



***Community Interactions
and Collaborations
Peer Institutional Study***

Main Report

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**UC/Community Interactions and
Collaborations
A Study of Peer Institutions
Main Report**

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Introduction: Study objectives and approach

For the last ten years, the University of Cincinnati has been shifting its focus from a purely institutional-centric point of view to a perspective that more and more takes into account its surrounding community context. The impetus that inspired this transition was, on the one hand, declining student attendance rates, a deteriorating urban environment around the campus, declines in safety conditions in the proximity of the university and low faculty/staff interest in living near the campus; and on the other hand the realization that improving the quality of life in and for the communities neighboring the university was part of the social obligations of the university as a good citizen and a good neighbor, while improved environmental, design and safety conditions in the area of the campus would enhance the local and national image of the university and would make the institution more appealing to excellent faculty and high quality students.

Since then, the community redevelopment and partnership building initiatives of the University of Cincinnati have been major and continuous. *The first part of this effort* was the far ranging planning, redesigning, and landscaping of the East and West Campus, and the commissioning of a large number of buildings by signature architects, which over time have created huge world-wide visibility for the University and have publicized its physical improvements and accomplishments in a large number of design, architecture and planning publications. *The second, and more important set of actions* was the decision of the University to embark in a sincere dialogue with the surrounding neighborhoods and their councils, out of which a number of physical improvement decisions were initiated for the benefit of these communities, starting with the award-winning University Powerplant located between Jefferson Avenue and Short Vine Street, between the East and West Campuses and followed by the agreement between the University and the Coryville Community to design and build a new recreation center for the neighborhood in exchange for a plot of land adjacent to the College of Nursing, eventually used by the University for the construction of its University Hall and its Kingsgate Hotel and Conference Center. *The third and most decisive decision* of the University was its success in establishing the Uptown Consortium. In this venture, the University has been the catalyst in creating a partnership among the largest institutions in the Uptown area – the Cincinnati Zoo and Botanical Garden, Children’s Hospital Medical Center, the Health Alliance, and TriHealth Inc, in addition to the University of Cincinnati -- which has subsequently been responsible for a series of redevelopment and rehabilitation initiatives, the impact of which is expected to be broad and long-lasting.

But because of the past history of university-community relationships around the Clifton Campus, and a general mistrust of large institutions, many of the university’s efforts in this regard have occasionally been regarded with suspicion and have received mixed reviews from the surrounding communities, the media and the public to date. Clearly there is a need for the objective description of the University of Cincinnati model of intervention into the future development of its surrounding communities, and an assessment of that role vis-à-vis the desires and expectations of the communities themselves.

At the same time, the University of Cincinnati has not been alone in this endeavor. In fact, urban universities throughout the United States, Canada and many European countries have in recent years embarked in ambitious and generous programs of community outreach and partnerships, some of which have already succeeded in transforming their communities radically, and several more are promising to do so in the next few years. These interventions, and the partnerships built to implement them, vary widely from region to region and from institution to institution. The University of Cincinnati has the ambition to be a leader and an innovator in its community partnerships. As such, it desired to learn about the development and organizational models adopted by other major urban academic institutions, so it would have a basis for comparisons and benchmarks against which it could assess its innovativeness and its success in reaching community redevelopment and quality of life enhancement objectives in the future.

In response to these two needs, this study was undertaken with the dual objective of (a) outlining and documenting the development partnerships, initiatives and investments of the University of Cincinnati within its surrounding communities and the conceptual model of the intervention followed in the process, and (b) studying, assessing and comparing the University of Cincinnati model to those of a number of select US -- and some Canadian -- academic institutions and drawing some lessons that could be used by the University as it reassesses its local development initiatives in the future.

To accomplish these objectives, two parallel studies were undertaken by this research project team: *The first study* was a thorough examination of the University of Cincinnati model of community collaborations, partnerships, interventions and investments. For it, the research team reviewed all available reports, studies, plans, publications, documents and other information available, and spent significant time consulting with the university and Consortium leaders familiar with and/or responsible for decisions and plans associated with this effort. In addition, upwards of thirty extensive semi-structured interviews were conducted with members of the immediate and broader Uptown communities, including the leaders of the local councils, municipal officials, bankers, developers, and informed citizens. The wealth of information thus collected was organized and presented in the first eight chapters of this report.

The second study surveyed a large number of US -- and some Canadian -- academic institutions located within major urban/metropolitan areas and recognized as significantly involved with their communities in various programs of community enhancement, rehabilitation or redevelopment. Among all the initial cases, 21 universities were selected for further study, and extensive case studies were compiled for all of them. They included:

- University of Akron: University Park Alliance
- Boston College University Partnerships
- Duke University: the Duke-Durham Neighborhood Partnership
- Georgia Tech University: Blueprint Midtown
- Johns Hopkins University: East Baltimore Biotech Research Park
- Louisiana State University: The LSU Community University Partnership

McGill University Community Partnerships
Ohio State University: Campus Partners for Community Urban Redevelopment.
San Diego State University: College Community Redevelopment Project
Simon Fraser University Community Partnerships
University of Pennsylvania: West Philadelphia Initiatives
University of Pittsburg: Community Partnerships
University of Victoria Community Partnerships
University of Wisconsin, Milwaukee: Community Partnerships
University of British Columbia Community Partnerships
University of California at Los Angeles: UCLA Center for Community Partnerships
University of California, San Diego: Community Development Initiatives
University of Illinois at Chicago: UIC Neighborhoods Initiative
University of Louisville: Signature Partnership Initiative and SUN
University of Southern California: USC Civic and Community Relations

Through these initial case studies, a smaller number of academic institutions were selected for more thorough analysis. These were institutions which have already achieved a significant and recognized degree of success, and have exhibited innovative behavior in the types of initiatives as well as in the planning, financing, management, community outreach, and other aspects of their programs' implementation. We studied these institutions much more thoroughly by visiting their campuses and conducting extensive semi-structured interviews with university leaders and other officials, faculty members involved in various aspects of the university partnerships, planners, architects, developers, business people and community activists in each city. The ten universities selected for this in-depth study included:

- Ohio State University in Columbus,
- The University of Pennsylvania in Philadelphia,
- John Hopkins University in Baltimore,
- The University of Southern California in Los Angeles,
- The University of California at Los Angeles,
- The University of California at San Diego,
- San Diego State University,
- The University of Louisville,
- The University of British Columbia in Vancouver, and
- Simon Fraser University in Barnaby, British Columbia.

The case studies are presented in summary form and are discussed and compared in chapter 11. The detailed case studies are contained in Appendices 1 to 21.

A methodological note: The intention of this report is to provide as unbiased a view as possible of the impacts and implications of the Uptown redevelopment effort. To this end, the individuals interviewed included both representatives from the five institutional partners, and Cincinnati city officials, community representatives, and personnel of the Uptown Community Development Corporations (CDCs). The interviews were conducted, in most cases, by at least one faculty researcher and a graduate student who transcribed the entire interview. The interviews ranged in length from a minimum of

forty-five minutes to a maximum of two hours. In most of the interviews the interviewee provided us with background and evidence materials supporting the information provided in the interview. These materials have been incorporated into the interviews, and have been taken into consideration in the preparation of this report. All interviews were conducted on condition of anonymity. No specific information or opinions have been attributed to any interviewees, but their names and affiliations have been listed at the end of this report by permission. All information acquired in the interviews has been cross-checked against other interviewed individuals and in relation to available data and literature, to the extent possible. Any errors found in this report are the responsibility of the authors alone.

Chapter 1: A Literature Review of University-Community Partnerships and an Introduction to the University of Cincinnati's Uptown Partnership

In order to discuss the University of Cincinnati (UC)'s interactions and collaborations in the communities of the Uptown area of Cincinnati, it is first necessary to place them in context. Consequently, this chapter first reviews the literature of university-community partnerships, identifying partnership themes and presenting a number of different partnership models. It then introduces the seven Uptown neighborhoods of the city, summarizes the University's involvement and its revitalization efforts, and describes the Uptown Consortium.

1.1 University-Community Partnership Themes

The literature on University-Community Partnerships (UCPs) encompasses three broad themes. The first body of research explores the role of the UCP in the creation of knowledge (Lerner 1999; Lerner et al. 2000). These studies typically differentiate between pure and contingent knowledge (or basic and applied). Whereas pure knowledge is generally "disembedded" from the context, contingent knowledge is highly dependent on the context within which it is generated. As universities are becoming more engaged in their local contexts, they are placing greater emphasis on the role of applied or contingent rather than pure knowledge and research. These studies investigate how the knowledge created as a result of the UCPs can help advance the ontology within current scholarships (Lerner et al. 2000).

Secondly, creating the applied and contextualized knowledge has given rise to the resurgence of research on various aspects of UCPs. In particular, this strand of research examines the applicability of and the degree to which the created knowledge matters in solving the community problems. Furthermore, while urban universities were perceived to compete for funding with the communities in which they were located, they now seek numerous opportunities for forging partnerships with them. In other words, local communities and universities are becoming increasingly allies rather than competitors.

Different studies have found these partnerships "mutually beneficial" (Baum 2000; Shefner and Cobb 2002). Such benefits include creating new knowledge for those who represent the universities (i.e., the faculty and students), as well as solving some of the most pressing problems facing the local communities (i.e., poverty). Other mutual benefits emerging from the UCPs essentially involve building democracy and civil society (Ostrander 2004). Proponents of such views hold that universities have a major commitment in strengthening democracy and civil society by their faculty and students. This role becomes even greater when academics raise concerns about the declining stock of social capital and civic participation in the American society (Putnam 2000). In addition to these mutual benefits and the synergistic relationship between the university and the community, other political and economic constraints have contributed to holding universities both responsible and interested in seeking alliance with the communities (Shefner and Cobb 2002). For example, the government holds the land-grant universities accountable for rendering various services to local communities "in return for federal aid" (Mayfield 2001: 233).

The contingent or applied knowledge, as such, has a wide range and involves many different academic disciplines from child development and child welfare to behavioral sciences, community development, and urban planning. Several studies have discussed the benefits of universities' involvement in launching and disseminating research on children, youth, and families. The benefits of applied research not only positively affect the contexts, within which the universities are located, but also the entire nation or the world for that matter. Research on childcare, youth, and family welfare, especially in poor neighborhoods, is a case in point. Various reports discuss the benefits that accrue to the local communities as well as how to use the UCPs to disseminate the knowledge on child development. Sherrod (1999: 228) argues that the outreach university can contribute to the dissemination of science and its usefulness to policy programs. UCPs with implications for public policymaking vary widely. While some focus on health policies, others concentrate on policies that inform social and behavioral sciences.

For example, Mullins and Gilderbloom (2002) have discussed the role of the university in the revitalization of the Russell neighborhood as one of the most impoverished neighborhoods in the nation. This once drug-strewn and unsafe neighborhood has witnessed new housing, new businesses, banks, and recreational facilities (Mullins and Gilderbloom 2002).

Al-Kodmany (1999) has focused on a similar aspect of the roles urban universities can play in revitalizing the blighted neighborhoods—especially when a sense of mistrust between the university and the local community might have grown for a long time. Al-Kodmany discusses how the use of the high-tech Geographic Information System (GIS) as a participatory planning instrument has helped narrow the university-community gap. In an effort to break the long-standing university-community disconnect, the University of Illinois at Chicago spearheaded a grassroots effort in which a group of faculty and students used GIS as a tool toward the participatory planning process. He further shows how this process served as a catalyst to integrate the knowledge of the community members into the knowledge and the technical know-how of the university team. The team provided an improved streetscape of Pilsen Street as the outcome of the partnership between the university and the local community.

The third group of studies on UCPs has focused on the nature of the partnerships developed between the university and the community. Some of these studies have viewed the following questions pertinent to developing UCPs:

- What constitutes university-community partnerships?
- Who benefits from them?
- What distinguishes “realistic” partnerships as opposed to the ones based on “fantasies” and unrealistic goals and objectives?
- What are some of the models of partnerships universities and communities are engaged in?

Regarding the first two questions, research shows that both universities and communities can mutually benefit from partnerships (Baum 2000). However, not every partnership

guarantees success. The likelihood of success in these partnerships largely depends on the clear articulation of goals and expectations. Ambitious goals and ambiguous expectations produce results that might be incongruent with the initial assumptions and intentions. Therefore, setting clear goals will help minimize developing and nurturing fantasies instead of realistic outcomes.

1.2 University-Community Partnership Models

With respect to the types of partnerships between universities and communities, several models are examined and evaluated here (i.e., the Social Venture Partnership Model, the Entrepreneurial Model, the Engaged University Model, and the Civic Engagement Model). Depending on the goals that have been set, the nature and degree of involvement, the expected duration and the financial responsibilities of the parties involved in the partnership, their outcomes vary widely. For example, in some cases, the economic benefits define the nature of the university-community partnerships, while in other instances the benefits might be purely academic and research-oriented without economic or monetary expectations.

The diverse nature of the university-community relationships makes them extremely complicated and multifaceted. At times, business models or joint ventures define the nature of the university-community partnerships (i.e., the social venture partnership, or the entrepreneurial partnership), while in more research-oriented models, interdepartmental initiatives might illustrate the relevant type of relationship between the two.

Yet, a body of work has addressed different types of research approaches that can apply to the university-community partnerships. For example, Savan and Sider (2003) discuss five common modes of research used in UCPs including action research, participatory action research, science shops, collaborative inquiry, and service learning. Urban planners in particular have showed much interest in service learning (SL) as a dynamic approach to pedagogy and community development. Service learning can directly benefit both students and communities.

The wide range of the university-community partnerships has historical precedence. Indeed, the transformation of the university-community relationship has in turn, transformed the nature of the university-community partnerships. This relationship has evolved from the “disengaged” to the “engaged university” model (Mayfield 2001). While in the former model, the university operates as a “fortress” of knowledge and pure research, in the latter, it becomes a conduit through which research reflects community needs. In fact, the transformation of this relationship has significantly affected the nature of university research. This transformation also reflects the distinction between basic and applied knowledge.

Against the backdrop of such an evolutionary relationship between the university and community, three common university-community partnership models and their strengths and limitations are briefly discussed. This discussion, in turn, will shed some light on helping select relevant case studies of each type for the subsequent part of this research.

The studied models include: the Entrepreneurial University model; the Engaged University Model; the Social Venture Partnership Model (SVP), and the Civic Engagement Model.

The Entrepreneurial University Model is premised on the globalization of higher education and business. The transformations and developments in IT have forced universities as well as businesses to seek flexibility and innovation in a constantly changing market conditions. To address these changes in global market conditions, governments, universities, and businesses have found it mutually advantageous to forge partnerships in producing new forms of knowledge and seek out new social organizations. While such collaborations help fund and generate new knowledge, their short-term nature or as Subotzky (1999) puts it “speculative investment and transnational corporation profits” might be incongruent to the basic needs of the local communities or host nations.

The Engaged University Model gives priority to higher education rather than community problems, even though it addresses them in various local and metropolitan, regional, or even national levels. As such, its mission is to integrate and link teaching, research, and service activities of the university. To accomplish these goals, the engaged university model seeks partnerships with broad public and private agencies in an interdisciplinary manner. As previously discussed, this model sharply contrasts with the conventional models of the academy whose mission was to generate pure knowledge in a fortress type environment. These conditions changed soon after the establishment of the land-grant universities and the passage of the Morrill Act in 1862, which asked the academy to render services to the local community in return to receiving land from the government.

The transformation of the community’s role from a client to a partner has, in turn, resulted in the university’s engagement in addressing the pressing local or regional problems. The community was considered a little more than a laboratory for research in the university as client model, whereas in the community-based research of the engaged university model, the academy and the community share the production of new knowledge. However, the dilemma is that in practice, the community’s expectation to be considered an equal partner with the university is often rarely achieved. Furthermore, as Farrant (2001: 621) argues the faculty is “too insulated, too isolated, and in fact and perception are seen as indifferent to worlds other than their own.”

The Social Venture Partnership (SVP) Model is somewhat similar to the Engaged University model in its interdisciplinary and comprehensive involvement in community matters. For example, the Tufts University’s role in the completion of a Master Plan for Chinatown in Boston has been rather multifaceted. The Tufts University faculty from the environmental, public health, education, and economic development programs collaborated and completed the Master Plan for Chinatown in 2000. According to Hendrickson (2001: 3-4), the SVP model differs from other similar models in that its involvement in the local community goes beyond “short-term cookie-cutter internship programs in which students are placed with nonprofit organizations but fail to take into consideration mutual compatibility or the extensive time commitments necessary to

orient and train the intern.” The deeper involvement of the SVP model, according to Hendrickson, owes much to intending to address the issues of power, justice and social change in a systematic way rather than imposed by only one party (usually the university).

Important forces are increasingly moving higher education (especially research universities) toward the civic engagement model. As the model suggests, its engagement component includes the involvement of student learning, curriculum transformation, community-defined priorities, and knowledge production, whereas the civic components highlights the local socio-economic, cultural, and political conditions (Ostrander 2004). The preponderance of these forces largely reflects the perceived decline of civic engagement in the U.S. on one hand, and the popularity of the mantra “thinking globally” and “acting locally” on the other. The proponents of the civic engagement model emphasize the role of the university as a conduit for promoting democracy and social capital, and question scholarly research which generates new knowledge for the sake of new knowledge, and largely ignores the needs of the local communities. Hence, the civic engagement model seeks to show the relevance of skill development to the local community needs. There is a sense that shared global problems (i.e., hunger, environmental degradation, housing, various diseases) ought to be addressed locally. This shared perception of local problems would in turn require collaboration among local communities, non-profit organizations, universities, and government. As a result, the popularity of the civic engagement model lies in its commitment to create effective partnerships among parties that carry sufficient political, social, economic, and scientific/technical clout to help solve the local problems. The opponents of this model, however, criticize the universities for promoting the corporate culture within the universities by distancing themselves from the traditional models of knowledge generation.

Given the literature on University-Community Partnerships reviewed here, the rest of this chapter explores the University of Cincinnati’s collaborations with the local communities of the Uptown area, sketches out these neighborhoods surrounding the University, and discusses the University’s revitalization efforts. The last section describes the major community development corporation the University is working with, the Uptown Consortium.

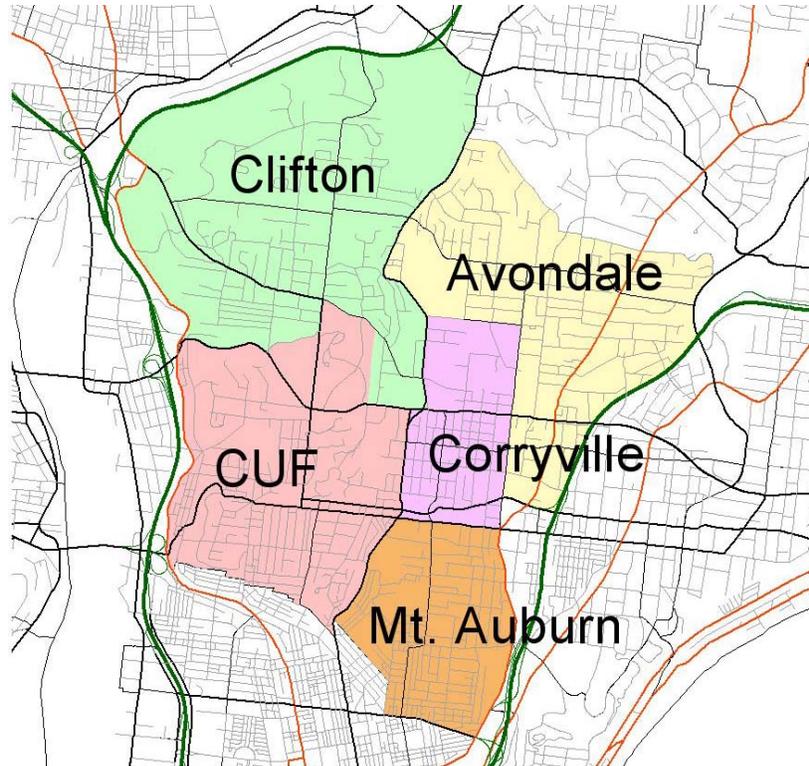
1.3 The Uptown Neighborhoods

Composed of the Avondale, Clifton, Clifton Heights, Fairview, Corryville, Mt. Auburn and University Heights neighborhoods, the Uptown area of Cincinnati sits between Interstates 71 and 75 and rests on the hilltops above the Central Business District and Over-the-Rhine (See Figure 1.1). Each of the neighborhoods is unique; however, they all depend heavily on the University of Cincinnati and its subsidiaries.

The Uptown neighborhoods were originally founded as upper income housing for business owners and professionals who worked in the city below. By the turn of the 19th century, improved road construction and mass transportation options made the heights accessible to a wider range of incomes. The opening of the University of Cincinnati,

other amenities and the increasing overcrowding and social ills of the downtown basin made the Uptown area an attractive relocation point for those who could afford it. At this time, the seven neighborhoods of Uptown were formed.

Figure 1.1: The Uptown Neighborhoods



Source: CAGIS

In the late 1940s, over a century later, a nationwide pattern of suburbanization began to occur. This trend led a lot of the upper and middle income residents living in the Uptown area to move northward into the new neighborhoods of Norwood, College Hill and Hyde Park. The movement of upper income residents out of Uptown left a housing vacuum that was quickly filled by middle income and upper lower income people from the city center. During this transition, housing throughout the Uptown area, which was once predominately single family, began to be subdivided into multi-family residences, especially in the lower income areas of Clifton Heights and Fairview.

In the 1960s, the construction of I-75 ripped through the traditionally African-American neighborhood of the West End. This construction project displaced most of the residents, who moved into Over-The-Rhine and began to move out the Reading Road corridor. Ultimately these African-American residents would settle in Corryville and Avondale.

Today, Uptown is an employment hub and one of the major economic engines of the city. Five of the top ten largest employers in the tri-state region are located in Uptown, including the University of Cincinnati, The Health Alliance, Children's Hospital, TriHealth and the Cincinnati Public Schools. The area is second only to downtown in economic output with the University Medical Center having a direct economic impact of

\$3.59 billion each year and the rest of the University contributing \$2.04 billion a year (UC Architect's Office).

The seven neighborhoods have distinct characteristics. Some have higher-income residents and some have a greater percentage of residents below the poverty line. Some are predominantly white, while others are overwhelmingly black. Below is a brief sketch of each of the Uptown neighborhoods.

1.3.1 Avondale

Physically, Avondale is the second largest neighborhood (next to Clifton) in Uptown. However, according to the U.S. Census, it has 16,000 residents – the largest number in the Uptown area. The heart of the neighborhood is the Reading Road corridor, which runs north from the University of Cincinnati's East Campus. There is a small business district along Burnet Road and another commercial area at the intersection of Reading Road and Paddock Road.

Residents of Avondale are predominantly black; with the Census reporting approximately 95 percent of the residents are African-American. Avondale has the lowest median family income in the Uptown area, approximately \$22,500 according to the Census. In addition, 33 percent of families live below the poverty line, and unemployment stood at 13 percent in 2000. Crime is on the rise in the neighborhood, with both petty and violent crimes increasing over the past few decades.

The housing stock is suffering in a similar fashion as the population. Approximately 15 percent of the stock is vacant. Additionally, renter-occupied units account for 76 percent of the occupied housing units.

1.3.2 Clifton

Clifton is the most stable of the seven neighborhoods. Its 8,500 residents occupy 2.1 square miles of the city. Its business district along Ludlow Avenue is also one of the strongest and most thriving in the city. Fully 75 percent of Clifton residents are white, and the median family income for the neighborhood is \$67,500, the highest in Uptown. Only 7 percent of families live below the poverty line, and the unemployment rate stood at 3 percent in 2000. Over 33 percent of the residents of Clifton are between 25 and 35 years old.

The housing stock in Clifton is as stable as the other attributes of the neighborhood. Only 7.7 percent of housing units are vacant. In addition, 67 percent of the housing is renter-occupied, with many UC students living in the area. The majority of the student housing is located near the Ludlow business district, while the majority of the single family houses are located along the meandering streets of the northern part of Clifton.

1.3.3 Coryville

Corryville is the smallest of the Uptown neighborhoods, with a land area of only 0.5 square miles. Only 3,800 residents occupy this neighborhood, also the lowest number among the Uptown neighborhoods. The Short Vine business district is the heart of

Corryville, and, while the street has many possibilities, few have been realized. Over the past few decades, the area has fallen into disrepair as the crime rate has gone up. The two biggest attractions are the Corryville Kroger and Bogart's – a local venue for small-scale concerts.

Almost half of Corryville residents are between the ages of 20 and 35 years old; this can be attributed to its proximity to the University of Cincinnati's main campus. In addition, 50 percent of the residents are black, while 42 percent are white. Corryville is the most racially balanced neighborhood in all of Uptown. The median family income in Corryville is \$27,500, and 25 percent of families live below the poverty line. As of the year 2000, the neighborhood had a 7 percent unemployment rate.

Due to the large student population, Corryville enjoys only a 13 percent vacancy rate, while 87 percent of the housing units are renter occupied. Most of the single family houses within the neighborhood have been converted over the decades into multi-family dwellings to accommodate the demand of student renters.

1.3.4 CUF (Clifton Heights, University Heights and Fairview)

This agglomeration of neighborhoods to the south and west of the UC's main campus has a total population of approximately 16,000 residents. The combined land area of the three neighborhoods is 1.4 square miles. The only business district among the three neighborhoods is the business district on Calhoun and McMillan Streets. This NBD is directly across the street from the southern edge of UC so the commercial establishments are geared heavily towards university students. The area is currently in a state of flux as several community development corporations are attempting to revitalize the district by razing many old buildings and replacing them with new retail, office and housing structures.

The CUF neighborhoods are predominantly white – 70 percent - and only 19 percent black. Approximately 56 percent of the residents are between 20 and 35 years old. The median family income for the three neighborhoods is \$32,500, and approximately 23 percent of families live below the poverty line. As of the year 2000, the unemployment rate in the neighborhoods was 7 percent.

Due in large part to the transient nature of students, 12 percent of the housing units are vacant in the CUF neighborhoods, and 82 percent of occupied housing is renter-occupied. A majority of the housing is multi family; the fraternities and sororities of the University are located here as well as many apartment buildings and converted houses.

1.3.5 Mt. Auburn

This is the southernmost of the Uptown neighborhoods. It sits on 0.7 square miles, and the population stands at 6,500 residents. This neighborhood is second only to Avondale in the number of African-American residents, 73 percent according to the Census. Approximately one-third of the population is between 25 and 45 years old. Auburn Avenue is the main street through the neighborhood, and it has several businesses

associated with the medical field, including Christ Hospital, which is located at the southern end of Auburn.

The vacancy rate for housing in this neighborhood is high, at approximately 19 percent. Of the occupied housing, 71 percent is renter occupied. The median family income is only \$27,500, and 26 percent of families live below the poverty line. As of 2000, the unemployment rate was 11 percent. This neighborhood is not as saturated with student housing as the other neighborhoods of Uptown. In addition, it sits on the brow of the hills overlooking downtown Cincinnati and Over-the-Rhine, so there are several excellent views from this neighborhood.

1.4 The University of Cincinnati's Involvement

The Uptown neighborhoods were originally founded as upper income housing for business owners and professionals who worked in the city below. Routes to get to the Uptown area were long and winding, leaving the option of residency outside the river basin to those affluent members of society who could afford private transportation. By the turn of the 20th century, improved road construction and mass transportation options made the heights accessible to a wider range of incomes. From early on, the seven Uptown neighborhoods had unique characteristics, which set them apart from one another. The first residents of these neighborhoods were overwhelmingly white, and over the next sixty years the Uptown increased in density and diversity to become the place it is today.

In the 1960s, the construction of I-75 ripped through the traditionally African-American neighborhood of the West End. This construction project displaced most of the residents, who moved into Over-The-Rhine and began to move out the Reading Road corridor. Eventually, the African-American residents settled in Corryville and Avondale. In a very short span of time, these neighborhoods reached a racial tipping point, going from a majority of whites to a majority of blacks, and the violent racial riots of the 1960s were a serious blow to the viability, growth and future safety of the area.

Safety concerns in the Uptown area grew throughout the 1970s, 80s and early 90s. This led to a continual decline in the housing stock as well as a decrease in traffic to Uptown from other parts of the city. At this time, the University of Cincinnati also experienced a drop in enrollment.

The Uptown began to be stratified by economic status and racial makeup. University Heights, which catered to the hospitals and UC, continued to have a solid stock of single-family houses and apartments for students. Fairview and Clifton Heights experienced a rapid decline in housing stock. One reason for this decline was that houses were being purchased by investors who converted them into multi-unit student dwellings. This created a large proportion of temporary residents in the area. The community's strength and commitment in these neighborhoods declined along with the student housing, which was not being well maintained.

By the 1990s, these factors fed the perception that the Uptown area was not a desirable community and the University of Cincinnati was not a desirable institution. This led the University to finally get involved in revitalizing its surrounding neighborhoods. The president of the University at the time, Joseph Steger, saw a link between declining enrollment and poor quality student housing (Schimberg 2005). Housing would become one of the first areas in which the University would get involved.

A survey in the 1990s showed that 81 percent of students accepted to UC were unhappy with the conditions of the surrounding neighborhoods (Schimberg 2005). The only way UC could solve this problem was to work with the communities; thus, the first community development corporations (CDCs) in the Uptown were formed.

While the University had money to give to revitalization efforts, it did not have a focused plan until the creation of CDCs and the Uptown Consortium. UC was throwing money around but not taking advantage of the resources it had in the area, so not a lot of progress was being made (Mello 2005).

Moreover, once the University was on stable ground with regard to how to utilize its money and resources, it needed to build a consensus with the residents of the neighborhoods. This was not always easy. While the problems of the neighborhoods were not necessarily the University's fault, the residents did not think kindly of UC (Schwab 2005). The University spent lots of time and money to convince its neighbors that it was taking their concerns into account. This became apparent as the CDCs commissioned projects that benefited the communities as much or more than they benefited the University.

The University made clear its goals. It wanted to stop declining enrollment, entice faculty, staff, and students to live adjacent to campus, and address the neighborhoods' general distress related to high unemployment, low home-ownership rates, business retention, and the poor perception of safety and transportation. The University chose to focus mainly on large-scale projects that combine urban design and economic development, with the hope of jumpstarting all types of revitalization within Uptown.

1.5 The University's Revitalization Efforts

Since the University of Cincinnati was directly impacted by the surrounding neighborhoods to a greater degree than the other entities in Uptown Cincinnati, it was the University that initially led the effort to start programs promoting economic development. The initiative started in earnest with President Steger. His personal background was in business; he joined the University of Cincinnati initially as provost after having spent five years at Prudential Financial, an industry leader in personal and property insurance. In an interview in 2005, Steger stressed this experience in the private business sector as being an important factor in creating the mindset whereby a public institution like the University, and later the Uptown Consortium, could allocate resources to private sector investments (Steger 2005). It was from this business perspective that the University leadership approached the neighborhoods and constructed a dialog for economic development.

To counter competition from two-year technical colleges, the University took steps to increase the technological infrastructure of the academic campus itself. It began to offer distance learning opportunities and technology-based learning enhancements inside the classroom. With this effort, the administration recognized something that was intuitively known before, but never sufficiently addressed: when students, faculty, and researchers have a choice in choosing higher education institutions, the quality of the infrastructure plays a significant part in the decision. The inclusion of technology acted as a catalyst that caused the administration to focus on campus-wide infrastructure (Steger 2005).

