Resident Success in
Economically Integrated, Socially Diverse Housing

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The **Community Builders,** *Inc.*

A Practitioner's Guide Prepared for the
Ford Foundation Mixed-Income/Mixed-Race Housing Initiative
January, 2006

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The **Community Builders,** *Inc.*

About The Community Builders

The Community Builders, Inc. is the largest urban nonprofit housing developer in the United States. We have completed more than 20,000 housing units and 400,000 square feet of commercial/retail space since our founding in 1964. Community Builders manages 7,400 rental units, and has helped structure site-based supports for residents at 21 large assisted and public housing developments.

Community Builders is engaged in large-scale public and assisted housing redevelopments in cities throughout the Eastern half of the United States. With 4,450 units in its active development pipeline, Community Builders produces a significant volume of economically integrated, socially diverse housing.

The Community Initiatives division fields a staff of 35 professionals who coordinate networks of service providers and promote proven practices to link low-income renters to emerging economic and social opportunities in revitalizing neighborhoods.

Acknowledgments

Ford Foundation Support

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Chapter 1
Overview

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Mixed-Income/Mixed-Race Housing Initiative

The Ford Foundation's Asset Building and Community Development Program promotes the development of economically integrated, socially diverse housing in the United States. Through its Mixed-Income/Mixed-Race (MI/MR) Housing Initiative, the foundation has supported efforts to realize opportunities for racial integration and upward economic mobility of the poor within mixed-income housing. It has also supported the design of tools to help revitalizing communities avoid displacement of low-income families, and ensure that original residents benefit from mixed-income development.

To move the MI/MR agenda forward, the Ford Foundation has:

- Provided targeted grants focused on practical research and/or documentation that advances the field;

- Convened panels of experts to contribute ideas to the development of mixed-income, racially integrated housing at specific locations; and

- Organized exploratory convenings to consider particular topics and challenges facing practitioners and the field in general.

HOPE VI, Community Builders, and the MI/MR Housing Initiative

The HOPE VI public housing transformation program creates attractive, diverse communities where failed public housing projects once stood. Beyond "bricks and mortar," the program provides substantial funding to promote economic self-sufficiency among residents. Given its scope, HOPE VI yields important insights into how to make mixed-income, mixed-race housing work for families, for owner/sponsors, and for neighborhoods.

Community Builders is the leading nonprofit developer in the HOPE VI program. As a developer, property manager and service coordinator, Community Builders has completed large-scale mixed-income, integrated housing developments in cities across the Northeast, Mid-Atlantic, and Midwest.

Our experience has shown that, where the market is ready, public housing residents, working poor families, and market rate renters and owners, of different races, will live side by side in a high quality housing development, with first-rate program supports, culturally sensitive staff, and broadly appealing community activities.

"Resident Success"

Our HOPE VI practice has helped us refine an approach and a set of tools to help residents make successful transitions from poor quality public or assisted housing environments to new economically integrated, socially diverse communities

The approach emphasizes opportunities, along with a set of expectations that come with living in the new community. Opportunities include attractive, affordable housing in a safe environment; market-rate amenities, goods and services; access to good schools, child care, youth programs; and a rich array of family supports. Expectations include steady employment, good housekeeping, responsible parenting,

and participation in community life.

Taken together, these opportunities and expectations create a "social compact" between residents and the sponsor/owner of the new mixed-income, mixed-race community.

Community Builders uses the term "resident initiatives" to describe the task of communicating the "social compact" and helping residents meet the requirements and expectations for living in the new community. Our staff, working with community partners such as workforce development agencies or day care providers, and most importantly, residents themselves, make sure that resident initiatives lead to resident success.

Resident Initiatives

- Reinforcing the "social compact"
- Supporting housing transitions
- Offering employment opportunities/supports
- Enhancing youth development
- Fostering educational enhancements
- Coordinating family/individual services
- Organizing community building activities
- Raising needed resources

Success Outcomes

- Affordable, high-amenity housing
- Attractive, safe environment
- Employment advancement
- Increased income/assets
- Market-quality goods/services
- Thriving youth
- Diverse, inclusive community
- Civic engagement/responsibility

Purpose of *Practitioner's Guide*

The purpose of this *Practitioner's Guide* is to share ideas and resources with affordable housing developers, community leaders and policy makers. Examining our own experience and the work of other developers and researchers, the *Guide*:

- Describes effective practices in developing economically integrated, socially diverse housing;

- Shares program implementation tools and guidance; and

- Highlights efforts under way to promote field building.

Chapter 1 provides an overview of the challenge of promoting resident success, illustrating how resident initiatives activities align with different stages of the physical development process.

Chapters 2-5 describe site activities in more detail during the Planning, Pre-Occupancy/ Readiness, Transition, and Post-Occupancy periods, respectively. Within each period, the *Guide* sets the development context, describes core activities, key actors/ relationships, staffing and budget require- ments. Various Community Builders tools and templates, referenced in the text, are included as Attachments for consultation, use, and adaptation by practitioners.

Finally, Chapter 6 describes field-building efforts currently under way.

Aligning to the Development Process

The *Guide* describes resident initiatives that take place over the course of a large-scale redevelopment project. The nature and scope of these activities change as the project moves through the standard development life cycle – planning, predevelopment, con- struction, lease-up, and stable occupancy. In a multi-phase project, this cycle repeats for each phase, and may involve one phase leas- ing up while detailed planning for the next phase is under way.

An essential goal of resident initiatives activi- ty is to produce a pool of qualified tenants ready to move into new units as soon as they are completed. Since it can take more than a year for applicants to satisfy eligibility criteria, resident initiatives and the development process must be carefully aligned.

The tables below, "Core Activities & Tools/ Training" and "Site Staffing, Skill Set & Budget" summarize resident initiatives activity at different stages in the development process.

