with reference to page and line numbers in the narrative for further information and description.</p> <p>Provide a Promise Zone-specific organizational chart that clearly shows the structure for coordinating, governing and reporting about the different strategies for the</p>



		<p>Promise Zone plan.</p> <p>(Suggested three to four page limit)</p> <p><i>Additional Documents:</i> Letters of support are included in the Additional Documents section 35-page limit.</p>
<p>8</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 community revitalization efforts. 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. As applicable to the proposed Promise Zone’s plan, the reviewers will consider factors including the following:</p> <ul style="list-style-type: none"> a. Role of current organizational leadership within the community and this type of work at the local level; b. Previous success achieving intended outcomes through identifying and implementing evidence-based strategies 	<p><i>Required:</i> Narrative describing the lead organization’s capacity to achieve Promise Zone outcomes through implementation of sophisticated, multi-layered community revitalization efforts, addressing sub factors 2a-d, at left. Provide examples of past relevant experience and results achieved.</p> <p>Also include evidence of the financial stability of the lead organization and any information related to past performance issues under Federal grants⁸.</p> <p>(Suggested limit of two pages)</p>

⁸ *Note:* Lead applicants should 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 implementation 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 funded, its current proposal will not experience similar problems. Failure to disclose past performance issues could result in disqualification of the application.



	<p>appropriate to goals;</p> <ul style="list-style-type: none"> c. Previous success leveraging and managing public, private, or tribal capital investments; this can include loan and grant programs offered by various federal, state, and tribal entities, tribal equity programs for business development, and/or tribal investments in the local economy; d. Previous success identifying and managing multiple non-profit, for-profit, tribal, public sector and philanthropic partners towards successful project completion and positive outcomes. For tribal applicants, this may include private success managing healthcare and/or first responder collaborations and partnerships; this may also include success with industries related to development of natural resources, (e.g., oil, gas, coal, forestry, mining, fishing, or agriculture); and e. For tribal applicants, evidence of advancing tribal self-determination. 	<p>Note: Lead organizations should include IRS Form 990, <i>Return of Organization Exempt from Income Tax</i> or the most recent OMB Circular A-133 audit. These materials will not count toward the page limits.</p>
<p>8</p>	<p>3. Capacity of implementation partner organizations to implement Promise Zone plan. In scoring for this factor, the reviewers will</p>	<p><i>Required:</i> Narrative describing implementation partner organizations’ capacity to implement their roles and</p>



	<p>consider the capacity of implementation partner organizations most relevant to its roles and responsibilities within the plan. Points will be based on the degree to which prior experience of each implementation partner is similar to, or has prepared the applicant to successfully fulfill their roles and responsibilities in the context of, a situation with the scale, scope, and complexity of the proposed Promise Zone effort.</p>	<p>responsibilities under the proposed Promise Zone plan. Implementation partner organizations are organizations that have a direct operational role in implementing strategy. Also include any information related to past performance issues under federal grants.⁹ (Suggested three to four-page limit)</p> <p><i>Note:</i> See “Definitions and Clarifying Information” section for a definition of Implementation Partner Organizations.</p>
<p>3</p>	<p>4. Extent of prior experience of the organization responsible for data and evaluation is similar to, or has prepared the applicant, to collect, manage, share, and use data for evaluation and continuous improvement.</p>	<p><i>Required:</i> Clearly identify in the Promise Zone Strategy template the organization (lead organization or implementing partner organization) that will manage data collection and evaluation for the Promise Zone goals and specific strategies. Provide a narrative explaining the prior experience of the organization to manage, share and use data. If the plan includes particular organizations, such as the police department or school district, describe how these partners have been and/or will be engaged in providing and analyzing data. (Suggested limit of one to</p>

⁹ *Note:* Lead applicants should note past performance issues under federal grants and bankruptcies within the past 5 years. To the extent that the lead applicant or any of the implementation partner organizations listed in the application have 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 funded, its current proposal will not experience similar problems. Failure to disclose past performance issues could result in disqualification of the application.