Technology was the first step in this effort, but it was closely followed by a second phase: addressing the campus-wide infrastructure itself. UC continued by coordinating and focusing attention on certain hot-spots both on and off campus for rehabilitation and development. While technically on-campus development is a separate issue from off-campus development, the University administration believed that there was a symbiotic relationship between the two; that is, what happens off-campus affects what happens on-campus, and what happens on-campus affects what happens off-campus. The ultimate goal was to create a campus that was thriving and energized to attract students, faculty, and staff to live on or near campus. This in turn would provide a market to energize the off-campus surroundings. Since students have the ability to choose where they go to school, the critical component administrators considered was making the University of Cincinnati a desirable place to attend.

With this goal in mind, the University prepared, reviewed, and accepted a master plan for growth. As part of this plan, the needs of the off-campus environment were, for the first time, considered in conjunction with the needs of the on-campus environment. The master plan sought to address the physical and use characteristics of the main academic campus itself, but also within the context of the surrounding neighborhoods. On the path toward implementation, this was a critical moment because it represented the first time the University administration explicitly acknowledged a belief that the on-campus and off-campus environments were linked.

With University revitalization the goal, the administration increased its capital budget program to allocate more resources to campus rehabilitation. Coupled with this initiative was the use of private endowment funds from the University Foundation for both supply-side and demand-side economic investment in the neighborhoods. Resistance at this stage was minimal because the scope of the program was limited to on-campus activities and the provision of secured loans to employees seeking local home ownership via the Walk-to-Work program (see additional information about specific programs below).

The University sought to create a physical link between the East Campus (the Medical Center) located near University Hospital and the West Campus, which was substantially composed of traditional academic structures and uses. The land occupied between the two separate entities formed a type of nexus between the two campuses, yet was owned by private individuals. It also happened to be a functional residential neighborhood complete with entertainment and park amenities, a recreation center for public use, a

small commercial zone, and residences not associated with UC. A piece of that land would be required if the two campuses were ever to be joined, but the community had its own interests, not the least of which was the need to be preserved and protected from a large institution.

In response, the University created a council composed of neighborhood representatives and UC officials to foster communication between the two groups. The needs of the community were ascertained, and plans were proposed where the University would use its own foundation money to plan, fund, and build a new recreation center for the community. The land that was occupied by the then existing community center could be turned over to the University (for fair-market value) and the University could formally expand its jurisdiction and link the two campuses. It was a win-win scenario for the public and the private community. Ultimately, this use of communication and consultation to direct UC resources was successful with a minimum of neighborhood resistance (McGirr 2003). The University was able to fund and build a community center that satisfied the demands of the local community, while at the same time building a vital and necessary physical linkage between the two previously separated campuses.

With the success of this venture completed, the University and the surrounding neighborhoods both realized and demonstrated that by working together each group can benefit from on-campus and off-campus rehabilitation projects. Furthermore, if the University could achieve a small success by itself in a targeted area like the area between the campuses, then the possibilities were great for University-community partnerships. As a natural extension of this early success, UC started to look for other partners to expand neighborhood investments.

The University initiated contact with the other major employers in its proximity and realized that cooperative efforts among them could result in true regional advantages. It then proposed a consortium that would be an umbrella organization over all the individual economic development corporations formed by the University. This consortium would formalize the interaction between neighborhood representatives (in the form of town-hall meetings) and would pull together the political, economic, and social weight of the area's major employers. While the political powers of Cincinnati focused on problems in the Central Business District, this new public-private organization would focus on the problems afflicting the University, other consortium-members, and the surrounding neighborhoods. As a reflection of this new area-wide approach to addressing economic development issues in the Uptown area, the name Uptown Consortium was chosen for the new organization.

1.6 The Uptown Consortium

The Uptown Consortium is an umbrella organization that binds together the five largest employers of Uptown Cincinnati with a common purpose: to direct the investment of Consortium-member resources into the Uptown Cincinnati region. The public-private partnership was created as a response to a history of strained relations between the University of Cincinnati and the surrounding neighborhoods. Yet an emerging pattern of success led to expansion that would include the other four principle employers of the

area: Cincinnati Children's Hospital Medical Center, Cincinnati Zoo & Botanical Gardens, TriHealth, Inc., and The Health Alliance of Greater Cincinnati. All five members had a history of difficult relations with the surrounding neighborhoods and sought new and bold paths to bridge the gap between institutional objectives and neighborhood development.

This new entity, working together with representatives from the surrounding communities and the City of Cincinnati, hoped to form a dynamic and effective public-private partnership for the betterment of the entire Uptown area. The Uptown Consortium, in conjunction with local government and community representatives, has as a major part of its mission to be actively involved in the social and economic development of the surrounding neighborhoods.

The Uptown Consortium was formally created in the early summer of 2003. The five executive leaders of each member organization met to ratify the agreement and stipulate the duties and responsibilities that would make the organization effective and successful. All five member organizations together set common goals and policies for the Consortium, and the leadership generally works by generating a consensus among the policy-makers. The chief executives of each member organization have a personal working relationship with one another and a vested interest in seeing their own organizations benefit from improved community relations.

Since the five members are clustered together geographically, as one member benefits from improved relations and localized economic development, all the members benefit to a greater or lesser degree. Each member's general neighborhood adjoins the neighborhood of another member; as one neighborhood improves from Consortium actions, several or all of the Consortium members benefit from this coordinated investment by diffusion. The chief executives hoped that group action, where all five members worked together and pooled common resources and experience, could have a greater impact than the disparate investments of individual organizations. It was this consensus among the collective leadership that group action would be more effective than individual action and that the whole would be greater than the sum of the parts that spurred the creation of the Consortium (Steger 2005).

In order to rejuvenate Uptown Cincinnati, the Uptown Consortium has established a series of policies designed to increase connectivity between the public and private sectors, and, as a byproduct of these linkages, increase residential and retail development opportunities. This case-study will explain and provide a basic analysis of the following facets of these policies:

- Financial incentives are being offered by the University of Cincinnati and the Uptown Consortium to spur economic development in Uptown Cincinnati via the formation of public-private partnerships. These public-private partnerships offer incentives aimed at increasing supply-side stimuli in the form of low-cost loans to developers and demand-side stimuli in the form of low-cost loans to home buyers.
- Additional partnerships are being formed to increase the qualitative aspects of living, working, and shopping in Uptown. This includes real and perceived safety

- issues, the physical aspects of the urban environment, and transportation. These policies are targeted at increasing the rate at which economic development happens in Uptown by stimulating the demand for new goods and services.
- Community members are being asked to take an activist role in the formation of policy, programs, and development designs. As their needs and wishes are addressed, the relations between the public entities and the private communities should turn more positive. As neighborhood representatives participate in the planning process, they highlight specific problems plaguing the neighborhoods and help set the agenda for development.

The Consortium's policies are based upon two core principals: first, that active community involvement in the planning of economic development processes is critical for ultimate neighborhood success, and, second, that resources must be allocated to spur supply *and* demand in the Uptown area. Demand-side stimuli include initiatives like the University of Cincinnati's Walk-to-Work program designed to give zero-interest loans to employees to encourage local ownership. They also include the creation of a public forum for community input and involvement in the economic development planning process. Most significantly, however, are the substantial funds being allocated from the University of Cincinnati endowment as loans for supply-side planning, construction, and general economic development. The University, through its public-private partnership with the local community and major employers in Uptown Cincinnati leading to the formal creation of the Uptown Consortium, has embarked on a comprehensive assortment of top-down and bottom-up stimuli for the betterment of the Consortium members and the surrounding neighborhoods.

These activities represent an experiment in urban planning, economic development, and community outreach to demonstrate that targeted development can be successful and needn't alienate neighborhood residents in the process. The University of Cincinnati had been engaged in this experiment in a highly localized area for fifteen years, targeting initially only those locations immediately adjacent to the campus itself. The early stages of the experiment appear to have been successful, and the University realized that if it could work in a highly targeted location, it could also work in a larger area like Uptown Cincinnati. Therefore, the Uptown Consortium seeks to pull together the disparate resources of many major institutions to target development throughout the entire Uptown area.

The initiative to create a robust and proactive organization to formulate investment policies and execute commonly agreed upon initiatives was motivated initially by the leadership at the University of Cincinnati. Based upon the dialog started during the Hamilton, Rabinovitz and Alschuler, Inc (HR&A) campus and neighborhood study, however, the University realized that there is a much greater potential for success when partnerships are formed not only between the University and a neighborhood, but also between the University and major institutions in the same area. The University didn't want to address only problems located directly adjacent to its campus, but rather wanted to provide a more comprehensive strategy for the whole area. While credit belongs to University leadership for proposing an umbrella organization like the Uptown

Consortium to guide the area's development, credit must also go to the member organizations for agreeing to support the enterprise in time, money, resources, and effort. It's the cooperation among the members that makes the Consortium a reality. The Uptown Consortium is the byproduct of a sequence of events where the leadership of one institution (the University of Cincinnati) banded together with the leadership of other institutions to create a truly comprehensive plan for the rejuvenation of multiple neighborhoods.

Not surprisingly, the initial goals of the Consortium were byproducts of the events that caused its creation. The HR&A campus and neighborhood study argued that the surrounding neighborhoods had significant problems with the existing stock of housing, with personal and property safety, and with transportation. Each Consortium member had similar and overlapping concerns: the Cincinnati Zoo was severely impacted by a lack of parking, and the hospitals wanted to attract other researchers by offering a better physical place to live and work. The University of Cincinnati had both of these difficulties: parking was limited, local housing stocks were dilapidated and insufficiently owner-occupied, and attracting students, faculty, and researchers necessitated an improved physical environment. The Consortium's initial goal was to coordinate efforts among the partners in order to address all these issues throughout the Uptown area.

One of the Consortium's most beneficial aspects is that it not only attempts to pool common resources to maximize returns on investment, but also jointly lobbies for additional local, state, and federal resources when possible. Collectively, the Consortium carries more weight and has a better chance of attracting external public and private investment than when each of the member organizations acts individually. Essentially, the Consortium is supported by money allocated by member organizations into a common operating budget, and other money is allocated for neighborhood investments. The Consortium's financial model and operations are explained in detail in Chapter 8.

1.6.1 Mission Statement, Goals, and Objectives

Flowing naturally from the Consortium's roots, an open-ended mission statement was crafted to broadly address the community's needs. The mission statement reads: *The Uptown Consortium is a non-profit community development corporation dedicated to the human, social, economic, and physical improvement of Uptown Cincinnati.* In line with the concept of development and not just growth, the Consortium is interested in investing in more than just the physical components of the community. The mission statement is not limited to the narrow focus of positive growth in one industry or an increase in student enrollment at the University, but rather addresses the comprehensive quality of life issues for the institutions and the surrounding neighborhoods.

The Consortium's general goals and objectives are divided into several categories: public safety, transportation, housing, economic development, and general neighborhood services for local residents. The following is a brief review of the initiatives in each of these categories, which will help clarify the goals and objectives; and this is followed by Section 1.6.2, which explains the Consortium's primary programs and initiatives in more detail.

The public safety initiative is broken down into three parts: increasing actual and perceived public safety, gathering intelligence about safety by working closely with neighborhood representatives, and promoting physical improvements to the neighborhood like sanitation, graffiti removal, enhanced lighting throughout Uptown and targeting neglected properties.

The transportation initiative seeks to address major issues about how people get around Uptown, including a proposed interchange at I-71 and Martin Luther King Drive, advocacy work coordinating disparate governmental organizations with jurisdiction in transportation issues, parking standards and planning for Consortium members and residents, and general way-finding.

The housing initiative seeks to increase home ownership from 21 percent in 2004 to 30 percent by 2010. The Consortium plans to accomplish this by supporting the Uptown Mortgage Fund, an assortment of mortgage loan programs for home ownership that offers zero down payment opportunities. Also, by supporting the Uptown Neighborhood Improvement Program (NIP), the Consortium will be able to purchase directly, renovate, and resell existing homes.

The economic development initiative seeks to market Uptown Cincinnati as a unique area connected to, but separate from, the downtown Central Business District and create a one-stop entrepreneurial technical assistance center to assist local minority business creation.

Finally, general neighborhood services are to be supported by continuing and enhancing existing programs that address educational opportunities for local residents and subsidize health care opportunities for disadvantaged groups. These initiatives support the Consortium's goals and objectives and represent the core of what the Uptown Consortium seeks to do.

1.6.2 Primary Programs and Initiatives

The University of Cincinnati and the Uptown Consortium offer a variety of programs and initiatives to address general planning issues in the Uptown Cincinnati area. The general programs seek to improve the quality of life for area residents by addressing the specific problems of the area: low home-ownership rates, impacted transportation, declining commercial zones, the perception of poor safety, and the lack of regional identity.

The Neighborhood Investment Program (NIP) seeks to utilize Uptown Consortium resources to purchase, rehabilitate, and then sell existing housing stock around the member institutions. Using money from the New Market Tax Credits, along with other money allocated by the member institutions, NIP first targets an area in the region that has distressed housing in need of renovation, and then purchases houses for fair market value, invests money in the houses to address code issues and functional use, and resells those homes at a higher value. Because such a large part of the area is distressed, the resources do not exist to purchase every house in need of renovation. Instead, small

pockets in the area are targeted and block-by-block purchase, renovation, and resale is pursued.

The Uptown Mortgage Fund evolved from the **Walk to Work** program originally started by the University of Cincinnati. The Walk to Work program, and, by extension, the Uptown Mortgage Fund, serves as a catalyst to encourage employees and faculty at the University to purchase homes and live in the Uptown Cincinnati area. In 2003, Consortium members employed in excess of 28,000 people; the vast majority of them lived further than 30 minutes commuting time from the Uptown area. The median household income inside Uptown was \$23,589, while the median income of consortium-member employees was \$43,494. The Consortium believes that drawing those employees closer to the Uptown area will benefit the area itself through increased purchasing power (HR&A 2003). This new consumer market, with substantial financial resources, has the potential to increase significantly demand in the local economy.

The Walk to Work program originally allocated \$2,500 to each employee or faculty member as a zero interest loan to be used for a down payment on housing in the area. Only the neighborhoods in the Uptown area are covered, and the benefactor must live in the house purchased with the down payment assistance. Furthermore, the loan remains at zero interest until the owner sells the unit. At that time, the loan must be repaid in full (Fuller 2004). Given the increase in property values, it is expected that the Uptown Mortgage Fund will be increased to grant additional down payment assistance. In addition, the Uptown Consortium expects to expand the program for all the faculty and employees of the member institutions, not just the University of Cincinnati (Brown 2004).

The Uptown Transportation Study is a major program initiated by the consortium, in conjunction with local and state representatives, to address connectivity issues between Uptown and the Greater Cincinnati transportation network. One of the major challenges facing the Uptown area is its relative isolation from the existing transportation network. Interstate traffic travels north and south parallel to the area via the I-75 and I-71 freeways. However, connections from those freeways to Uptown are fragmented and difficult to navigate. Potential consumers find driving into and out of Uptown to be cumbersome and prohibitive (HR&A 2003). In an effort to connect the area with the surrounding neighborhoods, and by extension to the Greater Cincinnati transportation network, the Consortium is working with local and regional planning authorities to create a new interchange at the intersection of Martin Luther King Blvd. and I-71 to extend and reconnect Vine Street (running through the geographic heart of Uptown) and to improve way-finding signage into and around Uptown (Uptown Consortium 2005).

The Public Safety Initiative is a concerted effort by the Consortium to address one of the greatest challenges facing the Uptown area, that is, the perception that Uptown is a dangerous and undesirable place to live, work, and shop. A two-pronged attack by the Consortium seeks to improve both actual safety and the perception of safety. In real terms, property and personal crime within Uptown must be reduced. Ancillary to that, the Consortium is taking steps to communicate effectively with the community inside and

outside Uptown that the perception of dangerous living conditions does not match reality. To make this a reality, the Consortium is promoting a program of intelligence gathering (coordinated through the neighborhood to target hotspots of potential crime), creating an Uptown Safety Forum with regular meetings to bridge gaps between law enforcement and the community, and moving toward the creation of an Uptown crime database (Uptown Consortium 2005).

The last initiative, informally named **The Wireless Cloud Network**, is an attempt by the Consortium to extend wireless Internet connections to Consortium-members and the surrounding neighborhoods. The Consortium is now in the planning and consultation stage with third-party private organizations such as Cincinnati Bell to design and install the basic wireless infrastructure throughout the community. Once functional, it is anticipated that free or minimal-cost wireless Internet service will be available throughout the Uptown area (Brown 2005). The funding for this is made possible by a collaborative agreement with the Wi-Fi service provider through the institutional purchase of cell phones for Consortium member use. The members are expected to purchase the cell phones as replacements for their antiquated phones for roughly the same cost as each member pays for current services. As part of this investment in new services, the network provider will install the physical infrastructure of the Wi-Fi network at no additional cost. The Consortium would then be able to utilize the wireless network for member purposes, as well as allocate or resell the service to the community itself.

This initiative, much like the other programs detailed in this section, is relatively new. As the programs mature, more information will become available and benchmarks can be set to measure progress.

1.6.3 Neighborhood Communication

Communicating with neighborhood representatives is a critical activity for the Consortium, and perhaps the most important part of the Consortium's early success. Often in urban planning and economic development, local governments and major institutions have utilized their power indiscriminately. They have been the big boys on the block and could throw their weight around unyieldingly to accomplish their goals and objectives. Sometimes local governmental and institutional goals have coincided with the best interests of the community; often, however, they have trampled neighborhood interests to advance a particular agenda. Over time, local governments and major institutions were thought of as the proverbial "500 pound gorilla" lumbering about and causing mischief, imposing their will upon a neighborhood without taking the neighborhood's views into consideration. The residual effect of this has often been a history of mistrust and animosity between neighborhoods and the institutions.

The Uptown Consortium and each of its members refused to accept that this model of doing business was the only way to be effective. Goals and objectives could be achieved by bringing the neighborhoods into the process, not closing them out and indiscriminately utilizing institutional resources and power. The Consortium envisioned a model where the neighborhoods are a part of the process of development, not just people to be pushed

around and excluded from being a part of the rehabilitation. The key component to make this happen, communication, had to be a part of the economic development formula. The Consortium was committed to not holding town-hall meetings as forums where residents' could vent their anger, but rather as interactive seminars where residents could contribute to and be a part of the development process.

Thus, one of the main goals of the Uptown Consortium is to host summits and design seminars, call meetings, form committees, and stage other events specifically to include the community in the planning and design process. These events are extensively advertised throughout the community and attended by high-ranking officials of the Consortium membership. Thus far, two town-hall meetings have been held with substantial input from concerned community members as well as officials from the City of Cincinnati (Brown 2004). It is the extent of this inclusion that will ultimately make the Consortium succeed or fail from the community perspective. When a community's interests are not calculated into the development process, resentment builds, and the development can run the risk of losing support from the local populace. Ultimately, no matter how good the development is for the surrounding community, the people that will frequent the markets and live in the residences created by the project will not feel attached to the development. In this regard, the first program of the Consortium has experienced partial success: representatives from the neighborhoods have been included in the planning and design phases of the projects, and the community is becoming more attached to the developments. A more rigorous analysis of actual inputs into the planning and design process will help gauge the direct impact of the public's participation.

These meetings and communication channels offer local residents the opportunity to contribute in a myriad of ways. Participants contribute more than just information on what type of stores they want or what style of street lamp they prefer; rather, they help frame the entire discussion based upon their "cultural" knowledge of the area itself (Van Herzele 2004). Participants bring with them an intimate knowledge of the existing neighborhood conditions that usually surpasses the local knowledge of the planning and design professionals. Along with this comes not only knowledge of the problem, but also knowledge of the problem within the context of the culture in which they live. This local knowledge and cultural awareness helps facilitate problem setting instead of problem solving (Van Herzele 2004). That is, the professionals may be better equipped to offer suggestions on how to solve problems, but it is the local populace, armed with local experiences and a culture specific to the area, that can better frame the problem itself.

In practice, the Consortium goes one step further than Van Herzele's model and brings neighborhood representation into both the front end (problem setting) and the back end of the process (problem solving). The Uptown Summits, for example, are annual events sponsored by the Uptown Consortium to connect with the community, hear about specific problems in the neighborhoods, and generate solutions to combat those concerns. The first summit, in June 2004, attracted nearly 100 Uptown area leaders and residents to Consortium member Children's Hospital. The attendees discussed the general direction in which the Consortium was going, and the public suggested that difficult access to educational opportunities was a major impediment to improving neighborhood

conditions. As a result of the neighborhood identifying a specific problem, educational opportunity was added as a key focus area for the Consortium. The second summit, in July 2004, gathered at the Cincinnati Zoo & Botanical Gardens to update the community on implementation strategies and was attended by over 150 people. The third summit, in April 2005, took place at Kingsgate Marriott Conference Center at the University of Cincinnati. Attendance increased again with approximately 200 people gathering to brainstorm about Uptown's identity as an area and as a brand. With attendance at each of the summits higher than the last, it appears that word is spreading in the community that the summits are not just a chance for community residents to vent steam, but rather to be a real and constructive part of the process.

The annual summits are not the only opportunities for public involvement, of course. The Consortium routinely hosts events open to the general public to facilitate feedback regarding specific initiatives. In September 2004, for example, the Consortium sponsored a workshop and design forum to solicit public input to revitalize Burnet Avenue, a severely distressed residential and commercial zone adjacent to Children's Hospital. Burnet Avenue is one of the most distressed parts of the Uptown area with dilapidated storefronts, blighted houses, and the perception of an unsafe environment. The workshop and design forum was used by the Consortium to listen to the public (over 75 people attended the all-day session) and brainstorm about solutions.

Another public forum was held in March 2005 to address transportation concerns regarding movement into and out of Uptown. As part of the Consortium's transportation initiative, significant attention is being focused on the way that people move into and out of the Uptown area, which is bounded on the west by I-75, a north-south freeway stretching from the northern part of the United States down to the southern states. On the east, I-71 runs roughly parallel to Uptown's perimeter, but doesn't easily intersect with major arterial connections into and out of the area. The result is that Greater Cincinnati residents must use older side streets into and out of Uptown, and people exit from the freeway system and navigate confusing side streets to reach Consortium member organizations. Partnering with OKI (Ohio-Kentucky-Indiana Regional Council of Governments – a quasi-governmental regional authority chartered with transportation planning and oversight for the Tri-State) and other local governments, the Consortium is focusing on ways to improve the Uptown area's connection to the regional transportation network.

1.6.4 Key Challenge and Strength of the Uptown Consortium

Perhaps one of the greatest challenges confronting the Uptown Consortium's effort is the lack of a timetable to measure tangible benefits. The Consortium exists as an organization, and the organization proposes policies to encourage the economic and social rehabilitation of the area, but the goal is open-ended and continuous. No documentation was found in completing this study that establishes specific goals (as above to the general goals and objectives discussed above) and quantifies expected results by a specific deadline. The importance of this cannot be understated as a method for giving control and direction to organizations charged with a mandate to provide specific results (Stone 2001). Without fixed deadlines, stated goals, and measurable

results, it is impossible to judge accurately the direction of the program and the effectiveness of the policies. There is a sense that action is “imperative” and “immediate” due to the rapid deterioration of the surrounding neighborhoods (McGirr 2003). Without the inclusion of specific dates, however, the formation of an end product (a thriving and sustainable community that encompasses the entire Uptown area) remains open ended.

Another challenge facing the Consortium is the perception by some neighborhood members that the conversion from a University experiment to a Consortium experiment is actually more detrimental to the neighborhoods, not less. When neighborhood revitalization was limited to actions and investments undertaken solely by the University, the neighborhoods sometimes viewed the University as the proverbial “800 pound gorilla” throwing its weight around at will. Now with the inclusion of the other four major Uptown employers in the mix, there is the perception that instead of the 800-pound gorilla, it is an 8,000-pound gorilla throwing its weight around (Schimberg 2005). Some neighborhood residents have voiced concern that the added weight of the other major employers, coupled with the New Market Tax Credits, means that the Uptown Consortium can literally do far more than the University alone. Thus, the perceived threat to the community by the Consortium is greater than that of the University by itself.

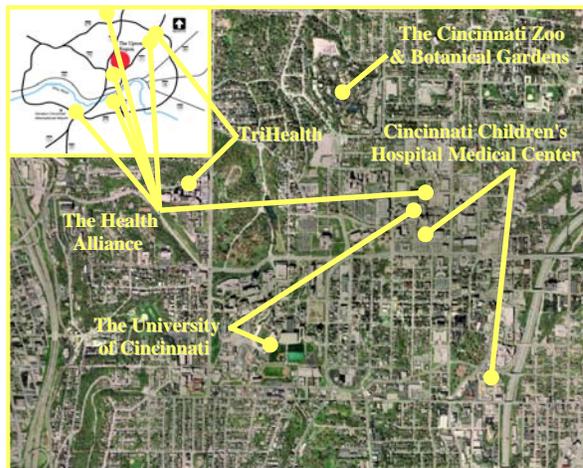
The Consortium is faced with the challenge of effectively communicating and connecting with the neighborhoods in the same way that the University partnered with residents. Consequently, it must deal with the residents’ perceptions of ill intent by continuing to advance the reality of positive economic development for the betterment of the neighborhoods and their inhabitants.

Chapter 2: Physical Design

Moving from a literature review of University-Community Partnerships in general and a description of the University of Cincinnati's partnership with the community, this chapter examines the specific redevelopment projects, which have been either completed or are currently under way, within the area known as Uptown Cincinnati. In 2004 the University of Cincinnati, TriHealth Inc., Children's Hospital, the Cincinnati Zoo and Botanical Garden, and the Health Alliance formed what is called the Uptown Consortium (See Figure 2.1) as a non-profit development company to oversee, finance and implement all the redevelopment projects in this area. In addition to these major employment providers in this area, the neighborhoods of Clifton, Clifton Heights, Avondale, Fairview, Corryville, Mt Auburn, and University Heights formed the neighborhood members of the Uptown Consortium. In order to implement various redevelopment projects, different Community Development Corporations (CDCs) were formed prior to the formation of the Uptown Consortium in 2004. The years formed and the names of these CDCs follow:

- 1995 Corryville Community Development Corporation
- 1997 Vine Street Community Urban Redevelopment Corporation, Corryville
- 1998 Empowerment Zone Round II designation, CUF, Corryville, Mt. Auburn, Avondale
- 1998 Bellevue Gardens Community Urban Redevelopment Corporation, Corryville
- 1999 Clifton Heights Community Urban Redevelopment Corporation, CUF
- 2001 University Heights Community Urban Redevelopment Corporation, The Heights
- 2003 Uptown Crossings Community Urban Redevelopment Corporation, Corryville
- 2004 Uptown Consortium, Inc., Avondale, Clifton Heights, Clifton, Corryville, Mt Auburn, University Heights, and Fairview

Figure 2.1: The Uptown Consortium



Source: CAGIS

2.1 The Uptown Area: Strategic Planning and Design Concepts

The formation of the Uptown Consortium originates from the idea that the necessary investment in physical capital acts as a catalyst to positive socio-economic transformation. The Uptown strategic plan has aimed to capitalize on the physical capital of the area without uprooting its social capital (i.e., its informal social networks and grassroots organizations). This is particularly important since the history of public policy has generally demonstrated how the investments in physical capital in the form of urban renewal projects of the 1960s and 1970s inadvertently damaged and destroyed the intangible stocks of social capital and wound up displacing the residents from their neighborhoods.

While the rise of suburban sprawl in the Cincinnati metro area has occurred at the expense of the downtown's economic prosperity, downtown Cincinnati still accommodates major financial, economic, recreational and leisure centers, as well as various redevelopment projects. The Uptown can still conveniently connect people to the Music Hall, the Banks, the sports stadiums, the Cincinnati Arts Center, Union Station, Findley Market, and several other amenities. Thus, the Uptown redevelopment plan as a whole has taken the following issues into consideration:

- Access and Connectivity
- Permeability
- Expansion into the Surrounding Area

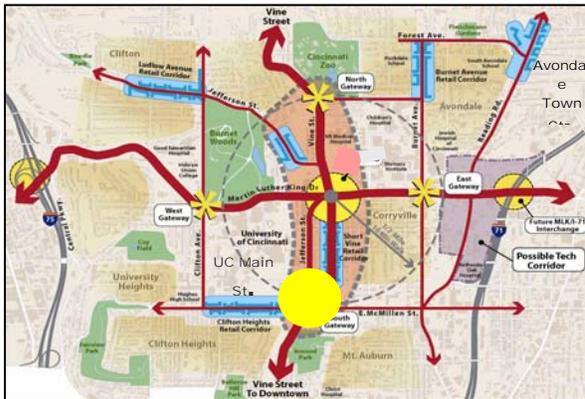
Accessibility: The Uptown area provides access to major employment centers in Cincinnati including the University of Cincinnati (UC), the Zoo, and the hospitals. Within Uptown, Martin Luther King (MLK) and Vine Street constitute major north-south and east-west thoroughfares, which connect economic and employment centers, and several neighborhood business districts. Important local and regional centers located in this area include UC, the Zoo, the Health Alliance and Children Hospitals, plus the Short Vine and Burnet Avenue Business Districts. These academic, leisure, and public amenities are conveniently located within a 10-minute radius of the intersection of MLK and Vine Street (See Figure 2.2). Hence, conceptually, the economic and physical health of Uptown serves as a catalyst to the economic vitality of the entire region. Better accessibility of the Uptown area could better connect UC to the entire region, not merely to important amenities within the area. Providing sufficient parking space within Uptown also reflects a major concern that underlies improved accessibility.

Permeability: UC's transformation from a commuter to a more urban and residential campus has made several changes imperative. For many decades, vast expanses of surface parking spaces around the edges of the University turned it into a friendly campus for commuters who sought above all access to the campus. Yet it discouraged interaction with the surrounding area. Nevertheless, the role of the university as a fortress whose primary mission is to generate new knowledge has significantly changed over the last few decades. These changes have, in turn, facilitated other changes with regard to the town - gown relationship, which are in tune with the university's evolving community and social missions. In addition to knowledge creation, major urban universities are now increasingly seeking more active roles in the social and economic vitality of the

communities within which they are located. Sharing its fate with local communities has, in turn, forced universities to undergo necessary physical transformations. For example, increased permeability along the edges and a new Main Street captures the transformation of UC from a commuter campus to a destination. Both the Calhoun Street Marketplace and University Village increase the intensity of activities between UC and the surrounding context. The wide array of activities both engender will enable students to have a stronger presence off campus and within the community, which would, in turn, increase foot traffic.

Expansion into the Surrounding Areas: as discussed above, increased permeability along UC’s boundaries can be considered a form of physical expansion into the surrounding community. This concept is in stark contrast to the old paradigm of UC as a commuter campus, which manifested itself in form of sharp and less porous boundaries between the University and the surrounding neighborhoods. While the physical expansion seems to be a positive goal for any university, achieving it is generally more difficult for urban universities with limited space for future growth. In the case of UC, increased interaction along Calhoun and Jefferson Avenues facilitates its expansion into the area. While this expansion benefits UC, it benefits the community as well. These benefits include the injection of more housing, retail, and public space.

Figure 2.2: Location and Access to Uptown



Source: University of Cincinnati

To achieve these three goals, the Uptown strategic plan aims to inject nearly 400,000 sq ft of retail space into the area dispersed among six different activity nodes as stated previously. This amount consists of 150,000 sq ft of new retail space along with 100,000 sq ft of rehabilitated retail space and 100,000 sq ft of small business and business incubator space.

Investment in physical capital has been a popular policy approach to community and local economic development in the United States, which dates back to the post WW II period. The cities across the U.S. are fraught with freeways and public housing projects, which are the remnants of the Urban Renewal era of the 1950s and 1960s. While the implementation of such projects required the mobilization of sizable public resources, they are also heavily criticized for adopting strategies, which paid little attention to

communities' social and cultural assets. The proponents of such criticism generally blame the government for adhering to the principles of "physical determinism" (Gans 1968). The so-called "fallacy" of spatial or physical determinism questions the supremacy of physical improvements in shaping human behavior, and instead, seeks non-physical (i.e., social, cultural, economic, or political) forces that might explain the change in behavior.