Core Activities & Tools/Training

Development Phase	Planning	Predevelopment	Construction	Lease-up	Operations

Resident Initiatives Phase	Planning	Pre-Occupancy/ Readiness	Transition	Post-Occupancy
Core Activities	■ Orientation to development plan, opportunities, supports, "social compact" ■ Physical planning: housing, community, program, open spaces ■ Resident initiatives planning ■ Eligibility and tenant selection policies, "qualifying" residents ■ Baseline data collection, resident tracking ■ Programming focus: housing readiness, employment, income building	■ Outreach, intake, assessment ■ Resident goals, action plans ■ Housing readiness, transitions ■ Program provider network building ■ Initial family-unit matching ■ Programming focus: housing readiness, employment, income building, school transitions ■ Course correction as needed	■ Leasing, assistance with rent-up, moving requirements ■ New resident support, eviction prevention ■ Connections with surrounding community providers, institutions ■ Programming focus: employment, income/asset building, school transitions, youth engagement, community building ■ Mid-course program review, resource development	■ Resident support, eviction prevention ■ Resident Success, upward mobility ■ Programming focus: income/asset building, youth development, community building ■ Mid-course program review, fundraising success review, course correction
Tools/Training	■ Development agreement terms ■ Tenant selection criteria and qualification process ■ Project marketing materials ■ Program funding options ■ Community consensus building methods ■ Neighborhood asset scanning	■ Protocols for intake, case management ■ Intake/assessment tools ■ Individual/family goals, action plan template ■ Management Information Systems ■ Cost models, budget template ■ Housing readiness curriculum ■ Eligibility sorting, unit matching tools ■ Provider network description ■ Third-party contracting ■ Marketing materials	■ New resident welcome, orientation ■ Communications: leasing steps, requirements, supports ■ Case management ■ Asset building options ■ Provider network mapping ■ Site program budgeting	■ Site staff operating protocol ■ Community building ■ Governance options, including neighborhood association models ■ Leadership development

Site Staffing, Skill Set, and Budget

Development Phase	Planning	Predevelopment	Construction	Lease-up	Operations

Resident Initiatives Phase	Planning	Pre-Occupancy/ Readiness	Transition	Post-Occupancy
Staffing	• Planning team leader • On-site outreach, planning assistance aligned with development, property management activities • Resident liaisons	• Site-based program manager • Case managers, resident services coordinators for employment, youth, senior services, education • Resident liaisons	• Site-based program manager • Case managers, resident services coordinators for employment, youth, senior services, education • Resident liaisons	• Site-based program manager, coordinator
Skill Set	• Community consensus building • Relationship building • Contract negotiation • Environmental scanning, needs/asset/provider capacity assessments • Initial case statement, resource development • Staff recruitment, hiring • Internal team support, management	• Community consensus building • Resource development • Relationship management • Provider network management • Contract negotiation, oversight • Staff recruitment, staff development	• Community/media relations • Staff recruitment, supervision, development, team support • Eviction prevention, Watch List management • Financial management, reporting • Resource development	• Provider network management • Resident, community relations • Program performance monitoring • Resource development • Financial management, reporting • Team building, support
Site Budget	• Staff, consultants, stipends, outreach, marketing materials, events, meetings, site operating costs • Third-party contracts • $50-100k/year	• Staff, consultants, stipends, planning, outreach, marketing materials, events, meetings, site operating costs • Third-party contracts • Site, community program space • Resident/community building activities • $250-750k/year	• Staff, consultants, stipends, planning, outreach, marketing materials, events, meetings, site operating costs • Third-party contracts • Site, community program space • Resident, community building activities • $250-750k/year	• Modest staff, site operating costs • Resident, community building activities • $75-125k/year

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Chapter 2
Resident Initiatives Planning Period

Resident Initiatives planning is shaped by the target market for the development, project eligibility criteria, and tenant selection policies. Project financing and subsidy sources will determine the income ranges to be served. A typical HOPE VI project, for instance, will include a fixed number of public housing units, additional units constructed with Low Income Housing Tax Credits and HOME or Community Development Block Grant funds, market-rate units, and for-sale housing subsidized with HOPE VI funds and other sources. Each type of subsidy specifies income limits on households that rent or purchase the units.

In addition to defined income ranges (or "income tiers") for households, the project will have requirements for admission such as prior work history, good standing with former landlords, and a clean criminal background.

Finally, a project may also have goals for returning original residents to the new development, with temporarily relocated residents eligible for special services or priority in leasing new housing.

Taken together, the project's income tiers, admission requirements, and goals for returning residents suggest the initial scope and focus of resident supports and programs.

Inputs from the Development Process

Detailed Resident Initiatives planning is informed by key elements of the development plan. These include:

- Project scope -- housing, open space, community facilities, retail-commercial space;
- Development timeline, phases, and major milestones;
- Housing types, including the mix of rental and for sale units, and type of construction (townhouses, midrise walk-ups, elevator buildings);
- Numbers of units by bedroom size, and units designed for the elderly and persons with disabilities;
- Eligibility and selection criteria, along with any categories of applicants or residents eligible for special services or preferences;
- Temporary and/or permanent relocation needs, timelines, and supports; and
- Occupancy policies, such as employment and housekeeping requirements.

Resident Initiatives Focus

Senior resident initiatives staff or third-party consultants work collaboratively with the real estate project manager, architect, property manager, community residents, and other stakeholders to tailor an appropriate package for the development. Based on the inputs from the development process, the target market for the project, and its eligibility and selection criteria, this team undertakes a series of core activities and programs during the planning period. These include explaining the critical elements of the new development to key audiences, fleshing out plans for both the physical development and resident initiatives programming, clarifying the eligibility criteria and admission and occupancy requirements for the development, initiating employment support activity, and collecting essential baseline data. The planning team also initiates important working relationships with various actors who will be crucial to the project's success.