		two pages)
3	<p>5. Extent of past experience in resident engagement by the organization responsible for coordinating resident engagement:</p> <ul style="list-style-type: none"> a. Similarity between proposed Promise Zone activities and the previous efforts of the organization responsible for such engagement; and b. Extent of resident input on project design and execution for those previous efforts. 	<p><i>Required:</i> Clearly identify in the Promise Zone Strategy template the organization responsible for leading resident engagement. Provide a narrative with detailed information on the organization’s past experience with resident engagement. Describe the proposed strategy for resident engagement in the Promise Zone plan. (Suggested limit of one to two pages)</p>
10	<p>6. Strength and extent of local government commitment (not contingent upon receipt of Promise Zone designation) to target local funds and locally-controlled state and federal funds from other sources to achieve proposed Promise Zone outcomes.</p>	<p><i>Required:</i> Letter from local or tribal government executive that describes the commitment of local or tribal government to coordinate work and investments, including targeting of local and locally-controlled state and federal funds toward Promise Zone activities. Distinguish between existing and new commitments, and how funds are being realigned to support the Promise Zone plan. (Suggested two page limit).</p> <p><i>Additional requirement for UGLG or tribal area in which a Promise Zone has already been designated:</i> If a Promise Zone designated in Round 1 is associated with a UGLG or tribal area, the applicant must include an explanation of how, if a second Promise Zone designation is awarded, the UGLG or tribal area plans to work with all of the designated communities at the same time and sustain the level of effort, resources and support committed to each</p>



		<p>Promise Zone under its respective Promise Zone plan for the full term of each Promise Zone designation. This explanation should be evidenced in materials submitted by the UGLG or tribal area in support of the application.</p> <p><i>Note:</i> See Footnote 5 for approval delays.</p> <p><i>Note:</i> Each UGLG or tribal area can only support one Promise Zone application per application cycle.</p>
<p>8</p>	<p>7. Strength/extent of partnership commitment (not contingent upon receipt of Promise Zone designation) to coordinate work and investments to achieve outcomes within the Promise Zone. Examples of such partnership commitments may include:</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); b. City, county, or other local governmental entities, regional planning authorities, tribal government(s), and state officials, as appropriate; c. Commitment of local educational officials, criminal justice officials, economic development entities, workforce investment board, and community development advocates; d. Involvement by resident and community organizations in development of overall strategy and commitment to continued involvement; e. Involvement of community-serving businesses and/or business 	<p><i>Required:</i> Narrative that describes partnership commitments, including implementation partner organizations as well as the extent of supporting partner organizations (Suggested two page limit)</p> <p><i>Required:</i> Provide a preliminary Memorandum of Understanding (MOU) (to be finalized upon designation). The lead organization and all implementation partners should sign the MOU. The materials are part of the 35-page Additional Documents documentation limit.</p> <p><i>Note:</i> See “Definitions and Clarifying Information” section for a definition of Supporting Partner Organizations.</p> <p><i>Note:</i> See Footnote 5 for approval delays.</p>



	<p>associations; and</p> <p>f. Commitment to share data across partners within the Promise Zone for purposes of program improvement and accountability subject to any federal, state and local privacy laws.</p>	
--	--	--