While evidence shows the adverse effects of having placed too much faith in place-based policies on neighborhood health and integrity during the 1950s and 1960s, more recent studies show the ways in which such approaches have made significant headway in creating healthy communities. For example, Oscar Newman's seminal research on the concept of "defensible spaces" has made significant contributions with regard to the nexus between physical improvements, human behavior, and social purpose. As such, the last three decades have witnessed innovative approaches to neighborhood revitalization and community building through image building and physical improvements (Arefi 2004). Based on these approaches, a wide array of public-private partnerships has been used to revitalize local neighborhoods. Many such organizations become active players in providing affordable housing in their neighborhoods through grassroots efforts. Rooted in the American notion of self-help, Community Development Corporations (CDCs) have become popular conduits for providing housing and service delivery over the last three decades. As CDCs, which typically have limited funding resources, have become more popular on the community and local economic development scene in American cities, other local and regional institutions and players have followed suit. For example, the Uptown Consortium demonstrates how the major financial and employment organizations in Cincinnati have formed their own CDCs to initiate economic growth.

Objectives: Turning to the Uptown Consortium itself, broadly speaking, the organization seeks to improve the quality of life and economic opportunity in the region by addressing the following factors:

- Economic development
 - To develop both supply and demand side programs.
 - To stimulate new business creation, improved retail space and facilities.
- Housing rehabilitation and new construction
 - To draw people from the areas outside Uptown. The so-called second ring housing concept intends to supply 2000-3000 units of new student housing within 3 blocks of the edges of campus (i.e., Calhoun Street, Jefferson Avenue, and Clifton Avenue for the West campus and Martin Luther King Avenue and Burnet Avenue for the East campus) integrated with retail when appropriate.
 - To provide a wide variety of housing options, including 500 rental units, 250 new owner-occupied units, 200 rehabilitated single family houses returned to owner-occupancy, and student housing.
- Public safety
 - To be engaged in both community policing as well as increasing the police presence in the community.

- Improved transportation accessibility
- General neighborhood services for local residents
 - To provide financial institutions, entertainment and shopping.
- Establishment of a cohesive community identity through the Uptown region
 - To invest in a cohesive local identity, which is rooted in capitalizing on its physical and social assets, including its diverse housing stock, infrastructure, and natural characteristics, as well as the uniqueness of its business districts?

These objectives are closely associated with the four imperatives of the UC/21 University Master Plan of the University of Cincinnati. These imperatives are the *provision of academic and research space, open space, connectivity, and quality of life*. To accomplish these imperatives, then, the Uptown Consortium is pursuing a series of strategies. Indeed, the geographic proximity between UC and its surrounding community provides various redevelopment opportunities, as well as raises important questions regarding the problems connected to those opportunities. In other words, while the health of the University largely depends on the health of the surrounding community, the existing social, physical, and economic challenges ought to be recognized first. That is why the UC Master Plan places a great deal of emphasis on the four imperatives outlined above by exploring how to foster social, economic, and physical cohesiveness in the area.

The rest of this chapter pays particular attention to the physical design criteria/objectives based on the four imperatives of UC/21. As can be seen, three out of the four imperatives (provision of open space, connectivity, and the quality of life) have broad local and regional implications, while the first goal (provision of academic and research space) is aimed at strengthening UC's increasing importance in academic leadership. Improving connectivity manifests itself in different ways, including integration of the UC campus into the surrounding neighborhoods; continuity of the sense of scale by designing buildings, which blend in well into the urban fabric, and tapping into the potentially strong local housing market by providing a range of housing options especially targeted at college students and professionals. The plan also addresses the provision of open space as an important element in the restoration of a sense of place in the Uptown area. The provision of open space seeks to encourage the pedestrian-friendliness of the area, which would not only generate more revenue for local businesses, but could also foster a sense of safety by reducing the potential to commit crime. Indeed, the implementation of these two imperatives (increasing connectivity and the provision of open space) would result in an improved quality of life for the residents of the Uptown area.

2.2 A Brief Description of Uptown Cincinnati Redevelopment Projects

Reflecting these imperatives, five significant redevelopment projects have been undertaken, which add up to \$1.2 billion. These are:

1. The Burnet Avenue Renewal Plan;
2. The Calhoun Street Marketplace;
3. The Stratford Heights Complex;
4. The Uptown Crossing, and
5. The University Village.

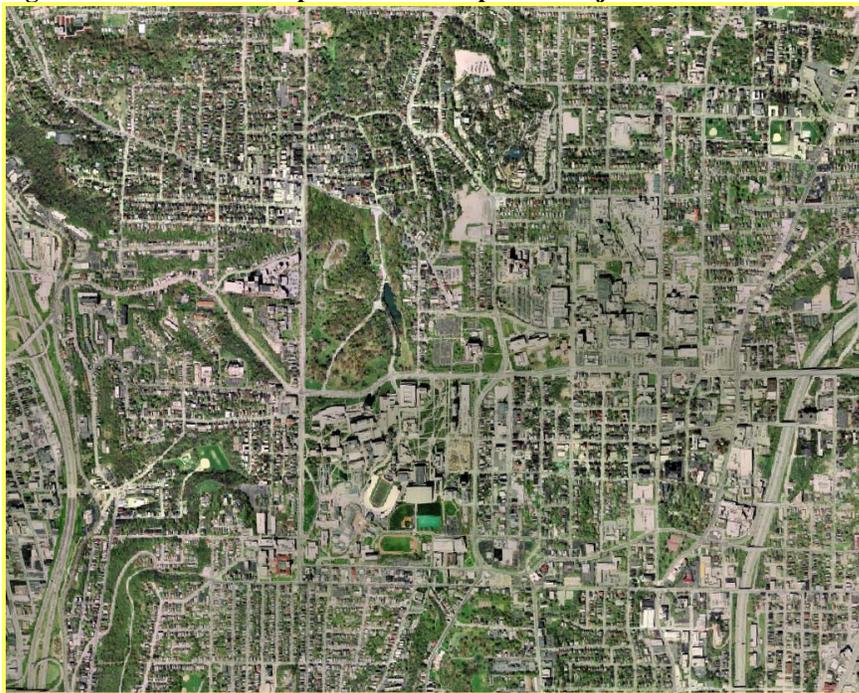
Funding sources and implementation stages of these projects vary widely. What follows provides a brief overview of each project.

2.2.1 Burnet Avenue Renewal Plan

Once a bustling business district for the surrounding neighborhood, Burnet Avenue has fallen into disarray and suffers from empty storefronts, low traffic volume, and safety issues. The Uptown Consortium seeks to revitalize the area by investing in its physical capital. Even though Burnet Avenue has been declining steadily in the past several decades, its unique location, proximity to Children’s Hospital, and its charming housing stock constitute real physical assets. To invest in these assets, the Uptown Consortium has formed a CDC through a joint partnership of:

- The Avondale Community Council;
- Cincinnati Children’s Hospital;
- The Health Alliance;
- The Cincinnati Zoo and Botanical Gardens, and
- Local Business and Community members.

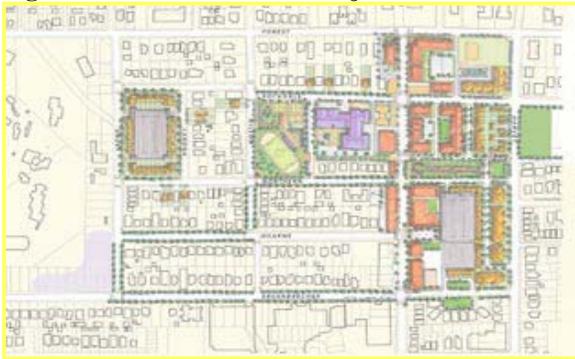
Figure 2.3: Locations of Uptown Redevelopment Projects



Source: University of Cincinnati

The project breakdown includes 450 housing units, 20 infill housing units, retail, and open space. The projected budget for the project is \$20 million, and its projected completion date is November 20, 2017.

Figure 2.4: Burnet Avenue Project Boundaries



Source: Burnet Avenue Revitalization Team (BART)

Figure 2.5: A View of Burnet Avenue Redevelopment

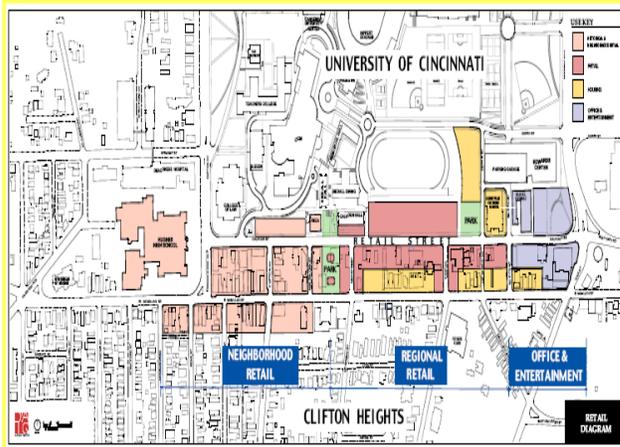


Source: Burnet Avenue Revitalization Team (BART)

2.2.2 Calhoun Street Marketplace

Calhoun Street is seen as a major connecting corridor between UC and the community of Clifton Heights. The Calhoun Street Business District seeks to attract businesses that will serve the needs of the community and the student population equally. As such, the project consists of two phases. The first, a 505 student housing complex with 40,000 sq ft of retail space on the campus side of the street (Calhoun North) is already completed. The second phase, however, a 200 student bed and 45 apartment/condo housing complex with 55,000 sq ft of retail space on the opposite side of the street (Calhoun South), is not yet under construction, although the site has been cleared. By revitalizing the local marketplace and supplying new housing, the project seeks to promote homeownership and to create a pedestrian friendly business district.

Figure 2.6: Calhoun Street Market Place



Source: University of Cincinnati

The Clifton Heights Community Urban Redevelopment Corporation (CHCURC), a CDC formed through a partnership of UC, Clifton Heights, University Heights, Fairview Neighborhood Association and the Clifton Heights Business Association serves as the developer for this project, budgeted at \$125 million, with expected completion in 2007.

2.2.3 Stratford Heights Complex

To provide a high quality housing alternative for UC students adjacent to campus, Stratford Heights Complex was built to house more than 700 students. The complex accommodates various University organizations, including fraternities, sororities, religious groups, language programs, and honor societies. The premise is to celebrate the link between student organizations, UC, and the community, and to connect the neighborhood to the UC Main Street development, both physically and philosophically.

Figure 2.7: Stratford Heights Housing Complex



Source: University of Cincinnati

With a total budget of \$50 million, the University of Cincinnati, in conjunction with the University Heights Community Council, the Greek Affairs Council, and the University

Heights Community Urban Redevelopment Corporation (CHCURC,) developed this project, which opened in August 2005.

2.2.4 Uptown Crossing

This 38-acre site intends to create a new mixed use center and is expected to produce new housing, foster economic viability, improve safety, and create additional parking for Cincinnati Zoo and community residents. The project consists of approximately 200,000 sq ft of office space, 30,000 sq ft of retail, 20,000 sq ft of administrative space, 10,000 sq ft of daycare, and 250 housing units. The developers for this project comprise UC, Cincinnati Zoo and Botanical Gardens, TriHealth, the Health Alliance, and the communities of Clifton, Corryville, and Avondale. The local stakeholders created the Uptown Crossing Community Urban Development Corporation as a new CDC to implement this project with a budget of \$100 million. However, the date of completion for this project has not yet been specified.

Figure 2.8: Uptown Crossing Redevelopment Project



Source: University of Cincinnati

2.2.5 University Village

In order to improve the conditions on Short Vine, a part of Corryville, this project seeks to improve safety, increase pedestrian traffic, upgrade the housing stock by adding 500 student beds, encourage business growth, and create a stronger connection to the University and area hospitals. The developers for this project include the City of Cincinnati, UC, the Corryville Community Council, the University Village Association, the Corryville Community Development Corporation (CCDC), and Corryville residents. With an estimated budget of \$60 million, no specific date of completion has been determined for this project.

Figure 2.9: University Village Plan



Source: University of Cincinnati

For a total breakdown of housing, retail and office space in the Uptown area from these five projects, see Table 2.1.

Table 2.1: Breakdown of Housing and Retail Space Redevelopment in the Uptown Area

<i>Project</i>	<i>Housing</i>	<i>Retail/Office (sq ft)</i>
Burnet Avenue Renewal	450 units; 20 infill	Rehab and new retail space
Calhoun (North)	505 student beds	40,000
Calhoun (South)	45 apartments/condos 200 student beds	55,000
Stratford Heights	600-700 student beds	
Uptown Crossings	250-280 units	30,000 retail/daycare 200,000 office
University Village	500 student beds	Where appropriate

Source: University of Cincinnati

2.3 Project Evaluation and Issues

While the economic and physical revitalization of Uptown depends predominantly on UC’s successful outreach to the surrounding communities, including University Heights, Clifton, Clifton Heights, Corryville, and Avondale, it is also part of a larger regional redevelopment effort. These regional efforts emanate from long-standing concerns about the general decline of the older industrial cities in the Midwest, including Cleveland,

Cincinnati, and Dayton. Many cities throughout the Eastern and Midwestern regions of the United States have experienced a steady decline of jobs and population following the closure of manufacturing plants. There are different reasons for this, including the emergence of global cities, headquarter cities, and centers of innovation (Ruchelman, 2004), which are better able to attract investment than the industrial cities of previous eras such as these.

The common elements among the more prosperous and economically vibrant cities are their links to research centers and universities, their access to transportation and communication networks and the availability of a skilled labor force. For these reasons, UC plays a major role in the future prosperity of the region within which it is located. The physical and economic revitalization of the Uptown area can become an integral part of regional growth. Furthermore, as discussed in the various chapters of this report, UC, the zoo and the concentration of major health and residential centers of the area constitute the key economic elements of Uptown. The stronger and more vibrant the connections among these elements, the more promising and robust the overall economic vitality of the entire region will become. To this end, the physical connectivity of these constituting elements, including robust and safe public spaces, and convenient transportation access to and from these elements, will contribute to regional economic vibrancy. Against this broad regional backdrop, UC/21 provides some insights into how to accomplish these goals.

UC/21 has ten principles for the implementation of these redevelopment efforts and their expected regional outcomes. As the first principle, contextual peacemaking emanates from the importance of local cultural practices and the existing urban fabric. Based on this principle, UC expansion should be well integrated into the local physical fabric. As such, the aim is to create a peaceful coexistence and synergistic relationship between the University and the community, rather than seeking to overpower the neighborhood's building fabric by imposing over-scaled new developments. The application of this principle becomes critically important when dealing with the boundaries of the University along Calhoun Street, MLK, and Clifton Avenue. That is why concerns have been raised regarding the large footprint of the Calhoun Marketplace when compared to the surrounding context.

Recycling and rehabilitating the existing physical capital is another principle, which underscores the first. Capitalizing on the existing physical stock will be less intrusive to the community as opposed to wiping out the existing building fabric under the guise of blight removal. Urban Outfitters and Barneys' Coffee exemplify cases of how to capitalize on the existing building stock, which can add much to the neighborhood's local character and sense of place. Another principle emphasizes the provision of housing for UC employees. This is particularly important for UC employees and staff on the one hand, and students, on the other.

In addition to these principles, enhancing the connectivity between UC and its surrounding communities lies at the center of the redevelopment efforts of the Uptown Consortium. Improved connectivity between UC and each of these communities will

have mutual benefits. Economically, enhancing connectivity will induce the presence of UC students, faculty, and staff within the surrounding communities, and this will have a trickle down effect on the business community. Physically, improved connectivity will restore public safety and will ultimately reduce the crime rate and the propensity to commit crime.

The development schemes outlined above plus others have clearly taken improved connectivity into serious consideration in many ways. First, the preponderance of the first ring student housing in the Calhoun Street project, and the Stetson Square housing complex among other projects, aim to increase student presence around UC, and especially, along the streets of the local business districts. However, while adding 2000 - 3000 new student beds to the existing housing stock around UC will significantly transform UC from a historically commuter campus to a more residential urban campus, it might cause some concerns among longtime community residents. These concerns primarily address the transient nature of the student population and its short-term, as opposed to long-term, commitments to local capacity building. Other concerns reflect cultural differences between students and local residents. Aside from lifestyle and cultural issues, the physical design of the Uptown projects have other important features - including the reduction of physical and visual blight - especially along Calhoun Street and in the Avondale Business District. The new design of Calhoun Street is premised on the idea of encouraging student activities. While the lion's share of blight removal along Calhoun Street consists of replacing old with new buildings, this plan shows promise for leveraging existing physical capital, as has been mentioned previously. Urban Outfitters and Barneys' Coffee represent examples of successful rehab efforts that attract both UC students and the local residents.

Even though the Uptown redevelopment plan has been fairly successful in providing a wide range of housing options for different socio-economic groups, it leaves much to be desired in terms of the continuity and congruency of the scale with the surrounding fabric. The Stratford Heights or the Calhoun housing projects are cases in point where the new developments have created much larger footprints compared to the urban fabric they have replaced.

Nevertheless, to gain a more complete understanding of these redevelopment efforts, these projects need to be seen within the context of overall real estate development, as well as the housing and business markets in Greater Cincinnati. Chapter 3 now turns to that discussion.

Chapter 3: Real Estate Development, Housing and Business Markets

The majority of development activities in the Uptown area are real estate oriented. They include housing for students and the public, both for rental and ownership purposes. They also include commercial retail, office space and parking garages. This chapter emphasizes why real estate development in Uptown needs to be evaluated.

The material found here is based on information collected from secondary sources and interviews conducted with officials of the City of Cincinnati, representatives of the University of Cincinnati, staff of the Uptown Consortium, community organizations, bankers, consultants and the contractors associated with the new developments. This chapter (See Section 3.7) attempts to study the impact of the UC neighborhood redevelopment projects on real estate values by attempting to verify the following five hypotheses:

- New developments around UC will increase real estate values in Uptown;
- Existing properties will increase in value;
- Safety concerns will have a negative effect on real estate values;
- Design quality will increase real estate values, and
- New households and businesses will positively contribute to real estate values.

The chapter also takes a larger view of the Greater Cincinnati real estate market, and studies its relation to the Uptown area. Additionally, it also draws lessons from the experiences of other university communities and neighborhood redevelopment programs, and analyzes their relevance for the Uptown area.

3.1 Real Estate Supply before Redevelopment

3.1.1 Housing Supply in the Uptown Area

3.1.1.1 Existing Housing Stock Characteristics and Typology

The total housing stock in the Uptown area consists of 26,138 units of different types. These units are generally small and are predominantly multi-family. Table 3.1 shows size of housing by neighborhood in the 18 census tracts of Uptown. Over 46 percent of the houses have one or no bedrooms, and of the total stock, 38 percent were one bedroom units and 28 percent were two bedroom units.

The existing housing units in uptown are of different types. There are a large number of multi-family houses and apartments and few single family detached and row houses. A good 77 percent of units are multi-family, while single family houses constitute about 23 percent of the total stock. These small multi-family units are appropriate for students and single occupants and, therefore, many serve as rental stock. Most rented properties are managed by brokers and leasing firms, barring the smaller properties, which individual owners manage. Despite strong demand for quality rental housing, especially near UC, very few properties in Uptown are well maintained and managed.

Table 3.1: Uptown Housing Size

Uptown Neighborhoods	Tract Nos.	No. of Hhs	House size (No. of Bedrooms)					Total no. of units	
			None	1	2	3	4		5 +
Clifton	72	1,457	115	805	273	207	89	26	1,515
	71	1,916	87	892	447	285	257	105	2,073
	70	1,198	60	397	293	269	207	84	1,310
Avondale	69	1,161	72	437	795	376	168	92	1,940
	68	2,125	106	845	833	404	167	100	2,455
	67	1,430	18	772	438	338	151	103	1,820
	66	1,216	96	525	408	178	90	97	1,394
	34	425	55	227	136	66	28	15	527
Corryville	33	1,172	112	618	326	169	78	43	1,346
	32	650	127	275	187	82	48	26	745
University Heights	30	958	249	428	185	91	67	24	1,044
	29	2,377	268	1,401	664	135	76	40	2,584
Fairview Clifton	27	862	57	288	306	185	74	30	940
	26	1,593	121	668	480	301	181	68	1,819
	25	1,093	170	473	347	180	57	62	1,289
Mt Auburn	23	721	76	154	380	162	74	18	864
	22	1,138	127	597	276	242	154	88	1,484
	18	879	28	277	403	203	62	16	989
Total		22,371	1,944	10,079	7,177	3,873	2,028	1,037	26,138

Source: U.S. Census Bureau, 2000

The housing stock is generally old, and investment in their upkeep is low. Over 72 percent of all units in Uptown are more than 55 years old, which is comparable to 68 percent for the entire City of Cincinnati. However, in two neighborhoods of Uptown, Fairview Heights and Mt. Auburn, over 84 percent of units are more than 55 years old. Since the median age of the housing units is very high and the investment in their upkeep is low, the quality of the current housing stock is declining. Respondents during the interviews confirmed this. They also noted that the key reason for declining housing stock is its low homeownership, which discourages property maintenance and redevelopment efforts. This means that investors buy properties here for rental purposes but, spend very little on their upkeep. Some respondents highlighted the fact that the Uptown area has many properties of historic value, several of which were lost during the redevelopment effort. These properties, if redeveloped with modern amenities, would attract people to live in Uptown.

3.1.1.2 Existing Home Ownership

The Uptown area has phenomenally low homeownership. Only 23 percent of homes in Uptown are owner occupied, which is 15% lower than that of the City of Cincinnati. This means of the approximately 26,000 houses in the area, about 20,000 are rental units. Figure 3.1 below shows homeownership rates in the 18 census tracts of Uptown. The homeownership rate is lowest in the eastern tract of University Heights, where only 11

percent of homes are owner-occupied. These are areas abutting Clifton Avenue and the southern tract of the Coryville, south of Calhoun Street. They are the closest units within walking distance to UC, and, they are, therefore, those most convenient for students. They are hence mostly student occupied rental units. On the other hand, the highest homeownership rate in the area is the 30 to 40 percent prevailing in Clifton and in parts of Mt. Auburn and Fairview.

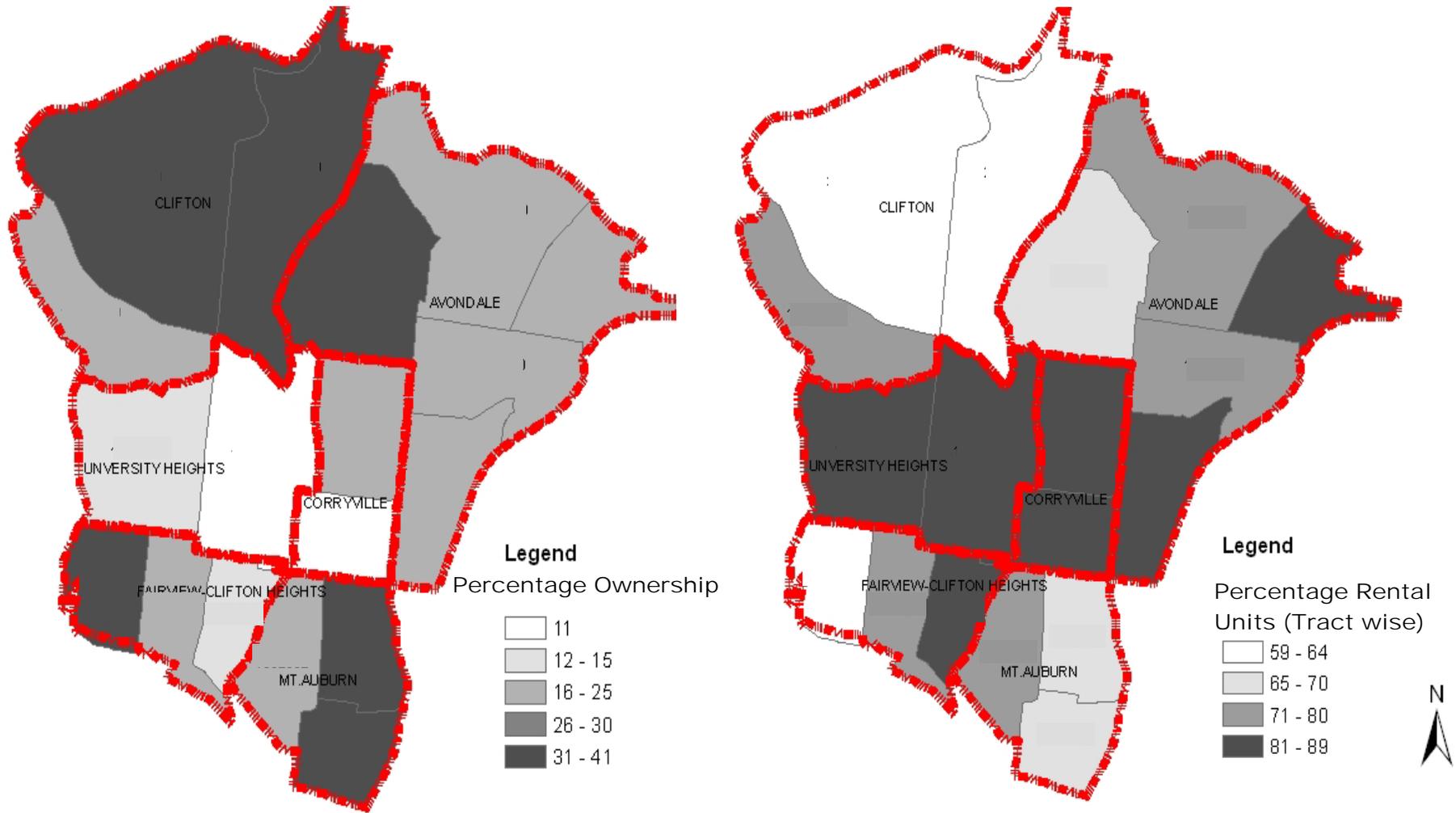
During interviews, respondents expressed concern about the low homeownership rates and their negative impacts on the physical and social environment of Uptown. The deterioration of the physical environment is due to high rental occupancy. Tenants have a low sense of ownership and a low commitment to the area's improvement. Since the owners don't live in the Uptown neighborhoods, they have no incentive to invest in property upkeep. Social deterioration is due to weak community bonding among the residents, leading to a non-cohesive society and unsafe neighborhoods.

3.1.1.3 Existing Housing Values and Rents

Typically, property value depends on the type, size, location and specifications of the structure and land parcel, but it also depends on the surrounding neighborhood. In Uptown, the prices range widely among neighborhoods, with the highest in Clifton and the lowest in Corryville. The Chamber of Commerce published comparative data of average house prices in Greater Cincinnati by neighborhood and by county, for the year 2004. The data indicate that the average price of homes in the City of Cincinnati was \$181,000, but that it was lower in the neighborhoods of Uptown. Within the Uptown area, the Clifton neighborhood had a higher average house price of \$202,000, while in Avondale it was much lower with an average price of \$125,000, in Corryville, it was only \$62,000 (Cincinnati USA, 2004). This is due to the fact that Clifton has comparatively bigger and better maintained houses and is a safer neighborhood.

In Uptown, the monthly rent in the current stock of housing units generally ranges from \$375 to \$525 for a one-bedroom apartment and from about \$525 to \$750 for a two-bedroom apartment. Rental units in the Clifton area fetch higher rents than the units of similar size and type in the Corryville and Avondale neighborhoods. Even within a neighborhood, rents vary. For example, in Clifton, rents are higher near UC and lower for properties that are farther away, except for properties that offer exceptionally high quality modern amenities.

Figure 3.1: Home Ownership in Uptown Neighborhoods (by Census Tract)



Source: CAGIS, 2000 & US Census, 2000

3.1.2 Commercial Retail Supply in Uptown

3.1.2.1 Existing Commercial Retail Characteristics and Typology

Uptown is a predominantly residential area with several institutional campuses like UC, its other four partner institutions in the Uptown Consortium, many other hospitals, and research organizations such as EPA. Uptown never had well planned, active retail activity in the past, and, therefore, commercial retail space developed in a traditional way, largely serving local needs. These commercial spaces are concentrated in six locations: Ludlow Avenue in Clifton, Burnet Avenue in Avondale, Calhoun/McMillan Avenues in Clifton Heights and Jefferson Avenue, Short Vine and University Plaza in Corryville. The neighborhoods of Mt. Auburn and Fairview Heights do not have concentrated retail areas.

There were a total of 224 retail outlets totaling 533,000 sq ft of commercial space in Uptown before redevelopment started a few years back. Ludlow has the highest concentration, with 150,000 sq ft, followed by 90,000 sq ft each in Clifton Heights, on Short Vine and at University Plaza. Besides this, a total of 110,000 sq ft was located in Avondale on Jefferson and Burnet Avenues (Uptown Consortium, 2004, p.5.3). At present, however, with the demolition of approximately 12 old retail outlets, the total retail area has declined from 533,000 sq ft to 443,000 sq ft, with reductions of approximately 40,000 sq ft in Clifton Heights and 50,000 sq ft in Avondale town center (Rowe, 2006).

Table 3.2: Uptown NBDs Retail Area and Occupancy in 2004

NBD	No. of Retail Units	Occupancy (%)	Retail Area (sq ft)	Average Retail Area (sq ft)
Burnet Avenue in Avondale	28	46%	28,000	1,000
Calhoun/McMillan Avenue in Clifton Heights*	56	89%	50,000	893
Jefferson Avenue in Corryville	12	92%	35,000	2,917
Short Vine in Corryville	52	92%	90,000	1,731
University Plaza in Corryville	12	100%	90,000	7,500
Ludlow Avenue in Clifton	52	94%	150,000	2,885
Total**	212	91%	443,000	2,090

* Clifton Heights totals are inclusive of demolitions for McMillan Park new construction

** Weighted average for occupancy

Source: Uptown Cincinnati Strategic Opportunity Plan 2004, 5.3 and Rowe, 2006

The existing commercial retail spaces in Uptown are mostly along the street, small in size, and they primarily serve local neighborhoods. Table 3.2 shows the number of retail units by Neighborhood Business District (NBD), their average areas and occupancy. The average size of these retail spaces varies from approximately 1,000 sq ft in Clifton Heights and Burnet Avenue to 7,500 sq ft in the University Plaza. The average size on Ludlow Avenue is approximately 3,000 sq ft. Uptown's retail outlets generally include fast food joints, bars and nightclubs, apparel shops, specialty retail, café/pastry/ice cream

parlors, casual dining, restaurants, groceries, bookstores and music stores. There are very few branded retail shops in Uptown, the NBDs of which cater mostly to local residents, students, and employees of Uptown, with the exception being Ludlow Avenue.

Table 3.3: Types of Retail Space and Uptown Retail Types According to Thrall (2002)

SI No	Retail Type	Size (in sq ft)	Trade Area	Orientation	Anchor Required	Examples / Types
1.	Convenience center	<5,000	Very Small	Single store, on site parking,	No	United Dairy Farm, McDonalds, gas stations
2.	NBD	<50,000	Small	Street retail, L or U-shaped	Yes	Ludlow Ave., Short Vine St., McMillan/Calhoun Ave.
3.	Neighborhood center	<100,000	Small	Strip center	Yes	University Plaza, daily needs convenience shops
4.	Community center	<200,000	Medium	Mini-mall, strip in straight line, L or U shaped	Yes	None
5.	Regional center	>300,000	Large	Enclosed mall with connected shops, anchors	Yes	None
6.	Super regional center	>500,000	Very Large	Enclosed mall	Yes	Tri County Mall , Kenwood Mall, etc.
7.	Fashion/specialty center	100,000-200,000	Large	Upscale apparel shops, boutiques and craft shops, outdoor mall	No	None
8.	Power center	200,000-300,000	Large	Outdoor mall	Yes - unconnected anchors	Discount shops, e.g., Wal-Mart Super Centers or Sam's Club
9.	Theme/festival center	100,000-300,000	Very Large	Ethnic shops, unique design, outdoor mall	Yes	Meant to attract tourists with restaurants, entertainment
10.	Outlet center	200,000-300,000	Very Large	Strip of shops, village clusters, outdoor mall	No	In rural or tourist destination
11.	Lifestyle Center	100,000-300,000	Very Large	Outdoor mall	Yes	None

Source: International Center of Shopping Centers (ICSC) and Thrall 2002, pp.167-170

Note: First 3 rows - grey shaded - are the retail types in Uptown.