Core Activities & Programs

| **Orientation to the Development** | *Overview of the new development, opportunities, and "social compact" for residents, stakeholders, larger community* |

- Provide clear, consistent message and print materials/visual aids, describing project scope, eligibility factors, timelines and decisions yet to be made.

- Highlight opportunities and supports for residents along with high standards, expectations for employment, housekeeping, youth behavior, participation in civic affairs, community governance.

- Present the physical development plan and help introduce "social compact," perhaps using video and displaying milestones on a timeline in a community space or public computer kiosk.

| **Physical Development Planning** | *Forum for decision making on the development's scope, components, schedule, budget, and financing* |

- Make decisions on location of new units, design, mix of rental and for-sale housing, unit types/bedroom sizes, tenant selection policies, and target market.

- Plan community facilities, open space, commercial/retail space needs, and other amenities along with housing.

- Conduct a 3-4 day public "design charrette" process to translate development planning issues into specifics of land use, housing, community and program space design with help of prospective residents, key stakeholders.

- Think through impact of development decisions and tenant selection policies on residents and programming (temporary and permanent relocation, school transitions, employment support, credit repair, savings for down payments, etc.).

Core Activities & Programs

Resident Initiatives Planning

Detailed scope of resident initiatives, program components, schedule, partners, budget, and funding

- Form a resident initiatives planning workgroup composed of development, property management, finance and resident initiatives specialists, the project architect, prospective residents, sponsor/owner, local program providers, other stakeholders, to produce a detailed workplan within a defined time period (30-90 days).

- Orient workplan to a socially diverse, economically mixed development in a market context, i.e., one offering goods, services, amenities, and programs that appeal to a range of incomes and is not focused exclusively on lowest-income residents.

- Further detail goals and strategies in key areas—housing readiness, work-force-employment development, income/asset building, youth development, educational enhancements, family/senior services, health care, community building—oriented to self-sufficiency and upward mobility (see Attachment A, *"Resident Initiatives Template")*.

- Provide adequate office space, program/community space, and facilities, whether located on-site or at other locations in the community.

- Undertake an initial "community asset inventory" by scanning available institutions, providers, and social networks (see Attachment B, *"Initial Community Asset/Resources Scan")*.

- Assess program funding options, encourage development staff to include funding in development and operating budgets as feasible, or initiate contacts/proposals with public and private program funding resources (see Attachment C, *"Basic Funding Sources for Resident Programs"* and Attachment D, *"Site Types, Expected Outcomes, & Budgets")*.

- Celebrate plan completion and undertake formal community endorsement when complete.

Core Activities & Programs

| **Eligibility & Tenant Selection Policies** | *Explanation of eligibility criteria for different types of units, along with requirements for continued occupancy* |

- Clarify differences between threshold eligibility for housing and supports that are determined by the project financing (HOPE VI, Section 8, Low Income Housing Tax Credits, etc.) and admission criteria for housing (work/income histories, good standing with previous landlords, credit record, ability to establish utilities accounts, criminal/drug histories) that are policies adopted by project planners.

- Work through policy choices with residents and key stakeholders, document and clearly communicate decisions to promote understanding, buy-in (see Attachment E, *"Admission & Occupancy Options/Implementation Issues").*

- Describe process for finalizing tenant selection criteria and process for "qualifying" residents.

- Publicize simultaneously the housing and resident initiatives available to "qualifying" residents and other supports for "non-qualifying" residents (e.g., relocation choices, counseling, moving benefits, etc.).

| **Workforce-Employment Development** | *Connections to employment, training and advancement opportunities to meet tenant selection and occupancy criteria, build income/assets and encourage mobility* |

- Identify, assess local providers, and describe benefits of partnership (large potential client base, supported environment, management systems).

- Establish working relationships, preferably performance-based contracts, with proven workforce-employment development, other local providers offering job supports (day care, after-school programs, transportation assistance).

- Open doors, build trust with residents requiring employment help by addressing day care or after-school needs affecting their ability to pursue job supports.

Core Activities & Programs

Data Collection & Tracking	*Systems to track applicants, compliance with application/admission requirements, general outreach and communications, reporting*

- Establish baseline database of eligible residents and initial qualifications, track in a central management information system.

Key Actors/Relationships

Residents/ Resident Leaders:	Participate in advisory committees and help communicate project details, benefits, threshold eligibility/qualifications to other affected residents on/near site. Residents are simultaneously customers, constituents to elected officials, important advocates.
Lead Housing Agencies:	Supply financing, subsidies, and have oversight responsibility for use of their financing. Expect to be treated as partners in key decisions. Line staff can "flow or slow" project/program work.
Elected Officials:	Provide essential early support for project concept, financing. Residents mostly directly affected by project are often vocal constituents.
Informal Networks/Opinion Leaders:	Help explain project scope and purpose, endorse planning process, decisions. Includes influential individuals such as local clergy, merchants, childcare providers, and recreation center leaders.
Program Providers/ Funders:	Focus attention and energy on resident involvement in planning, delivery and measurement of program outcomes. Offer critical endorsements of planning process, key decisions. Providers usually have pre-existing working relationships with residents, and may perceive historic role to be jeopardized by planning process, proposed new activities.

Site Staffing, Skill Set, & Budget

Site staffing, needed skills and budget requirements depend on the size and scope of the project. A large well-funded redevelopment effort such as a HOPE VI project, involving temporary and/or permanent relocation, will field a larger site resident initiatives staff than a smaller assisted housing renovation project with a modest budget for resident initiatives.

The following staffing, skill set and budget applies to the resident initiatives planning period for both types of projects, though with a much broader scope required for a large, multi-phase project. The planning team leader must clearly understand and communicate all development, property management, resident initiatives tasks that will unfold. Often the development project manager best suits this role.