116

117 **DEFINITIONS AND CLARIFYING INFORMATION**

118 **Lead applicant/lead organization:** The lead applicant is the organization that will, if selected, act as lead organization for a designated Promise
 119 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.
 120 Eligible lead applicants for Promise Zone designations are: local or tribal governments (which include county, city, town, township, parish,
 121 village, governmental authority or other general-purpose political subdivision of a state or Tribe¹⁰ or any combination thereof); non-profit
 122 organizations applying in partnership with local government; housing authorities applying in partnership with local government; or school
 123 districts applying in partnership with local government. The lead organization will execute a Promise Zone designation agreement and be
 124 responsible to USDA for fulfilling the responsibilities of the Promise Zone designation. These responsibilities will include organizing and/or
 125 coordinating activities pursuant to the strategy proposed in the designated community’s application, and administering any funding or other
 126 benefits that designation may confer in the future to designated Promise Zones. The lead organization will also be responsible for tracking
 127 outcomes, periodically reporting to the participating federal agencies, and participating in evaluation activities from time to time as requested
 128 by federal agencies. The lead organization will provide certifications to other organizations applying for grants and other benefits that, if
 129 received, would help to advance the Promise Zone strategy. Organizations receiving such certifications will provide them in the context of
 130 federal funding competitions and the conferring of benefits to designated Promise Zones.

131
 132 To the extent that the lead organization is unable to directly perform any of these duties, it will delegate them specifically to an implementation
 133 partner organization, and continue to oversee the fulfillment of all of the responsibilities under the Promise Zone designation agreement. The
 134 lead organization will be responsible for replacing the roles that implementation partner organizations and other partners may play in the

¹⁰ Federally-recognized tribes, Alaska Native Corporations and Alaska Native governments as well as consortia approved by tribal resolution/by-laws or equivalent.



135 Promise Zone strategy in the event that one or more such partners are unable to fulfill their responsibilities as planned. Transfer of the lead
136 organization to another organization than the lead applicant will require approval by participating federal agencies, pursuant to the terms of the
137 Promise Zone designation agreement.

138
139 **Implementation partner organization:** An implementation partner organization is an organization that commits to fulfill specific responsibilities
140 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
141 amendments, documents referenced in the Promise Zone designation agreement, and other documents that may exist among the partner
142 organizations in the Promise Zone strategy.

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

145 **Examples of local government and other partner commitment:** Commitments may be made to the Promise Zone strategy by many
146 organizations acting in the community in ways that support Promise Zone strategy and goals. The level of intensity and duration of such
147 commitments may range from occasional assistance and expressions of general support, to the ongoing roles and day-to-day responsibilities
148 taken on by implementation partners, to the lead organization’s responsibility for overall coordination, reporting and delivery of results.
149 Examples of commitments that would be less intensive and consistent than those of an implementation partner might include in-kind donations
150 of the use of meeting space, equipment, telecommunications services, or staffing for particular functions; letters or other expressions of support
151 for Promise Zone activities and applications for resources at the local, state and federal level; participation in steering committees or other
152 advisory bodies with respect to the overall Promise Zone strategy or particular elements of it; permanent donations of funding, land, equipment,
153 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
154 advancement of the Promise Zone strategy as described in the definitions of implementation partner or lead organization.

155 **Mapping Tool Overview**

156 The Promise Zone mapping tool overlays the locally defined neighborhood/community boundaries with data associated with that area and
157 estimates the rates of certain indicators in that area using a proportional allocation methodology. For metropolitan areas, the tool uses Census
158 block group (as defined for Census 2010) as the smallest statistical boundary for the available data. For non-metropolitan areas, the tool uses



159 census tract data to account for less precision in low-population areas. If the locally defined neighborhood/community is partially within two
160 different Census areas, the data for each factor or threshold criteria are calculated based on the portion of the 2010 housing units located in
161 each Census area for the vacancy variables and 2010 population for the population, poverty, and employment variables. The 2010 housing unit
162 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
163 tract's appropriate share of importance.

164 For example, based on a user defined geography, 80 percent of the housing units in the locally defined neighborhood/community are in a block
165 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 "community
166 poverty rate" would be calculated as:

167 $(80\% \times 40\%) + (20\% \times 10\%) = 34\%$.

168 **Mapping Tool Data Sources:**

169 The data are from a variety of sources:

170 1. **ACS 2011** refers to the US Census American Community Survey 2007-2011 five-year estimates. These are the most recent nationally available
171 data for small geographies at the same Census 2010 boundaries as the other data provided, using a statistical technique that combines five years
172 of data to create reliable estimates for small areas.