The existing retail along Ludlow also attracts people from the region beyond Uptown. This is primarily due to two reasons: its ethnic food mix and souvenir shops, but also its

pedestrian-type mixed retail activities. Mixed type development (residential, commercial and entertainment) serves as a magnet to attract consumers. Ludlow has a variety of stores with frontage on the street, short term street-side parking, a readily accessible and inexpensive parking lot and streets equipped with furnishings that are pedestrian-friendly and safe. Table 3.2 shows that Ludlow Avenue has the highest concentration of retail space in the Uptown area - nearly 1/3 rd of the total available space. Most other retail locations in Uptown cater to their local areas only and have local retailers, except for the Corryville NBD. Corryville has a few national retailers, such as Kroger, Walgreen's, and Blockbuster that occupy somewhat larger retail spaces than the local stores.

Retail shopping locales are of different types. Total retail concentration, potential customer base, demography and purchasing power of population determine the type of retail. Thrall (2002), defined 11 types of commercial retail, based on the size of total retail area and the trade area it commands (Table 3.3). Among these 11 types, the Uptown area currently has only three types: convenience centers, NBDs and neighborhood centers.

3.1.2.2 Existing Commercial Retail Occupancy

According to Table 3.2 above, in Uptown, the total average occupancy of these existing retail areas is 91 %. The lowest occupancy (46%) was observed on Burnet Avenue in Avondale, while the highest (100%) was in University Plaza in Corryville. In 2006, a detailed survey of retail spaces in the Uptown area was conducted by Jason Rowe, a graduate student in the School of Planning at UC, as part of his Master's thesis. Rowe surveyed three of the six NBDs - Ludlow Avenue, McMillan/Calhoun Avenues and Short Vine Street. This survey found an average occupancy of 84 percent in these three NBDs (Rowe, 2006, p.42). This illustrates a significant decrease in the retail occupancy rate in the Uptown NBDs in the last two years. This new level is lower than the current occupancy rate of Greater Cincinnati. The reason for comparing occupancy in Uptown with Greater Cincinnati is that businesses compare location benefits before establishing their base. Typically, the absorption potential for any retail facility is also an indicator of an area's competitiveness, as well as its market demand, location advantages, and other unique features that it offers a retail facility over competing locations. At the Greater Cincinnati level, CB Richards & Ellis, in their retail market study for mid 2005 found Greater Cincinnati had an 89.41 percent occupancy rate (CB Richards & Ellis Inc. 2005). This shows that the average occupancy of retail in Uptown is 5.4 % lower than of the Greater Cincinnati region. In the Uptown area, except for Ludlow Avenue's 91 percent occupancy (still lower by 3% than in 2004), the occupancy rates were significantly lower than the region as a whole, with 75 percent on the McMillan/Calhoun corridor and 77 percent for Short Vine/University Plaza.

3.1.2.3 Existing Commercial Retail Values and Rents

The current commercial rental values in the Uptown area are generally low, and they are especially low in the poorer neighborhoods of Corryville. In the current economic environment, it is not profitable for upscale retailers to locate in Uptown. This constrains the existing retailers' ability to cater to a customer base over a larger trade area. Poor business prospects are reflected in the rents as well. Ludlow Avenue is the only vibrant

NBD of Uptown today. Yet the rents in Ludlow NBD vary greatly from one retail space to another, based on usage and lease type. There is also a wider variety of tenant profiles. Thus, on Ludlow, annual rents for restaurant spaces average \$18 per sq ft, while for clothing and specialty stores they are lower (Rowe, 2006 p.44).

The Corryville area has probably the lowest rents. For example, prevailing rents in the Short Vine NBD range from \$10 to \$12 per sq ft per year. In the Corryville NBD, national retailers like Kroger, Walgreen's, and Blockbuster also occupy larger retail areas. The advantage of having national retailers as tenants is that they tend to rent larger spaces as compared to the local retailers. They also have a higher potential to increase the trade area. However, national brand stores, if they serve as anchors, such as with regional shopping malls, often occupy larger floor spaces, but negotiate hard; that is, they impose their terms and pay lower than average rents.

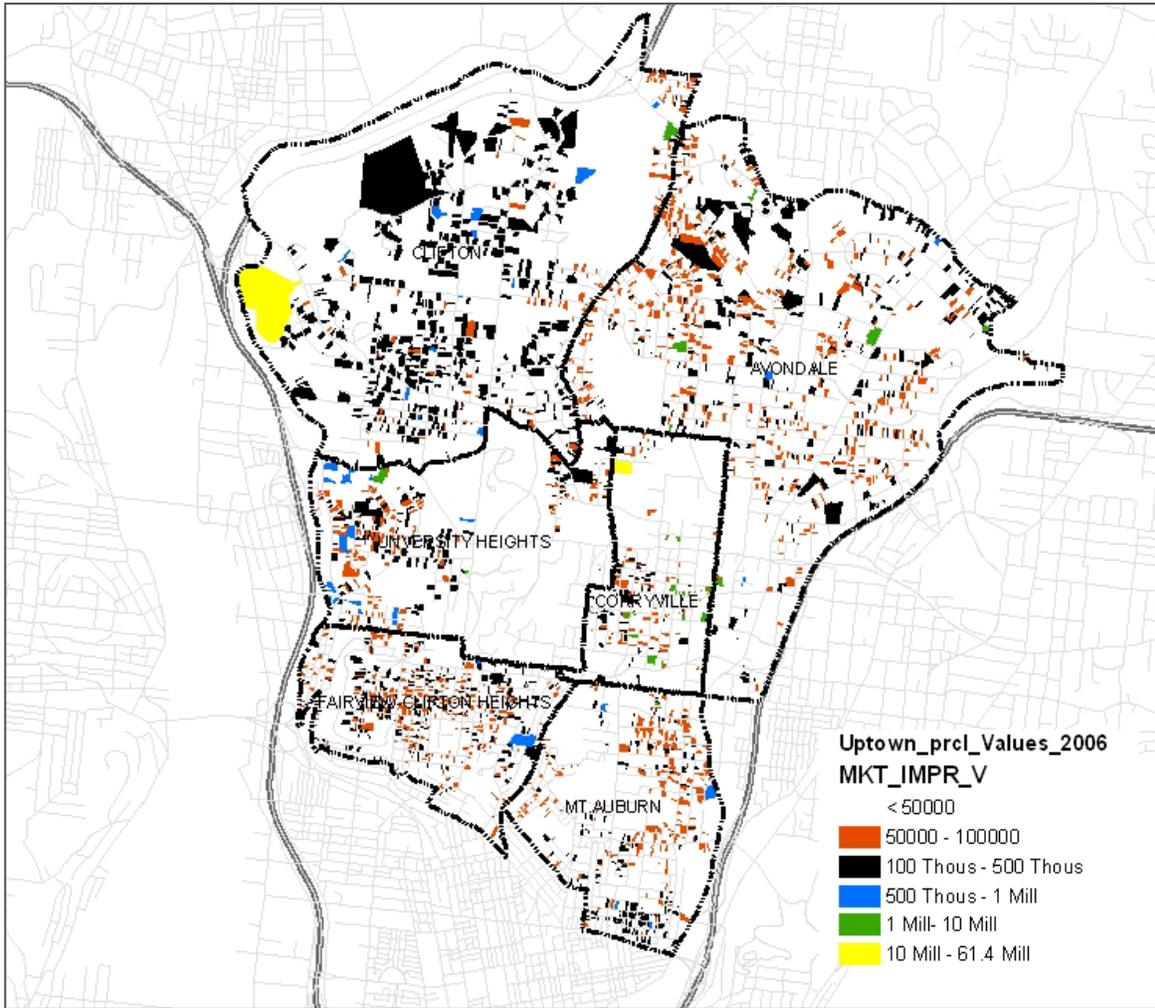
3.1.3 Property Sales and Market Improvement in Uptown

As part of this study, in order to understand better the property market in Uptown, research was carried out on sales and transactions in the area. The sales records of properties in Uptown were mapped using property data from the County Auditor's office. ArcGIS software was used to geo-code these property records and street names and addresses employed to match property records on the CAGIS base map. A number of maps were generated using these data, including market improvement value (Figure 3.2), the year in which properties were last sold (Figure 3.3) and the total market value of properties (Figure 4.4) in Uptown. Observations from this analysis are:

- Figure 3.2: Market Improvement Values in Uptown - shows that for most properties in the Uptown area, market improvement value ranges between \$100,000 and \$500,000. Market improvement as defined by the County Auditor is the most probable sales price that the building would bring on a particular parcel, in an open and competitive market. However, in reality, this is often not a true value of the built structure, but gives an indicative figure of building value. A caveat here is that often the values of land and structure on a particular property are split in an ad-hoc proportion. This is done to adjust property taxes and compensation.
- Figure 3.3: Property Sales in Uptown by Year - shows that a higher number of properties were bought and sold in the past six years in comparison to transactions that occurred earlier.
- Figure 3.4: Total Market Value of Property in Uptown - shows that most properties in the Uptown area have a total market value under \$500,000. A fairly high proportion of properties within this group have a market value that ranges from \$100,000 to \$500,000. Market value indicates the most probable sales price (including both building and land) of a particular parcel. However, it is an indicative value and does not necessarily represent true value.

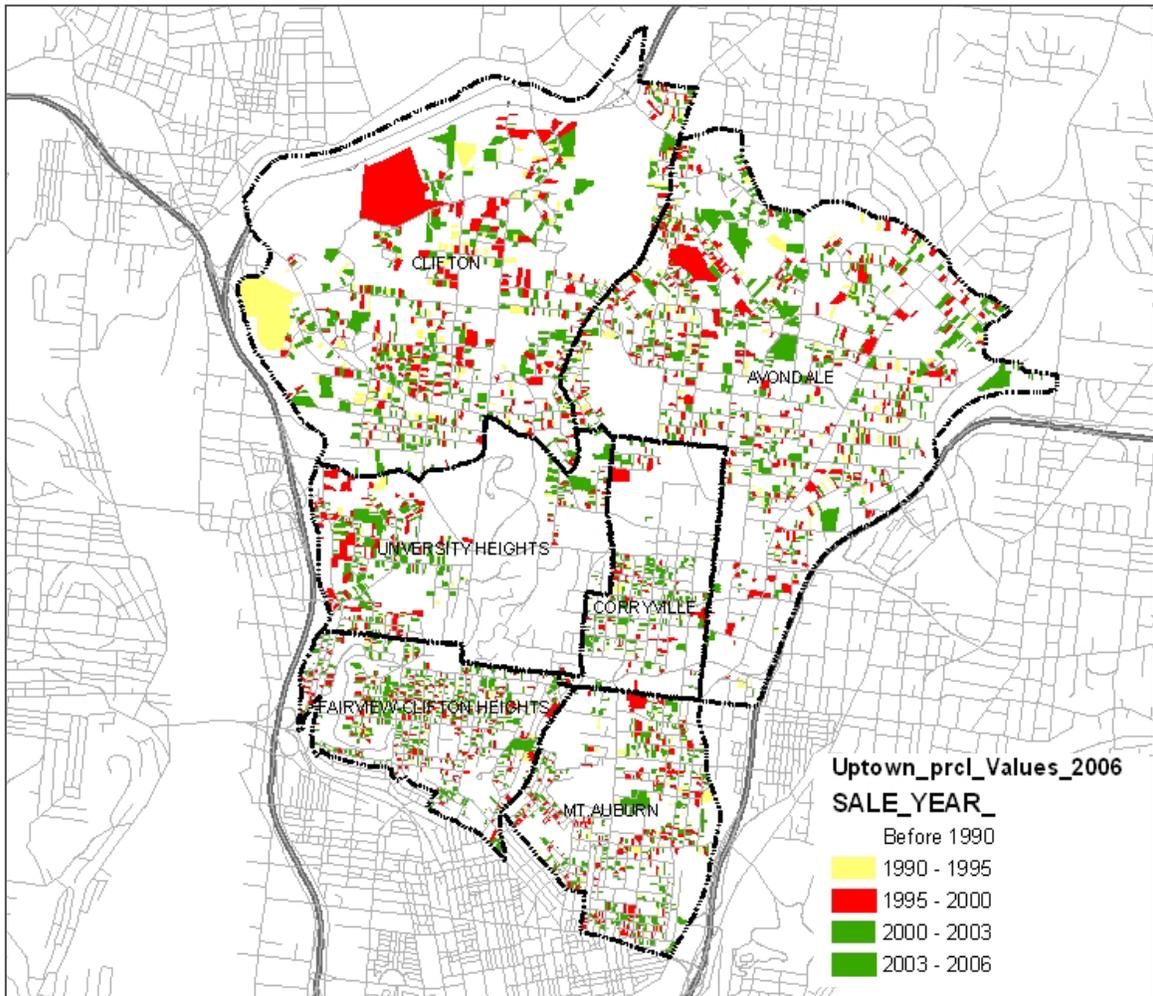
In the next step, the analysis focused on properties that are closer to UC, where most new developments are taking place.

Figure 3.2: Market Improvement Values in Uptown



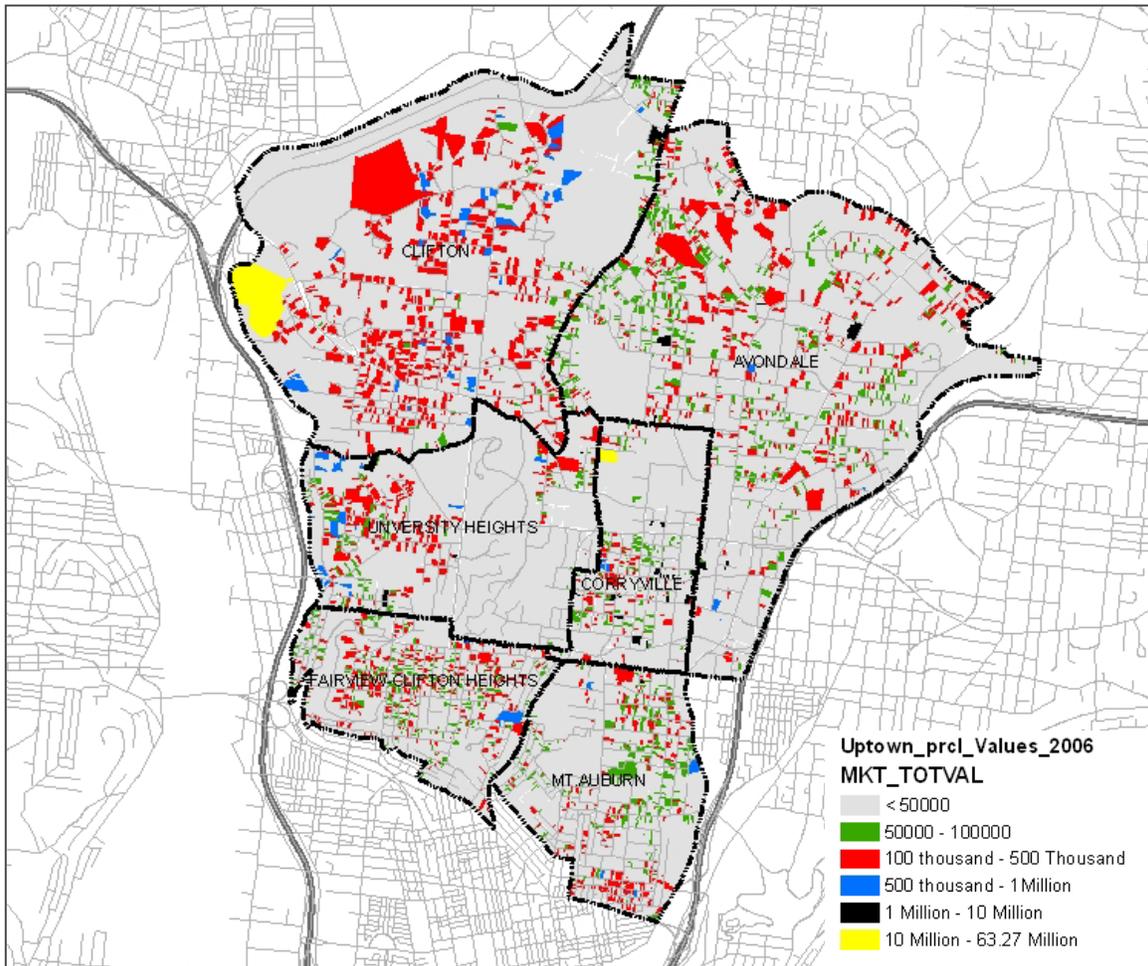
Source: CAGIS 2000 and Hamilton County Auditor Data, 2006

Figure 3.3: Property Sales in Uptown by Year



Source: CAGIS 2000 and Hamilton County Auditor Data, 2006

Figure 3.4: Total Market Value of Property in Uptown



Source: CAGIS 2000 and Hamilton County Auditor Data, 2006

3.2: Real Estate Demand before Redevelopment

3.2.1 Housing Demand in Uptown

Typically, in any market, real demand for housing and its consumption depends on the demographic and socio-economic characteristics of that market. From the supply side perspective, house size, its type (single family, multifamily), its features and its prices are aligned with the affordability (income levels) of the potential buyers in and around that market. In the Uptown area, of the total 22,371 families living there, only 23 percent own homes there. The median family income of Uptown was \$23,137 in 1999, which means the majority of residents doesn't own houses and has little ability to afford them. Rowe (2006) applied a consumer price index (CPI) factor of 1.19 and estimated the median income of Uptown residents for 2006 as \$27,532. Table 3.4 displays that estimated median income. In addition, this table also presents the estimated maximum housing expenditure of the median family in Uptown. This estimate is based on the assumption that 30 percent of family income is spent on housing. Furthermore, using this expenditure figure, potential housing affordability for Uptown residents was estimated (assuming that the same housing expenditure is used to pay a mortgage). The last column of Table 3.4 shows the maximum mortgage that 50 percent of families could potentially access.

Housing affordability is estimated using the formula given below. This estimate assumes that a 100 percent loan is taken at a discount rate of 7.0 percent, where 30 percent of income is paid towards a mortgage and other expenses for a 30 year period. The Chase Bank currently charges a 6.75 percent rate of interest for a fixed rate mortgage, but a slightly higher interest rate is assumed here to account for both good and bad creditors. Recurring expenses such as property taxes, insurance and other fees are also counted as part of the annuity payment. These expenses are taken as 20 percent of the monthly loan payment. Therefore,

$$PV_{oa} = PMT * \left[\frac{1 - (1 + i)^{-n}}{i} \right]$$

where

PMT = Monthly installments

i = Discount rate per period = r / m = 7.0 / 12

n = Number of periods = $m \times t$ = 12 x 30

and

PV_{oa} = Present value of an ordinary annuity or (Total Loan Amount)

Based on this estimate, in Uptown, given the median income, over 11,185 families (50 percent of Uptown's families) could qualify for an \$82,765 mortgage. However, within Uptown, since income varies, those neighborhoods with higher family income can qualify for even larger mortgages. For instance, census tract 70 in Clifton exhibits the highest mortgage affordability in the Uptown area at \$128,522, while low income neighborhoods such as census tract 67 in Avondale are the least able to afford a mortgage. Nevertheless, Table 3.4 shows that over 50 percent of families in the four census tracts of Uptown - two in Clifton, one in Mt. Auburn and one tract in Fairview-Clifton heights - can qualify for a mortgage of over \$100,000.

Table 3.4: Uptown Residents' Income and the Potential Affordability of Housing

Serial No.	Uptown Neighborhoods	Tract No.	Total Households in Tract	Annual Median Household Income in \$ (1999)	Estimated Annual Median Household Income in \$ (2006)	Annual Housing Expense of Median Household @ 30% of Annual Income in \$ (2006)	Monthly Payment with Property Taxes + Insurance	Qualifying Loan by Median Household in \$ (2006)
1	Clifton	72	1,457	27,074	32,218	9,665	805	96,852
2		71	1,916	34,643	41,225	12,368	1,031	123,929
3		70	1,198	35,927	42,753	12,826	1,069	128,522
4	Avondale	69	1,161	20,878	24,845	7,454	621	74,687
5		68	2,125	17,917	21,321	6,396	533	64,094
6		67	1,430	14,269	16,980	5,094	425	51,044
7		66	1,216	15,119	17,992	5,398	450	54,087
8	Corryville	34	425	16,750	19,933	5,980	498	59,921
9		33	1,172	20,869	24,834	7,450	621	74,655
10	University Heights	32	650	15,208	18,098	5,429	452	54,405
11		30	958	20,162	23,993	7,198	600	72,127
12	Fairview-Clifton Heights	29	2,377	20,254	24,102	7,231	603	72,454
13		27	862	30,446	36,231	10,869	906	108,916
14	Mt. Auburn	26	1,593	23,153	27,552	8,266	689	82,825
15		25	1,093	19,802	23,564	7,069	589	70,837
16	Uptown region	23	721	19,797	23,558	7,067	589	70,819
17		22	1,138	26,111	31,072	9,322	777	93,407
18		18	879	34,063	40,535	12,161	1,013	121,854
			22,371	23,137	27,532	8,260	688	82,765

Source: U.S. Census Bureau 2000 and U.S. Bureau of Labor Statistics 2006, and author's estimates (Rowe 2006)

3.2.2 Commercial Retail Demand in Uptown

A commercial district captures its potential business from its surroundings, which are defined as trade areas. Geographically, a retail district's trade area is a circular or elliptical zone of influence that brings in a majority of its customer base. As discussed previously, the size of retail establishment primarily determines the extent of its trade area. Thus, larger retail facilities, such as Jungle Jim's, can attract customers from farther away. Clustering of retail stores, such as in Tri-County Mall, also increases the size of a trade area. Based on these facts, Schmitz and Brett (2001) developed sales metrics for retail trade areas as shown in the Table 3.4. This table shows share (percentage of sales) captured by retail trade areas. It also shows that, depending on the retail type and size, the extent of trade areas differs. If trade area are classified as primary, secondary and tertiary; the primary trade areas contribute 70 percent to 80 percent of sales, while secondary and tertiary trade areas contribute 20 percent to 25 percent, and 10 percent to 15 percent respectively (Schmitz and Brett 2001: 144 and Thrall 2002: 80-81).

Location, tenant mix, and uniqueness are other features of a retail area, and retail developers now create unique selling points to create destination retail that will attract customers from a larger region.

Table 3.5: General Trade Areas for Different Retail Types

Retail Type (size)	NBD (< 50,000 sq ft)		Neighborhood Center (< 100,000 sq ft)		Community Center (100,000-200,000 sq ft)	
	Trade Area Extent	Percent of Sales	Trade Area Extent	Percent of Sales	Trade Area Extent	Percent of Sales
Primary	1-1.5 miles	70%	Same as NBD		2-3 miles	70%
Secondary	2-2.5 miles	20%			3-5 miles	20%
Periphery	>2.5 miles	10%			>5 miles	10%

Source: Schmitz and Brett 2001, p.144

The existing retail areas in Uptown have smaller trade areas in comparison to many other retail malls in Greater Cincinnati like Kenwood Towne Centre that have the benefit of retail size. The highest single concentration of retail in Uptown is the 150,000 sq ft on Ludlow Avenue. While the amount of *total* retail space in Uptown is comparable to that of many suburban malls, the retail spaces are scattered, small and old. They do not benefit from clustering, plus they all serve local needs. According to Schmitz and Brett (2001), the NBDs of Uptown have primary trade areas that extend 1 to 1.5 miles, with the exception of Ludlow Avenue because of its size and unique retail mix. Moreover, the secondary trade areas are 2 to 2.5 miles.

Rowe (2006: 29-32) estimated potential retail sales to the residents of these trade areas. He used following formula:

$$\text{Number of families in the trading area} \times (\text{Dollars spent by them on particular retail category}) = \text{Total market size} \times (\% \text{ share of the market}) = \text{Potential retail sales.}$$

He used household incomes from the 2000 Census for the families living in the potential primary and secondary trade areas of Uptown retail and adjusted them for 2006. Since the secondary trade area also goes beyond the Uptown area, economic data on the census tracts abutting Uptown were also considered. These neighborhoods included are North Avondale, Northside, Camp Washington, East Walnut Hills and Walnut Hills. Although the tracts south of Uptown (Over-the-Rhine) have low income families, the median income in the secondary trade area exceeds that of the primary area by 29 percent. A possible explanation is the number of high income families residing in North Avondale. Furthermore, using the capture rate for different trade areas as in Table 3.5, with average spending of 13 percent, 4 percent, 5 percent and 7 percent on food, apparel, entertainment and other retail respectively, Rowe estimated potential current retail spending of \$83,802,569 in the Uptown area. The potential customers for existing retail facilities in Uptown are: Uptown's residents, those who reside near Uptown, students and employees of enterprises located in Uptown.

Table 3.6: Uptown Retail Spending – Middle Case Scenario

	Retail Items (Income Spent in Percentage)				Estimated 2006 Retail Spending (29%)
	Food (13%)	Apparel (4%)	Entertainment (5%)	Other (7%)	
<i>a. Spending of Uptown Residents</i>					
Total Residents' spending	\$80,686,665	\$24,637,150	\$31,412,366	\$42,499,083	\$179,235,264
<i>Uptown Capture Rate</i>	50%	20%	30%	25%	36%
Uptown Residents' Spending in Uptown	\$40,343,333	\$4,927,430	\$9,423,710	\$10,624,771	\$65,319,243
<i>b. Spending of Resident's of Areas Abutting Uptown</i>					
Total Share of Near Residents	\$67,919,096	\$20,738,655	\$26,441,785	\$35,774,180	\$150,873,716
<i>Uptown Capture Rate</i>	15%	10%	10%	10%	12%
Near Uptown Residents' Spending in Uptown	\$10,187,864	\$2,073,866	\$2,644,179	\$3,577,418	\$18,483,326
Total Spending in Uptown					\$83,802,569

Source: Middle Case Scenario - extracted from Rowe (2006 Table 13, p. 37)

A separate estimate of retail spending in Uptown was presented in the Market Assessment Report of the University Village Urban Renewal Plan. Urban Marketing Collaborative (UMC) conducted a market analysis of retail spending for office workers and University of Cincinnati students. Their final estimates are based on studies conducted by the International Council of Shopping Centers (ICSC) and estimates of the American Demographics/Student Monitor. UMC estimated potential per capita spending of UC students as approximately \$2,560 annually on retail merchandise, eating and drinking. This totals \$86.6 million, *just by UC students*. In addition, according to the University Village Urban Renewal Plan, Uptown employees spend approximately \$164

million annually (University Village Urban Renewal Plan undated: 33-36). The estimates of Rowe and UMC together comprise the customer base for the existing retail facilities in the Uptown area, although there might be some potential overlap, since some students and employees also live in the Uptown trade area. With the new developments in the pipeline - both up market residential units and modern commercial retail - the customer base of Uptown, its trade area and, consequently, the potential business prospects of the Uptown are likely to be different in the near future than they are today.

3.3: Real Estate Supply after Redevelopment

The University of Cincinnati, along with its four institutional partners, has launched a massive neighborhood redevelopment campaign around the UC campus in Uptown. The Uptown Consortium has been made the nodal agency to coordinate these redevelopment efforts. The projects include the construction of modern high quality student housing, condominiums, apartments, commercial retail and office spaces (new and rehabilitated), parking garages and other amenities. The combined plans from various sources call for over \$500 million of investment to improve the Uptown neighborhoods. The redevelopment effort will generate over 1,600 beds of student housing, over 1,000 houses and approximately 450,000 sq ft of commercial space, plus parking structures to accommodate over 3,500 cars and surface parking to support these developments. UC has made an important financial commitment with \$75 million from its endowment for this effort. In addition to real estate development, the Uptown Consortium is working comprehensively on collateral projects to ensure the success of these redevelopment projects. For example, the Consortium's transportation initiative discussed previously is intended to link the Uptown with the rest of Greater Cincinnati. The other initiatives that complement the real estate developments concern neighborhood beautification, quality streetscapes, landscaping, improved safety, etc. Most importantly, perhaps, the University is working on community partnership projects to build stronger local communities with improved social, environmental and economic conditions in the Uptown area.

3.3.1 New Housing Stock

3.3.1.1 New Housing Stock its Characteristics and Typology

Table 3.6 below lists the new residential developments in Uptown. They can accommodate approximately 1,000 families in luxury condominiums and apartments, as well as over 1,600 students. The housing is both for sale and for leasing purposes.

Table 3.7: New Residential Developments in Uptown:

Project - NBD (Completion Date)	Total No. of Units	Rental	Purchase	Student Beds
McMillan Park Block 4A & 4B-Clifton Heights (2008)	233	0	233	0
Block 4C (Beyond 2008)	116	0	116	0
Block 5 (Beyond 2008)	18	0	18	0
Burnet Avenue Phase-I Avondale (2008)	50	Not decided		0
Phase II (Beyond 2008)	300			0
Stetson Square Corryville (2006)	257	175	82	0
Charlton Place Corryville (2006)	12	NA	NA-	0
Stratford Heights * University Heights (2005)	700	-	-	700
University Park * Clifton Heights (2005)	920	-	-	920
Total No. of Units	2,606	-	-	-

Sources: Office of the City Manager, City of Cincinnati, Clifton Heights Community Urban Redevelopment Corporation (CHCURC), University of Cincinnati and Uptown Consortium Inc.

* Total student bed equivalent space

These new developments in the Uptown area are generally mixed developments, and due to the fact that they are mixed, Table 3.7 is presented at the end of this sub section. The table includes new residential, commercial retail, and office space, as well as parking structures. This table presents a fairly good picture of new developments in Uptown.

Most new housing units are market rate units, intended for upscale owner-occupancy and tenant-occupancy. Some developments have mixed use and mixed tenancy too. The Stetson Square housing project in Corryville, for instance, includes both condominiums and apartment units. This project is privately gated and centered on a village square and community park with a pedestrian friendly design. It includes 82 owner-occupied townhouses and 205 luxury apartments and is located on Martin Luther King Drive near the University Hospital Complex. These new housing units are equipped with high quality amenities and utilities. For example, the complex has its own theater, library and computer rooms. Another housing project in Uptown, University Park, has four types of units for students: single bedroom, double bedroom, 2-bedroom, and a 2-bedroom, 4-bed suite. All the units have a full kitchen and private bathrooms.

These brand new developments in the Uptown area are modern compared to their immediate surroundings in terms of design, amenities, construction quality and living environment. Some respondents during interviews have emphasized the need for improving the areas surrounding these new developments so that the poor neighborhoods do not mar the value of new developments. One of the issues they highlighted is that the Corryville Economic Development Corporation (CEDC) built \$500,000 worth of condominiums without developing the areas around them. Prospective buyers will be

discouraged to live in these new properties if the infrastructure and the surrounding neighborhood continue to remain in poor condition.

3.3.1.2 New Housing Prices and Rentals

The new residential units in Uptown are higher priced than most existing units. However, they are comparable to many new developments of similar type in the downtown and areas around it. The new residential condominiums in the Uptown area range from \$225 to \$260 per sq ft. For example, in Stetson Square, condominiums are priced from \$160,000 to \$300,000, while the average price of condominiums in downtown of approximately \$260 per sq ft.