Staffing

- Planning team leader
- On-site outreach, planning assistance (staff or consultants)
- Resident liaisons, volunteer or stipend-supported

Skill Set

- Community consensus building
- Relationship building
- Contract negotiation
- Environmental scanning, needs/asset/provider capacity assessments
- Resource development
- Staff recruitment/hiring
- Internal team support/management

Site Budget

Needs	■ Staff, consultants, stipends, planning, outreach, marketing materials, events/meetings, site operating costs ■ Third-party contracts for needs assessment, environmental scan, family stabilization (drug, alcohol, domestic violence, mental health issues)
Annual Range	■ $50,000-100,000/year
Funding Approach	■ Secure program funding from public agency grants and contracts, philanthropy and by leveraging real estate development activities (corporate foundation of financial institutions, contractors, suppliers)

Chapter 3
Pre-Occupancy/Readiness

As the project moves forward, the planning team takes on new members focused on concrete real estate development activities. This team builds on earlier planning, finalizing the number of units and mix of bedroom sizes, tenant selection policies and priorities, and design of facilities for community programming. If demolition of existing housing is involved, the team resolves how to provide replacement housing through new construction and portable rent vouchers, and explains important choices concerning temporary or permanent relocation options.

By construction closing, development project managers have completed architectural plans, negotiated financing documents, and relocated existing residents if necessary. During the predevelopment and construction period for the housing components, the team also designs and begins to construct any needed community facilities or program space. By the end of the period, construction is nearly complete, lease-up activity has begun, and the first residents need to be ready to move in.

Inputs from the Development Process

Resident Initiatives activity in the Pre-Occupancy/Readiness period is informed by ongoing development activity. Critical inputs from the development process include:

- A community consensus around the development plan and requirements for moving into the new housing;

- Regular, clear updates on progress, evolving plans, and issues to resolve;

- Community meetings to help residents and stakeholders understand choices, and endorse key decisions;

- Tours of other completed developments or the project in development;

- Access to project-related jobs and

contracts for residents, minority-owned businesses (MBEs) and women-owned businesses (WBEs); and

■ Funding sources for resident initiatives though development and operating budgets.

Resident Initiatives Focus

As the actual scope of the challenge of creating a pool of applicants who meet the project's eligibility and selection criteria becomes clear, the site team undertakes a series of core activities and programs during
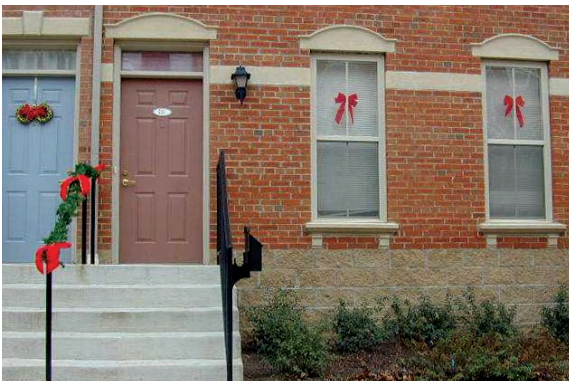
the Pre-Occupancy/Readiness period. These include outreach and intake activity aimed at residents currently on the site or in "preference" categories, work with potential residents to create individualized action plans, and training and support for potential residents, including those undergoing relocation.

At the same time, site staff work with local service providers to build a robust, results-oriented referral network, with an early focus on employment and income building.

As increasing numbers of potential residents are assessed, resident initiatives and property management staff take initial steps to match qualifying families with units that will soon come on line, keeping in mind the income restrictions on the unit, the appropriate household size for the unit, and any admissions preferences.

Finally, throughout the period, staff evaluate the resident initiatives workplan, and make any necessary adjustments based on new information, changing priorities, or available funding.

Core Activities & Programs

Outreach/Intake/ Assessment	*Direct resident contacts to clarify development's opportunities, supports, eligibility/tenant selection criteria, and to identify potential residents*

- Conduct intake and initial assessment of families, using initial contact with families to build relationships and highlight opportunities (see Attachment F, *"Initial Assessment for Leaseholders & Other Adults")*.

- Help families understand housing options, income requirements, other selection criteria, and sequence of steps to qualify for available housing.

- Offer individualized case management as feasible (see Attachment G, *"Case Management Model & Practice")*.

- Tap resident leaders, volunteers, making contacts through door-knocking, flyers, newsletters, picnics, open houses, and groundbreakings.

Resident Goals/ Action Plan	*Individualized sequence of steps to help individuals and families achieve employment, other objectives necessary to qualify*

- Identify action steps to reach goals, and necessary referrals to third-party program providers (see Attachment H, *"Individual Success Plan Template")*.

- Reinforce "social compact," encourage upward mobility in plan development.

- Integrate action plans into a management information system as feasible to track individual progress against an Individual Success Plan, status of referrals to service providers (see Attachment I, *"Case Management Information System Screenshots")*.

Core Activities & Programs

Housing Readiness/ Transitions	*Workshop series, one-on-one meetings to help eligible residents prepare to meet eligibility requirements*

- Ensure that the site development team provides a consistent message regarding housing choices, requirements, especially relocation options.

- Help families make housing choices–permanent or temporary relocation requirements, timing of planned move(s) in light of school enrollment requirements, etc.

- Orient training to understanding eligibility requirements, housekeeping, apartment maintenance, accommodating diversity, conflict resolution, and leadership development (see Attachment J, *"Housing Readiness Training Curriculum")*.

- Focus early on financial education and credit repair issues.

- Identify residents interested in home ownership, offer initial assessment of capacity to meet threshold criteria; advance those meeting threshold criteria to home ownership counseling agency.

- Facilitate school transfers to public or private school options, preferably without making disruptive changes during the school year.

- Celebrate both project milestones and individual resident achievements, including providers, stakeholders, and the larger community.

