

Withdrawal/Redaction Sheet

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DOCUMENT NO. AND TYPE	SUBJECT/TITLE	DATE	RESTRICTION
001. list	Participants contact list for Community Revitalization Through the Empowerment Zone/Enterprise Community Initiative (partial) (1 page)	07/28/1995	P6/b(6)

COLLECTION:

Clinton Presidential Records
Domestic Policy Council
Gaynor McCown (Subject Files)
OA/Box Number: 7385

FOLDER TITLE:

EZ/EC Process - Foundation Involvement [Empowerment Zones and Enterprise Communities]

2011-0255-S
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RESTRICTION CODES

Presidential Records Act - [44 U.S.C. 2204(a)]

- P1 National Security Classified Information [(a)(1) of the PRA]
- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
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- P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [(a)(5) of the PRA]
- P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

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RR. Document will be reviewed upon request.

Freedom of Information Act - [5 U.S.C. 552(b)]

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Community Revitalization Through The Empowerment Zone/Enterprise Community Initiative

Summary of July 28, 1995 Meeting

I. Background and Overview

On July 28, 1995, a group of foundation representatives met at the Ford Foundation in New York City to discuss possible roles for the philanthropic sector in or related to the federal Empowerment Zone/Enterprise Community (EZ/EC) Initiative. (A list of meeting participants is attached as Appendix A. Additional foundations, beyond those in attendance, are participating in the discussions, but because of schedule conflicts were unable to have someone present at this meeting.)

This was the second meeting of the group, which includes national, regional and community foundations. At the first meeting, participants concluded that the EZ/EC Initiative is important to foundations in itself, as an opportunity to advance principles and strategies of significance to the philanthropic sector, and as a potential influence on foundation efforts. Among the elements contributing to this importance are: that its scope is comprehensive; that, at least in concept, it embodies dramatic public policy changes such as an extended time-frame, neighborhood focus, emphasis on inclusiveness, and a reorientation in the way the federal government functions and relates to localities; and that the sites potentially offer laboratories for learning. Too, in many ways, the EZ/EC Initiative overlaps with the work of the participating foundations.

For these reasons, participants in the first meeting agreed that expanded philanthropic involvement in the EZ/EC Initiative does appear indicated. The challenge is to figure out the most appropriate types of involvement. It was noted that, in some respects, the range of logical possibilities for foundation action is broader and the choices easier when government is not an actor. Once government, especially at the federal level with its much larger resources, becomes engaged on an issue or in a geographic area, foundation roles may change. A change in roles need not mean displacement, however. Foundation resources can be important, and foundations also can contribute in ways other than simply providing financing.

At the end of the first meeting, the participants agreed to reconvene to consider in more depth possible avenues for philanthropic involvement, including how foundation resources, attention, and experience based on past work might contribute to success of the EZ/EC Initiative. This was the focus of the July 28 meeting, for which a discussion paper laying out a wide range of options was prepared.

With respect to the breadth of options offered in the paper, it was noted that that the possibilities for involvement are very large, especially relative to the limited financial resources of foundations. Setting priorities therefore will be necessary and important. At the meeting, participants began the process of priority-setting by identifying those areas which at this point seem of highest interest, based on the perceived importance to local sites and the Initiative as a whole and on the likelihood that foundations can make a useful contribution. In the next couple months, additional information will be gathered through reconnaissance with key constituencies and other mechanisms to determine whether those involved in implementation concur regarding the identified priorities and which priorities are appropriate for possible collaboration among foundations and with others beyond the philanthropic sector.

Participants agreed that the next meeting of the group should move beyond exploration to agreement on concrete steps.

II. Framework for the Discussion

Several people noted that they are participating in these discussions for two broad reasons: they are looking for good ideas about possible involvement that might be of interest to their boards, and they want to determine how those areas of interest intersect with other foundations' interests, which might offer the opportunity for collaboration.

More specifically, participants offered a number of questions to help frame the discussion and consideration of which options for involvement might be most important:

- How can we ensure that the lessons from past experience are put to use in the EZ/EC Initiative?

Among the relevant endeavors with a range of lessons to offer are the evolution of community development corporations and the programs of the Great Society, as well as more recent community-building efforts. Like the EZ/EC Initiative, many of these past efforts have flaws, but they also demonstrate that government programs can spur significant action to expand social and economic opportunity at the community¹ level. It also was

¹As in the options paper prepared for the July 28 meeting, the term "community" in this summary is equivalent to "neighborhood" in urban areas; we use the former rather than the latter term as a construction that will also be relevant to rural areas. "Community" is distinguished from the broader jurisdiction in which the EZ/EC target areas are located -- that is, a city or multi-county region -- which generally is referred

suggested that the collective experience of foundations on key issues of common concern to sites -- such as leadership development, devolution of authority and responsibility, governance and integration of systems -- might be a source of helpful advice.

- How can we maximize the opportunities that are inherent in the Initiative to ensure that real benefits accrue to local communities and residents?
- How do we assure that leadership and capacity is built at the community level, while also bringing into the partnership key stakeholders and resources from beyond the community? How do we help residents come to the table knowledgeable about potential strategies and well-prepared to articulate their needs and preferences? How can foundations help the range of stakeholders recognize that success of the Initiative is in their best interests and facilitate the cross-constituency dialogues -- e.g., among government agencies, between the private business sector and community residents -- that are essential?

An observation was made that there are issues both of helping groups understand how to talk to one another and of righting a power imbalance which often exists.

- How do we build support systems to assist sites and communities with implementation, especially ones that are near to the sites rather than at a distance and therefore more likely to understand local circumstances?
- How can foundations help to establish realistic expectations for the Initiative and to provide sites with the time and nonpartisan "space" necessary for the Initiative to take root and overcome initial implementation challenges?

It was noted that there quickly is emerging both a great deal of pessimism and naysaying, already prepared to declare the Initiative a failure because there are few demonstrable accomplishments, and on the other side, yet-unjustified optimism and cheerleading, arguing that the Initiative is a success before there are measurable improvements in the lives of residents. Foundations with experience in the design and implementation of complex, comprehensive initiatives, perhaps as well as anyone, understand that considerable time and effort will be needed before there are grounds for either conclusion.

- How can we encourage a connection between the EZ/EC Initiative and existing activities in the sites?
- How can we continue to improve the cooperation and communication among foundations with an interest in the Initiative?

III. Observations About the Initiative To Date

Participants identified a number of questions, issues and tensions that appear prominent in all or most sites at this stage:

- The community or neighborhood level and central governmental levels (either city government or, in rural areas, county government) are seeking new ways of working together to provide acceptable and legitimate means to represent the interests of residents.
- Sites are trying to determine the qualities, characteristics and credentials that leaders of the Initiative will need.
- Choices must be made in how EZ/EC dollars will be spent and in what sequence. Within the process of making these choices, sites are struggling, either explicitly or implicitly, with what the balance should be among activities directed to economic development, human development, family support, and the building of community infrastructure. Sites also are trying to determine how they will measure the impact of chosen strategies.
- There is confusion in most places about the role of the state in the Initiative.

Further, among policymakers, researchers, and conceptual thinkers in public policy, as well as among the sites, there is concern about whether the place-based approach of the EZ/EC Initiative will detract from efforts to address economic and employment concerns on a regional basis.

Finally, it is clear that there are many challenges for federal agencies, which through the Initiative are committed to a significant change in the way business is done, and that staff in those agencies could benefit from the support and assistance of foundations, just as the sites can. It was noted that many of the challenges deriving from the EZ/EC Initiative are quite similar to what will be required if proposals now pending in Congress, such as significant block granting, are enacted.

It was suggested that the presence of these issues at this stage of implementation should be regarded as a positive sign. They demonstrate that the EZ/EC Initiative is of sufficient scale and intensity to generate serious attention and discussion among

key constituencies. Further, they are issues which must be addressed if comprehensive community-building initiatives sponsored by foundations, as well as the EZ/EC Initiative, are to succeed in the long run.

At the same time, some resolution of the issues must be reached expeditiously, because protracted struggles could jeopardize the effort. It was acknowledged that this resolution in some cases may only be a working compromise or a model to be tested, to allow action while a serious and durable probing of these long-standing questions takes place. For a resolution, either short- or long-term, to be achieved quickly, sites will need access to the best knowledge and experience on these issues, moral and political support to engage in tough debates, and an audience sympathetic to the fact that there will be both successes and failures.

Many of these issues surfaced in the discussions at the recent White House conference held for teams from the fifteen large designees, and representatives from the sites were reassured by the knowledge that others were struggling with the same questions and tensions. Other observations from the conference: A substantial number of mayors and other local elected officials were present for the full day. Notable was the fact that they are looking for lessons from the EZ/EC Initiative that will be applicable to the city or county as a whole. The President's address reflected genuine commitment to and in-depth understanding of the Initiative, including both the potential and limits of the strategies which it incorporates. Comments by the President, Vice President, and other federal officials also demonstrated a clear desire to change the way the federal government supports cities and distressed rural areas.

IV. Small Group Discussions

Participants divided into two discussion groups: 1) a group focusing on local aspects, such as how foundations can help to develop leadership and capacity at the local level and to increase local knowledge about substantive topics; and 2) a group focusing on national aspects, such as how foundations can assure that the policy implications of the Initiative are captured and put to use. Each group was asked to consider possible roles for foundations in supporting implementation, broadening the vision, capturing learnings, and promoting sustainable change and system reform.

Each group summarized the results of its discussions for the whole meeting as follows [Appendix B contains more detailed notes from the small group discussions]:

The group focusing on local aspects began by identifying two organizing principles that should guide the setting of priorities: 1) we need to understand clearly what sites and communities perceive as their needs, and should use surveys or other

mechanisms to collect that information systematically; 2) we need to understand the history of community-building efforts, both in terms of the lessons to be drawn and in terms of the groundwork that has been established already in many communities from this past work.

The group then identified a number of strategies that it felt were of highest priority:

- Building local capacity for leadership and problem-solving: The EZ/EC Initiative poses both substantive and process challenges for sites, as a wide range of stakeholders learn to work together on a broad and difficult set of issues. It was suggested that sites would benefit from being able to draw on outside expertise as needed, for instance through technical assistance "vouchers," but that it also is at least as important to build expertise locally. An example of how this might be done would be development of a community-building and mediation curriculum that could be delivered directly at a local site or through a network of local or regional institutions.
- Promoting knowledge about successful programs and other relevant initiatives: EZ/EC sites are a natural audience as foundations seek to disseminate information about endeavors they regard as successful and likely to inform and enhance the new work being undertaken.
- Keeping a focus on key Initiative principles and objectives: The ongoing presence and involvement of foundations can help assure that community leadership and a broad vision of what is to be accomplished are sustained, and that no one stakeholder or strategy becomes overly dominant.
- Helping sites to capture and share the important lessons from their work: Several foundations are establishing or exploring the idea of learning networks for those engaged in EZ/EC efforts and/or other similar initiatives. It was suggested that all sites could benefit from such opportunities for dialogue within the site, as well as from the exchange of information that would come through connecting the networks.

Finally, the group briefly discussed two additional topics: 1) the need to encourage significant coordination within the donor community and to view community foundations as of particular importance in carrying out strategies directed at the local level; and 2) the need soon to develop a "game plan" for foundation action, incorporating ideas both from the paper prepared for the meeting and from further exploration with sites and other relevant parties.

The group focusing on national aspects identified four areas to be of the highest priority:

- Getting the best current and evolving thinking to those implementing the EZ/EC Initiative at the local and national level: This would include both assuring that sites and federal officials have state-of-the-art knowledge as implementation begins and that there are mechanisms for eliciting and sharing best and promising practices emerging from the Initiative.
- Using a variety of strategies to "buy time" for the Initiative to take root and unfold: A challenge within this priority is determining how to identify and report markers of progress in the early stages, before substantial and demonstrable changes in communities have occurred.
- Sustaining the Initiative as a priority within the federal government and enhancing the capacity of the federal government to support the Initiative: This is a ten-year Initiative, but the dollars will go out quickly, over approximately the next two years. It was suggested that foundations can play a role in keeping the EZ/EC Initiative visible, especially as it must compete with crises vying for attention and resources.
- Promoting sustainable systemic change: Among the strategies identified to achieve this might be technical assistance to help sites with changes in regulations and mechanisms like publications and conferences through which sites can learn of strategies used by others.

The group also agreed that a framework and institutional base will be needed to look at the overall Initiative and formulate a coherent plan of supportive action. The priorities identified above might constitute a part or all of such a framework.

V. Next Steps

It was suggested that we have raised and begun to answer a set of questions which must be pursued further:

- What should be the priorities for foundation attention? Are the priorities of those at the local and federal level who are responsible for implementation the same as the ones we have identified?
- Which of the priorities are logical opportunities for cooperative work among a group of foundations?

- How should foundation collaboration be structured and where should responsibility be lodged? What is a potential "home" for collective effort to follow and support the EZ/EC Initiative?
- Who else should be engaged with foundations in addressing which priorities?
- What else is being done by foundations and others that is relevant -- either because of geography or substantive focus -- and should be connected to EZ/EC work? Related to this question, a specific caution was raised that we should seek to connect parts of, rather than fragment, the community development field, so that community-building efforts, comprehensive community initiatives, and the EZ/EC Initiative are seen as aspects of a common agenda.

It was acknowledged that gathering and assimilating the information to answer these questions will take substantial effort. This work should include, among other tasks, reconnaissance with people at the site, state and federal level involved in implementation, as well as with relevant organizations which are currently working on the Initiative or potentially have something to contribute. The Annie E. Casey Foundation agreed to make the majority of Janet Levy's time available for this purpose. At the same time, it was reaffirmed that much of what needs to be done is "collective work." All of the participating foundations will be asked to provide information, in some instances to help collect information, and to be part of structured deliberations to analyze the information that is gathered and refine answers to the questions.

It is anticipated that the answers to these questions will provide a base for communicating with a larger circle of foundations who may have an interest in participating in EZ/EC-related work and for convening groups of foundation and non-foundation representatives to formulate specific plans on the established priorities.

It was agreed that the answers to the questions resulting from the data-gathering and analysis should be brought back to the participating foundations for consideration in the fall, and that the group should be prepared to agree on concrete steps at this next meeting.

Finally, it was noted that, during this process of formulating an overall plan for collaborative action, many of the participating foundations will continue to engage individually in various types of activity related to the EZ/EC Initiative. In fact, participants were encouraged to take advantage of various opportunities which arise -- such as the Community Foundations conference in the fall -- to stimulate interest in these discussions and in philanthropic assistance to the Initiative.

APPENDIX A

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Community Revitalization Through
the Empowerment Zone/Enterprise Community Initiative

July 28, 1995

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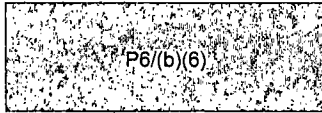
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Final

APPENDIX B

Notes from Small Group Discussion Focusing on Local Aspects
July 28, 1995

Participants: Cindy Ballard, Bob Curvin, Raymond Colmenar, Janet Levy, Reggie Lewis, Lisa Linowes, Janice Molnar, Susan Motley, George Penick, Sherrie Pugh, Jay Talbot, Garland Yates

Part of priority-setting should be sorting out normal startup concerns from serious implementation issues that need the most attention.

We need to hear directly from sites about what they perceive to be their needs. An open question is whether we should try to contact all sites or just a sample, but at least some sites should be visited. We must remember that there are significant differences among sites, and responses and assistance should be tailored accordingly.