These condominiums in downtown and other neighborhoods surrounding Uptown are of varying prices and sizes. For example, condominium prices in downtown, Mt. Auburn, Mt. Adams, Eastern Avenue, the West End, etc. typically range between \$220,000 and \$455,000 (Robinson 2005). Downtown is perceived as the preferred place because of its addresses of distinction, which are surrounded by restaurants, coffee shops, theatre, art galleries, shopping, banks, corporate offices and professional sports stadiums, as well as dry cleaners, pharmacies and other conveniences. This view was expressed by the president of Miller Valentine Group, the first developer to attempt a condominium project downtown (over 90% occupancy), in an informal discussion. . However, the Uptown area may be even more attractive compared to downtown because of its comparable price and the possibility of a more vibrant, culturally rich lifestyle with pedestrian-friendly, modern mixed development.

The new rental housing in Uptown is higher priced than the existing rental housing. For example, rent in Stetson Square for a 1-bedroom apartment is approximately \$950 per month and for a 2-bedroom apartment is nearly \$1300 per month (ForRent.com, 2006). These rents are nearly double the prevailing rents in existing older housing in Corryville. University Park rents range from \$425 to \$800 per person, depending on the unit type. These rents include all utilities; i.e., electric, gas, heat, cable and high speed internet (UC-WiFi). Leases generally are for 12 months, and sub-leasing is allowed with permission of the management.

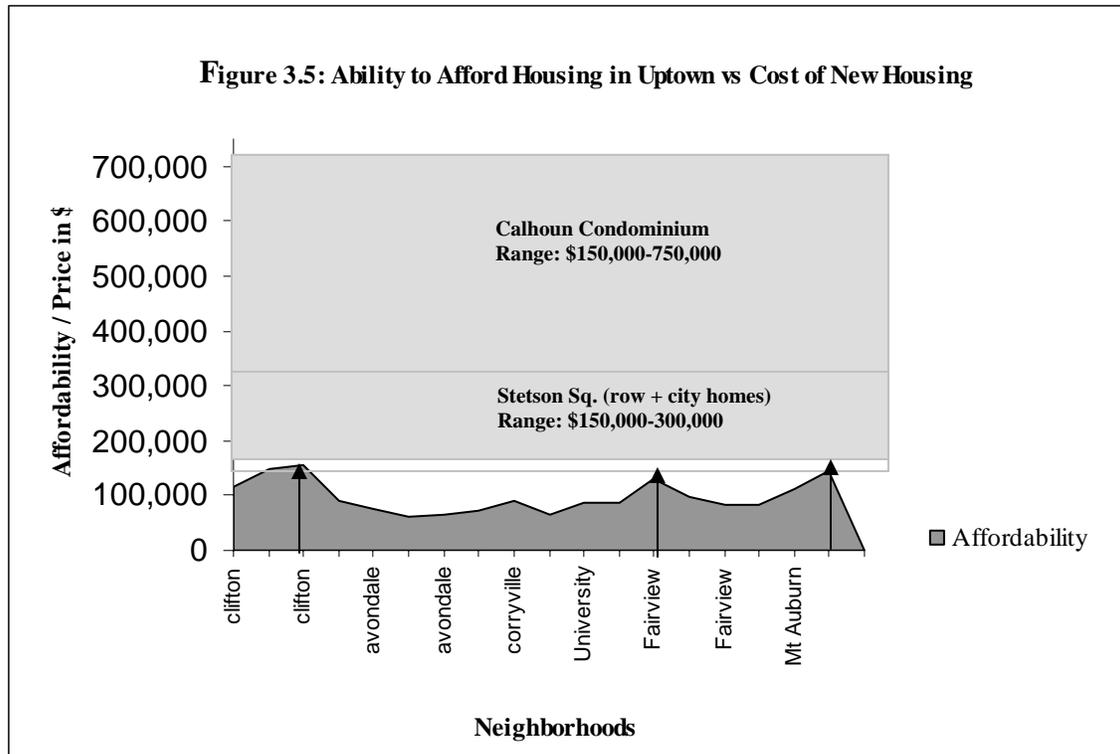


Figure 3.5 shows the ability to afford housing of the existing residents (i.e., the ability to qualify for a mortgage) and the cost of new houses in Uptown. Respondents expressed their concern about housing prices. The analysis in this study also confirms that the prices of new housing do not match the economic profile of Uptown residents. Therefore this new housing will have to be filled by affluent families from outside the Uptown area.

Figure 3.5 shows that although some residents of Uptown can potentially own new houses (See the arrows on the horizontal axis), this is certainly less than 50 percent. Also, it is difficult to estimate how many will actually buy properties even if they can afford it, since personal choice is an important criterion. It is, therefore, necessary to create demand in Uptown, and attempts should be made to a) attract new affluent families to the area, b) create an environment for new families and businesses to prosper in Uptown and c) leverage externalities generated from these new affluent families, businesses and post development economic impacts.

Table 3.8: New and Planned Developments in Uptown (Housing Units, Retail Commercial and Parking)

Items	Calhoun Street/McMillan Park Block 3, 3A, 4A, 4B, 4C, and 5				Charlton Place	Uptown Crossing	Burnet Avenue	Village of Stetson Square	Stratford Heights
Year of Completion	Block 3, 3A August 2005	Block 4A, 4B September 2008	Block 4C September 2009	Block 5 April 2009	Corryville September 2005	By 2010	By 2010	June 2006	Septembe2005
Cost	\$65M+\$42M	\$80M	\$60M	\$10M	\$5M	-		\$70 M	\$67 M
a. Residential Units (no.)	University Park Apartments - 298 units equivalent to 758 beds*	4A - 120 condos 4B – 120 condos	120 condos 18 town homes	18 town homes	12 town homes	-	330 units	286 units (both rental and for sale)	14 buildings/710 student beds
b. Retail Spaces (sq ft)	McMillan Park 37,000	34,500	14,000	-		-	300,000	13,000	-
c. Office Space (sq ft)	-	-	-	-		-	-	60,000	-
d.1 Storey Market (sq ft)	-	9,500		-		-	-	-	-
e. Parking(no.)	structured - 1024+ 96 surface parking	structured 4A 275 structured 4B 275	structured 606	-	attached parking	11,000		600	structured 478+108 surface parking
Open Space	0.5 acre park+0.3 acre plaza		0.7 acre park	-				mixed use lifestyle village	Community /institutional 18,000 sq ft
Price Range	price range from \$423- \$802 per person bed	\$150,000 to \$750,000	-	-		-	-	rentals start from \$850 / month.+ amenities from \$160,000- \$300,000, with pool, coffee shop, club	rent from \$475 per month per student

Sources: Cincinnati Experience, University of Cincinnati, Uptown Consortium Inc. interviews, Cincinnati Experience, Office of the City Manager, City of Cincinnati and Clifton Heights Community Urban Redevelopment Corporation (CHCURC)

* Condominium units are converted into student housing and 57 number of beds are kept flexible to suit need.

3.3.2 New Commercial Retail Supply

3.3.2.1 New Stock its Characteristics and Typology

The Uptown Consortium is developing new commercial retail space and rehabilitating some of the existing space to attract new businesses and improve prospects for the existing retailers. The new retail spaces are of high quality in construction and design, equipped with modern amenities. Retail areas are further strengthened and made unique with safe, well designed walkable streets, integrated with plazas and open spaces, gateways and other street furniture. All these features are planned to promote pedestrian activities in Uptown.

The total area of planned commercial retail is approximately 467,000 sq ft and is concentrated in three locations: Calhoun Avenue, Uptown Crossing and University Village. Of this, approximately 100,000 sq ft of retail is scheduled to be supplied by 2008 and the rest later. Retail spaces are anticipated to be used by small and mid size grocers, apparel stores, restaurants, coffee shops and other convenience stores. In addition, there are commercial spaces intended for the purpose of small business incubation (Cincinnati Experience 2006: 48). The Uptown Consortium is planning to have a majority of its commercial retail as mixed-use development. Mixed uses means residential, retail, commercial, employment, civic and entertainment uses in the same building, or in buildings in close proximity, that complement each other. Table 3.8 below shows new retail projects in Uptown. It should be noted that these projects are not stand alone buildings, but are located in structures that have other uses as well, and that share parking and common facilities.

Table 3.9: New and Planned Uptown Retail Projects

Project NBD (Completion Date)	Retail Area (sq ft)
1. University Park McMillan/Calhoun (Fall 2005)	37,000
2. McMillan Park Block 4A & 4B McMillan/Calhoun (2008)	47,000
3. McMillan Park Block 4C McMillan/Calhoun (After 2008)	24,000
4. McMillan Park Block 1 McMillan/Calhoun (After 2008)	20,000
5. Market Place McMillan/Calhoun (After 2008)	11,000
6. Stetson Square (2006)	13,000
7. Uptown Crossings N/A (After 2008)	15,000
8. Burnet Avenue Phase II Burnet Ave. (After 2008)	300,000
Total New Uptown Retail Space	467,000

Source: Uptown Consortium 2005

Uptown retail areas lay major emphasis on mixed-use developments and their aim of creating vibrant and diverse retail. Several researcher (Beyard *et al.* 2003: 7; Schmitz and Brett 2001: 162; and Geisman 2004: 67-70 as stated in Rowe 2006) have found that mixed use enables neighborhoods to be more exciting; although, from the supply side perspective, mixed-use projects often have higher costs (per sq ft) than a single use one. This is because of the costs involved in parking structures, firewalls between ground-floor commercial and upper-floor residential units, elevators, and advanced fire suppression systems. Mixed uses have low operating costs, and savings include sharing a

parking structure, operations, maintenance, and the security of a building. The other benefits of mixed uses are it supports higher densities, more efficient use of land, more civic infrastructure and cheaper property management. Above all, it helps to rejuvenate distressed neighborhoods due to intense use and activities, increased visibility, and, therefore, increased footfalls, traffic and their cumulative multiplier effect on the social fabric and local economy.

3.3.2.2 New Commercial Prices and Rentals

Retail and commercial office prices are increasing in the Uptown area. On the commercial retail front, the current average rent in the occupied leased spaces of University Park is \$27 per sq ft per year. In addition to this, \$8 per sq ft prorated is charged as common area maintenance (CAM). This average price, although high, matches prevailing prices in more competitive suburban retail markets such as Blue Ash, Kenwood and Tri-County. Moreover, it is expected that McMillan Park's retail space will be leased at \$29 per sq ft plus CAM in order to be financially viable (Bourgeois 2006 as stated in Rowe 2006: 44). This high price of retail prompts one to question why a retailer would come to Uptown and not go to a location where the retail market and customer purchasing power are already proven to be high. Respondents have also shown some degree of skepticism over the pricing of Uptown vs. new locations elsewhere like Kenwood, Tri-county or in downtown.

Typically, rents are a certain percentage of a business' (retailer's) estimated sales, which differ by store type and retail category, i.e., restaurants, grocers, jewelers etc. These per sq ft sales estimates from retail vary from one type of merchandise to another, one retailer to another and one location to another. The first two are fairly fixed, while the third one – location is very important. The externalities that a retail area and its activities generate at a particular location may have positive or negative impact on sales volume. For example, sales will be very high in a highly visible area due to high footfall counts. The sq ft rent is not the only measure of effective rent today, as leases are of a different nature, and, therefore, effective rents also vary. Generally lease rents are a base rate per sq ft plus maintenance. In addition, as an innovative alternative, some leases link rents to a tenant's sales. This is termed percentage rent. This kind of lease option is useful because base rates and percentage rents can be adjusted to reach a win-win situation for both lessee and lessor (Knitter undated). It also ensures that the lessor manages property efficiently (i.e., pricing, tenant mix, sizing, routine maintenance, etc.), and that retailers have good turnover (clustering and quality neighborhood effect).

CB Richards & Ellis Inc. (2006) provide rental rates for the retail spaces of Greater Cincinnati that vary from \$3.5 to \$40 per sq ft, depending on the market, location, size, type and use of the property. CB Richards & Ellis Inc. (2005) provided the average asking rate for the prime retail markets in Greater Cincinnati, which ranged from \$8 to \$15 per sq ft. This report does not provide the average retail prices in the Uptown area, but provides them for the downtown. The downtown retail space is, to some extent, comparable to Uptown. For example, downtown retail does not have big box type retail, but has retail spaces along the streets. The average retail rents for downtown were the highest, at \$15 per sq ft, in Greater Cincinnati. The Uptown is developing similar types

of retail spaces, but more modern, and has several advantages over downtown. These are discussed later in the chapter.

Table 3.10 Status of Retail in Greater Cincinnati

Market	Rentable Area (Sq ft)	Percentage of Total	Vacancy Rate	Under Construction	Average. Lease Rate per sq ft
Beechmont	3,406,734	7%	4.22%	0	\$11.27
CBD	2,438,306	5%	5.89%	0	\$15.16
Eastgate	3,904,947	8%	8.23%	25,000	\$8.26
Fields	3,497,485	7%	6.08%	280,000	\$12.86
Florence	4,166,107	8%	7.62%	15,000	\$10.06
Forest Park	3,932,629	8%	13.36%	200,000	\$11.92
Hyde Park / Norwood	3,083,627	6%	7.64%	130,000	\$14.78
Kenwood	3,400,863	7%	7.11%	45,000	\$11.33
Northgate	2,959,805	6%	4.16%	130,000	\$11.42
Tri-County	7,460,624	15%	10.50%	770,000	\$14.92
Western Hills	3,651,057	7%	11.14%	100,000	\$13.67
Remainder (KY)	3,392,366	7%	22.52%	787,750	\$13.30
Remainder (Oh)	5,455,860	11%	21.20%	0	\$8.53
Total	50,750,410	100	10.59%	2,282,750	\$11.82

Source: CB Richards & Ellis, 2005

Property values and rents vary with location and visibility. New, mixed retail developments in Uptown have longer length of street frontage, easy access from the street and command high visibility. Typically, retail spaces with longer street frontages have higher rental rates than those with shorter fronts and deeper sides. From the lessor's perspective, since most new commercial spaces are strip type, they may command higher rents than suburban box-type developments because of higher visibility and longer frontages.

3.4 Real Estate Demand after Redevelopment

3.4.1 Estimated New Housing Demand

The main determinants of the demand for housing are demographic trends, household income, housing prices, overall cost of living and the availability of credit. Consumer and investor preferences, as well as the prices of substitutes and compliments are other determinants. The new housing units in the Uptown area are mostly market rate, and they do not address the prevailing Uptown demographic and economic factors. Instead, they are targeted to serve upscale renters and owners. The high prices of these new housing types constrain most of the local residents from buying units in the new developments, and most potential buyers come from the outside region. As a consequence, some of those interviewed were very critical of potential gentrification in the Corryville area and viewed this as economic genocide for poor people in Uptown.

To illustrate, among the home loan options available that require a minimal down payment, Federal Housing Administration (FHA) loans are the most popular. FHA's mortgage payments for those qualified would be 30 percent of total monthly gross income. By this standard, there are very few families now living in Uptown who could afford condominiums priced from \$160,000 to \$720,000. Estimates show that the new housing supply requires an annual family income of more than \$70,000.

It is, therefore, inevitable that a large proportion of these new housing units will be purchased by people from outside the Uptown area. The expected population is likely to be some combination of empty nesters, young couples, single professionals and employees of the Uptown's institutions, including UC faculty and staff members. Some respondents suggested that many retirees want to be around young people, are interested in taking classes, and like being involved with the facilities and infrastructures in and around universities. Universities generally run programs such as classes for retirees who live in near-by communities. UC has such a program at Tangeman University Center where retirees can meet and spend time, and it is very successful. Many respondents feel that such programs need to be extended, which could attract additional retired individuals to Uptown living.

As far as student housing is concerned, there is a consistent demand in the Uptown area. UC is landlocked, and there is little or no room to expand. This means that off-campus housing is necessary. The existing on-campus facilities can accommodate approximately 4,000 students. However, there is a demand for another 5,000 beds in close proximity to the campus. The University's so-called 2nd Ring strategy of building student housing seeks to satisfy the demand by enabling student housing of 2,000 to 3,000 beds to be built within three blocks of the UC campus edge. This housing is to be integrated with retail activities. Moreover, students now want housing with modern amenities, and units that are more independent and private, larger and safe.

3.4.2 Estimated New Commercial Retail Demand

After redevelopment is complete, and full occupancy is achieved, Uptown's retail merchandise will be consumed by existing Uptown's residents, near Uptown residents, students, employees and by the new homeowners or renters. These homeowners will

potentially have more disposable income. In an earlier section of this chapter (Section 3.2.2), two different retail consumption estimates (i.e., UMC and Rowe 2006) before redevelopment) were presented. UMC estimated retail spending of \$86.6 million by the UC students and \$164 million by Uptown employees, although UMC did not estimate the share of Uptown residents. Rowe estimated \$83.8 Million by Uptown and near Uptown residents. In addition, Rowe estimated UC students' expenditure and potential expenditure on retail by the new Uptown residents. Using their potential income profile to afford housing, Rowe estimated their annual retail spending. Next, creating three different economic scenarios, he estimated approximately \$160 million of retail spending in the Uptown's primary and secondary trade areas as the most likely scenario. Furthermore, using average sales per square foot of space for food, apparel, entertainment and other retail categories, he estimated the viable retail area for Uptown. According to his estimates, the most feasible absorption of new retail space is approximately 250,000 sq ft area in Uptown. Currently, about 100,000 sq ft of new retail should be on-line by 2008. The success of this space, its spill over effects and the impact of new homeownership together will help the Uptown Consortium determine its future strategy for development.

Uptown needs to position its retail developments as unique, which they are, to attract investment from the region beyond Uptown. In most of the Cincinnati real estate market studies conducted by leading research firms, Uptown has never appeared as a promising destination for quality retail. Recently, however, investor and real estate industry's attention has shifted due to these new developments around UC. Typically, market absorption of retail space is dependent upon the trade area demographic profile and on the other competing retail spaces. Uptown is now increasing its retail space and potentially will increase its trade area. This means retail spaces outside the Uptown area also will pose competition to the Uptown's new retail developments. Outside of Uptown, in Kenwood, Tri-County and other promising locations, several retail spaces are vacant, and new retail developments are also in progress. Owing to limited retail market size, even at the larger regional level, Uptown will have to compete. It can capture portion of potential investors by highlighting its unique selling points (USP). Its main street type character with linear concentrated and linked walkable retail streets sets it apart as do its vibrant culture, active night life and potential for attracting diverse socio-economic residents. All these could catch the attention of local entrepreneurs, suburban investors and up-market, but mid sized retailers.

In comparison to suburban retail areas, Uptown will have a different tenant mix of small and mid sized retailers. Some respondents suggested that businesses, which serve Uptown's economic icons, i.e., the hospitals, the zoo, UC and other health and research centers, could be potential occupants of these new retail spaces. For the Burnet Avenue redevelopment, the University Hospital's suppliers were contacted. For most suppliers, space is needed only for warehousing, and the proximity to transportation is the most important criterion, other than being near to the Hospital itself. However, few small suppliers expressed an interest for smaller retail and/or warehousing spaces in the Uptown.

Respondents also suggested that retail mixing should mutually serve both the new and existing retailers through non-competing retail activities. This is crucial for success of Uptown retail. They also suggested that these retailers must be quality establishments, like mid sized grocers, ethnic stores, coffee shops, lifestyle stores, entertainment centers and other stores that also cater to the Uptown neighborhoods. New businesses should not be a threat to the smaller local retailers; rather, they should reinforce each other. Geisman (2004: 66) states, “Although there are many strategies for the success of NBDs, the most important key to successful inner-city retail projects is to select tenants that offer quality goods and services that meet the needs of trade area residents, employees, and visitors while also correctly tailoring those goods and services to the potential customer base” (Geisman 2004, as stated in Rowe 2006).

3.5 Trends in Real Estate Developments - Greater Cincinnati

Potential investors and retailers in the Greater Cincinnati area are aware of these ongoing retail area developments in the Uptown area. It is important to analyze real estate trends in Greater Cincinnati, because the Uptown area will have to compete with this larger market to absorb part of the market share. Uptown, by positioning and highlighting its retail and residential offerings as a unique package, could be attractive. Greater Cincinnati, which is exhibiting positive signs in the real estate sector, is attracting real estate investment from investors from Florida, Louisville, New York, Chicago, Houston and California. Outside investors have purchased a total of \$300 million in apartments in Greater Cincinnati, with individual transactions as large as 1,000 units in 2005. Even in the Clifton area, eight units were bought by a California-based investor (Colliers 2005 and 2006: 20). The current location preference for most new residential and commercial developments in Greater Cincinnati is the northern and eastern parts of the region far from the City center and around the I-275 belt. This is due to the growing suburban high income market.

3.5.1 Trend of New Developments in Greater Cincinnati

3.5.1.1 Trend of Residential Development in Greater Cincinnati

The new demand for real estate is mostly in suburban areas such as Mason, Blue Ash, the Kenwood corridor, Springdale, the Tri County/Forest Fair corridor and Anderson/Union Township. Interestingly, there has also been a trend of converting older, closer in units into premium condominiums by refurbishing them. Over 600 units have been acquired for this type of condominium conversion in the last two years in Cincinnati, primarily at premium and infill locations. These new condominiums are attracting many buyers, especially in the downtown area, and many of them are sold even before they are completed. For example, Polk Tower at Pike Street in downtown, with over 105 condominiums, sold out over 90 percent. Most buyers are empty nesters or families without children (Miller Valentine Group 2006). The primary reasons for their success are quality amenities, and close proximity to a mixed-use, center-city lifestyle.

While the condominium market is growing, so is the supply of condominium units and hence competition to the new condominium developments in Uptown. Some respondents expressed their concern about increasing competition. One noted, “About three years ago, building condominiums on Calhoun Street was a good idea, but now with

condominiums also being constructed in Over-the-Rhine, downtown and Northern Kentucky, this market segment will soon face saturation. A few respondents mentioned that the Bellevue condominiums, priced at \$150,000+, may draw off condominium buyers from the Uptown area.

3.5.1.2 Trend of Commercial Office Space in Greater Cincinnati

According to the CB Richards & Ellis (2006) survey, the total rentable commercial office space in Greater Cincinnati is about 34.25 million sq ft with an 18 percent vacancy rate. Colliers (2006, p.8) has recently estimated total office absorption in Greater Cincinnati in 2005 as 600,000 sq ft, which is significantly more than the 366,000 sq ft in 2004. CB Richards & Ellis's research forecasted absorption of approximately 850,000 sq ft for commercial office space in 2006 for Greater Cincinnati.

3.5.1.3 Trend of Commercial Retail Space in Greater Cincinnati

CB Richards & Ellis Inc. (2006: 7) estimate the Greater Cincinnati retail market at approximately 54 million sq ft of commercial retail space, with a current vacancy rate of about 11 percent. There are several new projects proposed, which demonstrate the continued interest of investors in retail. Developers are now acquiring land for new lifestyle and strip center developments. The big-box retailers Wal-Mart, Kroger, Meijer, Lowe's and others are adding new super stores to the market this year, and locations such as Deerfield Township, Mason and Westchester continue to be the preferred areas for retail development. According to CB Richards & Ellis Inc. (2005), the Tri-County market has the largest rentable retail area totaling about 7.5 million sq ft, which represents 15 percent of the total retail space in Greater Cincinnati (See Table 3.10 above). The average asking lease rates for retail space are also highest there. Uptown retail space, after redevelopment (new and rehabilitated retail) will be competitive in area and space quality. Moreover, Uptown retail space lease rates are expected to be \$29 per sq ft, plus CAM. While the Uptown Consortium will have to price its retail based on its own financial estimates, the price must be competitive with the going rates and market trends at other locations. The important issue for the Consortium is how large a share Uptown can capture from this growing retail market demand when it has to compete with established and proven retail locations, while it still must be proven that Uptown is a profitable business destination for retailers.

3.5.2 Pricing and Affordability in Uptown vs. Greater Cincinnati

3.5.2.1 Residential Units

The new supply of real estate is priced higher than most existing properties due to the high production costs involved, such as land acquisition, demolition, parking structures, streets and pathways, and modern amenities. As is evident from the success of Stetson Square, however, there is an increasing interest among affluent people in mixed-use areas. The Uptown Consortium's new condominiums are priced from \$225 to \$260 per sq ft. These prices are comparable to the selling price of condominiums in the downtown area, where condominiums are priced at approximately at \$260 per sq ft and are selling well. For its condominium projects to be successful, Uptown developers will have to capitalize on any competitive advantages that the area may have over downtown. These could include competitive pricing, new and better construction quality and modern

amenities. This is in comparison to many downtown condominiums, which are in refurbished buildings (an example is the 106 unit condominium complex in the Polk Building on Pike Street).

The rents for new student housing in Uptown are approximately twice the prevailing rents in the existing off-campus units. This is also the case with non-student rental housing. Nevertheless, interviews with occupants of the newly built Stratford Heights reveal that a growing number of students expect at least one modern and high quality housing option, prefer to live near campus, and are willing to pay a premium price for it.

However, this is not the case for neighborhood residents. Respondents from this group feel that the high price of new housing is a barrier to them purchasing new units in Uptown. Earlier, approximately 70 percent of people working in Uptown could afford to live in its neighborhoods. However, new developments have raised property values and adversely affected their ability to afford living in Uptown. This means some families will have to move out and commute long distances to work. According to many respondents, support staff of the major institutions in Uptown, such as nurses, janitors, kitchen helpers, teachers in public schools and others should be able to remain members of Uptown's future.

Finally, the Uptown area had 1,063 Section 8 housing units in 2005, approximately 20 percent of those units in the City of Cincinnati. While Cincinnati's Ordinance 740 states that if the City is involved with a development, the developers cannot deny access to those with Section 8 housing vouchers, in the case of Stetson Square, for example, the point is moot because HUD will not cover such high rents.

3.5.2.2 Commercial Offices and Retail

Lease rates vary with location and property specifications. Average commercial office rentals in the Greater Cincinnati area range from \$18 to \$20 per sq ft per year. The Blue Ash area has the highest lease rates for office rentals followed by Kenwood, Mason, and the Tri-county area. With regard to commercial retail space, the average rental in Greater Cincinnati ranges from \$18 to \$30 per sq ft per year. In the Uptown area, the rental rates for the new retail spaces are high. Thus, the important issue is whether the new developments around the University of Cincinnati will be able to provide space, quality and ambience corresponding to their rental rates. The average asking lease rent of retail space in the Tri-county area is about \$15 per sq ft per year. Even the smaller retail developments in suburban markets like this have the benefit of being closer to anchor tenants and thus will pose competition to Uptown's new real estate.

3.6 Uptown Real Estate Market Assessment

3.6.1 Advantages of Living in Uptown (Residential Perspective)

The new residential developments and the improved neighborhoods have a number of characteristics that make them attractive. They provide:

- Very high quality construction and design, luxurious facilities, and a variety of size, price and location options;
- Traditional neighborhood characteristics;

- Easy access to health services, drugstores, groceries, recreation, entertainment and other lifestyle amenities;
- A diverse and lively international community, with opportunities to participate in cultural activities in communities;
- The potential to become a community with a diverse socio-cultural and economic mix of empty nesters, senior citizens, young families and working professionals, and
- An opportunity for the residents to participate in UC's facilities and events.

A study of the healthy downtowns of small metropolitan regions by Filion, et al. (2004) highlights the importance of an active retail scene, a pedestrian environment, cultural activities, street oriented retail, and people on the sidewalks as the key factors in the successful revitalization of downtowns. The study's findings are based on a questionnaire in which respondents identified these five factors as the most important out of nineteen listed. This study also revealed a strong desire for the 24-hour interaction of pedestrian activity with food, art, culture and entertainment, as well as expressed anti-mall sentiments. Furthermore, the study highlighted the importance of streetscape beautification and increasing the visibility through proactive marketing and event programming

The new developments in Uptown, taken together, offer most of these many of these qualities, which can be capitalized as unique advantages of Uptown. One of the biggest attractions of Uptown could be its mixed residential and retail development, with its relatively concentrated and linked retail spaces (i.e., from Calhoun and McMillan Avenues to Vine Street and beyond) and perambulatory streets and plazas that are well integrated with streetscapes, gateways, signs, bus stops, and other conveniences. If done correctly, and with all development fully occupied, they all add up to having potential for a great shopping experience and the possibility of drawing people from all over the Greater Cincinnati region.

Richard Florida's influential book – *The Rise of the Creative Class: And How It's Transforming Work, Leisure, Community and Everyday Life* - highlights the increasing influence of a new class of lifestyle driven, innovative, active, bohemian kind people who are engaged in professional, product development, artistic, entrepreneurial, teaching, research and management occupations, etc. According to Florida, those members of the creative class in a city cluster together where neighborhoods provide a vibrant culture, the opportunity to participate in entertainment events, the arts, lifestyle retail, and an active nightlife (Florida 2004). UC and its partner organizations in the Uptown Consortium have many such people among their students and staff. Moreover, the new developments in the area are intended to create the type of environment of which Florida speaks. The intention is for Uptown to attract not only those members of this group already there, but to be a beacon for other "creative class" people from all over the region.

3.6.2 Advantages for Businesses in Uptown (Commercial Perspective)

Businesses will locate in Uptown if they perceive that there is significant trade potential. Filion et al. (2004), in his study of many downtowns, suggested that financial initiatives,

such as tax increment financing, loan guarantees, and other forms of incentive funding, are the key to stimulating private investment. Although incentives may be necessary to attract businesses, Uptown also has strengths on which to capitalize. These commercial advantages are that:

- The concentration of new and rehabilitated retail developments will potentially increase Uptown's trade and business catchment areas, drawing people from the larger region;
- The availability of a captive customer base, i.e., new and affluent families who will live in Uptown, retail merchandise consuming students, Uptown employees, and the current local residents will provide a round the clock customer base;
- Quality construction, flexible design, potentially safe pedestrian shopping areas and high quality streetscapes will provide a Main Street feeling;
- The availability of a continuously pedestrian, traditional retail area with a variety of store options in terms of space area, retail type and location, would be the first of its kind in Greater Cincinnati. Its parallel could be thought of as Newport on the Levee, which draws people from all over the region due to its pedestrian friendly spaces;
- Uptown has potential to become a destination for shopping and for those seeking to experience rich culture. Art, other cultural activities, street oriented retail, ethnic stores, coffee shops, people on the sidewalks, high visibility, and periodic social events will attract more traffic and more footfalls to the stores there;
- Uptown businesses will have easy access to a qualified student work force of part timers. There is also a ready and talented labor pool for research based incubators, and for market research and corporate research, and
- There will be potential opportunities to partner with research facilities in Uptown.

All these factors together contribute to make commercial spaces in Uptown attractive to new businesses. Once synergies are established, the new and existing businesses will complement each other and may potentially boost real estate values.

3.7 Analysis of Five Hypotheses

Now that the Uptown area's real estate market has been presented, the five hypotheses outlined in the beginning of this chapter will be addressed. To repeat, these hypotheses are:

- Hypothesis 1: New developments around UC will increase real estate values in Uptown;
- Hypothesis 2: Existing properties will increase in value;
- Hypothesis 3: Safety concerns will have a negative effect on real estate values;
- Hypothesis 4: Design quality will increase real estate values, and
- Hypothesis 5: New households and businesses will have a positive effect on real estate values.