Core Activities & Programs

| **Program Provider Network** | *Coordinating a network of proven third-party program providers that can offer a range of supports to families* |

- Complete scan of local providers, mapping location and capacity of key providers with local stakeholders, resident leaders (see Attachment B, *"Initial Community Asset/Resources Scan"*).

- Recruit program partners, emphasizing the opportunity to reach a large client base at single location, with on-site staffing assistance, and a supportive environment.

- Negotiate agreements with key providers—employment, after-school provider, day care, etc.—to establish expectations and service level (see Attachment K, *"Site Provider Network Template"*).

- Establish data sharing, reporting protocols as feasible with partners.

| **Initial Family-Unit Matching** | *Identifying, tracking and qualifying residents according to eligibility categories, priority status, and tenant selection policies* |

- Design a chart to illustrate the planned unit mix (number of units by bedroom size) against basic eligibility criteria (see Attachment L, *"Family-Unit Matching Matrix)*.

- Establish household priority status, such as former residents of the development or other public housing residents with special claims.

- Begin sorting and tracking applicants based on eligibility, priority status, and readiness to meet tenant selection requirements.

Core Activities & Programs

Employment/ Income Building	*Job readiness, training, placement, advancement, skill building to ensure that residents meet requirements, realize income- and asset-building goals*

- Highlight importance of rapid progress on employment as a prerequisite for new housing.

- Tap proven workforce-employment development methods and techniques, such as Project Match, Strive, America Works, transitional jobs, etc., and align to established local growth industries and Workforce Investment Board strategies.

- Help working parents access high-quality day care, after-school programs for children.

- Incorporate routine use of the Earned Income Tax Credit, Child Tax Credit, Child Health Insurance Program, and Individual Development Accounts as part of long-term asset building and upward mobility agenda (see Attachment M, *"Asset Building Options")*.

- Celebrate individual progress achievements.

Course Correction	*Review of workplan, initial program implementation, provider performance, staffing, budgeting, fundraising success*

- Hold regular (perhaps, quarterly) site team progress reviews, consultations with outside providers and stakeholders.

- Make adjustments to resident initiatives plans, staffing and provider mix in response to available funding, provider performance, and community concerns.

Key Actors/Relationships

Housing Agencies/ Sponsors	Offer or can help arrange financing subsidies, relocation options (Section 8 vouchers for those permanently relocating, relocation to other public housing developments).
Residents/ Resident Leaders	Mobilize, encourage other residents to respond to timelines, requirements, opportunities. Provide essential support to the process of recruiting eligible tenants.
Elected Officials/Advisory Committees	Need a clear understanding of readiness, relocation requirements and processes, build-out, lease-up timelines to encourage residents, other affected constituencies to make needed transitions.
Sponsors	Offer possible help with major development issues that may emerge, such as zoning changes, bus routes, need for additional subsidies.
Program Providers/ Funders	Must enjoy effective communications, coordination with resident initiatives staff yet initiate direct "client" relationships with individuals/ families.

Site Staffing, Skill Set, & Budget

During the Pre-Occupancy/Readiness period, intense, joint efforts by development, resident initiatives, and property management staff are necessary to ensure that a pool of qualified residents is ready to occupy units as they come on line. Resident initiatives staff take the lead in working with individuals households to identify potential residents and help them meet eligibility criteria. The resident initiatives program manager oversees direct staff activities while building working relationships with third-party program providers.

Staffing and budget levels are high as the development moves through a critical period leading up to lease-up. Typically, a site-based program manager and 2-3 additional staff are needed to implement the resident initiatives workplan through this period.

Staffing

- Site-based program manager
- Case managers and/or resident services coordinators for employment, youth, senior services, and education (see Attachment N, *"Sample Job Descriptions")*
- Resident liaisons, outreach coordinators

Skill Set

- Community consensus building
- Resource development
- Relationship management
- Provider network management
- Contract negotiation, oversight
- Staff recruitment/staff development

Site Budget

Needs	■ Site staff, consultants, stipends, planning, outreach, marketing materials, events/meetings, site operating costs, management support
	■ Third-party contracts for program providers (drug/alcohol counseling, employment readiness/placement, youth programming, health care/senior services, etc.)
	■ Program/community program space
	■ Resident/community building activities
Annual Range	■ $250,000-750,000
Funding Approach	■ Continued efforts to secure funding: through development and operating budgets, public agency contracts, local/national foundations, deal partners (banks, investors), utility companies, insurance companies

Chapter 4
Transition

During the Transition period, tenants begin leasing units or buying homes at the new development. Former residents who either remained on site through renovations or relocated temporarily return to the development. Other new residents move from private market-rate apartments or subsidized housing elsewhere. This socially and economically diverse group of residents arrives on site, and begins to experience the development's rules, regulations and expectations, as well as its array of supports and opportunities. During the transition, which lasts roughly through the first 12 months after rent-up, a team led by property management and resident initiatives staff directs day-to-day operations at the site.

Inputs from the Development Process

As the development project is built out and units rented or sold, development, relocation, property management, and resident initiatives staff inform residents and key stakeholders about fast-moving deadlines, changes, delays and available supports. Along the way, the team deals with inevitable bumps in the transition process, helping to soften the impact on residents, program providers, and other stakeholders.

During this period, the project team supports resident initiatives activities by:

- Providing regular, clear communications about deadlines, move-in details, supports;
- Fostering an integrated approach, with development, relocation, property management and program staff functioning as a team focused on successful lease-up and site stabilization;
- Paying prompt attention to housing unit construction punch lists; and
- Bringing completed program and community space on line for property management and resident initiatives staff.

Resident Initiatives Focus

This team undertakes a series of core activities and programs during the transition period. These include assisting families moving into new units and addressing neighbor-to-neighbor issues; continuing employment, income, asset-building activity; helping parents and children with school transitions, and supporting community building activities and events as community and program space is built out and occupied. Throughout the period, staff evaluate the resident initiatives workplan, and make any necessary adjustments based on emerging priorities, provider performance, and staffing and funding considerations.