173 2. **CHAS 2010** refers to the Comprehensive Housing Affordability Strategy (CHAS) special tabulations HUD receives of Census ACS data. The CHAS
174 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
175 information.

176 3. **Census 2010** refers to block-level 2010 decennial counts of housing and population.

177 4. **USPS 2013** refers to the United States Postal Service long-term vacancy data as of June 30, 2013.

178



179 **Additional Notes on Specific Variables:**

180 **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
181 non-metropolitan areas. This indicator represents the percent of people within the target geography who are below the poverty line. The
182 estimated concentration of Extremely Low Income (ELI) households represents an approximation of the percent of households within the
183 specified area whose household combined income is below 30% of the HUD defined Area Median Income (AMI). This ELI indicator is calculated
184 with data from the block group level from Comprehensive Housing Affordability Strategy (CHAS) 2010. The final number included in this report
185 for "poverty rate" is the greater of these two indicators.

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

189 **Long-term vacancy rates** are calculated with data at the block group level with ACS 2011 and the USPS 2013, whichever source produces the
190 greatest percentage.

191 For the USPS data, HUD calculates the percent of residential addresses (excluding "no-stat" addresses) that are vacant. In the USPS data, a
192 "vacant" address is one that has not had mail picked up for 90 days or longer. The USPS Vacant addresses can also include vacation or migrant
193 labor addresses so HUD uses ACS data to reduce vacancy counts in these cases.

194 Using the ACS data, HUD calculates the vacancy rate as the percent of housing units that are "other" vacant. These are units not for sale, for rent
195 or vacant for seasonal or migrant housing. This is considered another proxy for long-term vacant housing.

196 In theory the USPS data should be a stronger measure of distress than the ACS data because they are for 100 percent of the units (ACS is a
197 sample), are more current (ACS aggregates data over a 5 year period), and are intended specifically to capture addresses 90 or more days
198 vacant. However, USPS data are particularly poor at capturing vacancy in rural areas. As such, HUD uses the ACS as a check on the USPS data so
199 that every location gets a vacancy rate based on the greater of their USPS vacancy rate or their ACS 2007-2011 rate. For more information on
200 HUD's USPS dataset, see: <http://www.huduser.org/portal/datasets/usps.html>.



Appendix – Template: Promise Zone Strategy

Applicants should use this template to create community-specific goals

Check box below to indicate whether information submitted may be made available to the public, for purposes of assisting potential partners in matching their capacities to the goals of Promise Zone applicants:

- Yes, information provided in this Community Goal Statement may be used.
- No, information provided in this Community Goal Statement may not be used.

Community Goal Statement	
<p>Check boxes to indicate which Promise Zone goal(s) are served by the community goal:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Create jobs <input type="checkbox"/> Increase economic activity <input type="checkbox"/> Improve educational opportunities <input type="checkbox"/> Reduce serious and violent crime <input type="checkbox"/> Leverage private resources 	
Context: Specific gap or opportunity identified in the Needs Assessment trying to address	
Description of Strategy	
Activities and Interventions	



Primary Implementing Organization for the strategy ¹¹	
Partner organizations, including list of roles and responsibilities for each ¹²	
Existing resources to be used	
Timeline and milestones for implementation	
Description of how or why proposed activities will lead to achievement of the goal	
Evidence supporting the selection of proposed activities to achieve the goal, as available ¹³	
<i>Optional:</i> Brief description of any specific barriers to implementing the proposed strategy that are presented by federal regulations or statutes. Please provide specific regulatory and statutory citations.	

201

¹¹ Provide page and line numbers referencing the Capacity section narrative.

¹² Provide page and line numbers referencing the Capacity section narrative.

¹³ As applicable, provide documents and page numbers of relevant materials in Additional Documentation.