3.7.1 Hypothesis 1: New Developments around UC will Increase Real Estate Values in Uptown

Typically, real estate developments have huge externality effects on their surroundings. This means that the surroundings influence property values either positively or

negatively. For instance, properties that are near a golf course will have higher externalities and, consequentially, higher values than those near slums. In practice, real estate investors often create externality factors in their projects to earn extra revenues. To exploit this, they typically, buy an extra large tract of land and create high value real estate products, such as a multi-family entertainment park or a shopping mall, in a small portion of the tract. Later, once the demand has increased, they sell the rest of the land. New developments around UC will also potentially create externalities and increase the real estate values in the Uptown area.

Most of the real estate developments of the Uptown Consortium are new. Few of them are completed, and most are in the various stages of planning and implementation. Therefore, there isn't adequate empirical evidence to evaluate their development impacts. In this study, an attempt was made to conduct an evaluation using the limited information of historic property values. The Hamilton County Auditor's property records have some information on this, which provides indicative changes. Sales data and market value data from the same properties were also used. A clustered but, randomly chosen sample of 50 properties closer to the new developments, such as- Stratford Heights, Calhoun Market and Stetson Square, were used, with the objective of assessing if there are any changes in property values around new developments, and, also, if there is any pattern in the changes. The properties chosen are shown in Figure 3.6 and the details are in Table 3.11.

Figure 3.6 Map Showing 50 Properties near the New Developments of UC Campus

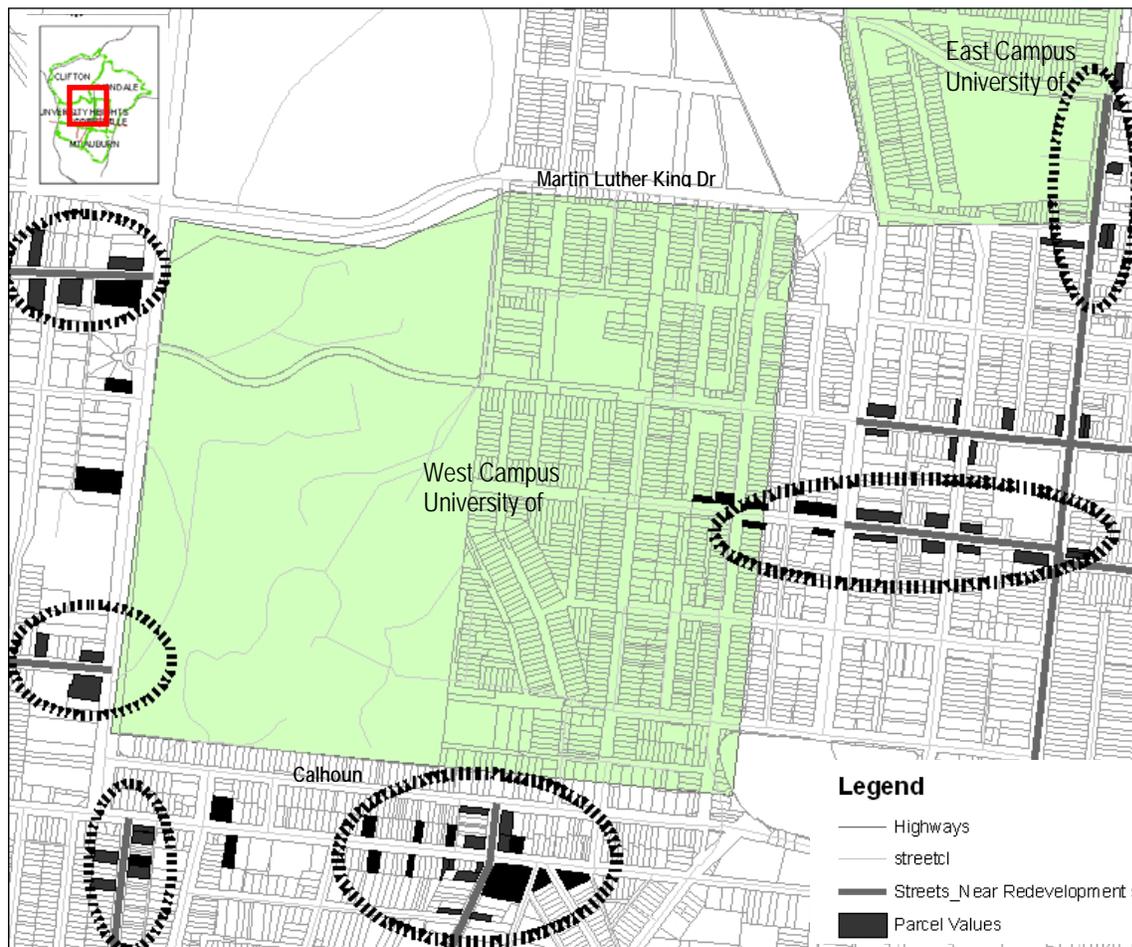


Table 3.11 Property Value Growth near UC

Neighborhood	Parcel-ID	Annual Growth in Property Value (%)	Plot Area (sq m)	Last Sale/Mkt. Value (\$)	TIF (\$)	Land Use
Coryville	0102000502 27	2.7	320	7,500	0	500 Residential vacant land
	0104000400 41	3.0	522	455,000	165,500	404 Retail/apartment over
	0104000400 66	3.9	231	108,000	0	530 Three family dwelling
	0101000701 58	3.9	470	28,300	0	685 Churches, public worship, etc.
	0104000402 61	4.5	186	9,700	0	685 Churches, public worship, etc.
	0102000502 28	4.9	1,878	450,800	1,600	452 Automotive service station
	0104000402 20	5.5	166	7,900	0	685 Churches, public worship, etc.
	0092000301 67	6.3	352	100,800	0	520 Two family dwelling
	0092000300 84	6.5	300	130,200	22,200	530 Three family dwelling
	0102000202 20	6.7	510	58,100	0	650 Board of Education owned
	0092000300 15	6.9	1,077	775,000	231,300	405 Retail/office over
	0104000400 85	8.0	437	123,600	24,400	510 Single family dwelling
	0102000201 92	8.3	243	62,200	5,200	510 Single family dwelling
	0104000503 12	8.3	356	11,945,300	0	610 State of Ohio owned
	0102000201 62	8.4	202	22,800	0	640 Municipality owned
	0102000502 35	9.9	720	900,000	0	456 Parking garage/lots
	0092000300 42	10.4	461	159,500	3,400	401 Apts - 4 to 19 rental units
	0104000401 28	10.5	312	350,000	15,950	500 Residential vacant land
	0102000202 24	10.6	223	426,400	13,000	404 Retail/apartment over
		0092000301	10.8	708	110,800	23,500

	16						
	0092000300 51	10.8	554	60,000	5,100	520 Two family dwelling	
	0102000201 63	11.1	182	22,400	0	640 Municipality owned	
	0092000300 01	11.7	247	247,700	12,700	404 Retail/apartment over	
	0092000300 67	13.3	279	177,600	3,200	404 Retail/apartment over	
	0102000502 38	37.1	1,004	900,000	16,900	405 Retail/office over	
	0092000302 76	46.9	271	173,000	3,700	404 Retail/apartment over	
CUF	0100000201 03	1.0	482	154,800	9,600	401 Apts - 4 to 19 rental units	
	0100000400 56	1.7	668	318,800	6,200	401 Apts - 4 to 19 rental units	
	0100000400 40	2.0	433	162,500	74,800	530 Three family dwelling	
	0101000700 99	2.8	1,878	1,639,500	0	680 Charity, hospital, retirement home	
	0102000601 35	3.2	259	8,400	0	400 Commercial vacant land	
	0100000201 41	3.5	461	16,801	0	456 Parking garage / lots	
	0100000300 13	4.8	457	113,200	9,200	404 Retail/Apartment over	
	0101000701 66	4.9	421	150,000	0	419 Other commercial housing	
	0100000202 13	5.7	619	67,900	0	456 Parking garage/lots	
	0100000300 06	5.7	453	56,100	0	456 Parking garage/lots	
	0100000201 40	7.8	215	68,700	2,800	435 Drive-in restaurant/food service	
	0101000701 73	8.3	842	35,100	0	620 County owned	
	0101000600 24	12.5	1,170	170,000	0	456 Parking garage/lots	
	0100000201 44	15.9	206	142,500	56,000	520 Two family dwelling	
	0100000201 45	15.9	202	142,500	32,500	530 Three family dwelling	
	0100000301 24	1.8	385	165,000	19,200	401 Apts - 4 to 19 rental units	
		0100000201	6.8	449	128,700	51,100	510 Single family dwelling

	07					
	0100000300 20	6.9	206	171,600	19,100	530 Three family dwelling
	0100000201 46	13.2	445	265,000	94,900	401 Apts - 4 to 19 rental units
CUF 2	0101000600 75	4.2	1,319	293,600	0	499 Other commercial structures
	0101000600 99	4.7	563	287,900	0	465 Lodge hall and amusement park
	0101000600 84	5.0	1,995	1394,900	0	685 Churches, public worship, etc.
	0102000601 06	8.0	830	576,300	62,700	425 Neighborhood shopping center
	0101000300 20	10.1	1,870	370,400	0	419 Other commercial housing
CUF 3	0101000600 74	11.3	874	308,500	0	520 Two family dwelling

Source for both Figure and Table: Hamilton County Auditor, Hamilton, OH

The belief was that if there were any changes in the property values, it could be due to either speculation or the potential externality effects of the new developments. For the chosen sample, sales values were used where recent sales data were available, and market values were used when they were not. Using the historical values of these properties (in some cases, the historic value data were only available for the last 2 to 3 years, while in some they were available for 10 years), annual growth in the property values was assessed. These results are presented in the 3rd column of Table 3.11, which shows, moderate to significant growth in values, although no pattern was observed from this sample. This analysis does not convey convincingly any specific trend, however, and it shows increases varying from 1 percent to 46percent annually. This did not include the effects of the Tax Increment Financing (TIF) that was employed for more than 50 percent of these properties (27 out of 50). TIF values for these properties range from a minimum of \$1,600 for property zoned as an automobile service station to a maximum of \$231,300 for commercial retail. In addition, from a land use perspective, growth in the property values was observed to be higher for commercially zoned properties than for the rest. This is likely to be due to the positive externality effects of the development of Stratford Heights, Calhoun Street and Stetson Square. The increase in values also seemed to be higher for properties closer to the UC, along the major roads, and in the more socio-economically advanced and safer locations, than for the rest.

3.7.2 Hypothesis 2: Existing Properties will Increase in Value

The improvements in the physical environment of Uptown through real estate investments and various other measures that the Uptown Consortium plans to take, as were discussed in earlier sections, will potentially make the Uptown area an attractive destination for homebuyers and businesses. More particularly, as discussed with Hypothesis 1, externality effects of new developments, if occupied, will have direct

positive impacts on the values of older properties. Furthermore, new developments will also potentially induce investments by owners in the old housing stock.

Once market demand reaches minimum threshold occupancy in Uptown, it will attract more families and businesses to agglomerate in the area. This is because of the clustering effect, where similar businesses agglomerate in order to benefit from each other, while complementary businesses locate to fill remaining gaps. In addition, similar effects may be observed for residences, where people of similar lifestyles may cluster together and increase housing demand.

With this increased demand, the existing housing stock in Uptown will benefit for two reasons: a) the externality effect and b) the spillover effect of new developments. The former is due to the influx of new affluent families and businesses that will create additional jobs, spend money in the local economy, create more economic opportunity, and potentially improve the economic environment of Uptown and, consequentially local incomes. If these externalities are very strong, to the extent that the Uptown area becomes an economic hotspot of Greater Cincinnati and the area is perceived as having a high quality socio-cultural environment, people from a very large trade area will come to Uptown. In such a situation, these developments will have a very high positive impact on the value of existing properties. Even if the externality effect is not very strong, improved conditions will potentially create more demand for real estate and positively impact the values of existing properties.

If existing homes continue to be cheaper than new homes, which they are, and are likely to be in the future, then some buyers, in order to benefit from Uptown's location and traditional neighborhoods, will buy existing homes. This is the spillover effect of the new developments, where the existing stock serves as an alternative in the same market.

All these factors together contribute to increasing the prices of properties. However, some respondents are concerned about the finances required to upgrade existing properties in order to match new developments. According to them, the old properties that surround new developments such as Stetson Square will be under extreme pressure for renovation.

Respondents have also expressed concern about the areas, especially those to the south of Uptown, which may have negative effects on both new developments and existing solid housing stock. Nevertheless, if the proposed developments are fully occupied as anticipated, the spending of the new residential owners and the effect of the new businesses will potentially have a positive spillover effect on these neighboring areas.

3.7.3 Hypothesis 3: Safety Concerns will have a Negative Effect on Real Estate Values

3.7.3.1 Crime in the Region

Safety is one of the key issues in neighborhood attractiveness, which plays a major role in a current or potential resident's migration decision. Currently, residents, employees, students and visitors in the Uptown area do not perceive it to be safe. The Corryville, Avondale and Mt. Auburn neighborhoods are considered to be

centers of crime. The City of Cincinnati in 2005 recorded 291,468 crimes, of which 52,550 took place in Uptown. For this study, concentrations of crime in the Uptown area were developed using data for serious crimes (murder, rape, robbery, theft, and burglary) procured from the City of Cincinnati Police website.

These crime data for serious crimes were mapped using ArcGIS software, and hotspot analysis was conducted adopting the crime research methodology used by John Eck and his colleagues at the National Institute of Justice. Using maps from the Cincinnati Area Geographic Information System (CAGIS), these crime data were geo-coded using the address locator of ArcGIS. Keeping a fixed grid size of 100m x 100m and a search distance of 500m, a crime density hotspot map was generated using the kernel method (Eck et al. 2005). As this map shows in Figure 3.7, the south, west and the northwest of Uptown are dotted with crime hotspots. More specifically, of the 6,006 serious crimes in the City in 2005, 1,786 took place in the Uptown area itself. These crimes included 8 murders, 51 rapes and 1,717 cases of robbery, theft, and burglary. The neighborhood of Corryville had the highest density of crimes - over 1,000 per sq km. Other high crime areas were in parts of Fairview Heights, Mt. Auburn, Avondale, and the part of Clifton near Clifton Apartments. Safety will have to be increased in Uptown's residential neighborhoods, not only in its areas of development, but in the larger area, and even beyond Uptown's borders, in order for its development projects to be successful.

3.7.3.2 Poverty Concentrations – Section 8 Housing Units in the Area

A concentration of poor households in a neighborhood negatively affects its property values. In this regard, poverty concentrations in Uptown were studied by using Section 8 housing unit information. Typically, the presence of a fairly large number of Sections 8 families reflects concentrated poverty pockets. In 2005, the City of Cincinnati had over 6,778 Section 8 housing units, while Uptown had 1,063, approximately 20 percent of those in the City. Since 22,371 families live in Uptown, the Section 8 families represent 4.75 percent of all families in the Uptown area.

To conduct a density analysis, the same methodology was used as for crime hot spots in Section 3.7.3.1; that is, Section 8 housing hot spots were mapped. This analysis revealed two major concentrations of Section 8 families in Uptown - in central Avondale and in Mt. Auburn. In the rest of the area, densities were lower and more even. Some areas abutting Uptown, especially Over-the-Rhine (OTR), also have a very high density of Section 8 housing. OTR is also a very high density crime hot spot. Avondale in Uptown and OTR area are two major concentrations of poverty, although the new developments in Uptown may create economic opportunities for those residing in these neighborhoods.

3.7.3.3 Effect of Crime and Perception of Unsafe Neighborhoods

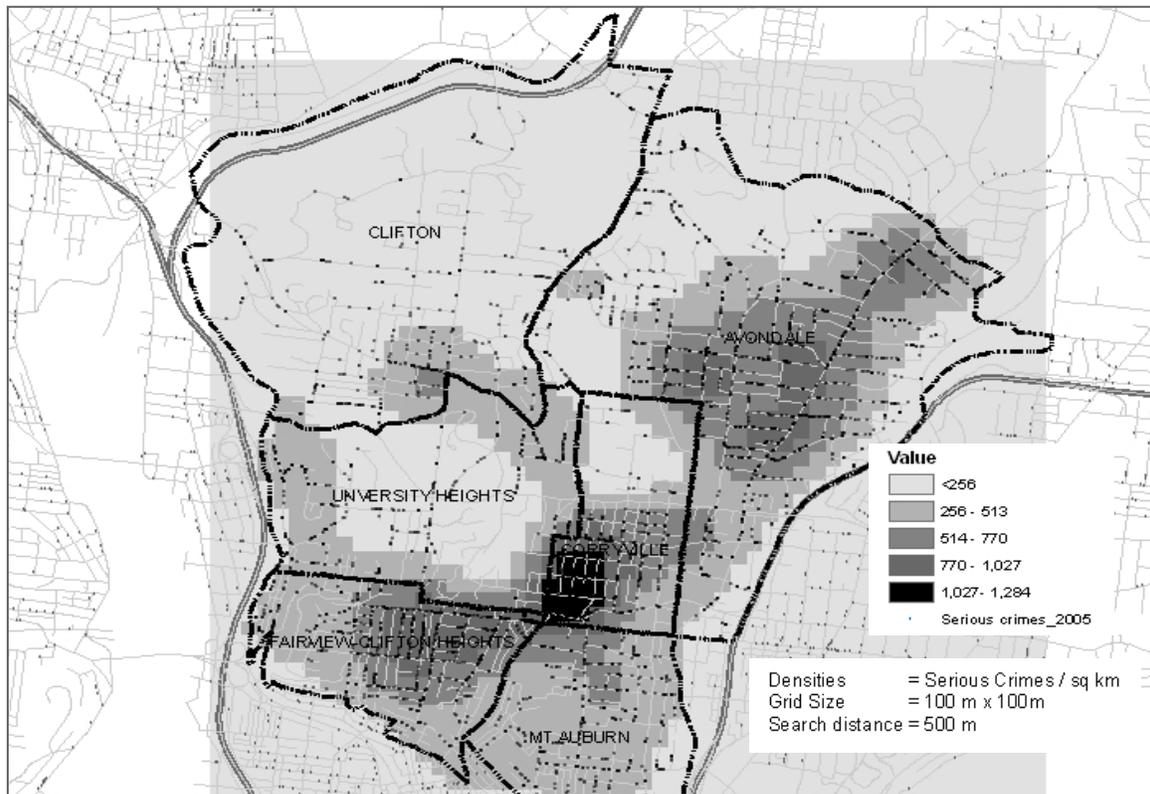
As discussed earlier, the retail rentals in the Corryville NBD - Vine Street corridor are low. Previously, it was reasoned that the low rentals are because of poor quality and small retail spaces. Indeed, that is true. However, high crime rates have high causal effects on the rents. The threat of crime reduces demand for space and depresses

property values. As far as housing is concerned, because the property owners earn very low revenues, they invest inadequately in upkeep, exacerbating the physical decline.

Ludlow Avenue, on the other hand, generates higher rents, and more business than the Short Vine NBD. Earlier, this success was attributed to the retail typology, but safety is another important factor. Ludlow Avenue has lower crime, and people perceive it as safer than Corryville or Avondale. The effects of crime also appear in the rent of housing units. The neighborhood of Clifton Heights, which has fewer crimes than the Corryville and Avondale neighborhoods, demands higher rental rates for similar housing.

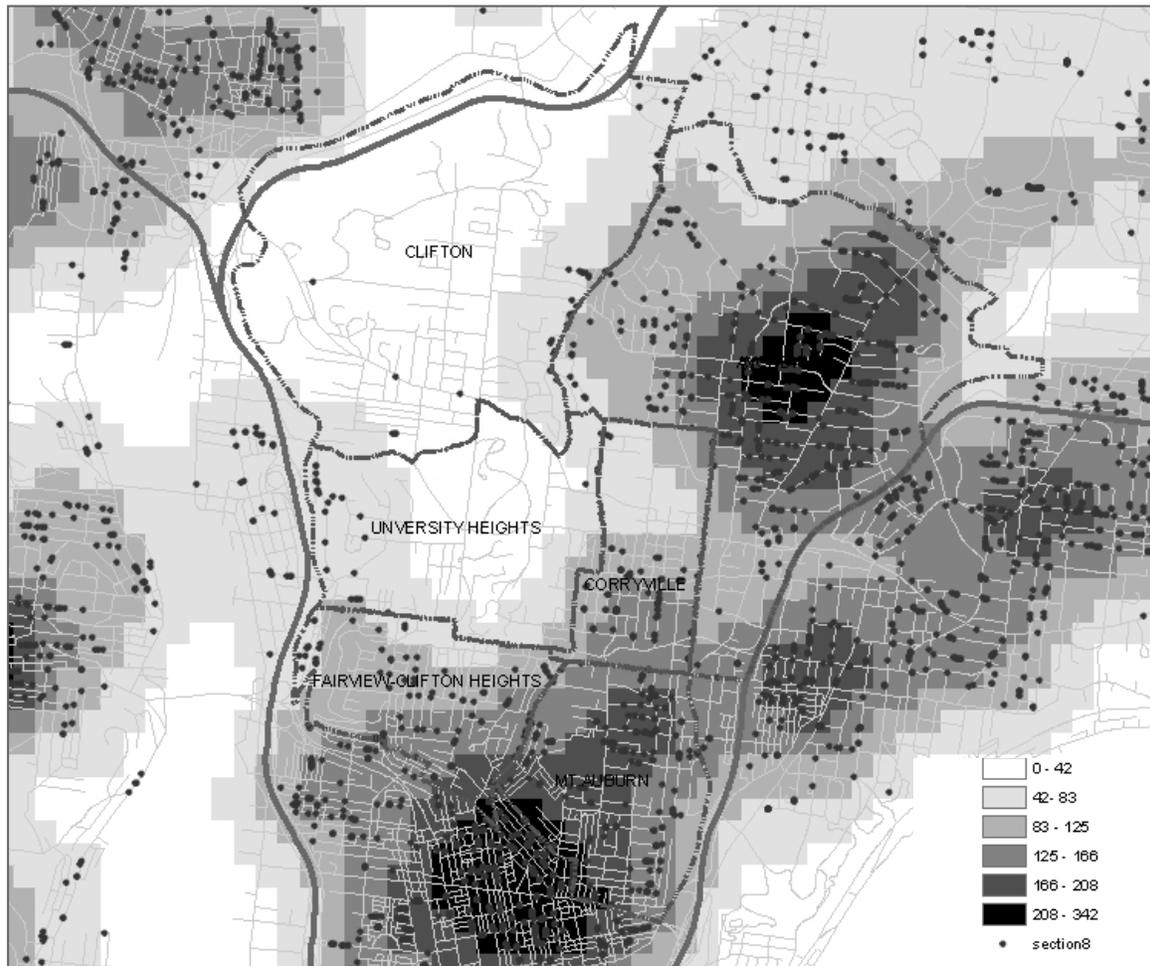
Stringent and more direct measures to increase safety need to be employed. The final success of the Uptown Consortium's strategy for development projects, which is primarily real estate investment driven and community participation based, depends crucially on the existence of safe neighborhoods. On the retail streets stern and innovative measures of safety will be required. Hoyt (2005) highlighted the role of Business Improvement Districts (BIDs) in handling crime in business areas. A BID is a self-taxing mechanism that allows businesses and property owners to offer additional services (e.g., private security, quality area upkeep, etc.) that encourage place-based investments. It contributes to the quality of life in commercial areas and facilitates urban revitalization thereby positively contributing to business potential. Hoyt's comparisons of crime in BID areas vs. non-BID areas show lower property crime rates for BIDs.

Figure 3.7: Crime Density in Uptown – Hotspots of Serious Crimes in Uptown



Source: Map produced for this study using CAGIS Maps, City of Cincinnati data and City of Cincinnati Police Department data for 2005

Figure 3.8: Density of Section 8 Units in Uptown - Hotspots of Section 8 Housing



Source: Map produced for this study using CAGIS Maps, CMHA and City of Cincinnati data from 2005

3.7.4 Hypothesis 4: Design Quality will Increase Real Estate Values

The new developments in Uptown are mixed use buildings with residential, retail and structured parking spaces. Pedestrian friendly streets and plazas, and well designed landscaping tie these developments together by linking one space to another through quality retail stores. Good quality of design that is sensitive to the users' needs commands higher prices. The design issues in Uptown are important, not only in terms of a building's architecture, but also with regard to its integration with neighborhood fabric. The new residents will likely be interested in what they do *not* have in the suburbs such as: high quality residential spaces, efficient buildings with easy access to shopping and adequate utilities, a traditional neighborhood character, pedestrian friendly retail areas, and well designed public gathering places. The new developments in Uptown potentially integrate most of these. In fact, these are the underpinning design concepts on which the Urban Consortium worked with its designers. These design features are the unique selling points to market the Uptown, which, if leveraged, may create substantial demand. More demand for quality spaces will increase property values. Different design

features contribute jointly to the space quality, although each design element also has its important individual role in enhancing the visual and functional experiences that create value in a space. Good quality landscaping also positively impact the rents. Laverne and Geidmand (2003) conducted a study of over 85 office buildings in Cleveland and found that rentals appreciate by 3 percent to 6 percent if good quality landscaping is provided.

The quality of the pedestrian experience has a significant influence on the success of mixed use developments, especially on retail that relies on local residents for daily patronage and strives to extend its trade area to a larger customer base. A design that clearly articulates the boundaries between the pedestrian and vehicular zones makes the walking experience safe and pleasant. Site furnishings, landscape elements, textural changes in pavements and good signage not only add to the visual experience and convenience of the users, but also reinforce the pedestrian zones by clearly demarcating vehicular areas. Creative lighting and landscape design also add to safety and security. With regard to urban design, building heights and bulk, their façades, fenestrations, awnings and variations in setbacks (margins) of buildings create a pleasing walking experience where margins also provide the opportunity for sidewalk cafes, planters, and other street furnishings. All these together make shopping a good experience and can attract traffic in the region, increasing footfalls to the new retail stores. This will enhance their business potential, and, therefore, the demand for space, and, hence, the value of real estate, will appreciate.

Improved streetscapes attract more tenants. An easily comprehensible example of improved streetscapes is Newport on the Levee in Northern Kentucky. Several malls in the suburban areas of Greater Cincinnati are undergoing streetscape improvements to become more attractive for their tenants. General Growth Properties (GGP) has had tremendous success with the streetscape renovation at Kenwood Towne Centre. GGP is a Chicago based, publicly traded Real Estate Investment Trust (REIT), which, develops, owns and manages shopping centers nationwide. It is currently involved in over 200 million sq ft of retail, including six mixed developments of 40 million sq ft (generalgrowth.com). The Kenwood mall, after streetscape improvements, successfully attracted several significant tenants such as Maggiano's, The Cheesecake Factory, Pottery Barn, Restoration Hardware, and Ann Taylor Loft. The Cincinnati malls planning to redevelop with a streetscape/entertainment environment include Northgate Mall in Colerain Township, Eastgate Mall in Union Township, Tri-County Mall in Springfield and Florence Mall in Northern Kentucky (Colliers 2005: 15). In Uptown, Ludlow Avenue is an example of a mixed use, urban commercial district streetscape.

Uptowns's developments are designed for mixed use, with buildings that are complex in design and operation. To make these developments successful, design needs to address characteristic behavior of mixed use spaces. Mixed uses have mutually supportive uses. For example, housing units provide a captive customer base for retail, and the residents find it convenient to shop at these stores. The different uses can also get in each others way, however, if not addressed correctly in building design and space configuration. Conforming uses, for instance, should be placed next to each other. Thus, housing should be avoided next to the uses that generate high traffic volumes and noise such as cinemas,

restaurants and bars. They should be buffered physically or kept separately (Treasure Coast Regional Planning Council 2005). If such potentially noisy activities are in a building, say on the first floor (street level), it is best to provide non-residential use above them such as office space, service and utility areas. An appropriate mix of different uses in the right proportions is important in mixed use development. If Uptown's developments address these issues, they will have more potential to function successfully and thereby raise the value of the properties.

3.7.5 Hypothesis 5: New Households and Businesses will have a Positive Effect on Real Estate Values

3.7.5.1 New Households and Students

Improved economic conditions will possibly create demand for commercial and residential space in the Uptown area. Periodically, at the end of each business cycle, spatial equilibrium will be reestablished in the real estate market by attracting new businesses and houses. Some current residents may move out as well (i.e., those for whom improved economic conditions give them opportunity to sell their properties in Uptown at premium prices and relocate to other locations). If this phenomenon occurs, areas around the Uptown will also benefit from these shifts.

Estimates, in earlier sections showed that University of Cincinnati students currently spend over \$64 million annually on retail and other merchandise. This spending is low because current retail does not provide adequate options, and students shop outside the Uptown trade area. With new quality retail businesses, there is a possibility of increasing local spending by students by cutting down their shopping outside Uptown and redirecting it to Uptown itself.

UC has over 35,000 students, and nearly 2,000 new student residential spaces are planned. In addition to housing, if there is improved safety in Uptown, more students might attend UC. Such an increase would create more local demand for housing and retail, and this extra spending would further bolster Uptown.

3.7.5.2 New Businesses

The new and rehabilitated office space in the Uptown area can be a new hub of innovation and research. The Uptown Consortium has already started exploring this by conducting a feasibility study of a Research and Commercial Venture Park (Uptown Consortium, Inc. 2005). Such a park would generate new jobs tied to local resources (i.e., researchers and research facilities). Pred's model of circular and cumulative causation is appropriate for Uptown's office areas. According to the model, when an industry or an agglomeration of industries has become established, it is likely that process improvements will take place gradually and incrementally to reach a higher level of production and efficiency. Any breakthrough method to lower production cost or an innovative product will give the producer a market advantage; business will then expand, causing multiplier effects and increase spending in the local economy (Kaplan: 66). Uptown has the possibility to become the industry-linked knowledge center of the Greater Cincinnati region. With its pool of physicians, researchers, PhDs and capable graduate students, labs and other research facilities, it is in an excellent position to attain

this. In addition, the excellent hospitals in Uptown have one third of the total beds of Greater Cincinnati. Pred's model suggests that once Uptown develops some market advantages, higher production will result causing increased demand for space and higher real estate values.

There are some concerns expressed by the respondent about the Calhoun retail area, its rents and its potential occupancy. They feel that high rents may be affordable only to national brand retail chains and other large stores that will contribute little to the local economy. On the other hand, businesses that generate high externality effects are the most appropriate businesses for Uptown. A study conducted by the Institute of Local Self-Reliance concluded that locally owned businesses generate three times greater externalities in the local market than chain stores. Their study of the mid-coastal region of Maine found that local stores support local businesses more than chain stores with regard to sourcing inventory, accountants, printers, suppliers, banks and other services. Every dollar spent on local stores generates 45 cents in local spending, while chain stores generated only 14 cents (Institute of Local Self-Reliance 2003).

While these comments on externalities bring the analysis of Uptown real estate to a close, they introduce the question of economic development, which will be discussed in the next chapter.

Chapter 4: Economic Development and the Impacts of Interventions on the Broader Urban System

The main objective of Uptown Consortium in this comprehensive redevelopment effort is to improve the Uptown area's socio-economic conditions and the quality of life in its neighborhoods. The Consortium has employed a multi-pronged approach to meet this objective. Firstly, Consortium is building approximately 450,000 sq ft of high quality commercial retail and office space intended for new businesses. Secondly, it is creating over 1,600 units of student housing and over 1,000 market rate homes. The purpose of the student housing is to provide more housing options for the University of Cincinnati students near the UC campus, and the market rate homes are intended to attract affluent families to Uptown. Thirdly, the Uptown Consortium is fostering partnerships with local communities. These partnerships are aimed at building stronger communities and strengthening human capital in Uptown's neighborhoods. Neighborhood services to be provided in order to accomplish this include education, health care, and skill development for the vocational purposes. Taken together, these initiatives of the Uptown Consortium will involve approximately \$500 million of investment. It is anticipated that the cumulative result of these initiatives will noticeably improve socio-economic conditions in the Uptown area.