While not a replacement for direct input from sites, past experience such as that with Model Cities also may provide some insight as to what sites are likely to need.

Leadership is key to the success of the Initiative. To assure adequate leadership, we need to help strengthen the understanding various stakeholders have of the real breadth and significance of the Initiative, to increase the ability of these diverse stakeholders to talk to and work with one another, and to enhance their knowledge of effective strategies. Is there a curriculum or training strategy to address these issues or can one be developed? Beyond supporting such training, foundations also can be of special value in bringing together key stakeholders because they transcend local politics.

There already is arising a tension between EZ/EC neighborhoods/communities and others who are concerned that they may lose out as resources are concentrated on the designated areas. Technical assistance may be needed to determine how to make other neighborhoods/communities a part of the effort or to extend the benefits beyond the boundaries of designated areas.

We know that bringing people together to help each other is effective. We might help to organize conversations and exchange based on a variety of criteria, e.g., geographical areas, type of designee, urban or rural.

The MacArthur Foundation is considering organizing "learning networks" of people working on the EZ/EC Initiative and on other foundation-supported economic opportunity efforts in Chicago and particularly in the EZ/EC neighborhoods. The networks, whose membership would be multidisciplinary, would meet around a structured set of questions designed to link theory, practice, policy and evaluation. It is hoped that these networks would provide guidance for mid-course corrections, address broad challenges like how to achieve systemic change and measure

success, and serve to disseminate information about the work being done. The prime mover in establishing the network would be the foundation, but each group also would have a chairman. It was suggested that this might be an idea worth replicating elsewhere, and that there would be value as well in connecting the site-based learning networks.

A caution was raised that some rural sites may not have sufficient experience or current non-EZ/EC work underway to be able to use the learning networks approach effectively yet; another means may be needed to give them access to necessary information and insights and, through training, to help them put that information to use.

Vouchers to secure technical, problem-solving, and mediation/facilitation assistance might be one way to make help available to EC's.

EZ/EC sites can be viewed as a natural audience for the transfer of successful programs and strategies, such as a neighborhood-based drug prevention strategy supported by the Ford Foundation.

With respect to bringing other foundations into the discussion, the MacArthur Foundation noted that it has convened four Chicago foundations to discuss support of the local effort, that it is sharing the information prepared by this group with those foundations, and that it will bring their ideas and plans back to this group.

Community foundations already have had a role in the application process and in implementation, and a special ongoing role should be considered. At the same time, it must be recognized that community foundations may not always be the place to which community efforts will turn, nor will they always be aware of "where the shoes are pinching."

We need to pursue this effort at coordination among donors. There can be a variety of bases for coordination, such as place-based partnerships and partnerships built around substantive issues rather than location. We may want to consider a structure or structures that can facilitate this coordination.

A concern was raised that we need to determine soon the first steps to be taken -- "we have ten years and we have no time at all." It was suggested that we may want to set an agenda that includes both things to be done immediately and longer-term plans. Someone needs to be charged with developing and bringing before the participating foundations a specific game plan.

Notes from Small Group Discussion Focusing on National Aspects
July 28, 1995

Participants: Roland Anglin, Angela Glover Blackwell, Walt Coward, Debora Fields, Martin Gerry, Janice Kreamer, Michael O'Keefe, Ruth Roman, Michael Rubinger, Rush Russell, Ralph Smith, Jim Spaniolo

In priority-setting, foundations should consider a series of questions: What is needed by sites, federal officials, and others to make the Initiative successful? What aspects might be the riskiest or most difficult for the federal government to address, but which might be targets for foundation action? What do foundations have to contribute?

The EZ/EC Initiative as a whole and individual sites need time and "cover" as they address the challenges of initial implementation, especially in today's highly charged political environment.

One way to help provide that protection is to increase public awareness of the Initiative, including its goals and how they relate to a larger American vision and the complexities and difficulties that will be confronted. We should help people avoid thinking about this as a "program." Particular efforts should be made to frame messages for the corporate and religious communities. It might be helpful to organize a speakers bureau that could identify and organize thoughtful, compelling speakers who could appeal to key constituencies.

Related to building awareness and understanding of the Initiative is the need to be able to report progress in a rational and strategic way. This highlights the importance of well thought-through evaluation, research, and setting and measurement of benchmarks. Locally-based intermediaries may be important vehicles for reporting on progress.

We know that realizing the goals of the EZ/EC Initiative will require extensive work. While measurement of progress cannot address only process aspects, there should be a way to document and report on productive effort being committed to the endeavor.

There may be a role for foundations as a credible national mechanism for fostering the sustainability of the Initiative, since their involvement will transcend partisan politics. There is a need for non-partisan policy conversations.

In thinking about bringing the lessons already learned to the current situation, we should recognize that local anecdotes about problems can kill an effort if there is not also information about the larger context, e.g., CETA.

Sites could benefit from the opportunity to exchange information on cross-site issues and from knowledge about past experience, what others are doing, and what is possible.

Foundations should consider ways to enhance the capacity of federal officials, both career and political appointees, to meet the challenges of the Initiative.

How can we help to engage the higher education community?

Is anyone yet charged to track the overall lessons from the EZ/EC experience? Do we need an institution that pays attention to the whole effort over time, connects EZ/EC work to a larger vision, and promotes a balanced appraisal of its progress and accomplishments?

Community and national foundations may be able to carry out complementary roles, e.g., national foundations can make available leading thinkers and community foundations can play a central role in local implementation.

Rural sites may pose particular challenges, for example because of their isolation and limited resources. Because of these challenges, special attention may be needed to help the U.S. Department of Agriculture respond effectively.

A possible framework for thinking about national-level steps to support the Initiative and ensure success:

- How to get the best thinking to the people who need it
- Strategies to "buy time," help people understand that this is a risky, complex undertaking whose success should not be measured simply by changes at the margin, but that deeper change takes time
- How to enhance knowledge and technical and organizational capacity at all levels
- How to promote systemic reform, which includes both changing how people think and act and the national, state and local rules, regulations, and standards that set the parameters for system operation. Buying time and building skills will be important to achieving systemic reform.

D: change

Meeting

Reason: after House: interested to proceed, willing to respond to our thoughts on what bill should look like.

Agencies have many diff perspectives on the issue.

VP letter - went, consistent w/ testimony

What do we do w/ regard to agencies?

VP got agency clearance, collected their views. Many agencies hate the bill, but chose not to appeal.

Last congress: w/ Connors Chairman of Committee, consultations w/ agencies run by Tracy Thornton in context of larger bill where Hatfield had passed as floor amendment to the bill.

EZ: broader proposal.

Issues resurfaced w/ Hatfield - revisiting idea w/ OMB. Hatfield decided to move alone.

Wanted to reach compromise. b/c House - many D comm. chairs - objected on grounds of trif. - enables comm's to ignore existing regulations.

- 1) Rules made for reason. If comm concerned about rule, should come to Congress
 - 2) Opening Pandora's box - we'll be waiving everything
- ~~Wanted~~

agencies — we should engage them when dealing
w/ language to execute stuff.

Next thing: must volunteer language to Committee

Negotiate w/ agencies before w/ Congress. More
confidence in dealing w/ Hill if have cleared
objections w/ agencies

Chair — has leverage to move bill.

Shays — being pushed by Conn. people — EZ's in
Conn., coming to us.

Dodd's office — pushing something similar, but less
broad —?

Hatfield — more leverage to get thru Senate, — has
done it once.

→

Point person: Last Congress — all gone.

(Shays, Dodd, Hatfield, Tracy
Bev,

Jonathan	+ Coordinating team.
Paul	
Bev	

(will be asked who
wants to handle leg.
affairs. — Paul Carey

Language - process to get it.

Treasury - Carol Donahue? - similar bill
} - someone there had some experience --
find out who did it at treasury - tell them
we want to update our work.

Find out bill timetable, ^{so as to} give them time [↑]

Issues

Time waivers - 45-day review pd.
- Do we need diff time, or diff process?
research waivers - shorter.

Now: 5 yrs if give waiver now.

120 days OK? - Nothing - people need the time.

~~Conn~~

~~Ideas~~ Don't want complexity to make it hard to run.

Any particulars?

Q's - How many requests will we get at once?

- Slowing waiver approval would delay comm.
effort in developing / implementing plan.

Testimony - statute

~~not~~ performance criteria - not as big a deal as might
seem.

2nd pt: easy to do.

3- ~~Want to make~~ Why not make states eligible?

- Should make them.

- e.g. Oregon - may come in as whole state

- Connecticut Comm'n asking for what they thought was federal waiver but was state barrier

Should encourage states to be coordinator.

Now, city to governor ← has 30 days.

Δ: let state apply for waivers.

let cities coordinate their efforts.

Bill only requires locality to send info to state,
state doesn't have to respond - no requirements

EZ conference - would like more state involvement.

Shouldn't be ruled out if coming up out state support

But those w/ state coordination/involvement more meritorious effort. ^{though}

Apply in coordin'g w/ state

If not w/ state, explanation of why not

More efficient, screens applications to ↓ #.

In areas of statutory labor authority, state must be applicant. Where statutory waiver authority ^{they want to} ^{invoke} needs state authority, no getting around it.

Against requiring thru state:

- ^F State: no capacity to do it, or will happen
- pulling rug out from under bill → focus on local

Now: State has right to comment on proposal.

Should define: ~~can~~ can only come to fed govt.
if state didn't want to deal w/ you. Must give
explanation of why wouldn't cooperate. Agency
makes judgment, can ask state why they didn't
do anything.

Now, everyone shows up to fed govt. as city.

If talking also about funds that go thru state

Oregon Optn. -

For any comprehensive plan that goes thru many
policy areas, need state there.

If already got \$, dealing w/ fed govt. now, state might
not help much. -

require to talk to state, give state opp, if state
nonresponsive, come to us.

If already get \$ from us; state nonresponsive
thru adequate pd, ~~can~~ can come to us.

Don't require state to do anything, tell cities to file to the states.

How long should city wait for states? Word is 'at least' term. - 45 days, on grounds that it's similar to the grant review ~~the~~

45. - We have 120 days at fed. level also.

#7 - need:
Some mech. to make judgment on limiting #.
D's - concerned about overloading system.

~~Point~~

Authorization

- We must ask for ability to cost-share, get staff
- Authority for agencies to spend each other's money.

Can't mandate that agencies share w/out getting add'l \$.

~~2-11-81~~ 50 people ~~program~~ = getting focused on waiver/program \$.
HUD: USC

One person: - Authorize Flexibility Council a budget to 'support the purposes of the act'.

(Want this to get replaced w/ CEB.

Another option: designate certain agency
(e.g. HUD)

CEB - could prod agencies to act effectively

If for '96, don't want anything that'll make President
go over caps. If '97 effective, OK.

CEB now - borne of executive order.

If make it a HUD approp, it'll be a HUD program.

~~Do we need all Cabinet?~~ - gets unwieldy -

→ Set up by executive order - allows ability
to add/subtract as necessary, in addition
to the set CEB. No Carol Rares -

FC: → CEB - And, if other agency involved in request, include
in council.

→ Grant waivers up to 5 yrs - could "survive beyond" act.

Board has authority to revoke waivers
contingent on performance.

Now: majority rule of FC - #5 -



The Annie E. Casey Foundation

August 21, 1995

As you know, a group of foundations has been meeting to consider expanded philanthropic involvement in and related to the EZ/EC Initiative. At the March 23 meeting, participants concluded that the Initiative is important to foundations in itself, as an opportunity to advance principles and strategies of significance to the philanthropic sector, and as a potential influence on foundation efforts. Given this acknowledged importance of the Initiative, the July 28 meeting was convened to consider in more depth possible options for involvement.

With input from a wide variety of sources, including federal officials, EZ/EC site representatives and interested organizations, the enclosed draft paper was prepared as background for the July 28 meeting. Recognizing that the paper lays out a much wider range of options than could be pursued with available foundation resources, the meeting participants began a process of priority-setting by identifying those areas which they consider of the highest priority, based on perceived importance to sites and the Initiative as a whole and the likelihood that foundations could make a useful contribution. These areas include:

- Building local capacity for leadership and problem-solving: The EZ/EC Initiative poses both substantive and process challenges for sites, as a wide range of stakeholders learn to work together on a broad and difficult set of issues. It was suggested that sites would benefit from being able to draw on outside expertise, but that it also is at least as important to build expertise locally.
- Promoting knowledge about successful programs and other relevant initiatives: EZ/EC sites are a natural audience as information is disseminated about effective programs and practices.
- Getting the best current and evolving thinking to those implementing the EZ/EC Initiative at the local, state and national level: This would include assuring both that sites and federal and state officials have access to state-of-the-art knowledge as implementation begins and that there are mechanisms for eliciting and sharing best and promising practices emerging from the Initiative.

- Helping sites to capture and share the important lessons from their work: It was suggested that sites could benefit from opportunities to exchange information and discuss concerns both among various participants within sites and among sites. Reference was made to creating "learning networks."
- Keeping a focus on key Initiative principles and objectives: It was suggested that the presence and involvement of foundations can help assure an ongoing balance among the wide range of stakeholders and strategies envisioned in the Initiative.
- Helping to give the Initiative time and "space" to take root and unfold: Even in these earliest stages of implementation, where the challenges are many, there are those eager to declare the Initiative a success or failure. It was suggested that foundations, which understand the complexities and difficulties of implementing such an ambitious endeavor, can help to build awareness, identify early markers of progress before substantial and demonstrable changes in communities have occurred, and allow sites to work through the initial challenges of implementation.
- Helping to sustain the Initiative as a federal priority over time and to build national capacity to support EZ/EC implementation: Foundations can help to maintain the visibility of and support for the Initiative through the inevitable changes that will occur during its ten-year life. Too, it was recognized that the Initiative, which calls for the federal government to do business in a new way, poses many challenges for federal agencies and officials, who, like sites, might benefit from foundation assistance.
- Promoting sustainable systemic change: It was acknowledged that achieving sustainable systemic change will entail several components with which foundations might help -- adopting more effective programs and practices, developing new ways of thinking and new skills, and changing the rules, regulations and standards which set the parameters for the way systems operate.

The participating foundations have asked staff to gather information related to these priorities from the various constituencies with responsibility for or a contribution to make toward EZ/EC implementation and success. They want to know if the priorities they have identified also are seen as priorities by these constituencies and how you might recommend pursuing these priorities. Comments are welcome, too, if there are additional priorities, either discussed in the paper or others, which you would ask the foundations to consider as being of particular importance to the Initiative's success.

Janet Levy of the Annie E. Casey Foundation will be organizing the gathering and analysis of this information in preparation for the next meeting of the foundations. She will be in touch with you shortly or, if you prefer, you may feel free to contact her with comments and suggestions about the proposed priorities and/or the draft paper. She may be reached at:

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701 St. Paul Street
Baltimore, Maryland 21202
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Thanks for your interest and assistance.

DRAFT

**COMMUNITY REVITALIZATION THROUGH
THE EMPOWERMENT ZONE/ENTERPRISE COMMUNITY INITIATIVE
OPPORTUNITIES FOR PHILANTHROPIC INVOLVEMENT**

Draft Discussion Paper in Preparation for the July 28, 1995 Meeting

July 24, 1995

DRAFT

**PHOTOCOPY
PRESERVATION**

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EXECUTIVE SUMMARY

The federal Empowerment Zone/Enterprise Community (EZ/EC) Initiative is a ten-year effort to revitalize urban and rural areas of deep poverty. In December 1994, 105 sites received designation as either an Empowerment Zone or Enterprise Community.