Core Activities & Programs

Leasing and Move-In	*Matching families with available units according to income tiers, leasing priorities, unit mix, timeline for placing units in service*

- Deploy a centrally coordinated, short-term "lease-up squad" consisting of development, property management and resident initiatives staff, led by senior person who understands all team roles, to orchestrate the lease-up period.

- Maintain ongoing, consistent communications between the site development team and new residents through lease-up.

- Ask resident leaders to help with essential communications, especially those who have already gone through the lease-up process.

- Reinforce previous housing readiness training/workshops in final moving preparations with a particular focus on general lease requirements, property rules and regulations, apartment maintenance (see Attachment O, *"PM/CI Management Protocol"*).

- Address last-minute snags with each family moving in.

Workforce Development	*Ongoing workforce-employment development activity to increase earned income, skill levels*

- Focus on employment-oriented case management and program supports (day care, transportation, after-school activities).

- Engage effective workforce development partners using agreements and contracts.

- Build links to employers with appropriate jobs and opportunities for advancement along a career ladder.

- Couple employment activities with site-based promotion of work supports, such as the Earned Income Tax Credit, Child Health Insurance, and day care and transportation assistance.

Core Activities & Programs

New Resident Support/Eviction Prevention	*Joint monitoring by property management and resident initiatives staff, with attention to late rent payments, employment changes, housekeeping issues, neighbor conflicts*

- Conduct new resident welcome and orientation sessions conducted in individual homes to reinforce previous readiness training.

- Assist families with school-age children manage school transfers and re-assignments to public and private schools.

- Implement, track early warning system for property management/program team to monitor/correct any initial occupancy problems evidenced by individual households (see Attachment P, *"Watch List & Early Intervention Protocol"*).

- Conduct home visits, maintain frequent, informal contact with residents to resolve emerging issues (see Attachment Q, *"Household Demographic/Income,"* Attachment R, *"Domestic Violence Protocol,"* and Attachment S, *"Violent Incident Protocol"*).

- Celebrate successful "move-ins" by families in each lease-up phase.

Income/Asset Building	*Coordinating access to asset-building programming to promote long-term orientation, savings, upward mobility*

- Identify program providers or financial institutions offering basic financial education, household budgeting, credit repair, banking relationships, savings, and home ownership preparation (see Attachment M, *"Asset Building Options"*).

- Connect to community colleges and other resources supporting for small business development.

- Tap project financing or equity investor sources for matching contributions to resident savings, Individual Development Accounts.

Core Activities & Programs

Youth Engagement/ Schools	*Support for youth transitions—school assignments, churches, recreation centers, clubs—from previous to new neighborhood*

- Coordinate youth engagement/development options, especially school-centered programming as feasible, using site program team and third-party providers.

- Cultivate working relationships with local principals, administrators, teachers.

- Establish youth liaisons with schools, libraries, other major institutions as feasible.

- Form youth committee or council as part of community governance activities.

Community Building Activities	*Initial schedule of site-based activities, events to facilitate new resident interactions, foster new community practices, traditions*

- Support initial community events and activities (block party, holiday celebration, clubs).

- Engage residents in publishing and distributing a community newsletter or creating a web-site (see Attachment T, *"Elizabeth Park HOPE VI Advisor").*

- Form action committees to address emerging issues such as teen loitering/vandalism, poor recreation facilities or public services, to provide leadership development.

Core Activities & Programs

Mid-Course Review	*Review of workplan, program implementation, provider performance, staffing, budgeting, fundraising success*

- Hold quarterly site team reviews and consultation with outside providers and stakeholders to review program progress, needs, and available resources.

- Make adjustments to resident initiatives plans, staffing and provider mix in response to available funding, provider performance, and community concerns.

- Align workplan expectations and programming to social and funding realities emerging during transition.

Key Actors/Relationships

Residents/ Resident Leaders	Provide essential support in encouraging other newly moved-in families to tap available opportunities/supports, participate in new, community-defining activities.
Housing Agencies/ Sponsors	Expect continued involvement, publicity, even as their active roles recede slightly as development activity progresses.
Elected Officials	Seek visible engagement with emerging community and can facilitate changes/improvements in public services and related public investment.
Advisory Committees	Give way to emerging form of neighborhood association, connections to surrounding governance forums.
Program Providers	Maintain strong working relationships with the site staff around emerging program demands, and initiate direct "client" relationships with individuals/families.
Funders	Appreciate opportunities to market, convey excitement about their investments.

Site Staffing, Skill Set, & Budget

During the Transition period, the focus turns to site operations, led by a joint resident initiatives and property management team. Resident initiatives staff take the lead in interactions with residents and stakeholders. The resident initiatives program manager oversees direct staff activities while building working relationships with third-party program providers.

Staffing and budget levels remain high as the development moves through a critical period of stabilization. Typically, a site-based program manager and additional staff needed to implement the site workplan remain in place through this period.

Staffing

- Site-based program manager
- Case managers and/or resident services coordinators for employment, youth, senior services, and education (see Attachment N, *"Sample Job Descriptions"*).
- Resident liaisons, outreach coordinators

Skill Set

- Community/media relations
- Staff recruitment, supervision, development, team support
- Eviction prevention, Watch List management
- Financial management, reporting
- Resource development

Site Budget

Needs	■ Site staff, consultants, stipends, planning, outreach, marketing materials, events/meetings, site operating costs, management support ■ Third-party contracts for key providers (drug/alcohol counseling, employment readiness/placement, youth programming, health care/senior services) ■ Site/community program space build-out and operations ■ Resident/community building activities
Annual Range	■ $250,000-750,000
Funding Approach	■ Continued efforts to secure funding through development and operating budgets, public agency contracts, local/national foundations, deal partners (banks, investors), utility companies, insurance companies

Chapter 5
Post-Occupancy
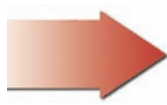
During the Post-Occupancy period, the units in a given phase have been leased and new residents are settling into their new homes and community. Some residents may struggle to keep up with the property's rules and norms. The growing base of residents begins to define itself as a new community with a distinct identity. Leaders and organizations reflecting the socially and economically diverse character of the community begin to emerge and participate in decision-making at the site, the neighborhood, and even city-wide.