This chapter, then, discusses the potential economic impacts of the Urban Consortium's redevelopment efforts on the Uptown and its surroundings. The chapter is divided into two sections. The first section presents existing economic conditions in the Uptown area, and the second section presents possible economic development opportunities that will emerge due to these developments.

4.1 Economic Development before Redevelopment - Baseline Scenario

4.1.1 Existing Economic Activities in Uptown

Uptown is the center of health and education facilities in the Greater Cincinnati region. It has the highest concentration of major hospitals and related research and educational institutions. Health is, therefore, a major driver of economy for both Greater Cincinnati and Uptown. According to the *Cincinnati Enquirer*, the 33 hospitals of Greater Cincinnati generated \$7.5 billion of overall economic impact and employed over 46,000 people in 2002 (Bonfield 2003). Because of the clustering of specialized hospitals and health facilities, over \$363 million was generated from out-of-town residents in Greater Cincinnati. The 2002 economic census shows that these 33 hospitals generated total receipts of \$3.4 billion in Greater Cincinnati, while \$2.5 billion of receipts were generated from the 15 hospitals that are located in the City of Cincinnati (2002 Economic Census, Geographic Area Series). Most of these major hospitals are located in the Uptown area.

There are 11 major employers (hospitals and research institutions) that are located within one mile of the Short Vine in Uptown. One employer is UC with 9,874 employees and 5,090 student workers. The others are Cincinnati Children's Hospital with approximately 8,500 employees, University Hospital with approximately 4,100 employees, Good Samaritan Hospital with approximately 3,425 employees, Christ Hospital with 3,025

employees, Cincinnati Zoo with 450 employees, Veteran's Hospital with 1,250 employees, Deaconess Hospital with 465 employees, US-EPA's AWB Environmental Research Center with 800 employees, Hamilton County Department of Jobs and Family Services with 1,650 employees and Shriner's Hospital (www.shorvine.org). Of these eleven employers in Uptown, there are five major employers – the so-called “Big-Five,” which have national importance and are the key economic drivers for the Uptown area.

4.1.1.1 Economic Impact of the Big Five

These Big Five in Uptown are the partners of the Uptown Consortium. They are:

- Cincinnati Children's Hospital and Medical Center,
- TriHealth, Inc.,
- Health Alliance of Greater Cincinnati,
- Cincinnati Zoo & Botanical Gardens and
- University of Cincinnati.

The Big Five employers, their employees, and the visitors to them form the base of the Uptown's economy by contributing directly and indirectly to the economy, and by stimulating induced economic activity. In the following sections, the economic impacts of the Big Five are discussed separately in some detail.

Children's Hospital and Medical Center (CHMC)

Children's Hospital is consistently ranked as one of the top 5 children's hospitals in the country. The Hospital is located at the Medical Center of UC in Uptown and is one of the many facilities of the Medical Center. The Children's Hospital and Medical Center combined have a major impact on the local and regional economy.

According to a UC Academic Health Centers' press release, the economic impact from the CHMC was \$3.59 billion in 2003. This includes a direct impact of \$1.56 billion and an indirect impact of \$2.03 billion. The study was a combined economic impact study, and it included impacts from the Colleges of Medicine, Nursing, Pharmacy, Allied Health Sciences, UC's Genome Research Institute and Hoxworth Blood Center, as well as the Medical Center affiliated institutions, which include University Hospital, Children's Hospital, Shriner's Burn Institute, Veteran Affairs Medical Center and UC Physicians. The study projected the economic impact of CHMC as \$4.19 billion by 2006 (Prell, 2003). UC's Medical Center provides 16,268 full-time equivalent jobs in the Tri-State, making it one of the largest employers in Greater Cincinnati. The “ripple effect” of this direct employment generates a total of over 50,000 jobs in the Tri-State that are directly or indirectly related to the operations of the Medical Center.

The Children's Hospital itself plays a significant role in economic development. A separate study for the Children's Hospital was conducted in 2003 by the Economics Center for Education & Research at UC, which stated the total annual economic impact of Children's Hospital alone was \$1.34 billion. This impact included household earnings of \$541 million. The total impact on employment in the Greater Cincinnati region was 13,793 jobs, while the total economic impact of local construction in fiscal year 2002 was \$123 million. Of this, approximately 29 percent (\$35.2 million) was in the form of wages

to local households (Economics Center for Education & Research, 2003). Children's Hospital has approximately 700 beds (hospitaldata.com). Converting the impact figures to a per bed basis, Children's Hospital produces an economic impact of \$1.91 million per bed.

TriHealth Inc.

TriHealth Inc. employs 7,500 people. Initiated by the Bethesda Hospitals and Good Samaritan Hospital (GSH), TriHealth is an integrated health delivery system, which provides a wide range of services, such as women's health care, neonatal intensive care, cardiac surgery and cardiology, orthopedics, urology, neurology/neurosurgery, and endocrinology. Consequently, it has great economic impact. It also operates clinical, educational, preventive and social programs.

GSH, one of the partners of TriHealth, has over 700 beds, approximately 1,600 physicians and a nursing institute (TriHealth and GSH-web sites). The economic impact of GSH was estimated in this study. To do so, the economic impact figures of a similar facility located in Dayton, called Premier Health Partners (PHP), were used. PHP was selected because it is very similar in size and nature to Tri-Health. It also has an air-care facility similar to that of the Health Alliance, and, above all, is one of the three partners of PHP is Dayton based GSH. PHP has a 1,700 beds facility. PHP's 2005 Report states that it generated 12,292 jobs and had an economic impact of \$2.49 billion on the regional economy in 2005 (Premier Health Partners, 2005). This economic impact is equivalent to \$1.46 million per bed. Using this figure, it was estimated in this study that the economic impact for the 700-bed facility of GSH in Uptown is \$1.15 billion.

Health Alliance

The Health Alliance is one of the largest and most highly specialized medical services health systems in the Tri-state. It comprises a network of seven hospitals and the approximately 150 physicians of Alliance Primary Care (Health Alliance 2006). Altogether, the Health Alliance has over 1,665 beds in service, 10,368 full time employees, over 2,500 nationally and internationally recognized physicians and generates \$1.4 billion in revenue (Health Alliance 2006 and Uptown Consortium, Inc. 2006). This is nearly 50 percent of the City of Cincinnati's receipts from its 15 hospitals. Of the seven hospitals of the Health Alliance, two are located in the Uptown area, with a total of 1157 beds (i.e., 70 percent of the Health Alliance). Christ Hospital has 450 beds and University Hospital 707 beds.

The other five hospitals of the Health Alliance, which are located outside the Uptown area, are St. Luke Hospitals East, St. Luke Hospitals West, Jewish Hospital, Fort Hamilton Hospital and Drake Hospital.

Health Alliance's Uptown based facilities have a large regional impact through its multiple specialized health and research activities, the majority of which are located in the Uptown. University Hospital, for example, serves a Level-1 Trauma Center with two Trauma Helicopters that serve a region as far as Indianapolis, Columbus, Lexington and Louisville. Health Alliance's other facilities with a regional impact are its cardiac care

services; transplantation facilities for heart, lung, kidney and bone marrow; cancer treatment facilities; neuroscience center, and prenatal center, including women's health services. In addition to this, offices of some Alliance Primary Care physicians are also located in Uptown.

This study estimated the economic impact of the Health Alliance in Uptown only for Christ Hospital because University Hospital's impact was already covered in the CHMC study discussed earlier. Using the Dayton-based PHP's economic impact figure of \$1.46 million per bed, the economic impact of the Christ Hospital was estimated to be \$657 million.

University of Cincinnati

UC is the largest employer in the Cincinnati region and plays a critical role in economic development, directly, indirectly and also due to the induction effect. UC's annual budget for 2005-2006 was \$1.04 billion, and its annual payroll is \$406 million (UC Facts, 2006). UC typically spends on salaries and fringe benefits, supplies, operating expenses and other budgeted expenditures. In addition, it has also undertaken massive capital projects both on-campus and off-campus in recent years. All these have a major impact on the region.

Regarding the economic impact generated by UC, various sources quote figures that range from \$3.5 billion to \$4 billion, although some sources have also used as the economic impact figure for UC that for CHMC, which has been estimated as \$4.19 billion for 2006. The Uptown Consortium, the University of Cincinnati and many other sources quote similar figures as the total economic development impact of UC (Uptown Consortium, Inc. and UC Facts). This is probably an under estimate, however, as the impact is only from UC's east campus based facilities, which include all UC medical and health operations. The east campus generates high revenue because of the hospitals, the high volume of their patient walk-ins, and extensive applied research work. However, if the west campus is included fully as well, and this non-medical part of the University contains a number of colleges, schools and departments, which are ranked in top ten nationally and conduct substantial externally funded research, this would mean that the economic impact of UC is far greater than the most often quoted figures in the \$4 billion range.

Cincinnati Zoo and Botanical Gardens

Cincinnati Zoo and Botanical Gardens (CZ&BG) is one of the top three zoos in America and is Cincinnati's highest rated tourist attraction. Over 1.1 million people visit CZ&BG every year. The CZ&BG generates an economic impact of over \$90 million annually and creates 1,200 jobs (CZ&BG 2004 and 2006).

The CZ&BG also has an educational facility. Over 330,000 school participants take part in its environmental education programs. It is the first zoo in the country to have a full-time high school that offers vocational training with an emphasis on the science of plants and animals. CZ&BG has also been actively involved in training youth from local neighborhoods in animal science, and it provides these interns with hands-on training in

the care of animals in the zoo, including veterinary related services. Some of these graduates have been absorbed by the zoo, and others have taken jobs with the veterinarians, on animal farms, etc.

4.1.1.2 Economic Impact of the Spending by Households, Students and Employees in Uptown

This chapter now turns to a discussion of the economic impact of household spending, including spending by students and employees in Uptown. The impact of this spending is measured in two ways: as spending on existing housing and spending on existing retail.

Spending on Existing Housing in Uptown

The majority of Uptown residents live in rental housing. As was discussed in Chapter 3, the Uptown area has over 20,000 rental housing units. Uptown residents spend approximately \$185 million annually on housing. This is estimated assuming 30 percent of median income is spent on housing. In reality, in poor neighborhoods, (except for Section 8 housing), residents tend to pay higher than 30 percent. This means that the direct expenditure on housing in Uptown is possibly more than \$185 million. However, the total economic impact of Uptown's housing, especially in the absence of detailed rental market and ownership data, is difficult to estimate.

Spending on Existing Retail in Uptown

The existing retail shops in the NBDs of Uptown are small, and the majority serve neighborhoods, most of which have low income residents and, therefore, low spending on retail. Total consumption of retail in Uptown is due to shopping by the area's residents, UC students, and employees working for Uptown institutions. As was presented in Chapter 3, the average annual per capita expenditure on retail merchandise, eating and drinking by UC students is approximately \$2,560. This amounts to \$86.6 million just by UC students. People working in the Uptown area spend approximately \$164 million annually and the residents \$83.8 million. These are direct retail sales expenditures in Uptown.

4.2 Economic Development after Redevelopment in Uptown

The economic development activities of the Uptown Consortium are relatively new, and data do not exist in sufficient quantity yet to measure the effectiveness of various programs. In this study, an attempt was made to assess the effects of these developments by using relevant literature and applying it to Consortium led developments. These impact assessments provide indicative impacts of the new developments in the Uptown area.

The Uptown Consortium has planned an investment of over \$500 million in Uptown, the majority of which will be spent on new real estate projects in the area. Investments in neighborhood services are also planned to build human capital in Uptown. To create economic stimuli in the Uptown area, the Consortium is pursuing both demand side (loans to house buyers) and supply side (loans for construction) programs. The Consortium's idea is to create favorable living and working conditions in Uptown to

attract affluent families and a fresh influx of businesses, which will have an economic impact on the Uptown and its surrounding neighborhoods. The hypothesis is that the new visibly improved neighborhoods conditions, mixed-use developments, improved safety and transportation accessibility, well designed streets and plazas, combined with socially more responsible and skilled residents, will together make the Uptown area a desirable place for businesses and residents.

The next section deals with the economic impact of real estate led development in Uptown and the effects of the Uptown Consortium's community partnerships and neighborhood services.

4.2.1 Real Estate Led Economic Development

Typically, real estate led developments have two types of economic impacts: first, the impact of the spending on the construction itself, and, second, the impact of the operation of the developments after their completion, i.e., from businesses operations.

4.2.1.1 Economic Impact during the Construction Phase

Construction creates job opportunities for construction workers and business prospects for contractors and material suppliers. As stated earlier, the cost of these redevelopment efforts is approximately \$500 million. In this study, a literature search was undertaken to find the appropriate economic multiplier to estimate the economic impact of the construction phase. A study conducted for the George Walker Bush Presidential Library Center estimated from an input-output model an economic multiplier of the library on the Central Texas Region of 2.3 (Kelly 2005). Another study, this one of 34 institutions in Georgia, estimated an economic multiplier of 2.1 for construction (Humphreys 2005). Perhaps a more relevant study is one conducted of riverfront investments in the Cincinnati Metropolitan area. It estimated the construction impact of the Reds and Bengals Stadiums, Newport Aquarium, Festival Park and commercial mixed use developments. According to the study, the impact generated from all the riverfront projects combined was estimated as \$5.5 billion for the total project cost of \$3.3 billion, for a multiplier of 1.7. However, the impact just from the commercial mixed-use developments was estimated as \$2.9 billion in comparison to their \$1.5 billion costs, for a multiplier of 1.9 (Rexhausen and Vredevelde 2003).

These above mentioned studies present different economic multipliers for construction activity, from which it was decided to use a multiplier of 2 for the Uptown Consortium led developments. A multiplier of 2 means that for every dollar in basic construction spent, \$2 is spent in the regional economy by the laborers and resource suppliers to the construction project. Nevertheless, this spending may not necessarily be only within the Uptown area, since the actual impact and its geographical area are difficult to define at this stage. The economic impacts of construction are short lived and will be felt in the economy over a one to three-year period. However, the upshot of this discussion is that \$500 million worth of investments will potentially generate \$1 billion of economic impact just during the construction phase of the redevelopment projects.

4.2.1.2 Economic Impact of Operations (Retail Commercial and Residential)

Turning to the potential economic development effects of new retail spaces and homes in Uptown after construction is completed, the impacts generated in the operational phase are cyclical in nature and, therefore, have long term impacts on the economy. This is because the money spent is circulated again and again in the regional economy. However, to have a continuous impact, it is important to have a fresh influx of money from the region beyond Uptown. This means that the Uptown area's new development must not only serve local needs, but it must increase the trade area in order to capture spending from outside the area and sustain Uptown's economic growth.

Mixed-use developments are typically interdependent and reinforce each other, but they can be successful or fail. Consequently, in this study, both residential and commercial uses were considered together in assessing their economic development effects in Uptown. Two scenarios were created to assess the potential effects of these developments. The first is an Optimistic Scenario; i.e., the new developments have high occupancy rates; and the second is a Pessimistic Scenario, where the new developments have low occupancy rates. The Optimistic Scenario is discussed first.

Optimistic Scenario

Economic development in the Uptown area is real estate driven, and retail businesses are an integral part this. As was discussed in Chapter 3, the Uptown Consortium is developing 467,000 sq ft of mixed use retail and office space, along with over 1,000 homes and 1,600 student housing units, in Uptown. The direct effect of new retail will be the creation of new jobs for the residents of Uptown, while the new homes will create demand for retail and other supporting activities. There will also be indirect effects of the combined externalities caused by these new developments.

As was also discussed in Chapter 3, University Park's retail spaces in the Uptown area are leased at \$27 per sq ft per year plus CAM of \$8 per sq ft per year. This means a lessee pays approximately \$35 per sq ft per year for the space. Furthermore, McMillan Park's retail is expected to be leased at \$29 per sq ft per year, plus CAM, in order to be financially viable.

Assuming that all the retail spaces (both new and redeveloped) in the Uptown area have an average base rent of \$27 and CAM of \$8, as with University Park, the total retail space to be offered, at 90 percent occupancy, will generate \$15.6 million of rent a year. To be able to support this rent (occupancy cost), the retailers will, of course, need to have adequate sales. Assuming further that the average occupancy cost for retail space in Uptown is 10 percent (although this varies from one category of retail to another), the retail spaces need to generate average sales of \$370 per sq ft. per year. This means that a typical 1,000 sq ft store would need to have annual sales of \$370,000 per year. This also means that in order to be able to pay these rents and make profits (industry standard), the total sales potential from the total 467,000 sq ft of space in Uptown, would be \$155 million per year at an average occupancy of 90 percent. This figure is believed to be reasonable for this scenario since it is close to Rowe's (2006: 37-38) middle case scenario estimate of \$160 million per year for retail spending in Uptown.

The above calculation of sales in Uptown is, nevertheless, simply an estimate, and actual sales can only be determined by the composition of the retailers who actually rent the new retail space. Retail type, size and location are the three factors that are important in determining the actual sales volume, which is so important in calculating the economic impact of retail sales on the region.

If the retail space is largely filled with local stores, the sales could be even higher. A study conducted by Civic Economics, for example, assessed the comparative economic development impact of local vs. chain stores in Austin, Texas. The study, which was based on case studies, concluded that:

- Local merchants generate substantially greater economic impact than chain retailers;
- Development of urban sites with directly competitive chain merchants will reduce the overall vigor of the local economy, and
- Modest changes in consumer spending habits can generate substantial local economic impact (Civic Economics 2002).

Other studies have shown that local shops spend three times more than chain stores in the local economy. Moreover, sales in Uptown, as elsewhere, will have multiplier effects. To illustrate, a comparative study for the Andersonville neighborhood of Chicago was conducted in 2004 to estimate the effects of retail spending and its multiplier effects by store size and type. The study concluded that for every \$100 in consumer spending with a local firm, \$68 remained in the Chicago regional economy, while for the chain firms only \$43 remained. This means that in Uptown, of the \$155 million spent per year, approximately 68 percent could possibly be re-circulated locally if the stores are local rather than chain establishments (Civic Economics 2004).

In addition, the same study concluded that for every square foot occupied by a local firm, the local economic impact is \$179, while for every square foot occupied by a chain store, the local economic impact is only \$105. Assuming these findings for Uptown, the local economic impact of Uptown's new retail, if all 467,000 sq ft of space are put into retail, and all the stores are local stores, the economic impact would be approximately \$75 million, at 90 percent occupancy. Of interest, however, is the fact that the effect by this calculation is much lower than the economic development impact estimate of the riverfront investments in the Cincinnati Metro area for their operational phase. The riverfront impact study concluded that average annual economic impact could be estimated as 37 percent of construction spending (Rexhausen and Vredevelde 2003). This means that, employing this method, the \$500 million spent on Uptown construction would generate an economic impact of \$185 million (although this construction includes both residential and retail, while the earlier estimate accounts only for economic impacts from retail).

The Chicago study also evaluated economic impact by type, and three types were compared: restaurants, retail and services. Local premium restaurants were found to have the highest economic impact, i.e., \$303 per sq ft of space, followed by \$124 per sq ft for retail and \$100 per sq ft for services. On the other hand, chains had a local impact of

\$249 per sq ft for restaurants, \$59 per sq ft for retail and \$41 per sq ft of services (Civic Economics 2004). For the Uptown area at this early stage of development, it is not clear who will rent the space, but the above findings provide an indicative typology that the Uptown Consortium should be aware of in order to reap the maximum economic impact from the investments in retail space.

The success of retail is also tied to the success of residential development, which, if successful, will provide captive retail customers. From the perspective of the residents stores such as ethnic food outlets, restaurants, coffee shops, bookstores and convenience shops such as pharmacies and beauty salons are desirable. Also, the clustering of such stores as in Hyde Park or Oakley creates a destination to attract customer from a larger area thus increasing the trade area for retail business.

The Uptown Consortium led developments can generate further economic impact by dedicating office space to high value added services. The Uptown area already benefits from the clustering effect of health facilities, research labs and trained professionals, and making additional space available for such uses may increase clustering and generate additional economic benefits.

Pessimistic Scenario

In contrast to the Optimistic Scenario described above, if the new properties are not occupied as envisioned, low occupancy may negatively impact the Uptown area. Beyard, Pawlukiewicz, and Bond have noted that one or two failed retail developments in a community can substantially deter future redevelopment efforts and scare off much needed private capital investment. Projects left incomplete or vacant for long periods of time, as is occurring on Calhoun, further exacerbate the ills of urban blight and decay in communities that are struggling to survive (Beyard, Pawlukiewicz and Bond 2003).

Poorly developed, badly located, and ineffectively leased retail can severely hamper a community's redevelopment agenda. In view of the fact that these proposed real estate investments are a key catalyst to revitalization in the Uptown area, it is essential that the planned retail sites be well located, sized, tenanted, and targeted to the correct consumer markets. Furthermore, if the rents are high and the potential for generating sales and revenues is low, new businesses may not open in Uptown. Vacant real estate spaces reinforce negative perceptions of the neighborhood, adversely affecting the marketability of the property and their potential rents.

Existing retailers will also face hardships with increased competition. New shops will have better facilities and more modern space, which could drain sales, as could competition from chains in some product lines. Stone, *et al.* (undated) in their economic impact study of big-box type chain stores vs. local merchants in Mississippi highlighted two general and conflicting rules-of-thumb: First, chain stores attract high volume traffic, and the spills-over effect of this traffic may positively impact the smaller merchants; second, small, existing stores may suffer a reduction in sales because they can not compete with the chain stores. While no big box stores are planned for Uptown, the

lesson here is that new businesses and the current stores should complement each other's business needs rather than sell competing merchandise.

4.2.2 Economic Impact of Neighborhood Services

In considering the Uptown Consortium's neighborhood services initiative and its potential economic development impact in Uptown, the partnerships with local residents create opportunities for local communities to gain education and skills. The development projects will create jobs, and a more able and better trained workforce will contribute positively to economic development. Other benefits of the neighborhood services are that:

- They will keep young kids in school thereby producing more productive future citizens;
- Health education will help in preventing disease and instilling healthy habits for life, and
- With the improved conditions provided by the development projects, communities will potentially be socially and economically more viable, with improved social harmony and improved safety.

Ideally, existing residents will notice improved social and economic conditions and attempt to reinforce them. Involving them in a serious way will also give them a feeling of ownership of the development efforts. They will see themselves as important stakeholders and support the developments in a more sustainable manner by reinforcing the Consortium's efforts. They will also be more likely to shoulder new responsibilities such as helping to maintain social harmony and safety in the Uptown area. Of course, the community is already involved to some extent with public safety as the public safety initiative of the Uptown Consortium is promoting a program of intelligence gathering (coordinated through the neighborhoods to target hotspots of potential crime) and is creating an Uptown Safety Forum with regular meetings to bridge gaps between law enforcement and the community (Uptown Consortium 2005). All of these improved neighborhood conditions also lead to increased homeownership and an increase in property values.

4.2.2.1 Economic Impact of Perceived Safety

Safety is critical to all efforts of the Uptown Consortium, since a perception of better safety and a higher quality of life in Uptown is vital in attracting businesses and residents to come live and work there. Thus, project designs have attempted to support safety. New mixed use development and the commercial areas are pedestrian friendly and will generate pedestrian traffic. The increase in foot traffic and visibility, coupled with lights and safety enhancing landscapes, will further increase the perception of safety.

Most new occupants are expected to be affluent families. If they buy homes in the area, the low homeownership rates in Uptown will rise. The market streets will be busy during business hours, but due to the planned mixed use and occupancy of the area, even during off hours, traffic will continue. This continuous traffic will further improve the perception of what were formerly uninhabited business areas. This increased movement in turn will improve neighborhood safety. Finally, as stated earlier, increased safety will

attract people to live and buy in the Uptown area, and this will create demand for real estate and increase property values.

4.2.2.2 Economic Impact on Property Values

Typically, real estate developments have enormous externality effects. For example property near a golf course will have a higher value than near a garbage dump. This means that the market value of properties and, therefore, their occupancy, both increase if the surrounding properties have quality developments (positive externalities). On the contrary, negative externality effects like blight or poor safety can mar the potential marketability of a property and also its value. The new developments in Uptown are of high quality construction. Just their sheer presence in the area should positively impact property values.

On Existing Housing

If the new housing is occupied quickly, which seems to be the case with the success of Stetson Square, it will have positive externality effects. If not, then it will have a serious negative effect on the existing stock. Furthermore, if the new residential developments are successful, there will be an increase in demand for housing. This will raise property values, and rents will soar. This increase in property value will encourage owners of existing housing to invest in their homes. Consequentially, in the long run, improved housing stock can be expected. Some owners will invest in their homes and, after refurbishment, will supply them to the housing market. Those potential buyers with low purchasing power but with a desire to live in the Uptown area represent the market for this refurbished housing.

The supply of new student housing fitted with state-of-the-art amenities that has already come on line has established a benchmark for other private student housing in Uptown. The students living in exiting housing will possibly demand higher quality maintenance and facilities. This will induce fresh investments in the existing housing, which is currently occupied by the UC students. All of this taken together will contribute positively to the economy.

On Existing Retail

The clustering of mixed use activities, an increase in total retail space, improved retail quality and pedestrian friendly shopping have the potential to draw customers from the larger region. If this mix is successful, the trade area will grow as it becomes a major retail destination offering a variety of shopping and dining options. The increased trade area and the increased customer base (new residents) will improve business potential and thus sales volume, leading to an increase in revenue, increased demand for retail space and hence higher rents.

4.2.2.3 Economic Impact of Increased Spending on Retail by New Residents

The final occupancy rates of the residences and retail will determine the success of the new real estate development in the Uptown area, with high occupancy rates having positive economic impacts in the local economy since the expected affluent families will have high disposable income. The new and the existing retailers will provide high

quality products to match the expectations of this group and will offer more variety to all living in Uptown. The increased sales and profits that are generated will increase the employment opportunities for long time residents of the Uptown neighborhoods, especially in creating opportunities for unemployed youth to be absorbed.

4.2.2.4 Economic Impact on Existing Businesses

The entry of premium, but traditional retailers in the Uptown area could have dramatic impacts on existing small retailers. Depending on the type of retail that comes to Uptown, the new stores will have both positive and negative impacts on the existing shops. More positive economic impacts will result if small retailers cluster in Uptown.

Some existing stores may face hardships in the short run as they adjust to the influx, but the competition provided by new stores will positively impact the business practices of existing retailers. The existing merchants will be pressured to upgrade their stores and businesses, and the new competition will induce higher productivity, efficiency and higher returns to the existing retail owners.

It is also expected that more students with higher purchasing power will live in the Uptown area. These are students who were formerly living far from UC in suburban areas. With this increase, however, student spending in the area will go up and business potential will also rise.

In addition, the new retail, depending on the mix, could attract customers from a larger region than at present, which will increase business potential for both the existing retailers and the new merchants.

4.3 Economic Impact on the Region beyond Uptown

The overall aim of the Uptown Consortium is not only to improve socio-economic conditions in the Uptown but also in its surrounding areas. It is important that the effect of the Consortium's redevelopment extends to larger region.

The downtown area is the closest business area with similar mixed use development as is being constructed in Uptown. Many respondents to the interviews conducted for Chapter 3 have suggested that the Uptown area should be careful not to compete with the existing businesses, not only within Uptown, but also in the downtown area. The reason is that for businesses to move from downtown to Uptown is not good for the city as a whole. This type of movement, if it persists, would be a zero sum game for the larger region. Blair and Kumar (2005) have explained a zero sum game in real estate by using the example of two competing areas where one area gains investment from the other and businesses shift to this seemingly more attractive location. Businesses are either promised incentives at this new location, or they seek improved business opportunities there. In the event of this shift, the other area also loses the economic benefits, which the businesses previously exerted on its local economy, both directly and in producing externalities. Thus, if the Uptown area and downtown Cincinnati compete with each other, there is an intrinsic threat that the region as a whole will not gain at all.

4.3.1 Economic Relationship between Uptown and Downtown

The Uptown and the downtown represent two giant economic concentrations. There are almost as many employees working in the Uptown area as there are Cincinnati's Downtown. The Uptown Consortium is also looking beyond the Uptown area. For example, it is working with Findley Market in the Over-the-Rhine on redeveloping some properties around it. Another collaboration is an attempt to improve Clifton Avenue in order to create housing opportunities between Uptown and Findley Market. This could help Over-the-Rhine neighborhood. The feasibility of using trams and trolleys to convey traffic between these two destinations is also under consideration.

Some respondents during the interviews suggested that an aesthetically designed transportation link between the Uptown and downtown will bolster the two economic concentrations, and that this will also benefit the areas in between. The importance of a corridor between high tech Uptown and the downtown business district is immeasurable.

4.4 Future Opportunities for Economic Activity (the Big Five)

A summary of Uptown's resources includes the following advantages:

- Uptown is the biggest cluster of major specialty hospitals in the region and contains more than one third of all hospital beds in Greater Cincinnati;
- Uptown provides excellent medical research centers, as well as the best research facilities, labs, workshops and libraries in the Tri-state, and
- Uptown contains many other important institutions, such as one of the EPA's largest research centers, the main offices of the Cincinnati Public Schools and a wealth of cultural and entertainment attractions.

The University of Cincinnati and the other four partners comprising the Big Five can exploit their current research potential and can potentially build a cluster of knowledge based research parks. The literature shows that, in the past, universities have exploited their role as a critical element in high-tech industrial growth and, most recently, in the flourishing of "smart zones." For example, the proven success of Silicon Valley (with Stanford as its intellectual nucleus), Route-128 in Boston (with MIT as its intellectual center), and Research Triangle Park (supported by Duke, the University of North Carolina, and North Carolina State University) are noteworthy. These clusters of research and knowledge based companies have drastically altered America's economic landscape. Similarly, UC with its many top rated health facilities can potentially play a larger role in the economy by networking and by providing required support to the industry (Logan and Molotch 1987).

With the availability of quality business space (in new commercial office space near UC) in the Uptown Consortium's newly created real estate developments, UC has the potential to capitalize on increasing its R&D support to the corporate sector in a more aggressive manner. UC can, for instance, foster joint-partnerships with corporations and establish round the clock research centers in Uptown. Cincinnati, which is home to 10 Fortune 500 firms, 17 Fortune 1000 firms and more than 300 foreign-owned firms in its 15-county region (Chamber of Commerce 2006), currently lacks such round the clock research centers.

The health sector and its related research are a key strength of Uptown. Biotech and medical research are important areas to exploit in the future. Two economic development agencies, one that incubates small businesses, and the other that links technology companies and businesses with each other, are found in Uptown. They are Bio/START - Uptown's biotechnology venture incubator, and CincyTechUSA - a regional partnership to foster the growth and success of technology companies.

Research potential can be leveraged and explored further to fulfill industry needs. Exciting work in the biomedical sciences and technological fields make Uptown an economic development engine for the region, a fact that has local, national and international impact. Respondents during the survey felt that this could be one of the important economic development activities in Uptown, which UC is well capable of delivering. Looking at these considerations, it is clear that the Uptown area has enormous potential to become an even greater health hub, center of excellence and center of innovation in related research. Thus, the Uptown Consortium is working on the feasibility of building a research and commercial ventures park for Uptown.

While the University of Cincinnati is an obvious force in the Uptown area with even greater potential, as has been reviewed in this section, it is important to review as well how it can cooperate with and benefit the community in which it is located, that is the neighborhoods of Uptown. Chapter 5 now considers this question.