On March 23, 1995, approximately twenty foundations met to discuss the EZ/EC Initiative. Participants in the meeting agreed that the Initiative is important to foundations for several reasons: 1) it is the largest and most comprehensive anti-poverty effort in the last thirty years; 2) the design includes important policy changes and innovations, such as a long-term time-frame, focus on neighborhoods, and simultaneous emphasis on economic development, human development, and community-building; 3) designated sites could be laboratories for learning about topics of concern to foundations; and 4) there is considerable overlap in goals, strategies and locations between the EZ/EC Initiative and many foundation efforts. Given this acknowledged importance of the Initiative, it further was agreed that expanded foundation involvement beyond that presently taking place appears indicated.

The participating foundations agreed to reconvene to consider the kinds of roles foundations might play to support the Initiative, to take full advantage of the opportunity provided by the Initiative, and to maximize the opportunity to learn from the Initiative. As a basis for this consideration, this paper identifies several areas of possible involvement, reviewing what is being done now in each area and offering specific examples of activities that have been suggested by site representatives, federal officials and others. The paper discusses several ways in which foundations can help with these and other activities related to the Initiative: they can provide financing for design and implementation, knowledge-development, and capacity-building; they can make connections between the EZ/EC Initiative and other relevant work; they can provide insights based on their experience with complex, large-scale endeavors; and they can provide leadership to deepen public understanding and support for the Initiative and to bring together key stakeholders who can contribute to its success.

Areas of possible involvement that appear of strongest interest are those related to supporting local implementation of a broad and sustainable vision, assuring that the intergovernmental challenges inherent in the Initiative's design are met successfully, and maximizing the learning to be derived from the Initiative. Within those areas, some of the key suggested activities include: leadership development programs for community residents and staff and boards of the local entities charged with implementation; assistance to address the challenges and issues in establishing new governance mechanisms and approaches; support for networks and other opportunities for those implementing the Initiative to learn from and aid one another; the provision of expert assistance regarding key topical areas such as education reform and health promotion and regarding innovative strategies; assistance to the federal government, states, and sites as they develop more effective

intergovernmental procedures and practices; and documentation of what is happening in the Initiative to assure that the lessons it has to offer are assimilated and made available for future planning and action.

As the participating foundations consider these and other options, three fundamental principles have been suggested to guide the deliberations: that we build on existing efforts; that we be heavily guided by those who are on the ground doing the work; and that our approach be one of genuine partnership among national, regional, and community foundations, using the special strengths of each.

I. BACKGROUND AND REVIEW OF WORK TO DATE

A. Overview of the Empowerment Zone/Enterprise Community (EZ/EC) Initiative

The EZ/EC Initiative is a ten-year federal effort to revitalize urban and rural areas of deep poverty. Its design is comprehensive in scope, encouraging participating sites to combine human development, economic development, and community-building strategies. At the same time, it is relatively non-prescriptive, allowing each designated community to select the particular emphases and set of activities that best suit its goals, assets, and needs. One of the few mandates within the Initiative is that participation in design, implementation and governance be broad-based, including substantial involvement and decisionmaking by residents of the affected areas. The Initiative also commits the federal government to being highly responsive and flexible, as sites seek support and the possible waiver of federal requirements which limit their ability to implement planned programming.

In December 1994, portions of 105 cities and rural areas received designation under the Initiative, as a federal Empowerment Zone, Supplemental Empowerment Zone, Enhanced Enterprise Community, or Enterprise Community (see Appendix A for a list of designated sites). Approximately two-thirds of the designated sites are urban; the balance are rural. All are areas of concentrated, persistent poverty.

The fifteen sites designated as Empowerment Zones, Supplemental Empowerment Zones and Enhanced Enterprise Communities are considered "large designees," because they will receive substantial benefits. The six urban Empowerment Zones will receive \$100 million in federal funds, paid through the Social Services Block Grant/Title XX program (but with greater latitude than usual about how the funding may be used); the three rural Empowerment Zones will receive \$40 million each through the same source. Empowerment Zones also qualify for an Employer Wage Credit and special tax benefits for business properties.

The Supplemental Empowerment Zones and Enhanced Enterprise Communities will receive between \$22 million and \$125 million, most of it through the Economic Development Initiative (EDI) and Section 108 Loan Guarantee programs of the Department of Housing and Urban Development. These latter categories of sites will not have access to the special tax benefits available to the nine Empowerment Zones. They will be eligible for a new tax-exempt bond program, however, as will all Enterprise Communities. Enterprise Communities also will receive \$3 million in Social Service Block Grant/Title XX funds. All designated sites will receive special consideration in competition for funding under a wide range of other federal programs.

Although some communities applied to be Enterprise Communities and so have plans suited to that level of funding, many designees applied for Empowerment Zone status. Those in the latter category which received only Enterprise Community designation now confront the significant challenge of setting priorities, making choices among planned components, and substantially scaling back the effort. Even the Supplemental Empowerment Zones and Enhanced Enterprise Communities are having to reconsider plans, because the source of their funds carries serious restrictions. Section 108 funds may be used only as loan guarantees and cannot be used for general governmental purposes or for operating expenses. Similar restrictions apply to the EDI funds, which means that much of the money these sites will receive cannot be used for the planning, administration and public services that constitute a large part of their plans.

On a more positive note, beyond the federal dollars that sites will receive, in many communities the EZ/EC Initiative spurred major financial and in-kind commitments from the private sector.

B. March 23, 1995 Meeting¹

Foundations, too, have been an active and important part of the EZ/EC Initiative to date. At the earliest stages, one foundation convened a meeting of experts to advise the federal government on the design of the Initiative. Several foundations played an active role in supporting communities in the development of EZ/EC applications, either directly with funding and/or staff involvement or through existing grantees who participated in the planning process. Some foundations also have made commitments to provide ongoing, direct support for implementation of the plans in one or more sites and/or have begun to support technical assistance for EZ/EC sites. In at least one instance, a foundation is playing a leadership role in convening and organizing EZ's, EC's and non-designated communities in a multi-state region.

On March 23, 1995, representatives of approximately twenty foundations met to consider whether philanthropic involvement with the EZ/EC Initiative should reach beyond that described above. They considered in depth the question, "Is the EZ/EC Initiative important to foundations?", and having answered that in the affirmative, began to explore an additional question, "What role(s) should foundations play in connection with the Initiative?".

While the problems and risks associated with the EZ/EC Initiative were acknowledged by participants, it generally was agreed that the overall effort is of significant importance to most foundations for four basic reasons:

¹The discussions of this meeting are summarized briefly in this paper. For a fuller accounting, see the memorandum of June 12, 1995 and attached meeting write-up.

- This is the largest and most comprehensive effort aimed at urban and rural poverty in the last thirty years. Inevitably, it will inform and affect future national economic and social policy. If successful, it is likely to become a model for these policies; if unsuccessful, it could seriously deepen the current frustration with government programs and the belief that "nothing works."
- The design incorporates important policy changes and innovations, including: a long-term time-frame; emphasis on the neighborhood as a locus of change; simultaneous and synergistic investment in human development, economic development, community-building, and service delivery reform; use of federal dollars to leverage other dollars; and a mandate for cross-department collaboration at the federal level.
- Some or all of the designated sites could become laboratories for learning about a wide variety of topics of crucial interest to the philanthropic sector.
- There is considerable overlap in goals, locations, and strategies between the EZ/EC Initiative and many foundation efforts and investments.

The participating foundations thus determined that the EZ/EC Initiative is important in itself, as a possible influence on existing foundation efforts, and as an opportunity to stimulate even broader attention to issues and areas of concentrated, persistent poverty. Given this importance, they further agreed that wider philanthropic involvement should be considered, with the following as objectives: improving the efficacy of the Initiative in terms of its stated goals and objectives; securing past and present foundation investment in related work by strategically integrating that work with or within the Initiative; and ensuring the sustainability of the reforms precipitated by or incorporated within the Initiative.

Six broad areas for possible involvement (see section III below) were identified, and participants asked that a paper be developed to present what is already underway in each of those areas and the specific types of work which might be undertaken. It also was agreed that the paper should present opportunities of three types:

- Those which foundations collectively might wish to pursue in close collaboration with the federal government (initially, the focus would be on the Initiative writ large, the implications for reinventing government and intergovernmental challenges);
- Those which foundations collectively might wish to pursue to complement the activities of the federal government (initially, the focus might be subject-specific, such as education reform or health promotion, and cross-cutting concerns such as leadership development); and
- Those which foundations might wish to pursue individually, but with an exchange of information about what was being done (these would generally be site-specific activities with a focus on capacity-building and program implementation).

C. Activities Since the Last Meeting

Since the last meeting, a variety of work has been done by foundation staff and consultants responsible for this paper to understand and assist in the early stages of implementation at the federal level, to gather information, and to lay the groundwork for the possible pursuit of opportunities in the future.

Foundation staff attended most of the three conferences held in May by the Department of Housing and Urban Development for the large designees (invited in groups of four for a three-day conference each). We also have been meeting and

talking regularly with Community Empowerment Board staff, and have provided assistance in preparing for the White House Conference taking place on July 25-26. Meetings have been held, as well, with staff working on the EZ/EC Initiative at the Department of Health and Human Services, the Department of Education, and the Department of Housing and Urban Development. Meetings are planned in the near future with the Department of Agriculture and the Department of Justice; it is anticipated that meetings also will be scheduled shortly with the other departments contributing to the EZ/EC Initiative.

Conversations or meetings have been held, as well, with a number of groups outside the federal government which are involved with the Initiative. Looking to the site level, at the invitation of the designees, foundation staff visited two of the EZ cities (Baltimore and New York) and have talked with individuals in several other sites about their progress and areas in which assistance is needed.

D. Purpose and Content of This Paper

This paper is designed to pull together the wide range of information and ideas collected over the first few months of EZ/EC implementation and to offer a framework and examples to help participating foundations consider whether and how to become more substantially involved with the EZ/EC Initiative. It is not a full and final statement of all that needs to be done to support the Initiative, nor is it intended to be used as a definitive proposal on the basis of which specific commitments could be made. Further data-gathering and analysis and direct conversations among foundations, the federal government, sites, and knowledgeable others will be needed before this process is concluded. However, it is hoped that the paper will allow the participating foundations to determine the directions in which they would like to proceed and to help prepare them for these direct conversations with others involved in the Initiative.

Section III contains the primary information about what is happening now and the opportunities for foundation involvement which have been identified thus far. ~~Two~~ matrices at the end of the section summarize this information as follows. one categorizes the opportunities according to whether they might best be addressed independently or in collaboration with the federal government and/or one another; and the other matches foundation capacities as identified in the next section -- to provide financing, leadership, and experience or make connections to other work -- with the opportunities.

~~The final section of the paper suggests a focus and way of organizing the material for discussion at the July 28 meeting.~~

II. PHILANTHROPY AND THE EZ/EC INITIATIVE

A. What Foundations Potentially Have to Offer

Foundations are, of course, potentially a source of additional money to support EZ/EC activities. They are a possible resource in other ways as well, however, and the large, complex nature of the EZ/EC Initiative may make these other roles at least equally as important as the role in which foundations are traditionally seen. Briefly, the philanthropic community potentially can bring to this effort:

- Financing: As noted, first and foremost, foundations are a source of dollars. Those dollars can support the design, implementation and operation of programs and improved processes for achieving desired goals. They can support knowledge development, a function especially important on topics where public financing is unlikely or might be counter-productive. And they can support capacity-building sources of assistance, to aid those undertaking innovation and reform.

- Connections: Many of the foundations participating in this discussion currently are supporting or contemplating projects which are located in EZ/EC communities and/or which are grappling with issues similar to those which will be faced by most EZ/EC sites. Making the connections between these projects and the activities of the EZ/EC Initiative, especially at the site level, can lead to mutual support among efforts and lessen the probability that the efforts will clash or confound one another. Making the connections, and even facilitating cooperation and collaboration, also can help those responsible for implementation at the site level make the smartest use of their time and energy -- time and again, we are hearing concerns raised by key people who are involved in multiple innovative efforts, which they view as related but which they are compelled to handle as distinct endeavors. Appendix B, prepared by the Department of Justice, begins to show the extent of overlap between EZ/EC designations and other efforts with complementary goals and approaches. In addition to projects, foundations also are supporting a variety of knowledge development and technical assistance resources, which could potentially be invaluable to EZ/EC sites. Foundations can help assure that the availability of these resources is brought to the attention of federal and site officials.
- Experience: Throughout their history, foundations have supported projects which have yielded insight and produced new knowledge which bears directly on the EZ/EC themes of community revitalization, economic development, systems change, and reinvention of government. Especially in recent years, many of these projects have been large, involving multiple sites, and complex and comprehensive in design, much as is the EZ/EC Initiative. Foundations, therefore, are well-positioned to offer relevant experience on both substantive and management questions which those implementing the EZ/EC Initiative are likely to encounter. The ability to articulate and share this experience likely will be aided by a systematic effort now being made within foundations,

among groups of foundations, and among foundation grantees to elicit the "lessons learned" from their work. Two notable examples of such efforts: 1) the Aspen Institute Roundtable on Comprehensive Community Initiatives for Children and Families, a forum for open and detailed discussion about initiatives to promote positive change in individual, family and community circumstances in disadvantaged areas; and 2) the National Community Building Network Research and Policy Project, now under development, which will draw on the experience of sites engaged in comprehensive community building to influence policy choices affecting the distribution of resources devoted to the reduction of chronic poverty and the improvement of life in impoverished communities.

- Leadership: Foundations are respected as a source of valued and important work, have influential people on their boards and staff, and, at least in the perception of many, hold the "power of the purse." Consequently, they have the stature to bring people to the table who might otherwise be unaware of or reluctant to participate in the EZ/EC efforts and to help diverse groups form effective working partnerships. As organizations experienced in the design and operation of complex initiatives, yet with no formal stake in this particular one, foundations also are uniquely positioned to build public awareness that the EZ/EC Initiative must be given adequate time and goodwill to tackle the tough challenges embodied in its ambitious goals. Too, in addition to their capacity to stimulate public interest and shape public understanding, foundations can offer far more continuity than does the public sector. The voices of foundations, particularly acting in concert, therefore could provide a very important stabilizing influence throughout the ten-year life of the EZ/EC Initiative, across the inevitable political changes which will occur at the national, state and local level.

C. Some Guiding Principles

Discussions to date, especially with foundation officials and those at the site level, have suggested at least three principles which should undergird our deliberations:

- Build on existing efforts: There is a great deal of relevant work underway and many resources already available which could be of assistance to EZ/EC sites. Among the leading entities and endeavors which have been cited are the Neighborhood and Families Initiative, the Community Planning and Action Projects, New Futures, Rebuilding Communities, the National Community Building Network, the Local Initiatives Support Corporation, the Enterprise Foundation, the National Community Development Initiative, the National Civic League and the Coalition of Community Foundations for Youth. There is strong agreement among participating foundations that any new or enhanced work related to EZ/EC should build on, engage and complement these and other existing organizations and endeavors. A key next step, should the participating foundations decide to move forward with some type of collective action, therefore will be to survey systematically these existing efforts to see how they might contribute to or be a part of what the foundations will undertake.
- Be heavily guided by those who are on the ground doing the work: An essential principle of the EZ/EC Initiative is that the authority and responsibility for deciding how to tackle persistent poverty in distressed communities should rest with people at that level. Similarly, substantial direction about the kinds of resources and assistance that would be most helpful should come from those who will be the targets of that assistance. This idea -- that those on the ground should tell us what they need -- seems obvious, but in fact often is ignored. The reaction of site representatives to this principle has been overwhelmingly enthusiastic.