Over time, residents are also encouraged to pursue upward mobility, moving from subsidized units into market rate rental units or affordable home ownership opportunities within the development or elsewhere.

Inputs from the Development Process

As development staff complete construction and bring units on line, property management and resident initiatives staff take the lead. Modest supports from development process during post-occupancy include:

- Resolving construction warranty issues quickly and professionally;

- Completing additional program space or community facilities as necessary; and

- Providing current information on funding streams available from property operations, development accounts, and investment partnerships.

Resident Initiatives Focus

During the Post-Occupancy period, resident initiatives aim to maintain the mixed-income, mixed-race character of the development, satisfy occupancy restrictions in financing agreements, and meet sponsor goals for the development. Sustaining an adequate funding base to support resident initiatives activities over the long term remains an ongoing challenge.

Key activities during the period include rigorously monitoring occupancy and offering supports; facilitating site activities/events, leadership development; helping assess and foster appropriate forms of community association/governance; and connecting to surrounding institutions and neighborhood/city resources. Site staff also increasingly encourage residents to directly access income/asset building and quality youth development programming offered by proven providers in the area.

Core Activities & Programs

| **Ongoing Resident Supports** | *Stable occupancy, strong performance, while meeting ongoing financing/funding requirements.* |

- Maintain focus on eviction prevention, employment supports, including high quality job placements, training or career advancement referrals (see Attachment U, *"Site Planning Template").*

- Encourage resident-to-resident supports such as an "ambassador" or mentoring activities where new residents are linked to residents who have made successful transitions.

- Offer home maintenance training and other occupancy supports through property management staff.

- Create a "community operations manager" responsible for both resident supports and property management in a blended management approach to avoid "silo" site operations and encourage focus on shared goals.

| **Income/Asset Building** | *Ongoing supports to address job transitions, develop skills, advance in careers, promote earned income/asset orientation, reinforce upward mobility expectations* |

- Identify, assess local providers, and describe benefits of partnership (large potential client base, supported environment, management systems).

- Encourage residents to stay engaged with proven workforce-development providers, and take advantage of work supports such as day care, transportation assistance, and tax credits.

- Coordinate a menu of asset-building supports with local financial institutions and other providers offering financial education, budgeting assistance, savings/investing plans, homeownership counseling.

- Continue to promote the Earned Income Tax Credit, Child Tax Credit, and home ownership opportunities, and link residents to tax preparation assistance and home ownership counseling services.

Core Activities & Programs

| **Community Building** | *Fostering working relationships, decision making, community identity while addressing emerging issues among income and racial groups* |

- Support a regular calendar of popular site activities such as a jazz brunch, summer picnic, or holiday party and invite leaders of nearby churches, schools, and agencies to help plan and attend activities, celebrations, and events.

- Engage resident advisory committees and emerging forms of association in site issues and ongoing development matters, and engage leadership development training organizations to build community governance capacity.

- Encourage residents and associations to become active in local civic affairs, serve on committees, join merchants associations, etc.

- Take on a leadership role in the surrounding community, by promoting a city-wide Earned Income Tax Credit/Child Tax Credit coalition.

| **Youth Development** | *Critical competencies in five areas — academics, social-cultural functioning, athletic-recreation enjoyment, world-of-work exposure, community involvement* |

- Identify, establish connections to proven youth development providers, engaging both youth and parents.

- Support, reinforce youth development activities connected to local schools, recreation centers, churches, etc.

- Offer on-site program space to select youth providers to overcome transportation issues as feasible, balanced with objective of encouraging youth to navigate opportunities beyond site offerings.

- Include a youth committee or council in decision making, and feature youth-determined activities as part of regular calendar of community events.

Core Activities & Programs

Mid-Course Review	*Regular review of program implementation, provider performance, & success in integrating with surrounding institutions, mainstream providers for long-term viability and sustainability*

- Hold quarterly site team reviews and consultation with outside providers and stakeholders to review program progress, needs, and available resources.

- Align workplan expectations and programming to demand and funding realities during post-occupancy.

- Include residents and community governance vehicles in program reviews, adjustments, and overhaul as needed.

Key Actors/Relationships

Residents/ Resident Leaders	Emerge as leaders, a driving force in the community. Increasingly manage or coordinate relationships with local officials, third-party program providers and agencies delivering public services.
Housing Agencies/ Sponsors	Maintain monitoring role over use of funds; assess merits of additional public investment in future phases of development, service provision.
Elected Officials	Seek visible engagement with successful community and can facilitate changes/improvements in public services and related public investment.
Neighborhood Association	Give way to emerging form of neighborhood association, connections to surrounding governance forums.
Program Providers	Maintain strong working relationships with the site staff around emerging program demands, and continue direct "client" relationships with individuals/families.
Funders	Appreciate opportunities to market, convey excitement about their investments.

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Site Staffing, Skill Set, & Budget

In the Post-Occupancy period resident initiatives staff continue to support property management operations yet offer fewer direct supports to residents as the demand for intensive supports tapers off. Third-party program providers continue to offer programming on and off-site. Staffing and budget levels decrease as programming shifts to mainstream providers and the challenge of sustaining previous levels of operating funding becomes more difficult.