- Use the special strengths of national, regional and community foundations:
The discussion at the March 23 meeting affirmed that these different types of foundations, each of which was represented, have special strengths and areas of interest. For example, national foundations tend to have greater grant resources and wider, cross-site perspectives. On the other hand, regional and community foundations are more likely to have a deeper understanding of the dynamics of particular localities and much greater credibility within those sites. Participating foundations have indicated that, if there is agreement to move forward, the approach should be one of genuine partnership among these types of foundations, respecting and exploiting what each can bring to the endeavor. (See Appendix C for a list of EZ/EC sites in which there is a community foundation.)

III. OPPORTUNITIES FOR FOUNDATION INVOLVEMENT

At the March 23 meeting, six broad areas of possible involvement were identified:

- Building local capacity and assuring ongoing community² leadership;
- Facilitating exchange of information across sites;
- Broadening the strategic vision and deepening technical knowledge;
- Expanding the number and range of partners;

²In the minutes of the March 23 meeting, this area refers to "neighborhood leadership." We are substituting the term "community" for "neighborhood" as a construction that can include both urban and rural areas. For the purposes of this paper, within the context of an urban area, the term "community" is equivalent to the term "neighborhood."

- Supporting the reinvention of government; and
- Maximizing the opportunity to learn from the EZ/EC Initiative.

To these, we have added a seventh area which seems indicated by our data-gathering -- supporting program implementation -- to accomodate the very real need being felt in sites whose plans exceed the resources they have available.

Each of these seven areas is discussed below. The sections include a brief review of what we have learned is happening now or is planned in the area and examples of the specific types of involvement which might be pursued. The material is summarized in two matrices at the end of the section, matching what foundations potentially have to offer to these opportunities and suggesting on which opportunities collective action and action in coordination with the federal government might be indicated.

A. Building Local Capacity and Assuring Ongoing Community Leadership

A central objective of the EZ/EC Initiative, deeply rooted in the original design and in the strategic plans of the designated sites, is to expand the capacity of local communities and of their residents to take charge of their own destinies. Realizing this goal and effectively implementing local EZ/EC plans will require ownership, participation, and the strengths and resources of both the overall jurisdiction -- including its citizens and its governmental, social, and economic institutions -- and of the organizations, institutions and residents of the EZ/EC communities themselves.

In this context, the notion of strong local capacity would include, at a minimum, the following interrelated elements:

- There is strong and sustained constituency support for the implementation of EZ/EC plans among: community residents and leaders; community-based organizations; service organizations and their staffs; elected officials and other policymakers; and business, civic and charitable groups.
- There is meaningful, broad-based and sustained participation by community residents and leaders in all aspects of the EZ/EC Initiative, including planning, implementation, day-to-day operations and evaluation of the various components of the EZ/EC plan.
- Local government is implementing effectively and in partnership with the community those aspects of the plan for which it is responsible, and is fostering capacity-building at the community level.
- Effective relationships have been forged between community residents and local government, between the public and private sector, and among city, county, regional, state and special (e.g., school districts) units of government in support of the EZ/EC Initiative.
- Community-based organizations (CBO's) and locally-based intermediaries (LBI's)³ have the capacity to address the needs and opportunities in the EZ/EC plan and to manage effectively expanded responsibilities and resources.

³According to the Urban Strategies Council, perhaps the nation's premier LBI, an LBI is an entity that works specifically to develop community capacity to overhaul poverty programs and policies and to put them in the service of a larger community-building agenda. Among other activities, LBI's convene stakeholders with an interest in resolving the problems at hand, use data and research as organizing tools, stay engaged through implementation, staff the change process, build local capacity for and new constituencies in support of reform, and identify funding opportunities.

A cursory look at the early stages of EZ/EC implementation in most sites suggests that there is a long way to go from present circumstances to full realization of this ideal. In some cases, now that the shared goal of securing designation has been achieved and real resources must be allocated, tensions are high and partnerships formed during the application process are fraying. But even where the atmosphere remains positive, the challenge of building or rebuilding strong local capacity in communities that, by definition, have been isolated and long left without key resources will be great.

What Is Happening Now

Local capacity-building is an area of high interest to the federal government, which appears to take quite seriously the concept of "community empowerment," and HUD has offered some technical assistance, especially on governance issues, through a contract discussed in IIIC below. We understand that this also is being discussed as the Department of Agriculture shapes its plans for technical assistance. Yet, given local sensitivities, a strong federal role is unlikely and, possibly, undesirable.

Many of the associated issues are well within the scope of endeavor of foundations, however. While little has been undertaken to date with a specific focus on EZ/EC sites, foundations are supporting the overall work of many organizations that, with sufficient resources themselves, could be important resources in turn to the Initiative. Among these are the Urban Strategies Council and the National Community-Building Network, the Center for Community Change, the Consensus-Organizing Institute, the Program for Community Problem-Solving, the Industrial Areas Foundation, and the Northwestern University Center for Urban Affairs and Policy Research. There also are a variety of projects of direct relevance, including

for example, the National Community Development Initiative⁴, a Ford Foundation-supported effort by the Atlanta Neighborhood Development Partnership to train staffs of local community development corporations, and a new program of the Local Initiatives Support Corporation to build the capacity of rural community development corporations.

Opportunities

General strengthening of support to organizations such as those cited, so that they have the capacity to respond to requests for assistance, and assuring that the availability of their services is made known to EZ/EC sites certainly is one way in which foundations might become involved in this area. In addition, our conversations with foundations and sites have suggested several substantive emphases which are of particular interest:

- Leadership development: Three groups have been cited thus far as audiences for whom an investment in leadership development likely would return considerable benefit to the EZ/EC Initiative. One group is residents within the designated communities who currently are leaders or who have demonstrated leadership potential. Philadelphia, for example, which is

⁴The National Community Development Initiative (NCDI), created in 1991, is a joint endeavor of corporations, foundations, and the federal government designed to accelerate the growth of community development corporations (CDC's) across the country. By providing CDC's with a range of financial and technical support, NCDI gives these local organizations a much-needed boost in their efforts to build and rehabilitate low-income housing and improve conditions in low-income neighborhoods. NCDI funding for community revitalization projects is in the form both of grants and loans, and is intended to leverage other funds, including increased mortgage lending from the private sector. through Umbrella Partnerships. Umbrella Partnerships bring together local CDC's and other neighborhood-based organizations with national intermediaries (e.g., Local Initiatives Support Corporation and the Enterprise Foundation), local foundations, banks, corporations and state and local government.

notable among designated sites for lodging substantial decisionmaking authority at the neighborhood level, is contemplating creation of a Leadership Institute. A second group is the boards and chief staff persons of the entities charged with implementation, who face extraordinarily difficult priority-setting, policymaking, management, and public relations tasks. Individuals who played a central role in bringing the application process to fruition, some of whom may be community residents, but others of whom may have come from city agencies, community-based organizations, or a wide range of other places, constitute the third group. The application process in most places was complex and often difficult, and those who have demonstrated in the first phase of the Initiative skill at building coalitions, securing commitments, and producing a winning product have talents which are worth nurturing and keeping engaged in the effort. Foundations might support leadership development programs targeting these and possibly other groups both within and across sites.

- Institutional capacity-building: Rebuilding communities as envisioned in the EZ/EC Initiative will require not only strong leaders but also strong institutions within the community. Two types of organizations have been cited in discussions about possible philanthropic support for the EZ/EC Initiative. One type is the locally-based intermediary (LBI), discussed above. In some communities, there may be an existing LBI which could be supported and strengthened; in others, an LBI may need to be created. In some instances, with support, the entity charged with overall EZ/EC implementation could develop into an LBI. Foundations might support external guidance to help strengthen or establish LBI's or the use of LBI strategies in EZ/EC communities. Community-based organizations (CBO) are the other type of institution discussed so far. Many of these are fairly small entities with a minimum of management infrastructure that provide excellent programs and services within their community. It would be quite natural for some EZ/EC

resources to be used to expand the service delivery capacity of these organizations. Yet, without prior or simultaneous attention to building the management capacity needed to operate a large organization and meet the substantial accountability requirements that come with public funding, sudden expansion could have negative repercussions down the line. Foundation support could help assure that CBO's have access to existing management development programs or could create programs tailored to the needs of specific sites. A useful model to look to in this regard would be the DeWitt Wallace-Reader's Digest Management Initiative for New York City Organizations that Serve Youth, a program designed to help a target group of CBO's become as strong managerially as they are programmatically.⁵

- Governance: One of the earliest tasks for sites upon designation has been to make key choices about how decisionmaking authority will be allocated in the EZ/EC Initiative and what structures will be created to oversee and manage the effort. In some places this has gone smoothly and in accordance with the original plan described in the application. In many other places, however, these issues have been a source of tension, often reflecting a disaffection born of past experience and the need to develop new and quite different relationships among various stakeholders, including local government officials and community residents. By now or in the very near future, at least an initial resolution of the design questions will have been reached, and all designated sites will have a structure in place. Nonetheless, tension and lack of trust remain, and sites and observers of the processes have indicated that many designees would benefit from the help of outside facilitators who could aid in the redefining and building of relationships among stakeholders that will be

⁵See Groundwork: Building Support for Excellence: A Select Interim Report on the DeWitt Wallace-Reader's Digest Management Initiative for New York City Organizations that Serve Youth, December 1994.

essential to EZ/EC success. Foundations might support external mediation if that is truly needed, but this also is an area in which the "good offices" and leadership of foundations might help to build the necessary working partnerships among groups unaccustomed to working together. There also is substantial interest in strengthening the ability of community residents who are serving on governing boards to participate fully and strongly in the deliberations and to create mechanisms and processes that support effective community-level decisionmaking. Philadelphia, Baltimore and others, for example, are interested in developing data-based reports that are useful to community-level decisionmakers and in developing the capacity of those decisionmakers to use data. Foundations might support the dissemination of information about related efforts of the past such as the National Citizens Monitoring Project,⁶ design of and experimentation with mechanisms and processes that serve this objective, and/or direct capacity-building efforts for key individuals.

- Citizen involvement in issues: It has been noted that the citizen mobilization which has been spurred and likely will continue through the EZ/EC Initiative creates an opportunity to engage residents on a wide range of issues. For example, organizations such as the Urban League, Industrial Areas Foundation, and Urban Strategies Council offer programs to help build community expectations that schools will produce high academic achievement and to understand the roles community residents can play in achieving that goal. Residents mobilized through the EZ/EC Initiative potentially offer a

⁶The National Citizens Monitoring Project, sponsored by the Urban League and the Center for Community Change, was created to train neighborhood groups in 43 cities to assess how city governments spent Community Development Block Grant funds. The project saw citizen evaluation as an opportunity both for fact-finding and for pursuing an empowerment strategy for people in neighborhoods. (from "Citizens as Experts" by Nick Katz, 1981)

natural audience for such programs. Where these opportunities arise, foundations with an interest in particular issue areas could support efforts to educate and engage citizens.

B. Facilitating Exchange of Information Across Sites

Increasingly, there is strong consensus among both practitioners and those responsible for providing them with guidance that the best source of technical assistance often is a counterpart who has addressed or is struggling with the same issue. This belief also appears widespread among those engaged in the EZ/EC Initiative. The federal government, site representatives and many others are eager to maximize the opportunity for communities to support one another through a variety of mechanisms.

What Is Happening Now

Thus far, the federal government has brought together or is planning to convene subsets of the designated sites in several ways. In May, HUD held workshops for teams from the twelve large urban designees. These workshops provided sessions on topics of common interest to the sites, such as community policing and job creation, gave the sites a chance to meet with federal officials, and offered some opportunity for sites to interact with one another. The Department of Agriculture is considering a larger conference to be held next year for all rural designees.

All fifteen large designees, both urban and rural, have been invited to a White House conference, being held on July 25-26. The White House conference, in which both the President and Vice President will participate, is designed to demonstrate support for the EZ/EC Initiative at the highest level of the federal government, to open an ongoing high-level channel of communication between the federal government and the sites regarding what is needed for the Initiative to

succeed, and to give the sites an opportunity to discuss with one another and federal officials topics of mutual concern. This is envisioned to be the first in a series of meetings, perhaps to occur as often as quarterly, if external resources can be found to underwrite meeting costs.⁷

In addition, some regional offices of federal agencies are convening meetings for the EZ's, EC's and, in some cases, non-designated applicant communities in their jurisdictions, and the Foundation for the Mid-South has helped to organize the designated communities in its three-state area into the Southern Enterprise Communities Forum. Beyond this, however, there has been almost no opportunity for the approximately ninety EC's to meet and confer with one another. The federal government recognizes this as an urgent need, and places a priority on finding a way to serve this broader audience.

Large conferences provide some opportunity for those working on the EZ/EC Initiative in designated communities to consult with one another, but there also has been an expression of interest in allowing people with comparable roles and responsibilities to be in more regular contact. For example, among the large designees, the mayors and, in the rural EZ's, lead officials are considering forming a network, as are the site directors responsible for overall implementation.

Fully using technology for communication and exchange also is of high interest at both the federal and site level. Not only would this be efficient but, further, it would help overcome the usual isolation of distressed communities and begin to provide those communities with genuine access to an essential aspect of the present and future economy.

⁷Some of the costs of this first meeting are being underwritten by the Annie E. Casey Foundation and the Ford Foundation, through their support of the Empowerment Zone Monitoring and Assistance Project at Columbia University.

The federal government is taking leadership on the technology front through its EZ/EC On-Line project. A home-page has been established on the World Wide Web of the Internet, the first key step in providing EZ/EC sites with access to rich array of services. Thus far, the system primarily has served as a bulletin board, for example, advising sites of available federal and other resources. Eventually, it is anticipated that the system also will provide for services such as: networking among sites and between sites and the federal government; document-sharing; submission of applications, reports, etc.; and on-line expert advice.

Beyond the challenge of designing and developing this system is the task of helping all 105 designated communities, which are in various stages of readiness for such a system, to be able to operate and make full use of the resource. A significant part of that task is assuring that the resource is accessible not simply in a central administrative office, but also at the neighborhood level. Complementing that need is the interest of many sites in bringing a much broader range of technological opportunities and capacities to the neighborhood level. For example, the public library system is working with Empower Baltimore, the agency with lead responsibility for implementation, to determine how to provide technological access and support to the neighborhood-based Village Centers. Atlanta has incorporated technology into the earliest stages of implementation by using electronic voting to allow a significant part of the community to participate in the benchmarking process. In New York, universities working with the EZ effort are installing computer equipment in zone neighborhood schools and are training teachers in the use of the equipment.

The interest within the EZ/EC Initiative in the use of technology may benefit from related work already underway. For example, the National Community Building Network, through the Telecommunications Information Infrastructure Assistance Program of the Department of Commerce, is exploring ways in which telecommunications technology can be used to aid community-building practice and

to assure that experience gained in this practice informs policy discussions. The Atlanta Project already offers one example of how this can be done. With significant private sector support, it has developed an extensive local area network serving both the central office and the twenty cluster sites; special applications make data and policy analysis readily available to cluster coordinators and community activists and facilitate collaborative deliberations. Looking beyond the individual neighborhood or EZ/EC site, the Comprehensive Strategies Forum of Handsnet is an example of an electronic information and networking forum available to those around the country working on community-focused efforts at services integration and reform, collaboration, economic development, and physical revitalization.

Finally, newsletters and similar publications are a way of featuring successes and sharing information on best or promising practices. The Community Empowerment Board has begun a periodic newsletter which will be sent to all sites and other interested parties, and the Department of Agriculture has contracted with the National Association of Development Organizations (NADO) Research Foundation to document and disseminate information about innovative strategies being pursued in rural sites.

Opportunities

As indicated above, many of the beginning steps to facilitate cross-site exchange and learning have been taken, and additional efforts are planned at both the federal and site level. Yet, it is clear that external resources -- both financial and in-kind -- will be needed to realize fully the potential of an environment in which sites and those who assist them are actively and routinely stimulating and supporting one another in their work.

Among the specific ideas which offer an opportunity for philanthropic and other external participation are the following:

- Regular and periodic conferences: The federal government would like to continue convening the large designees on a regular basis, perhaps as often as quarterly, and to establish throughout the country regular regional forums similar to that convened by the Foundation for the Mid-South for all the EZ and EC communities. In both instances, there likely will be a need to underwrite at least some travel and meeting costs, especially to assure that a broad cross-section from each site, including community-level leaders, is able to attend. Further, with respect to the regional approach for convening EC's, the federal government has indicated that it can participate and provide some limited staff support, but leadership and ongoing facilitation will need to rest with other entities, such as universities, foundations, or intermediary organizations. There also has been a suggestion that a conference of all 105 designees to be held next year might be a valuable chance to reflect on progress, gain new insights, provide visibility to the endeavor, and reinvigorate participants. Such an event likely would need the combined support of the federal government, sites, and outside entities.
- Networks: As noted above, in addition to the large meetings bringing together site teams, groups of people associated with the EZ/EC Initiative are expressing an interest in having a regular connection with their counterparts. Thus far, the mayors of the large designees have discussed forming a network, and a number of the executive directors of the implementing entities also have raised this idea. Other networks, for example of neighborhood leaders and/or key mid-level staff responsible for implementation, may be indicated. Such networks would provide a means to explore common concerns and, where necessary, to address issues which need to be dealt with on a collective rather than individual site basis. These networks probably would be quite low in cost, although some staff time would be required to support them. There also would be value in connecting these EZ/EC-specific networks to other networks of people engaged in similar endeavors, such as

the National Community Building Network, a network of people engaged in comprehensive community revitalization efforts, and the Development Leadership Network, which connects practitioners working in or with community development corporations.

- Sharing best and promising practices: Conferences and network discussions are means by which sites can learn of one another's successes and experiences, as are the type of newsletters being prepared by the Community Empowerment Board. Beyond these general mechanisms, however, it has been suggested that it would be useful for sites to be able to draw on one another's experience in a timely way when a specific problem or opportunity arises. For this to work well, there needs to be a central place to which sites can turn and which has sufficient knowledge of what is happening throughout the country to match the inquiring site with a site that has a potential answer. The federal government's EZ/EC Task Force and network of liaisons may be able to serve this function, although as implementation proceeds that capacity likely will need to be bolstered. Moreover, it may be useful to lodge this function with an entity that is knowledgeable about related work beyond EZ's and EC's, so that a broader base of experience can be accessed. However the match is made, there is an additional opportunity to aid exchange by underwriting the costs for sites actually to visit one another, either to see first-hand what another site is doing or to provide consultation as a site tries to implement what another has done.
- Electronic exchange: Although the federal government and sites are expected to commit substantial resources to the application and exploitation of technology, it is felt that external resources would nonetheless be helpful. Some of this may be as simple as assuring that sites have the financial wherewithal to secure the necessary hardware and software and to participate fully in what is developed. More important in the long-term,

however, may be providing the EZ/EC Initiative at all levels with access to sophisticated expertise that can aid development of an effective capacity serving a complex variety of purposes. For instance, while the use of technology in the EZ/EC Initiative of necessity will be a composite of many different approaches across the sites, there is an argument to be made at these earliest stages of development for considering in a comprehensive way the range of uses, places, and audiences technology should serve. As was the case in Atlanta, external expertise and attention also may be crucial to tackling successfully the tough challenges of bringing usable and useful technology to a neighborhood level.

C. Broadening the Strategic Vision and Deepening Technical Knowledge

As discussed in the preceding section, the sites will be one of the best sources of assistance to one another. At the same time, there is a place for external insight and expertise to introduce new ideas among all the sites, to focus attention on ideas receiving too little attention in the Initiative, and to assist in highly technical areas.

For the most part, the strategies laid out in the applications and/or now being focused on for implementation address fewer areas than might be possible within the scope of the comprehensive vision of the EZ/EC Initiative. To some extent, this is a function of limited resources. But it also appears to arise from a lack of information about the strategies and combinations of strategies that now are understood to be essential to improving both the immediate and long-term circumstances of disadvantaged children, families, and communities. For example, a number of communities are struggling to define the EZ/EC Initiative as being about either economic development or social services, rather than about both, as research and experience would suggest is necessary to promote sustainable connections to the workforce. Similarly, the applications and early implementation plans suggest little familiarity with some of the best, most creative thinking now emerging on

subjects that are of direct relevance to EZ/EC objectives, such as alternative approaches to foster individual asset accumulation and to expand economic activity in a community. In these instances, there is knowledge available but no clear mechanism to bring this crucial information and those with expertise in it to the attention of sites in a readily accessible and useful form.

There also will be a need for the development and/or enhancement of knowledge beyond what is currently available. For instance -- in an environment and Initiative where emphasis is placed on data, results, and accountability -- several sites already have noted the need to build a better set of indicators, so that both "hard" outcomes like job creation and "soft" outcomes like a renewed sense of community can be measured.

What Is Happening Now

The Department of Housing and Urban Development (HUD) and the Department of Agriculture appear at this time to be addressing separately the provision of technical assistance to urban and rural sites respectively.

The primary means through which HUD is assisting urban sites is a \$3 million contract with Price Waterhouse.⁸ The contract covers both a cadre of generalists, who for the large jurisdictions are serving as the liaisons between the federal government and the sites, and specialists who are available to assist sites on topics ranging from the attraction of private capital to community schools. (The current list of consultants covered by the contract is included as Appendix D). The topics on which assistance is available have been determined by HUD based on the plans

⁸This was an existing contract for purposes similar to that of providing technical assistance to EZ/EC sites. The contract has been revised so that the balance of funds remaining (\$3 million) will be used for technical assistance for the EZ/EC Initiative.

and needs identified from the applications and the consultants have been identified jointly by HUD and Price Waterhouse. To date, other federal departments generally have not been asked for recommendations, and sites have not been consulted in a systematic way regarding needs which have emerged with implementation. However, sites have been assured that they can identify additional topics on which assistance is needed and that they can select consultants other than those listed and have them paid through the Price Waterhouse contract.

Given the scale of the Initiative, it is reasonable to assume that the need for and interest in technical assistance will exhaust the resources available through the Price Waterhouse contract well before the end of the Initiative. At this time, though, HUD does not have specific plans for additional assistance.

To date, the Department of Agriculture has conducted a survey of all designated rural sites, has contracted with the National Association of Development Organizations (NADO) Research Foundation to provide some limited assistance to those sites, and has hired the National Center for Appropriate Technology to determine what might be done to aid Champion (non-designated) Communities. The Department's overall and long-term approach to technical assistance is still under development.

In addition to these efforts by the lead agencies, the Department of Health and Human Services has indicated that it has a small amount of money which can be used for EZ/EC technical assistance. These funds must be committed by September 30. Other federal departments, such as the Department of Education, also are assessing their capacity to provide assistance, some of which may be contingent on measures now pending in Congress.

The foundation community, too, has begun to fund some EZ/EC-related technical assistance. For example, the Ford Foundation and the Annie E. Casey Foundation

are co-funding the Empowerment Zone Monitoring and Assistance Project at Columbia University, and Annie E. Casey has commissioned a guide to be prepared by Paul Pryde with basic and technical information on the EZ/EC tax credits, including detailed discussions of the financial and tax consequences associated with different business and employment scenarios.

Finally, there are a host of existing or planned organizations and efforts which, while not created specifically for the EZ/EC Initiative, potentially are important resources to the endeavor. Just a few examples: the National Community Building Support Center, which will help nurture the emergence of local intermediaries similar to the Urban Strategies Council; the Family Resource Coalition, which can assist on the implementation of family support and school-linked service strategies; the Enterprise Foundation and Local Initiatives Support Corporation, each with a history of work in the areas of housing, economic development and community-building; and the Urban Institute's National Neighborhood Indicators Project, designed to develop a comprehensive and technically sound set of indicators of the social, physical and economic conditions of neighborhoods.

Opportunities

Beyond what is being done now to make external guidance and expertise available to EZ/EC sites, the following specific ideas are among the ways in which foundations could help assure that sufficient assistance of high quality and incorporating the knowledge needed for success is available:

- Topical areas: The comprehensive design of the EZ/EC Initiative -- encouraging simultaneous attention to human development, economic development, and community-building -- is one of its strongest aspects. Early implementation experience suggests, however, that both advocacy and assistance will be needed to maintain this broad perspective. Foundations

with a strong interest in particular topical areas that may not now be receiving high priority in the Initiative -- such as health, education, community schools and school-linked services, early care and education, and family support -- could assist in restoring and sustaining the balance. This might include disseminating materials about these subject areas and making experts available to sites, connecting EZ/EC endeavors with other efforts in their community or region which focus on these areas, and/or supporting programmatic components of EZ/EC plans. In many cases, interest in the topical area might be nurtured initially by focusing on an aspect that seems most closely linked to components receiving more attention, like economic development -- for instance, the Department of Health and Human Services talks about linking the concepts of employment and the building of a sustainable, high-quality child care infrastructure, and the Department of Education suggests highlighting school-to-work efforts as well as community schools.

- Innovative strategies: Some highly creative work is underway that could be of significant value to EZ/EC sites, but for the most part it is not widely known. Good examples are new asset accumulation approaches being suggested for rebuilding personal and community economic bases, where it might appear that little or no foundation exists on which to build. The Grace Hill Settlement House in St. Louis developed and maintains a Time-Dollar Bank for the surrounding community; the Bank elevates a traditional one-on-one barter system to a community level, allowing residents to earn credit hours by providing services in the community and to use the hours as needed to obtain services. At an individual level, being proposed are approaches such as Individual Development Accounts, through which tax considerations and publicly-funded subsidies would be leveraged to encourage personal savings and investment in productive activities such as education, acquisition of a first home, or the capitalization of business. Another type of innovative strategy is

the data match, used in San Diego and Oakland to demonstrate to schools and human service agencies the intersection among their respective populations, the correlation among problems each is tackling, and how expenditures are concentrated. Foundation support could stimulate dissemination of information about such innovative strategies, make available experts, or even underwrite demonstration of these approaches in EZ/EC sites.

- New knowledge: Incorporated within the EZ/EC design at both the federal and local level are a number of themes widely advocated today, but which are not necessarily well-developed, especially in terms of actual application and practice. A good example is the strong emphasis on measurable results and outcomes. This is readily applicable with respect to some EZ/EC objectives, such as the creation of new jobs, improvement in the average wage level, or expansion in the number of affordable, good-quality housing units. But the Initiative also calls for positive changes in less tangible aspects of community-building. Determining how to measure these latter aspects is an example of the knowledge-development work to be done. Foundation, rather than government, support for the development and dissemination of such knowledge would seem particularly appropriate, because of both its cross-site value and implications and the need for those doing the work to have true independence from the political environment.
- Technical questions: In addition to the need for assistance on programmatic approaches and innovative strategies as described above, sites will need guidance in a range of administrative and process areas. For example, demand is already surfacing or can be anticipated for assistance to: revise and refine strategic plans and prepare for implementation, including defining outcome measures and benchmarks, scaling back as required by resource limitations, and framing intergovernmental memoranda of agreement; explore

a range of local governance approaches and implement the chosen arrangements; identify necessary waivers of state and federal regulations and pursue the waiver process; use effectively employer tax credits and other financing mechanisms; frame interagency and contractual agreements; design performance measurement and management information systems; and develop training and staff development programs. Although a number of these are areas in which the federal government is prepared to offer assistance, their capacity is likely to be quickly overwhelmed. Foundation support to extend the federal capacity and assure that these fundamental management matters are addressed in a timely way could be crucial to the long-term viability and credibility of the EZ/EC Initiative.

- Infrastructure for support: In addition to considering the content of assistance that is needed, a number of foundations have raised the possibility of helping to build an infrastructure which could respond to a wide range of EZ/EC needs over time. In some cases, this may mean expanding the capacity of existing or planned entities, so that they can target and adequately serve the EZ/EC audience. Acknowledging the leadership and assistance already provided by universities in several cities, the idea also has been proffered of a consortium of universities working with the EZ/EC sites in which they are located, both to help document what is happening and to provide assistance. HUD's Community Outreach Partnership Centers Program, aimed at helping universities form or expand centers for applied research and outreach to neighborhoods might be a starting point for such a consortium, but additional support from foundations likely would be necessary to enrich what individual universities are doing and to staff the connection among those universities.

D. Expanding the Number and Range of Partners

The EZ/EC Initiative is not envisioned by the federal government as a traditional "program," in which federal dollars are provided to localities for the provision of a specific set of services. Rather, it is hoped that federal dollars and federal leadership will stimulate and leverage the participation of a wide range of other partners -- indeed, at the site level, of the whole city or rural area -- around a common purpose, revitalizing deeply distressed communities.

What Is Happening Now

To nurture these partnerships, the federal government has engaged consultants to work with various sectors, including utilities, pension funds, insurance companies, universities, national associations, and intermediaries such as LISC, the Neighborhood Reinvestment Corporation and the Enterprise Foundation. Foundations also are a target sector, but at this time the federal government is deferring to the leadership of foundations participating in this set of discussions.

In many sites, as part of the application, the private sector made remarkable commitments of financing, jobs, and other forms of support. Whether all these commitments will hold over time and in the face of a somewhat reduced endeavor by designees receiving less than full EZ designation is uncertain, but there is a promising base on which to build. With implementation, many sites are giving high priority to those components which can help secure private sector involvement and commitments.

The connection between sites and state governments is an evolving one, often addressed only slightly at the application stage and now needing to be more fully developed as specific processes for handling of the money (it will flow from the federal government through the states to localities), accountability, and state support

of sites are put in place. In the original conceptualization of the Initiative, states were assumed to be full partners, who would invest their own resources in the EZ/EC sites and coordinate programs and agencies in support of local strategic plans. Yet, for the most part, the federal government provided little structure or direction in this regard, and the state role has been largely self-defined. Since the designations were announced, the Department of Health and Human Services has provided states with technical instructions regarding their role as fiscal agent for the EZ/EC funding, and has encouraged the states both to respect the locally-driven nature of the Initiative and to mobilize state resources in support of the strategic plans, as the federal government is doing. Still, however, the federal government is allowing states and designees to define the specific nature of their relationship.

There are forty-two states with designated sites. In a survey of the early stages of implementation, the Council of State Community Development Agencies (COSCDA) found that about two-thirds of the states have made financial commitments to the designees and that many expect to provide technical assistance, grant regulatory waivers, and/or give preference in the allocation of certain grant funds. About a third of the states intend to work with the non-designated applicants. All states must be signatories to the memorandum of agreement between the sites and the federal government, but there appears to be considerable variation in the extent to which the states will interpose themselves in decisionmaking and accountability. At one end is New York, in which the state is represented on the governing body; at the other end are those states which will pass-through federal dollars with a minimum of intervention.