Typically, only one or two resident initiatives staff can be maintained after lease-up and stable operations. Where funding is limited, property management staff can support resident initiatives and various program activities in the course of their regular duties. Site staff with a range of cross-functional, entrepreneurial skills are most effective during post-occupancy.

Staffing

- Site-based program manager, and/or resident initiatives coordinator(s) (see Attachment N, *"Sample Job Descriptions").*

Skill Set

- Provider network management
- Resident, community relations
- Program performance monitoring
- Resource development
- Financial management, reporting
- Team building, support

Site Budget

Needs	■ Modest staff, site operating costs ■ Diminishing third-party contracts for key providers (day care, senior services, leadership development) ■ Site program space rent, improvements ■ Resident/community building activities
Annual Range	■ $75,000-125,000/year
Funding Approach	■ Tap negotiated development and operating budget contributions, public agency contracts, local/national foundations, deal partners (banks, investors), utility companies, insurance companies and mainstream" critical program activities with established providers

Chapter 6
Field Building

Over the past 20 years, the community development field has confronted concentrated poverty and racial isolation in urban neighborhoods. Following extensive research on the dynamics of persistent poverty, and the role neighborhood-level poverty plays in reinforcing patterns of joblessness, poor educational outcomes, and early childbearing, policy makers began to embrace mixed-income housing development in the 1990s. The trend reflected a common view that clustering large numbers of very low income households in dense, physically and socially isolated developments created unhealthy and unmanageable environments.

Large scale neighborhood revitalization efforts sought to use housing as a platform for social and economic mobility. Throughout the 1990s, foundations, major institutions, leading service agencies, local government and others advanced large-scale "neighborhood transformation" efforts and "comprehensive community initiatives" coupled with major housing development activity.

Federal policy, most notably through HUD's HOPE VI public housing transformation program, explicitly embraced demolition of obsolete structures and construction of new mixed-income developments as a means to break up concentrated poverty and reposition deteriorated neighborhoods. In doing so, HOPE VI leveraged public and private resources to develop attractive and competitively priced units in scattered-site, mixed-income neighborhoods.

Each initiative sought to go beyond housing, integrating the critical components of economic mobility – employment and asset building, youth and family supports, school improvement and community building – into a broader revitalization strategy for the benefit of area residents.

The encouraging results of many of these efforts, along with resurgent urban housing markets, has made construction of socially diverse, economically integrated housing a viable and attractive strategy in many urban markets throughout the country. The Ford Foundation's recent investment in mixed-income, mixed-race housing strategies promises to refine and sharpen both the theory and practice of developing integrated communities. We hope this "resident success" *Guide* will help other developers, policy makers, and community leaders take further steps to advance the field.

In the process of sharing what we have learned, we have identified several ongoing challenges in helping low-income residents make successful transitions into new socially and economically diverse housing:

- **More than the Transition.** While this *Guide* focuses on critical early steps in promoting resident success through the development phases and into the initial post-occupancy period, this activity is really just the beginning. Ongoing efforts are needed to help residents thrive, reach personal goals, build family assets and shape their new community. The owner/developer/manager's ability to structure broadly attractive opportunities and supports for residents and maintain strong local networks is key to lasting resident success.

- **Focus on Implementation.** Ensuring resident success requires careful attention to the site staff, volunteers,

and local partners engaged in resident and community initiatives. Investing in appropriate salaries and stipends, training and professional/leadership development opportunities, better tools and equipment, enhanced communications with team members and partners, and more interactions with peers in the field will raise the level of execution and ultimate performance at the site level.

■ **Building on the Open System.** With Ford Foundation support, Community Builders was able learn from and share knowledge with other experienced sponsors/owners/developers. All of the organizations and individuals we engaged in producing this *Guide* showed a strong interest in continuing to pool and share learning and experience in promoting resident success. An "open system" approach – on the web, through practitioner forums and exchanges, in collective professional development activities – will accelerate the distillation and dissemination of ideas and practice in this area.

■ **Documenting Added Value.** Effective resident initiatives in mixed-income, mixed-race housing settings creates real family and community value – increasing income and assets, healthy children, improving educational outcomes, and strong community ties. They also contribute to the bottom line in property operations, for example, by reducing evictions and vandalism – and costs related to them – or realizing rent increases flowing from rising earned income of residents with better jobs. The NeighborWorks America's "Learning Center Consortium" and the

Enterprise Community Partners-NeighborWorks "National Resident Services Collaborative" are two promising efforts working to document these and other benefits of site-based resident initiatives. With the benefits clearly established, owners, developers and project sponsors can persuade public and private financing sources to include the costs of resident initiatives in project underwriting.

■ **Telling the Whole Story.** There are many good stories to tell about how resident initiatives in mixed-income, mixed-race housing support welfare reform, reduce the depth and duration of needed housing subsidies, help reposition urban markets and build family and community assets. Using compelling stories to tie resident initiatives to these larger issues is critical to gaining the attention of policy makers.

■ **Finding New Resources.** With curtailment of the HOPE VI program and fewer federal resources allocated for local community development, revenue streams that can support resident initiatives and larger community building are under pressure. New thinking is needed about how to capture some of the value of successful mixed-income, mixed-race developments. Value capture strategies could include tapping rising land values, property tax revenues and earned incomes. Additional resources might be secured from project financing, perhaps structured as "success fees" paid for achieving specific resident outcomes such as rising average incomes or educational performance.

■ **Rethinking Asset Management Metrics.** The list of standard asset management metrics could be expanded to include indicators of resident success such as employment and income, youth development, success in school, civic engagement, or upward mobility. When asset management practice comes to view resident outcomes on par with financial performance, and allocates management fees and incentives accordingly, developers, owners, funders, and policy makers will recognize the critical role of resident initiatives in economically integrated, socially diverse housing.

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Community Builders would like to thank the following individuals and organizations for their participation in interviews, brainstorming sessions, and convenings related to the development of this *Guide*.

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