Opportunities

The deliberations now underway among the participating foundations address directly one of the partners that the federal government and sites hope to engage more fully in the initiative -- the philanthropic sector. In addition to expanding and

enriching their own participation, foundations may be able to assist in fostering stronger participation by and support from the following groups as well:

- State and county government: States are important to the EZ/EC sites, not only because Initiative dollars will flow through them, but also, and perhaps more significantly, because the state is a major funder of and the primary authority over public human services which are a substantial presence in distressed communities. Change in these communities must include reform of these systems, as well as broader economic and human development components. Some states have been actively involved and supportive in the early stages of implementation. In other instances, there has been tension between state officials and those working on implementation at the local level. Some of this tension has political roots but, as often, it appears to come from a lack of understanding at both the state and local level about roles and responsibilities within the EZ/EC Initiative and about the benefits to each of a true partnership between the levels. Foundations, many of which are already actively engaged in reform efforts at both the state and local level, may be especially well-positioned to use their leadership and financial support to encourage and nurture this partnership. For example, foundations could sponsor state-site forums to explore ways that states can support implementation; if proposed block grant legislation passes, a topic for these forums might be how states can use the new flexibility to support experimentation and innovation within EZ's and EC's. It has also been suggested that sites would benefit from efforts to increase their understanding of state operations and how best to approach the states for assistance, and that state agencies which, like federal agencies, now must reinvent themselves to take on new roles, relate differently to localities, and work effectively across agencies, could benefit from professional development to help them meet these challenges. Since, in some states, counties have a central role in the management and delivery of human services, and in all

states, counties are part of the regional configuration of resources to which distressed communities need to be reconnected, many have recommended that counties too be brought into this partnership picture.

- Associations and public interest groups: A group of national organizations has been meeting bi-monthly since January 1995 to discuss ways to support the EZ/EC Initiative. The group includes: the American Association of Enterprise Zones, the Council of State Community Development Agencies, the National Association of Counties, the National Community Development Association, the National Association of State Development Agencies, the National League of Cities, and the U.S. Conference of Mayors. Foundation support is not needed for these basic information and coordination exchanges, but might be sought for special projects to stimulate interest in and support for the EZ/EC Initiative overall and for the sites. There is also an interest in encouraging the participation of other national organizations -- for instance, the Department of Education would like to convene the education associations in support of the Initiative, and has suggested that a group like the Public Education Fund Network could be a vehicle to bring local members together with the sites. Again, basic conversations and actions like coverage in association publications would not require support, but special projects might.
- Financial and business community: The absence of a sound capital and commercial infrastructure is one of the most fundamental challenges confronting EZ and EC communities. Consequently, stimulating interest among and support from the business sector and financial institutions is a high priority for most sites. In some instances, foundation funding might be used to leverage private sector commitments, as it has in the National Community Development Initiative, but this also is an area where leadership

by foundations, which have ready access to business leaders, may be especially beneficial in encouraging investment in EZ/EC communities.

- **General Public:** In a time when public sentiment tends toward cynicism about the efficacy of government programs, the EZ/EC Initiative offers both special promise and a special challenge. It is a serious effort to reinvent government and, if successful, will demonstrably change lives and circumstances at the local level, where the results are readily visible. The challenge lies in the complexity of the effort and the need for time to make it work, a luxury that will be hard-won given the current mood. Direct foundation leadership in sites and nationally to build public understanding and support can help assure that the public is an encouraging partner and that the endeavor is not abandoned as a failure before it has a chance to take root. Foundations also can provide support to efforts by others to encourage this understanding. For example, the Public Relations Society of America and the America Project are contemplating a professional development program for public relations people interested in comprehensive community initiatives.

E. Supporting the Reinvention of Government

To be successful, the EZ/EC Initiative will require dramatic changes in the way business is done both within the federal government and between federal and other levels of government. Officials must be able to respond flexibly and creatively to ideas emerging from and developments occurring at the site level, to be familiar with or have ready access to the best knowledge in a wide range of subjects, and to work effectively across traditional programmatic and agency boundaries.

What Is Happening Now

The federal structure to support EZ/EC implementation is as follows:

- General oversight of the Initiative and responsibility for assuring that federal agencies individually and collectively promote and support implementation, including responding effectively to local requests, rests with the Community Empowerment Board (CEB). Vice President Gore is the CEB chairman, and Carol Rasco, Assistant to the President for Domestic Policy, and Laura D'Andrea Tyson, Assistant to the President for Economic Policy, are the Vice Chairs. Seventeen Cabinet-level heads also sit on the CEB. In addition, each member agency has assigned senior staff to work on the Initiative as needed with Sheryll Cashin, the CEB Staff Director.
- The Department of Housing and Urban Development has lead responsibility for the urban designees -- six EZ's, two Supplemental EZ's, four Enhanced EC's, and sixty EC's. HUD's primary structure of support for sites combines a headquarters-based (Washington, D.C.) Urban Task Force, staffed by federal employees, with a team of full-time site coordinators working in the twelve large urban sites (one per site) under contract to Price Waterhouse. Staff at the Task Force either come from within HUD or have been detailed from other federal agencies to work for HUD on the EZ/EC Initiative. These Task Force members provide back-up support to the site coordinators in the large sites, provide limited support to EC's, and assist in the coordination of federal programs at the sites and federal responses to site requests, including waiver requests.
- The Department of Agriculture has lead responsibility for the three rural EZ's and the thirty rural EC's. In contrast to HUD, it is relying primarily on an

existing field network of state, district and county offices, rather than on a central office structure.

- Most of the money for the EZ/EC Initiative is provided to sites through Title XX of the Social Security Act, which is administered through the Department of Health and Human Services. HHS has a nine-member team which carries primary responsibility for assisting all designated sites. In addition, programmatic staff from throughout the agency are called on as needed and there is active involvement from the Secretary's office. The Secretary's Regional Representatives also are playing a leadership role with respect to the Initiative. Among other responsibilities, each Representative is developing a Signature Project within an EZ or EC; for example, Lynn Yeakel of Region III (Mid-Atlantic) is working with the West Philadelphia neighborhood on a campaign to reduce the incidence of family violence.
- Various other departments, in addition to participating on the Community Empowerment Board, also are supporting the Initiative. For example, Wilson Goode, Mid-Atlantic Regional Representative for the Department of Education, is leading an effort to bring together in support of the Initiative the various departmental representatives in each region.

Much of the responsibility to coordinate these various centers of EZ/EC-related activity falls to the CEB staff and the Working Group of senior agency officials who work with them. The Working Group meets regularly, and works both as a full group and in committees assigned to specific tasks. At present, committees are addressing problems that have emerged in the handling of waiver requests and procedures to deliver on the promise that EZ's and EC's will receive special consideration for a variety of federal programs.

The primary focus of federal-local interaction at this point is around establishment of a set of site-specific "benchmarks" by which progress will be measured and signing of a memorandum of agreement by the federal and state government and local designee. It is hoped that this process, which must be completed before any funding can be released, will be concluded soon for all or at least most sites.

Opportunities

As noted, the challenges implicit in the EZ/EC initiative are significant, not simply for the sites but also for the federal government and for the interaction among various levels of government. Among the ways in which foundations might be able to assist with these challenges:

- Professional development for federal staff: The private sector generally invests much more in the continuous learning of staff than does the public sector. This limitation becomes particularly troublesome when public agency staff are asked to assume new roles and to provide assistance in a wide array of subject areas, many of which in fact are outside the usual domain of those staff. The desire and commitment of federal staff to respond effectively seems clear, even in the face of these challenges, but their ability to do so rapidly and well could be enhanced by enrichment opportunities, such as seminars with experts and innovators in a variety of subjects. Foundations could help make available consultation by these experts and innovators, much as they can for sites. There also is an opportunity for foundations to share their own experience with and lessons learned from the implementation of complex, multi-site initiatives.
- Representation on cross-site issues: It is likely that sites will have many common interests, issues and concerns which they need to address with federal officials. While the federal government is structuring itself to assure

that each site has ready access and a liaison responsible for "smoothing the way" when a response from Washington is needed, there is not now a mechanism for sites to identify and address collective issues. Several sites already have cited this as a need, expressing interest, for example, in what waivers others have requested and been granted. Foundations might support a capacity to help sites learn about common concerns, formulate proposed solutions, and collectively bring these to the attention of the appropriate federal agencies.

- Intergovernmental processes and practices: A significant aspect of public sector "reinvention" generally and of the EZ/EC Initiative specifically is a change in intergovernmental relationships, responsibilities, and processes. Often, this will mean "making it up as we go," developing very new approaches and practices. A good example is the reduction in specific federal procedural requirements imposed on states and localities in return for accountability for clearly-established, measurable results. In the EZ/EC Initiative, this framework is being set through the Benchmarking process, in which each designated site is defining specifically what it plans to accomplish in the next two years and how it will measure those accomplishments. The process has been a challenging one for both sites and for the federal government; all acknowledge that this truly is a change in the way business is done, and that they are learning together how to do it. The challenge can be expected to continue, too, as sites gain knowledge about what works and need to modify strategies and related accountability measures; and as all levels learn how to react to and make use of the data, whether the news is good or bad. Foundations might help meet such challenges by supporting experts and others who can assist in the development of solutions as problems emerge and who can facilitate the federal-state-site efforts to forge new relationships and effective intergovernmental processes.

F. Maximizing the Opportunity to Learn from the EZ/EC Initiative

The amount of money being invested in the EZ/EC Initiative and the scope and scale of the endeavor create a strong incentive to exploit fully the opportunity to learn from what is done. Because the goals of the Initiative and the strategies which it will incorporate parallel so closely the interests of many foundations, this incentive is at least as strong for the philanthropic sector as it is for sites and the federal government.

What Is Happening Now

Most of the emphasis at the site and federal level thus far has been on getting the Initiative up and running. The opportunity to learn has been acknowledged and will be addressed in the future, as will formal evaluation, but only limited steps have been taken thus far in that regard. Among the steps that have been taken is a Department of Agriculture contract with the University of Tennessee to do baseline assessment in all the rural sites and, at the same time, to provide some assistance in improving plans and building capacity to carry out those plans.

The applications of the designated sites are being summarized for general release and have been reviewed by federal staff to extrapolate selected information. For instance, a list of requests or anticipated requests for waivers has been developed. The Department of Health and Human Services has summarized child and family service strategies planned by the large designees, and has compared strategies planned by all designees to the Surgeon General's Healthy People 2000 Goals. Access to the applications also has been provided to some university researchers. The National Center on Children in Poverty, for example, has reviewed applications to identify sites interested in early childhood care and education.

Opportunities

Among the suggestions we have heard of ways that foundations can help assure that maximum use is made of the opportunity to learn from the EZ/EC Initiative are the following:

- Applications review: The application guidelines gave sites fairly wide latitude to design an initiative that fits their needs and strengths. As a consequence, the group of applications, with hundreds of responses to the open-ended question "What would you do with \$100 million (\$40 million for rural sites)?", offers a potentially rich source of guidance for future policymaking and the design of antipoverty strategies. The applications also can provide a quick introduction to the way particular topical areas and strategies are incorporated into the Initiative, and may offer insights into the types of external assistance sites are likely to need. Foundations might support a structured review of the applications for these and possibly other purposes, including seeking specific information that will be useful as philanthropic responses to the EZ/EC Initiative are formulated.
- Documentation of what is happening: Not only the results that are achieved but also the process through which they are achieved is likely to be important and informative to future endeavors. Moreover, documentation can provide information that is available on a more timely basis and in a more readily applicable form than would formal evaluation, which could help sites monitor their work and adapt it as needed over time. Documentation also may be a mechanism through which the experience of practitioners and implementers at the community level can be communicated more quickly to one another and to policymakers. Foundations might support documentors in all or a select group of sites, perhaps through the university consortium discussed above. Foundation involvement in a task such as this, as with evaluation

discussed below, may be an important factor in sustaining interest over the tenure of the Initiative, which will span two or more administrations.

- Formal evaluation: It is reasonably certain that the federal government will commission some form of formal evaluation of the Initiative and some designees are considering site-specific evaluation. There also have been suggestions about experimentation with new evaluation approaches; an example is "empowerment evaluation,"⁹ which nurtures citizen participation through qualitative evaluation. The results of any such evaluations should be important in themselves, but experience with the EZ/EC Initiative also can add to the general knowledge about how to craft complex, cross-site, multi-year evaluations. Foundations might support an enhancement of the federal plans, if that seems indicated, and/or underwrite evaluation for sites. Sites likely also would benefit from workshops or other means of helping them to explore different evaluation approaches. Too, the experience of foundations with evaluation of complex initiatives could be an important contribution, as evaluation plans are formulated at both the federal and site level.
- Targeted analyses: The EZ/EC Initiative could serve as both a catalyst and a host for research on subjects ranging from the effects of various components of the Initiative on children and families, to the dynamics of community-building, to the impact of tax incentives on job creation and chronic unemployment, to the cost-effectiveness of various strategies. Foundations might support research and analyses that the federal government, sites, or

⁹The concept of "empowerment evaluation" was advanced by D. Fetterman in a 1994 article in Evaluation and Program Planning. It enables residents to become part of the process of developing and implementing policy by (1) assessing various components of the overall structure of services and supports and documenting their ratings; (2) identifying the salient issues to be pursued; (3) selecting intermediate goals and principal strategies to address the goals; and (4) measuring progress toward those goals.

others propose, and/or they might view EZ/EC sites as laboratories in which to conduct research of immediate concern to the foundations themselves.

G. Supporting Program Implementation

We have added this area of opportunity to the list developed on March 23 in order both to create a fuller picture of possible philanthropic involvement and to acknowledge the interest being heard from sites in pursuing plans which reach beyond the resources they have available. EC designees that developed plans for the use of \$40 million or \$100 million (as a rural or urban Empowerment Zone) and received only \$3 million and Champion Communities, the approximately 400 applicants who did not receive a designation, now are faced with having stimulated community hopes for programs for which there is no funding. And even the large designees are finding that the money they will receive in most cases cannot fully fund the lengthy list of ideas contained in the original plan.

Of course, many foundations already have made commitments to implementation of various programmatic components contained in EZ/EC plans. As is clear, though, there is a large opportunity to do more in this arena, should that be of interest.

For the most part, foundation involvement in this area will be determined by individual foundations on a case-by-case basis. At the same time, there has been an expression of interest by several senior federal officials in determining if a way can be found to facilitate the connection of EZ/EC sites seeking funding with foundations that might have a geographic or programmatic interest in the proposed work.

IV. STRUCTURING INVOLVEMENT

Although yet in its formative stages, the emerging idea of a coordinated philanthropic approach to the EZ/EC Initiative raises the possibility of two types of relationships which, although not new, are still relatively rare:

- Joint endeavor among a group of foundations, formed not by the happenstance of an enterprising grantee gaining funds from several sources, but through the deliberate decision and action of the foundations themselves; and
- Structured and systematic coordination among members of the philanthropic sector, the public sector at federal, state and local levels, and perhaps others, in pursuit of a set of commonly held objectives.

There are current partnerships which include among their members many of the foundations participating in this discussion and to which we might turn for insight as to what makes for an effective and worthwhile endeavor. The National Community Development Initiative (NCDI) discussed above is one. Another is California's Foundation Consortium for School-Linked Services and the Consortium's partnership with state government, called the California Partnership for Comprehensive, Integrated School-Linked Services.

Even with these and other examples as background, however, it is recognized that, as the discussions proceed, considerable attention will need to be given to the nature, structure, form, and limits of whatever relationships are established.

V. NEXT STEPS

(to be sent)

APPENDIX A

DESIGNATED EZ/EC SITES

A-1

URBAN

Empowerment Zone and Enterprise Community Designees

State	City
ALABAMA EC	Birmingham
ARIZONA EC	Phoenix
ARKANSAS EC	Pulaski County
CALIFORNIA SEZ	Los Angeles City & County
	Oakland
CALIFORNIA EC	Los Angeles/Huntington Park
	San Diego
	San Francisco/Bayview/Hunters Point
COLORADO EC	Denver City & County
CONNECTICUT EC	Bridgeport
	New Haven
DELAWARE EC	Wilmington, New Castle Co.
DISTRICT EC	District of Columbia
FLORIDA EC	Dade County, Miami
	Tampa
GEORGIA EZ	Atlanta
GEORGIA EC	Albany
ILLINOIS EZ	Chicago
ILLINOIS EC	East St. Louis
	Springfield
INDIANA EC	Indianapolis
IOWA EC	Des Moines
KENTUCKY EC	Louisville
LOUISIANA EC	New Orleans
	Ouachita Parish
MARYLAND EZ	Baltimore

A-2

MASSACHUSETTS SEZ	Boston
MASSACHUSETTS EC	Lowell
	Springfield
MICHIGAN EZ	Detroit
MICHIGAN EC	Flint
	Muskegon
MINNESOTA EC	Minneapolis
	St. Paul
MISSISSIPPI EC	Jackson
MISSOURI SEZ	Kansas City (Mo and Kans)
MISSOURI EC	St. Louis, St. Louis County, Wellston
NEBRASKA EC	Omaha
NEVADA EC	Clarke County/Las Vegas
NEW HAMPSHIRE EC	Manchester
NEW JERSEY EC	Newark
NEW MEXICO EC	Albuquerque
NEW YORK EZ	New York, Bronx County
NEW YORK EC	Albany
	Buffalo
	Newburgh/Kingston
	Rochester
NO. CAROLINA EC	Charlotte
OHIO SEZ	Cleveland
OHIO EC	Akron
	Columbus
OKLAHOMA EC	Oklahoma City
OREGON <i>EL</i>	Portland
PENNSYLVANIA EZ	Philadelphia, Camden N.J.
PENNSYLVANIA EC	Harrisburg
	Pittsburgh & Allegheny Co.
RHODE ISLAND EC	Providence

A-3

SO. CAROLINA EC	Charleston
TENNESSEE EC	Memphis
	Nashville
TEXAS SEZ	Houston
TEXAS EC	Dallas
	El Paso
	San Antonio
	Waco
UTAH EC	Ogden
VERMONT EC	Burlington
VIRGINIA EC	Norfolk
WASHINGTON EC	Seattle
	Tacoma
WEST VIRGINIA EC	Huntington
WISCONSIN EC	Milwaukee

A-4

ECONOMIC DEVELOPMENT INITIATIVE (EDI) AWARDS:SUPPLEMENTAL EMPOWERMENT ZONESANDENHANCED ENTERPRISE COMMUNITIES

<u>CITY</u>	<u>EDI FUNDING</u>	<u>EC FUNDING</u>	<u>TOTAL FUNDING</u>
Los Angeles City and Los Angeles County CA	\$100 Million + \$25 Million Total: \$125 Million	\$0	\$125 million
Cleveland OH	\$87 million	\$3 million	\$90 million
Boston MA	\$22 million	\$3 million	\$25 million
Houston TX	\$22 million	\$3 million	\$25 million
Kansas City MO and Kansas City KS	\$22 million	\$3 million	\$25 million
Oakland CA	\$22 million	\$3 million	\$25 million

A-5

RURAL

APP NO.	NAME	STATE	Counties	Other Info
26	Chambers County EC	AL	Chambers	
113	Greene & Sumter Counties Rural EC	AL	Greene, Sumter	
84	East Central Arkansas EC	AR	Cross, Lee, Monroe, St. Francis	C A(4)
20	Mississippi County EC	AR	Mississippi	C
168	Arizona Border Region EC	AZ	Cochise, Yuma, Santa Cruz	A(2)
35	Imperial County EC	CA	Imperial	A(3)
71	City of Watsonville/County of Santa Cruz EC	CA	Santa Cruz	
89	Jackson County, Florida EC	FL	Jackson	C
211	Crisp/Dooly EC	GA	Crisp, Dooly	
218	Central Savannah River Area EC	GA	Burke, Hancock, Jefferson, McDuffie, Taliaferro, Warren	
159	Kentucky Highlands EZ	KY	Clinton, Jackson, Wayne	C
115	Northeast Louisiana Delta EC	LA	Madison	C A(2)
215	Macon Ridge EC	LA	Catahoula, Concordia, Franklin, Morehouse, Tensas	C A(5)
162	Lake County EC	MI	Lake	C
114	City of East Prairie, Mississippi County, MO EC	MO	Mississippi	C
45	Mid-Delta EZ	MS	Bolivar, Sunflower, Leflore, Washington, Humphreys, Holmes	C A(6)
140	North Delta Mississippi EC	MS	Panola, Quitman, Tallahatchie	C A(1)

A-6

APP NO.	NAME	STATE	Counties	Other Info
74	Halifax/Edgecombe/Wilson EC	NC	Halifax, Edgecombe, Wilson	C
189	Robeson County EC	NC	Robeson	C
67	Mora, Rio Arriba and Taos County EC	NM	Mora, Rio Arriba, Taos	C
149	Greater Portsmouth EC	OH	Scioto	C
234	Southeast Oklahoma EC	OK	Choctaw, McCurtain	C
85	Josephine County EC	OR	Josephine	C A(1)
155	City of Lock Haven Federal EC	PA	Clinton	C
97	Williamsburg-Lake City EC	SC	Williamsburg, Florence	C A(2)
120	Beadle/Spink/South Dakota EC	SD	Beadle, Spink	C
147	The Fayette County/Haywood County Enterprise Community	TN	Haywood, Fayette	
186	Scott/McCreary Area Enterprise Community	TN	Scott (TN), McCreary (KY)	A(1)
201 107	Rio Grande Valley Empowerment Zone	TX	Cameron, Hidalgo, Starr, Willacy	C A(6)
218	Accomack-Norhampton, Virginia EC	VA	Northampton, Accomack	
116	Lower Yakima County Rural Enterprise Community	WA	Yakima	C A(1)
133	Central Appalachia EC	WV	Roane, Braxton, Clay, Nicholas, Fayette	C
187	McDowell County EC	WV	McDowell	C A(2)
A=Americorps member(s) present; C=State Rural Development Council Present				

APPENDIX B

MATRIX OF COMMUNITY-BASED INITIATIVES

**(Prepared by the Office of Juvenile Justice and Delinquency Prevention,
U.S. Department of Justice)**

Matrix Of Community-Based Initiatives

OJJDP

Office of Juvenile Justice and Delinquency Prevention

✓ Denotes EZ/EC site

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Sites

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Matrix of Community-Based Initiatives

B-3

Matrix of Community-Based Initiatives

Sites	Programs	HUD							DOJ							HHS	ED	DOL	CNS	DOI	Public/Private																	
		Enterprise Zones	Enterprise Communities	Family Investment Centers	National Youth Sports Program	Public Housing Drug Elimination Program	Tenant Opportunities Program	YouthBuild	Community Policing	Comprehensive Communities	Interagency Civil Demonstration Program	Native American Alternative Community-Based Program	Operation Weed and Seed	Pulling America's Communities Together Grants	Community Demonstration	Community Partnership and Support	Healthy Start Sites	Youth Gang Drug Prevention Program	Safe and Drug Free Schools Program	Job Corps	School to Work	Youth Fair Chance	AmeriCorps	Youth Environment Service	Black Community Crusade for Children	California Wellness Foundation's Violence Prevention Initiative	Children At Risk	Families for Kids	Fighting Back	Juvenile Detention Alternatives Initiative	National Community Development Initiative	National Funding Collaborative on Violence Prevention	Neighborhood and Family Initiative	Rebuilding Communities	Services to Children, Youth, and their Families	Small Business Administration	One-Stop Capital Shops	
✓ Monrow County		●					●																															
✓ Pulaski County		●																																				
✓ St. Francis County		●																																				
California																																						
Anaheim							●									●																						
Chula Vista							●										●																					
Compton							●												●																			
Esocondido							●																●															
Fresno				●			●														●																	
Hayward							●																															
✓ Imperial County		●					●																															
Inglewood						●	●																●															
✓ Los Angeles	●	●	●	●	●	●	●	●	●		●		●	●				●		●	●	●	●	●	●				●								●	
Modesto					●		●												●																			
✓ Oakland	●			●	●	●	●	●	●						●	●						●	●						●	●							●	
Oroville							●								●			●																				
Petaluma											●																											
Pomona																							●															
Richmond						●	●																●															
Riverside						●	●																●															
Sacramento				●	●	●	●							●	●			●					●				●											
✓ San Diego		●		●	●		●				●					●	●		●	●			●															

B-1

Matrix of Community-Based Initiatives

Sites	HUD										DOJ					HHS			ED	DOL		CNS	DOI	Public/Private															
	Programs	Empowerment Zones	Enterprise Communities	Family Investment Centers	National Youth Sports Program	Public Housing Drug Elimination Program	Tenant Opportunities Program	YouthBuild	Community Policing	Comprehensive Communities Program	Interagency Gun Demonstration Program	Native American Alternative Community-Based Program	Operation Need and Seed	Pulling America's Communities Together	Community Demonstration	Community Partnership Demonstration Program	Family Preservation	Healthy Start Sites	Youth Gang Drug Prevention Program	Safe and Drug-Free Schools Program	Job Corps	School to Work	Youth Fair Chance	AmeriCops	Youth Environment Service	Black Community Crusade	California Wellness Foundation's Violence Prevention Initiative	Children At Risk	Families for Kids	Fighting Back	Juvenile Delinquency Alternative Initiative	National Community Development Initiative	National Community on Violence Prevention	Neighborhood and Family Initiative	Resolving Communities	Services to Children, Youth, and their Families	Small Business Administration	One-Stop Capital Shops	
✓ San Francisco		•			•	•		•						•				•		•				•															
San Jose							•	•				•		•					•	•																			
Santa Ana																		•	•																				
Santa Barbara					•			•						•															•						•				
Santa Cruz								•																															
✓ Santa Cruz County		•						•																	•														
Stockton					•	•		•						•				•	•						•														
Tulare County								•													•																		
Ukiah					•									•											•														
Vallejo							•	•						•															•										
✓ Watsonville		•						•																															
Colorado																																							
✓ Denver		•			•	•	•	•				•	•		•							•	•								•					•			
Connecticut																																							
✓ Bridgeport		•			•			•																		•													
Hartford					•	•	•	•	•			•			•																			•					
✓ New Haven		•			•	•	•	•											•	•	•	•							•					•					
Waterbury					•			•							•																								
Delaware																																							
✓ Wilmington		•			•	•		•	•			•		•	•																								
✓ District of Columbia		•			•	•	•			•		•	•	•	•	•	•	•	•				•	•					•		•	•			•				

Matrix of Community-Based Initiatives

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B-9

Matrix of Community-Based Initiatives

B-9

Matrix of
Community-
Based
Initiatives

Sites	Programs	HUD						DOJ						HHS			ED	DOL		CNS	DOI	Public/Private														
		Empowerment Zones	Enterprise Communities	Family Investment Centers	National Youth Sports Program	Public Housing Drug Elimination Program	Tenant Opportunities Program	YouthBuild	Community Policing	Comprehensive Communities Program	Emergency Gun Demonstration Program	Native American Alternative Community-Based Program	Operation Weed and Seed	Pullout America's Communities Together	Community Demonstration	Family Partnership and Support	Healthy Start Sites	Youth Gang Drug Prevention Program	Safe and Drug-Free Schools Program	Job Corps	School to Work	Youth Fair Chance	AssetCops	Youth Environment Service	BLM's Community Crusade for Children	California Wellness Foundation's Violence Prevention Initiative	Children At Risk	Families for Kids	Fighting Back	Juvenile Delinquency Alternatives Initiative	National Community Development Initiative	National Funding Collaborative on Violence Prevention	Neighborhood and Family Initiative	Rebuilding Communities	Service to Children, Youth, and their Families	Small Business Administration One-Stop Capital Shops
✓ Lake County		●																																		
Lansing				●	●	●	●						●	●																						
✓ Muskegon		●		●			●																													
Saginaw				●	●		●													●																
Wayne							●										●																			
Minnesota																																				
Cloquet																				●																
✓ Minneapolis		●		●			●						●							●												●				
Red Lake							●		●																											
✓ St. Paul		●	●	●			●						●	●					●												●					
Mississippi																																				
✓ Bolivar County		●					●									●																				●
✓ Holmes County		●					●									●																				●
✓ Humphreys County		●														●																				●
Jackson							●						●	●						●					●											
✓ Leflore County		●					●									●																				●
Starkville					●		●										●																			
Sunflower																																				●
Jefferson City							●							●																						
✓ Kansas City		●		●	●		●				●											●					●		●							●
Springfield							●						●				●					●					●									

B-10

B-10

Matrix of
Community-
Based
Initiatives

Sites

Programs	HUD										DOJ					HHS				ED	DOL		CNS	DOI	Public/Private										
	Programs										Programs					Programs				Program	Programs		Program	Program	Programs										
	Employment Zones	Enterprise Communities	Family Investment Centers	National Youth Sports Program	Public Housing Drug Elimination Program	Tenant Opportunities Program	YouthBuild	Community Policing	Comprehensive Community Initiative	Emergency Gun Demonstration Program	Native American Alternative Community Based Program	Operation Weed and Seed	Pulling America's Communities Together	Community Demonstration	Community Partnership Demonstration Program and Support	Healthy Start Sites	Youth Gang Drug Prevention Program	Self and Drugs Free Schools Program	Job Corps	School to Work	Youth Fair Chance	AmertCorp	Youth Environment Service for Children	Black Community Crusade	California Wellness Foundation's Violence Prevention Initiative	Children At Risk	Families for Kids	Fighting Back	Juvenile Delinquency Alternatives Initiative	National Community Development Initiative	National Community on Violence Prevention	Neighborhood Collaborative	Rebuilding Communities	Services to Children, Youth, and their Families	Small Business Administration One-Stop Capital Shops
St. Louis				•	•		•	•									•	•			•														
Montana																										•									
Helena			•	•			•							•	•											•									
Nebraska																																			
Aberdeen Indian Reservation Comm.																•																			
Lincoln							•					•			•																				
Omaha				•		•	•				•	•								•															
Nevada																																			
Las Vegas			•	•			•				•				•																				
New Hampshire																																			
							•								•																				
Nashua				•			•													•															
New Jersey																																			
Camden	•			•			•							•								•													
County																•									•		•			•					•
Newark				•			•							•								•													
Trenton				•		•	•				•				•																				
New Mexico																																			
Gallup							•																					•							
Jemez Pueblo							•			•																									
Santa Fe			•	•	•		•							•	•																				

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B-16

Sites

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APPENDIX C

EZ/EC SITES IN WHICH THERE IS A COMMUNITY FOUNDATION

(Prepared by the Coalition of Community Foundations for Youth)

C-1

SUMMARY OF EC/EZ COMMUNITIES

LOCATION EZ/EC SITE	COMM. FDN.	NAME OF COMMUNITY FOUNDATION	COALITION MEMBER	ASSET SIZE 1993
GA, Atlanta	yes	Metropolitan Atlanta CF	yes	120,412,891
IL, Chicago	yes	Chicago Community Trust	yes	402,497,200
KY, KY Highlands	no			
MD, Baltimore	yes	Baltimore CF	yes	35,632,364
MI, Detroit	yes	CF for Southeastern Michigan	yes	66,260,358
MS, Mid Delta	no			
NY, Harlem	no			
NY, Bronx	no			
PA, Philadelphia	yes	The Philadelphia Foundation	yes	93,883,327
NJ, Camden	no			
TX, Rio Grande Val	no			
CA, Oakland	yes	East Bay CF	yes	16,847,439
MA, Boston	yes	The Boston Foundation	yes	315,807,810
MO, Kansas City	yes	The Greater Kansas City CF	yes	77,217,000
TX, Houston	yes	Greater Houston CF	yes	
AL, Birmingham	no			
AL, Chambers Cty	no			
AL, Greene County	no			
AL, Sumter County	no			
AZ, Phoenix	yes	Arizona CF	yes	43,931,032
AZ, Arizona Border	no			
AK, East Central	yes	Arkansas CF	yes	9,781,527
AK, Mississippi Cty.	yes	Arkansas CF	yes	9,781,527
AK, Pulaski County	yes	Arkansas CF	yes	9,781,527
CA, Imperial County	no			
CA, Los Angeles	yes	California CF	yes	135,350,130
CA, Huntington Park	no			
CA, San Diego	yes	San Diego CF	yes	81,600,000
CA, San Francisco	yes	San Francisco Foundation	yes	285,000,000
CA, Bayview	no			
CA, Hunter's Point	no			
CA, Watsonville	no			
CO, Denver	yes	The Denver Foundation	yes	41,810,510
CT, Bridgeport	yes	Bridgeport Area Foundation	no	13,187,654
CT, New Haven	yes	CF of Greater New Haven	yes	119,285,115
DE, Wilmington	yes	Delaware CF	no	16,389,561
DC, Washington	yes	Foundation for the National Capital Region	no	38,059,789
FL, Jackson County	no			
FL, Tampa	yes	CF of Greater Tampa	yes	3,575,347
FL, Miami	yes	Dade Community Foundation	yes	30,548,881

LOCATION EZ/EC SITE	COMM. FDN.	NAME OF COMMUNITY FOUNDATION	COALITION MEMBER	ASSET SIZE 1993
FL, Dade County	yes	Dade Community Foundation	yes	30,548,881
GA, Albany	no			
GA, Central Savannah	no			
GA, Crisp County	no			
GA, Dooley County	no			
IL, East St. Louis	yes	East St. Louis Community Fund	no	
IL, Springfield	no			
IN, Indianapolis	yes	Indianapolis Foundation	no	97,875,171
IA, Des Moines	no			
KY, Louisville	yes	Louisville CF	yes	47,869,521
LA, Northeast Delta	no			
LA, Macon Ridge	no			
LA, New Orleans	yes	Greater New Orleans CF	yes	20,200,240
LA, Ouachita Parish	no			
MA, Lowell	no			
MA, Springfield	yes	CF of Western Mass.	no	1,317,011
MI, Five Cap	no			
MI, Flint	yes	The CF of Greater Flint	yes	40,240,839
MI, Muskegon	yes	Muskegon County CF	yes	28,036,710
MN, Minneapolis	yes	The Minneapolis Foundation	yes	182,162,860
MN, St. Paul	yes	The St. Paul Foundation	yes	231,306,404
MS, Jackson	yes	Foundation for the Mid South	yes	8,443,579
MS, North Delta	yes	Foundation for the Mid South	yes	8,443,579
MS, East Prairie	yes	Foundation for the Mid South	yes	8,443,579
MO, St. Louis	yes	St. Louis CF	yes	
NE, Omaha	yes	Omaha CF	yes	17,838,180
NV, Clark County	no			
NV, Las Vegas	yes	Nevada CF	no	1,441,840
NH, Manchester	no			
NJ, Newark	no			
NM, Albuquerque	yes	Albuquerque CF	no	5,803,558
NM, Moro	no			
NM, Rio Arriba Cty	no			
NM, Taos County	no			
NY, Albany	yes	Community Foundation for the Capital Region, Inc.	no	2,838,205
NY, Schenectady	no			
NY, Troy	yes	Community Foundation for the Capital Region, Inc.	no	2,838,205
NY, Buffalo	yes	The Buffalo Foundation	no	47,322,629
NY, Newburgh	no			
NY, Kingston	no			
NY, Rochester	yes	Greater Rochester Area Foundation	yes	42,000,000

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LOCATION EZ/EC SITE	COMM. FDN.	NAME OF COMMUNITY FOUNDATION	COALITION MEMBER	ASSET SIZE 1993
NC, Charlotte	yes	Foundation for the Carolinas	yes	74,575,499
NC, Halifax County	no			
NC, Edgecombe Cty	no			
NC, Wilson County	no			
NC, Robeson County	no			
OH, Akron	no			
OH, Columbus	yes	The Columbus Foundation	yes	258,722,775
OH, Greater Ports	no			
OK, Choctaw Cty	no			
OK, McCutain Cty	no			
OK, OK City	yes	Oklahoma City CF	no	84,483,662
OR, Josephine	no			
OR, Portland	yes	Oregon CF	yes	98,985,582
OR, Portland	no	The Portland Foundation	no	5,836,000
PA, Harrisburg	yes	Commonwealth CF	yes	300,000,000
PA, Harrisburg	yes	The Greater Harrisburg Foundation	no	5,355,794
PA, Lockhaven	no			
PA, Pittsburg	yes	The Pittsburg Foundation	yes	229,781,324
RI, Providence	yes	The Rhode Island Foundation	yes	197,142,953
SD, Beadle County	no			
SD, Spink County	no			
SC, Charleston	yes	CF Serving Coastal SC	yes	
SC, Williamsburg County	no			
TN, Fayette County	no			
TN, Haywood Cty	no			
TN, Memphis	yes	CF of Greater Memphis	no	53,000,000
TN, Nashville	yes	Nashville Area CF	no	12,628,915
TN, Scott County	no			
TN, McCreary Cty	no			
TN, Kentucky	no			
TX, Dallas	yes	Communities Foundation of Texas	yes	245,586,089
TX, El Paso	yes	El Paso CF	yes	38,099,430
TX, San Antonio	yes	San Antonio Area Foundation	yes	24,912,618
TX, Waco	yes	The Waco Foundation	no	3,688,159
UT, Ogden	no			
VT, Burlington	no			
VA, Accomac	no			
VA, Norfolk	yes	The Norfolk Foundation	no	43,875,600
WA, Lower Yakima	no			
WA, Seattle	yes	The Seattle Foundation	yes	57,633,441
WA, Tacoma	yes	The Greater Tacoma CF	yes	22,463,242

C-4

LOCATION EZ/EC SITE	COMM. FDN.	NAME OF COMMUNITY FOUNDATION	COALITION MEMBER	ASSET SIZE 1993
WV, Huntington	no			
WV, McDowell	no			
WI, Milwaukee	yes	The Milwaukee Foundation	yes	135,779,000

New list of PW TA providers - from
Mike Savage
6/15/95

Name	Bus. Phone	Fax	Specialty	Savage	Gunn	PW
Active						
G						
Independent Consultant						
Cerda, Jose	202-456-5568		Generalist Chicago, KC: Policing	4-4	4/25	5:5
De Blasio, Bill	718-369-0111		Generalist NY: Governance, Infrastructure	4:24	4/25	5:11
Kane, Dennis	202-225-7182	301-283-0632	Generalist Cleveland	4:11		4:26
Independent Consultant (Center for Applied Linguistics)						
Lopez, Jeannette	202-429-9292		Generalist Baltimore	5-1		5:10
Norman and Associates; 404-902-1221						
Norman, Roy	404-344-7103	404-577-1396	Generalist Atlanta			
(Not Categorized)						
Vilmain, Teresa	202-462-3473					
S						
American Political Science Association						
Brintnall, Michael	202-483-2515	202-483-2657	Infrastructure, Community Governance			
A.D. Jackson Consultants						
Jackson, Adele	301-495-3404	301-495-2914	Development Financing, Infrastructure			orig
Bert Smith & Co.						
Walker, Leon	202-393-5600	202-393-5608	Infrastructure			orig
Campaign for Human Development						
Callahan, Stephen	202-541-3210	202-541-3329	Infrastructure			
Capital Access Group, LLC						
Carr, George	202-467-8019	202-785-1944	Development Finance			
Davidson, Steven	202-467-8019	202-785-1944	Infrastructure			
Montgomery, James	202-467-8019	202-785-1944	Development Finance			
Pryde, Paul	202-467-8019	202-785-1944	Development Finance			
Council for Economic Action						
Frankel, Linda	617-439-2950	617-345-0556	Development Financing			orig
Credo, Wolfe & Associates						
Wolfe, Charles	408-345-0288	408-345-0282	Governance, Infrastructure			orig
Development Finance Corporation						
Sower, John	202-342-2973	202-342-2974	Development Financing			orig
Development Solutions						
Frankoff, Roger	410-266-8178	410-266-9371	Development Financing			orig
Development Strategies, Inc.						
Nodine, Ralph	207-775-1879		Development Financing			orig
Development Training Institute						

APPENDIX D

TECHNICAL ASSISTANCE CONSULTANTS

BEING MADE AVAILABLE TO EZ/EC SITES

BY THE U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Name	Bus. Phone	Fax	Specialty	Savage	Gunn	PW
Aiyetoro, Sentwali	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
Blair, Charles	410-338-2512	410-338-2751	Governance, Infrastructure			4:27
Jones, Roger	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
Jones, Verna	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
McNeely, Joseph	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
Nugent, Jeffrey	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
Perkins, Erna	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
Weaver, Andrew	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
Williams, Susan	410-338-2512	410-338-2751	Governance, Infrastructure	4:17		4:27
Donahue & Associates						
Donahue, Thomas	202-452-9416	202-296-7532	Infrastructure : Labor			
Economic Development Assistance Consortium						
Abelmann, Charles	617-742-4481	617-367-0908	Job Continuum, Community Governance	4:21		4:26
Brandwein, Robert	617-742-4481	617-367-0908	Community Development Financing	4:21		4:26
Cross, Gloria	617-742-4481	617-367-0908	Infrastructure	4:21		4:26
Griffin, Ann	617-742-4481	617-367-0908	Community Development Financing, Job Continuum	4:21		4:26
Grigsby, Charles	617-742-4481	617-367-0908	Infrastructure, Job Continuum	4:21		4:26
Harrison, Bennett	617-742-4481	617-367-0908	Infrastructure, Job Continuum	4:21		4:26
Horn-Moo, Susan	617-742-4481	617-367-0908	Infrastructure, Job Continuum	4:21		4:26
Melendez, Edwin	617-742-4481	617-367-0908	Infrastructure, Job Continuum	4:21		4:26
Schumpert, Tom	617-742-4481	617-367-0908	Infrastructure, Job Continuum	4:21		4:26
Weiss, Mark	617-742-4481	617-367-0908	Infrastructure, Job Continuum	4:21		4:26
Education, Training, and Enterprise Center						
Bocage, Aaron	609-342-8277	609-963-8110	Infrastructure			orig
Waters, George	609-342-8277	609-963-8110	Infrastructure			
Gardner, Underwood & Bacon						
Gardner, Henry	510-444-5017	510-444-8210	Development Financing			
Independent Consultant						
Carr, Dennis	317-685-0447	317-685-0447	Governance, Infrastructure			
Davis, Charles	313-224-7238	313-224-7424	Generalist Detroit	5:1		
O'Cleireacain, Carol	212-866-7663	212-866-6526	Development Financing	4:4	4/25	5/1
Institute Educational Leadership						
Blank, Marty	202-822-8405	202-872-4050	Governance, Schools/Service integration	4:21		4:26
Danzberger, Jacqueline	202-822-8405	202-872-4050	Governance, Schools/Service Integration	4:21		4:26
Moore, Linda	202-822-8405	202-872-4050	Community Governance	4:21		4:26
Institute for Community Development						
Maher, Deborah	410-940-9719	410-964-1479	Development Financing			

Name	Bus. Phone	Fax	Specialty	Savage	Gunn	PW
James Vitarello Development Association, Inc						
Vitarello, James	202-332-4455	202-232-3206	Development Financing	4-4	4-25	4-28
Johns Hopkins (IPS)						
Pines, Marion	410-516-7169	410-516-8233	Schools/Service Integration	4-24		4-26
Lupke & Associates						
Lupke, Diane	317-578-8210	317-849-3820	Infrastructure, Job Continuum			orig
Melvin A. Mister & Associates						
Mister, Melvin	718-941-3848	718-941-3848	Governance, Infrastructure	4-17	4-25	4-25
Mullin & Lonergan						
Hogan, Joseph	215-333-1717	215-332-6599	Development Financing			
M&R Associates						
Fullenbaum, Richard	301-468-2668		Development Financing			
National Council for Urban Economic Development						
Finkle, Jeffrey	202-223-4765	202-223-4745	Infrastructure			orig
National Federation of Community Development Credit Unions						
Rosenthal, Cliff	212-809-1850	202-809-3274	Development Finance			
National Housing Trust						
Bodaken, Michael	202-333-8931	202-833-1031	Development Financing	4-18		
Partners Livable Communities						
Cuff, Penelope	202-887-5990	202-466-4845	Infrastructure	4-24		5/4
McNulty, Robert H.	202-887-5990	202-466-4845	Infrastructure	4-24		5/4
Police Foundation						
Williams, Hubert	202-833-1460	202-659-9149	Community Policing	4-24		4-27
Program for Community Problem Solving						
Potapchuk, William	202-783-2961	202-347-2161	Governance	4-21		4-27
RA Boezi and Associates						
Boezi, Reynold	419-242-2453	419-255-6264	Infrastructure, Job Continuum			orig
Self-Reliance Inc.						
Lewis, Michael	202-232-4108	202-332-0463	Infrastructure			
Platt, Brenda	202-232-4108	202-332-0463	Infrastructure			
Sampson, Maurice	202-232-4108	202-332-0463	Infrastructure			
Seldman, Neil	202-232-4108	202-332-0463	Infrastructure			
Shorebank Advisory Services						
Chapel, Paige	206-223-1052	206-340-8845	Development Financing			
Southern Dallas Development Corp.						
Reed, Jim	214-428-7332	214-426-6847	Development Finance			
Ticknor and Associates						

Name	Bus. Phone	Fax	Specialty	Savage	Gunn	PW
Ticknor, Tom	708-869-2015	708-869-0312	Development Financing			orig

TLC Management Service

Yamini, A. Hakim	404-688-0026	404-688-7002	Governance, Infrastructure	5	1	
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Urbanomics

Rubin, Marilyn	201-839-1764		Development Financing			
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Inactive

G

Bailey and Watts, PC

Johnson, Ira	404-263-7476	404-840-7573	Generalist Atlanta	5	1	
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Enterprise Foundation; 212-262-9575

Lazar, Ellen	410-964-1230	410-715-3630				
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Independent Consultant

Dunn, Richard		202-408-9855				
Hahn, Andrew			Generalist Atlanta			
Prince, Jonathan	202-456-2777		Generalist Philadelphia, Boston	4	11	4:25

S

Independent Consultant

Bruce, Charles
Davis, Kim
Linden, Amy

Working Capital

Ashe, Jeffrey	617-576-8620	617-576-8623	Development Financing			
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