Chapter 5: Community Development

5.1 Introduction

Like many other buzzwords, community development means different things to different people. According to Hudson (2004: 250), community development is “an identifiable concept with core social justice values.” While the term, in general, suggests grassroots efforts to improve people’s local economic and social conditions, the approaches by which it can be achieved have been both challenged and transformed over the last few decades. Twelvetrees (1991) has defined community development as “the process of assisting ordinary people to improve their own communities by undertaking collective action.” Other definitions of the term similarly consider community development as efforts that result in capacity building (the capacity of local populations to respond collectively to events and issues that affect them. Combined, community development stresses both “support” and “assistance” through collective action. For others, environment and social justice seem to be the underlying themes of community development, or, as some have defined it, “community development becomes an expression of the social justice values of fairness and equity (p. 252).” But the significance of the concept of community development lies in the ways in which it would be possible to mobilize or leverage the local resources. This is why the idea of community development and social capital become intertwined although both concepts are somewhat illusive and hard to define.

Nevertheless, the flurry of research on both concepts in the last few decades could help outline some significant directions for assessing community development efforts in Uptown. Each of these directions addresses different aspects of the environment, social justice (equity) interface. For example, investments in physical capital or place-based policies could assess the environment factor, while investments in the social capital or people-based aspects could help assess the change in the social justice factor of community development.

The linkage between social capital and community development emerges from changes in the perception of what constitutes community development. During the 1980s, the concern of community development revolved around service delivery and “consumer participation in the planning administration of services,” (Meekosha and Mowbray 1990). The subsequent shifts in the social and economic priorities of communities to encouraging communities toward more accountability and responsibility rather than consumption have transformed the perception about community development. The contemporary notions of community development move away from social justice defined in terms of redistribution and move toward self-help, participation, and empowerment. The emphasis on participation has made the concept of social capital more relevant to community development. Social capital, in its basic form, implies the involvement of communities in creating informal and voluntary networks of associations. As such, healthy communities are believed to have high doses of informal social networks.

5.2 University - Community Partnership and Community Development

Urban universities continue to play major roles in revitalizing the neighborhoods within which they are located. Part of this increasing role in neighborhood revitalization arises from the fact that no institution alone can revitalize impoverished neighborhoods, which are typically plagued by high rates of unemployment and crime, on the one hand, and low homeownership and educational attainment, on the other.

Against such a backdrop, community - university partnership goals and expectations should be set up explicitly and realistically (Baum 2000). While the overarching goal of the university - community partnership is improving community conditions, it is often times subject to misinterpretation and confusion. These tensions arise from the lack of clarity of purpose and possible ambiguities associated with the partners' roles, relationships, and expectations (Baum 2000). On the one hand, every partnership seeks to improve community conditions by leveraging the resources of the parties involved in the partnership. For example, the partnership can target tangible physical problems based on a realistic needs assessment. Building new housing units, redeveloping the local business districts, and improving the local safety conditions through increased police presence exemplify specific actions taken based on a local needs assessment. On the other hand, unrealistic goals and expectations and rising ambiguities may backfire by increasing the sense of mistrust between the parties involved, i.e., between the community and the university. For example, blight removal without explicitly and realistically defining blight - especially from the standpoint of the local residents - might result in community opposition and resistance.

The UC partnerships with the communities surrounding it, in some cases, illustrate both of these points. The first observation has to do with addressing specific physical needs, such as housing, which caters to different groups, such as students. As described in detail in Chapter 2, UC has partnered with local communities on several redevelopment projects with the realization that such endeavors could significantly improve local physical, economic, and social conditions in Uptown. To this end, UC has made a commitment to provide \$325 million of redevelopment funding for revitalizing the surrounding communities. The partnerships have utilized various mechanisms, such as forming CDCs, to achieve their redevelopment goals, including providing 500 market rate rental housing units, 250 new owner-occupied and 200 rehabilitated single family homes, and injecting 150,000 sq ft of new retail space and 200,000 sq ft of rehabilitated space, new business space, and business incubator spaces to the area.

Notwithstanding these sizable investments in physical capital and infrastructure, there are indications of growing "fantasies" (Baum 2000) alongside mutual expectations, responsibilities, and promises. Some of these so-called fantasies reflect the community residents' perceptions about the nature of the redevelopment. According to Gregory Korte's short article in the Cincinnati Enquirer (May 11, 2006), "In some neighborhoods, the university has been viewed as the dominant force behind ambitious - and sometimes controversial - redevelopment projects. They include the Stratford Village off campus housing project on Clifton Avenue and the Calhoun Street Marketplace shopping district" (p. C1). The concerns reflect a wide range of issues from the scale of developments, to

their marketability and affordability, to mutual trust and true university - community partnership.

On more than one occasion, the interviewees in the research done for this study expressed concerns regarding the tensions between housing supply and housing affordability. Misgivings about the redevelopment plan of Uptown, for example, arise from the President of the Mount Auburn Community Council, Dr. Stanley Broadnax's remarks that, "70 percent of people, who work in the Uptown, including the nurses, teachers, janitors, and so on, cannot afford the condos in Uptown." Regarding affordability, he suggests looking at the percentage of total residents of the area, "people who lived here for years - not those who come from elsewhere - but those who lived here." The important aspect of the demographics of the Uptown area lies in the role of local residents as assets. For example, according to Assistant City Manager Scott Stiles, "senior citizens are a valuable asset because they bring experience to the campus. Experience that can rub off on the student population; but this discussion about attracting senior citizens to the Uptown Region gets back to the original point about safety. The perception of safety must be addressed, if these things we are discussing are going to happen. Safety is an impediment that must be overcome for the Uptown Region to be viable." Other interviewees, such as Dr. Broadnax, raise concerns about affordability, which involves those who might be seemingly employed but may be "chronically unemployed," or those with a felony on their record, or if they have a GED.

According to Matt Bourgeois, Interim Director of Clifton Heights Community Urban Redevelopment Corporation (CHCURC), the condo market has ramped up in Cincinnati in the last couple of years, and high end condos (ranging from \$225,000 to \$260,000) have picked up as well. However, Sister J. J. Jiuduce, who is a consultant to the Fryer's Club, believes that "it is extremely expensive to be poor," and questions the new condos' affordability. She maintains that, "in order to afford to stay there [in Uptown], you need to make at least \$70,000 a year." To elaborate her position on the lack of affordability of the new housing in Uptown, she uses the following figures: \$770 a month for efficiency apartments; \$990 a month for one-bedroom units; and \$1,903 for rentals. She also notes that the homeownership rate at the Uptown area is 23.5 percent compared to the city of Cincinnati's 39 percent. She further emphasizes the importance of what she calls "workforce affordability," or units for those who make between \$35,000 and \$40,000 a year in an area that has "lost 75 houses since 2000." Based on 33 percent of income used for housing, according to HUD's definition of affordability, she believes that the new developments in the Uptown neighborhoods are affordable to those with \$60,000 income, and she expresses concerns about households living in the area who would only be able to afford an efficiency unit at Stetson Complex.

While the new housing stock is a sign that the UC - community partnership will fill a major local gap in the Uptown area and is expected to transform UC from a predominantly commuter campus to a more urban and residential destination community, its limited affordability seems to be a common theme which emerges from the in - depth interviews. Critics fear that the new housing market might inadvertently result in the displacement of a portion of the local population who has been long term residents of the

Uptown area. Part of this concern comes from the fact that the median income of Uptown (\$22,674) is lower than that of Cincinnati (\$29,431). Nevertheless, there are those who believe that the rich and diverse housing stock of Cincinnati is a great asset, which can potentially draw people to the city. For example, one of the things Dwen Chester, Director of Neighborhood Services of the Uptown Consortium, has noticed coming from Louisville is that Cincinnati has gorgeous housing stock, and its potential is enormous. She thinks once these properties have been rehabbed that they will be just as beautiful as new housing. She believes people will want to purchase them. There are others, however, who fear that the overstock of new housing units might not be filled any time soon. While the first criticism has implications for the social justice aspect of community development, the second critique questions the market absorption rate. Both of these views affect community development conditions in tangible ways.

5.3 Community Development and Community Organizing

Having discussed the importance of explicitness of objectives for forging any type of university - community partnership, a key question arises. The question has to do with the intentions and mechanisms through which the goals of partnership are expected to materialize. Typically, universities and communities forge partnerships for mutual benefits and expectations. The benefits include sharing a better environment physically, economically, and socially. Mutual expectations underscore the importance of reciprocity. Communities and universities share and leverage their own resources with the realization that the other party would reciprocate. This point came up clearly during the interviews regarding the Uptown area. The community expects UC to get involved in the revitalization of the surrounding neighborhoods. According to Mr. Jim King, Executive Director, Avondale Redevelopment Corporation:

Cincinnati is a strange city. The Uptown should expand its boundary to make the connection with Mt Auburn and downtown. So, if the University says all I do is my campus, it is not enough. The fact that they booked at Avondale is good because the hospital by itself didn't have the courage to say to do it, and UC's leadership has had a positive role. If everybody knows where the gaps are (the University, Children's Hospital), they will play their roles. We need to show there is community ownership in phase one of development around the campus, not just extend UC's ownership. Otherwise it will not work. If at the end of the day, the community is better off, it is good, not like what happened to Norwood.

The question raised earlier has to do with the overarching aims and objectives that undergird such partnerships; specifically, whether the aim is community development or community organizing. While both terms overlap, each has its own key characteristics. For example, community development mainly focuses on "building buildings" (Stoecker 2003: 494), while community organizing stresses empowerment. According to Stoecker, community development complements community organizing in that building housing and creating jobs would not mean much without community empowerment. However, in

practice, building the bricks and mortar of community in the form of housing and retail centers seems to be much easier than combating marginalization and disempowerment. Using the same argument here, it would not be hard to conclude that while the UC - community partnerships have been more successful in community development, community organizing and capacity building remain to be done. The preponderance of such partnerships lies in the ability of the university to “complement its traditional roles of teaching, research, and service” (Gilderbloom and Mullins 2005). Generally, the university’s ability to provide and control such services asymmetrically could create potential problems of trust and increased fantasies within the community. It is only in an atmosphere of mutual trust and equity that true partnerships can sustain and result in community empowerment.

Community empowerment and community organizing typically aim to involve the local residents in the decision-making process and policy formulation. But what mechanisms ensure the active involvement of the local residents in the decision-making process? Building community development organizations is one way “to develop a strong, viable, and continuing organization” (Blakely 1994: 316). Indeed, developing such organizations would not mean much without what Blakely considers the “inventory of area resources” and “selecting strategies.” Such resource inventories encompass the physical assets, as well as the community’s social and individual assets and talents. The local social assets may include grassroots organizations, local churches, chambers of commerce, clubs, schools, and, of course, the local leadership.

Furthermore, one of the main concerns of community development is to ensure that marginalized people are not inadvertently harmed through the redevelopment process. One such concern for UC was the affordability of the new housing stock - especially for lower and moderate income groups. To the extent that these individuals are not negatively affected by the redevelopment efforts, the community organizing process may be promising. It should be noted, however, that since some of the current projects are still underway and ongoing, and any kind of prediction with certainty seems premature. Time will show the extent to which community development and community organizing might be occurring simultaneously.

Time plays an important role in whether CDCs succeed in their efforts or not. In many instances, CDCs across the nation have engaged in building new housing as an initial part of the community development process. However, with the passage of time, those CDCs have shifted their emphasis from housing to other important social and community-wide concerns, including property management and crime and drug prevention. In examining CDCs over time, Mercer Sullivan (1993) has found that many CDCs have taken on developing local leadership, as well as anti-drug and anti-crime efforts once they have become more established. This is important since UC can also gradually shift its focus from building more housing to helping local residents in fostering a sense of safety and engagement in property management. Shifting the focus from brick and mortar need not necessarily be abrupt, especially when some people consider safety and physical improvements to be connected. Dwen Chester thinks that public safety is a major issue, but she thinks a balance can be struck between housing and safety. Especially when

people talk about affordable housing, the Uptown Consortium needs to look into ways to help people afford these types of housing.

Other concerns have been raised about the overstock of retail and new businesses. In a recent article in the *Cincinnati Enquirer* (March 30 - April 2, 2006), Joshua Rinaldi states that, “despite claims as recently as October 2005 that the Calhoun Street Marketplace stores were filling up, only 5 leases out of a potential 12 have been signed (p. 1).” The article goes on to say, “The organization fell short of its original goal to fill the storefronts by last fall, according to Matt Bourgeois, the Director of the Clifton Heights Community Urban Redevelopment Corporation” (p. 1). In other words, the new redevelopment efforts are questioned on the basis of absorption rate.

The other point which merits attention is whether there are realistic expectations among the partners. The concern that has been raised is whether the University, with a significantly higher financial investment than the community, should expect an equal say in local decisions or not. In other words, should the amount of investment and funding determine the amount of political clout in the decision-making process, or, should both partners have equal roles in the decision-making process irrespective of their investment capacities. Answering this question is very important and can either enhance the realistic expectations of the partners or can feed into what Baum calls “fantasies” and unrealistic expectations.

5.4 Community Development and Social Capital

One of the issues associated with the extent to which community development efforts are successful or not pertains to social capital. As mentioned previously, while community development efforts have typically focused on building structures, be they housing or business and retail, they also aim to build communities through enhancing social capital. Broadly speaking, social capital consists of local informal social networks, which are based on trust and reciprocity (Putnam *et al.* 1993).

Trust and reciprocity reflect important aspects of a healthy community without which people would not feel motivated to participate in the local decision-making process. The significance of trust building in community development initiatives stems from decades of growing mistrust between residents and the unintended consequences of anti-poverty government policies. Among other things, community building efforts seek predominantly to restore the communities’ self-confidence and self-reliance. In order to gain self-confidence and self-reliance, a community needs to feel in control of its human, physical, and social assets. That is why community building efforts are closely associated with various activities, including asset mapping and taking stock of social capital (i.e., the informal networks of social relations) and physical capital (i.e., brick and mortar such as roads, buildings, and parks).

As discussed in Chapter 2, the Uptown area is endowed with different types of social and physical assets. Its physical capital includes proximity to the downtown and major local and regional institutions such as UC, the Zoo and Botanical Gardens, Hebrew Union

College, major hospitals and medical centers, parks, a few business districts and its housing stock. Its social capital includes several churches, local clubs, and grassroots organizations.

Community building or capacity building as a manifestation of social capital has gained a special prominence over the last two decades for its emphasis on creating or enhancing local networks of civic institutions and their roles for effective governance (Kingsley, et al. 1997). In its latest move to reduce possible conflicts in its community development efforts, UC has pulled its representatives from the boards of five nonprofit neighborhood groups. According to Dale McGirr, then UC Vice President of Finance, this decision was “simply a governance question” (*Cincinnati Enquirer*, May 11, 2006: C1).

Indeed, one way to encourage community building is to balance and relegate more responsibilities to local residents. These responsibilities may range from generating employment for particular groups and gaining control over the local economy to inspiring self-help and cooperative group-oriented assistance (Blakely 1994). In this context, UC’s decision to pull its representatives from five local CDCs would be encouraging, even though the decision might not be readily perceived as such. But having good intentions alone may not be adequate for ensuring social participation and discouraging exclusion and inequality. Encouraging social participation, and, hence, helping create social capital requires respecting and celebrating difference. Considering UC’s role in the redevelopment of the public realm and public spaces in the Uptown area through what Bothwell *et al.* (1998) call the “architecture of engagement,” it could play an important role in celebrating difference. Nevertheless, it is critical to realize that such spaces should not inadvertently deny access to certain social or community groups (Lloyd and Auld 2003). Community building takes time, attention, and open dialog among all parties involved.

The general community development recommendation would be to encourage the Uptown Consortium to diversify its involvement in forms other than housing and real estate, such as job formation, supporting business start-ups, self-help, and community policing. For example, Burnet Avenue’s proximity to Children’s Hospital provides ample opportunities for job formation for the local residents as part of the area’s revitalization plan. Such efforts can be pursued in tandem with upgrading and retrofitting Burnet Avenue’s business district. The interviewees for this study underscored the importance of the hospitals in creating local employment opportunities. Given that healthcare is an important field for Uptown, Dwen Chester suggests that the Uptown Consortium could identify positions that are hard to fill for the Uptown employers and then train workers to fill those positions.

Similarly, Jack Huelsman, Senior Vice President of Operations, Cincinnati Zoo & Botanical Gardens, points out that there is a serious nursing and medical technical shortage, and that there’s an opportunity to have two to three schools for medical sciences. Huelsman further suggested:

Looking at the institutions within the area, and seeing what products/services they buy, why can't we implement businesses that support their needs? Cintas, for example, is the biggest provider of uniforms. Dick Farmer, the owner, is one of the wealthiest men in Cincinnati. My suggestion was to build an Avondale distribution plant and give part ownership of people trained to manage this plant; under these circumstances, we, the businesses of Avondale, would buy exclusively from you. Have a local service center to better address our needs. This would create many jobs, while giving a small part of ownership to local business entrepreneurs. This idea (and ideas like this) is the only real way to implement change.

Huelsman also believes that:

It's a benefit to have someone like the local guy who we hired to tear down those houses; for that kind of work, it put him on the map, and I think he then got to work with UC. It's also a benefit to mandate that we sub-contract out to minority firms, where the larger groups like Turner (Construction Co.) mentor these smaller, minority firms. We don't write into the contract that they have to have minority sub-contractors; it must say minority community partners! They need to be mentored and to learn, but they should have a small part of the profit. They need to have an interest in their community.

Focusing on community policing is another possibility for Burnet Avenue, since UC's community policing efforts with the Cincinnati Police Department have been fairly successful in the area and have not only raised student and community awareness about crime, but have also contributed to reduced crime in the area.

The literature on community building and community organizing emphasizes comprehensive strategies, which seek to improve the general conditions and the quality of life of residents of impoverished neighborhoods by investing in their social and physical assets. However, as Kingsley *et al.* (1997) argue, adopting a comprehensive approach to community development does not mean to try and do every thing at once. Certainly, carrying out physical improvements to the Uptown area prior to capacity building has merit because investing in physical capital is easier and probably less time-consuming than investing in human and social capital. That is, upgrading and diversifying the housing stock of the area could precede community building or community organizing. Hence, at this stage, particular attention should be paid to identifying and capitalizing on local social assets and leadership. Having the local leaders as members of the CDCs could enhance people's participation in making local decisions. Throughout the in-depth interviews conducted for this chapter, it has been observed that leadership in some local churches has expressed interest in more involvement with UC and the Uptown Consortium.

5.5 Summary

Chapter 5 has provided an overview of the interdisciplinary literature of community development and revisited concerns expressed in dealing with university - community partnerships. Concomitant with university involvement in local community development, efforts recognizing these potential areas of concern help raise awareness and promote understanding between universities and communities. Hence, this chapter made a distinction between the fantasies and realities of community - university partnerships by outlining the roles and expectations of the parties involved in the partnerships. Another point raised was the distinction between community development and community organizing. While community development typically focuses on building buildings, equal emphasis should be paid to social capital and empowerment of local residents, or community organizing. Chapter 6 now turns to one of the major challenges facing this effort.

Chapter 6: Safety, Design for Safety and Defensive Space

6.1 Design, Crime and Neighborhood Safety

6.1.1 *Environmental Safety in Uptown Cincinnati*

One of the greatest challenges facing the redevelopment efforts in the Uptown area is the issue of safety. Safety is a complex issue. This complexity includes questions of effectiveness of increased police presence, community responsibility, regional youth programs, job training, employment opportunities, physical design elements, social inequity, racial tensions and factors taking place on the national level. The difficulty in creating safety is that improvements in only one of these areas will not succeed in improving conditions. Only a strategy for approaching the question of safety holistically will have an impact. Currently, the issue of safety in Uptown is very real, and many involved in the development effort believe that if the issue of safety is not resolved, then the efforts to revitalize Uptown will fail.

6.1.2 *Relation of Uptown Safety to City Safety*

The Uptown is a good example of an area that struggles with clusters of crime. In Uptown, this was exacerbated by the racial riots in 2001. After the riots, no dialogue occurred between the city police department and neighborhood residents. This is very different than what happened after the 1968 civil riots in Cincinnati, which were sparked by the assassination of Martin Luther King. After those riots, police officers were given training to help them to empathize with the African-Americans they encountered while on patrol. The police were encouraged to help these citizens see that the police were patrolling their neighborhoods to protect them. At times, African-Americans who encountered these officers did not know how to deal with this idea and were mistrustful of the police officers' true intentions.

The lack of dialogue between officers and the communities in Uptown since 2001 has led to ever escalating tensions between a police force composed of a majority of white officers and African-American residents of the Uptown neighborhoods. This situation has reduced the individual police officer's effectiveness on the street. Oversights by the city have also made this situation worse. At Christmas, most officers who patrol the Uptown communities are reassigned downtown for an entire month. Thus, it appears that Uptown residents are seen as second class citizens in comparison to the residents of more prosperous neighborhoods who shop downtown during the holidays. The city has also made it difficult for citizens to get in touch with their neighborhood officers when they are on patrol. In Corryville, for example, the officer on patrol is not able to be contacted by cell phone, but only through his pager. If one tries to call the police district directly, then it is necessary to talk with the switchboard operator and wait as he or she is routed through the system until the appropriate officer is located.

Moreover, there are not always enough officers on the street. Corryville residents, for instance, are very concerned with drug deals and petty crime. Alex Hausel is the current community officer in Corryville, and he has been working in Corryville longer than any other current policeman. He is a bike cop, and the Short-Vine business district is his beat. Foot patrols and bike patrols are very helpful because they put policemen on the

ground; they do not simply drive through in a patrol car. When Alex is working, the criminals are not present. However, when he is off duty, there is nobody there to replace him, and the criminals come out to deal drugs. This situation is not very helpful if a citizen sees a crime taking place in his or her vicinity and wants to notify Alex about the occurrence when he is off duty.

The most significant factor of the 2001 riots is that they fundamentally changed the individual officer's presence on the street. Officers have stopped being proactive out of fear of being perceived as racist. There are a large number of poor people in the Uptown area. Of these poor, a large majority are African-Americans. Based on this, many more African-Americans than whites are questioned after criminal events, and this makes the local African-Americans think that they are being singled out by the police force. Consequently, police officers have become hesitant to stop male African-Americans because of the potential of political backlash even though, statistically, it is the fifteen to twenty year old African-American males who are the ones committing the highest percentage of crimes in the Uptown area. In relation to this demographic fact, Cincinnati police officers are acting defensively. This puts the officers' ability to prevent crime at a serious disadvantage. Steps that the police are taking elsewhere in the city to reduce crime are affecting the Uptown area. Thus, the saturation of officers in Over-the-Rhine is pushing criminals up the hill into Uptown. Crime is, in fact, not stopped by the presence of police, but instead is shifted to another location.

The Uptown area also has the fundamental problem of being divided by two police districts. Currently, the area is overseen by the joint jurisdiction of police district 4 and police district 5, which share their north-south boundary along Jefferson Avenue on the East side of the University of Cincinnati's main campus. The major draw back for this situation is that the two districts are treated differently by the city. District five, which is on the west side of the Uptown area, contains the neighborhoods of Clifton, University Heights, Fairview and Clifton Heights. This district is the second safest district in the entire city.

District six, on the other hand, stretches from Over-the-Rhine parallel to Reading Road, and it includes the Uptown neighborhoods of Mt Auburn, Corryville, and Avondale. District four is perceived as one of the most dangerous police districts in the city, and, because of this, the police district must make its resources cover the entire area, much of which is outside of Uptown. In both cases, the districts are being under-funded by the city. The poor communication between the districts also raises questions of the efficiency of this system.

6.1.3 Increase in and Types of Crime

As was mentioned previously, another aspect of the overall safety situation in Uptown is that the average person committing crimes in the area is a male African-American between the ages of fifteen and twenty. Thus, many of these criminals are considered juveniles in the courts system, which makes the threat of arrest a weak deterrent because more often than not these youths are back on the street with in a few days. Petty crimes

in the Uptown area have increased to the extent that unless an officer sees a crime taking place, there is very little he or she can do about it

6.1.3 Safety and Economic Development

The issue of safety in the Uptown is vital for the area's economic development. Businesses won't locate in Uptown's new developments if safety is not apparent. Businesses rely on safety in order to attract customers, maintain their establishments and make a profit. Unless the perception and reality of crime in the Uptown area change, very few businesses will be willing to take the risk to open in Uptown neighborhoods.

The safety of the Uptown area also has an impact on student admission and retention rates at the University of Cincinnati. A majority of students, who attend the university, live off campus in the Uptown neighborhoods. These students live mostly in Clifton Heights and Corryville. There are an estimated 3,000 students residing in Clifton Heights alone. By living in these neighborhoods, students put themselves at risk for crime. The overwhelming majority of students who are victims of these petty crimes are intoxicated and returning home from bars or parties late at night. These young, unaware college students are easy targets for the teenagers from Over-the-Rhine. On the UC campus, safety officers can ask people about their business. This makes the University much safer than the Uptown neighborhoods. Off campus, in the surrounding neighborhoods, Cincinnati police officers cannot ask questions of potential perpetrators. This leaves the criminal element free to prey upon students and neighborhood residents. The perception of a safer Uptown would not only attract more students to UC, but also discourage potential offenders from committing crimes.

Many of those interviewed in-depth for this chapter posed challenging and critical questions regarding neighborhood safety, with the majority viewing increased safety as intertwined with the signs of perceived vitality and revitalization in the Uptown area. Experts on crime state that "safety is a process," but many wonder if the Uptown Consortium is doing everything it can to address this process. Since the creation of the Uptown Consortium, there have been many discussions about what needs to happen to improve the reality and the perception of safety, and the issues regarding what can still be done that have emerged through this research will be discussed in the following sections of the chapter.

6.2 How Does Community Policing Work?

Communities are a key player in reducing crime in the Uptown area. To understand the impact of community policing must first examine the criminal's mental process. To begin one must understand the theory of the "problem triangle," which is made up of the victim, the offender and the location. The most under-addressed issue in the development of safety in urban renewals is location. The police force is oriented toward catching the offender, not upgrading the environment or educating the victim. To understand where crime might take place, it is useful to explore the rationality of a potential offender's decision with regard to the location where he or she will commit a crime. For example, neighborhoods that evoke no sense of collective ownership and are

known for their ambiguous public spaces become potentially suitable locations for criminal activity.

Another theory, the rational choice perspective, which focuses more on opportunities and less on the propensity to commit crime, overlaps with the concept of defensible space, and examines the criteria on which criminals make decisions. These criteria include: risk, reward, effort, and excuse. How does an offender make decisions? That is, what is the risk of committing a crime, getting arrested, incurring physical harm or being chased off? What is the reward from the crime? What is the effort needed to commit it? Is it easy or hard? What working with communities can accomplish is to change the reward and effort equation.

6.3 Community Role in Crime Prevention

Community unity is an important tool for creating inhospitable environments for criminality. In a community which has a high percentage of home owners and a collective sense of identity, crime rates tend to be low no matter what the economic level of the residents. The residents have a sense of community. Renters even feel at home in those communities. It is home. As long as this is the case, they will be safe because the community members care about their community. A good example of this is that in Corryville elderly African-American women who own their own homes and have lived in the neighborhood for a long time do not feel insecure or have fears regarding their safety. It is the visitors to Corryville, or people who commute there for work, or who live in the rental units of apartment buildings who have the highest chances of having crimes committed against them. The permanent residents have an unofficial network that intimidates criminals for they know there is a higher chance of being caught. In contrast, Avondale around Burnet Avenue is composed of a lot of closed store fronts and vacant residences. In this environment, the residents are fragmented, and everyone is concerned for their safety.

Many people gauge a community's level of safety based on appearance. A high proportion of owner occupied housing in a neighborhood will tend to be reflected in higher maintenance of the common areas of a neighborhood. It will tend to create neighborhood block programs and neighborhood councils, which will apply for grants from the city and nonprofits to clean up their neighborhoods. A good example of this is Clifton. Recently, this community received a small grant to improve the neighborhood. The money was spent to improve safety. Clifton is the safest neighborhood in the Uptown area because of the heavy pedestrian and automobile traffic along Ludlow Avenue. This presence of "eyes" and "ears" on the street makes people feel safer because they know if anything happens others will be there to call the police on their behalf.

Thus, the determining factor for the reduction of crime in the Calhoun Street development area is the willingness and ability of community dwellers to take ownership of their neighborhood to make it safe. Unless the inhabitants understand they have a responsibility to themselves, there is not much the police can do to protect them. People deter crime.

There are no extra resources for community policing. One cannot sustain block watching with a dysfunctional community. First, citizens on patrol could assist the police by reporting suspicious behavior and crimes in progress. In Corryville, however, this process cannot begin as there is not even a system in place to complain about suspicious people.

How, then, can people acquire a sense of connection to their communities? First, it is necessary to identify community stakeholders who have a stake in creating safety. The focus should be on community problem oriented policing (CPOP). Strategies should be developed to help improve the safety of communities, and “handlers” identified. These are people in the community who have influence over offenders and potential offenders. In community policing, it is critical to make sure these people are involved in order to lessen the propensity of offenders to commit crimes.

Community assets must be brought to bear. Broadly speaking, these include social capital (i.e., informal social networks) and physical capital (i.e., buildings, parks, and the local infrastructure such as the road network). Recent writings on social capital explore the significance of the network of local social relations in public health and public safety. Dense local social networks, which increase social interaction, in turn, make it increasingly difficult and risky for potential offenders to threaten public safety. At the same time, social interaction is “emplaced.” That is, while local clubs and institutions play a major role in bringing people together, vibrant public spaces, too, could act as venues for producing social capital.

Similarly, innovations in policing techniques call for more community policing rather than increasing police surveillance. Thriving, vibrant communities that rely more on community-police partnerships will increase in the future. Community safety also owes a great deal to the preponderance of defensible spaces in new developments as well as thinking about providing them in revitalizing inner-city areas. Safety issues are not generally resolved merely by more law enforcement, but also by physical planning and economic development.

In this regard, two distinct sets of themes have emerged in the Uptown area. A group of informants asserted that while the University of Cincinnati has made a sizable investment in bricks and mortar, relegating more responsibilities to residents could diminish the sense of distrust that has for years plagued the university-community relationship. In fact, as Eugene R. Ferrara, UC’s Associate Vice President for Public Safety has acknowledged, community policing is one way to build trust between the University, the local residents, and businesses.

While emphasizing the role partnership can play in crime prevention, Ferrara has noted some of the inherent problems associated with the concept of community policing. For example, he maintains that the concept is somewhat “vague,” although it promotes self-policing. The transient nature of community residents prevents social capital to accumulate at the local level and, hence, community policing cannot be all grassroots.

He has also asserted that “problem-oriented” policing and “community policing” are complementary and not antithetical. The significance of problem-oriented policing lies in its analytical power, which adds an important dimension to the effectiveness of the police. In the end, however, police are the ones who are accountable. An additional problem is that, “The community and police don’t get along when it comes to policing and dealing with minority issues” (Ferrara 2005). Another interviewee also expressed doubts regarding the current state of community policing. Considering community policing as an activity that facilitates “citizens on patrol,” and helps them to “get to know the issues and the community,” she believes that community policing in “the [Corryville] community is a long way from reality,” and that, “it is not just catching the bad guys.”

The key here is to identify the problems of crime facing a community and then reach out to find people and institutions to help think of solutions. Then community and police would work together to implement the solutions that were identified. These can be as simple as citizens putting concrete eggs on bridges to complex actions such as those taking place in Charlotte, North Carolina. There, police were being called in to handle thefts of appliances. The police tried to arrest people, but could not figure out how to stop them. Ultimately, the police worked with the community, and developers ended up not moving appliances into buildings until the unit owners moved in. The construction firms that went this route experienced a major reduction in theft, a key ingredient of which was that the solution made it difficult for criminals to act.

The literature on safety and environmental design typically associates crime, fear and perception of crime with physical deterioration. Over the years, this literature reflected concerns about the linkages between the propensity to commit crime and physical deterioration, which has, in turn, paved the way for the transformation of community policing techniques and the preponderance of an asset-based approach to community development. The main premise in this approach is that community assets and community participation can be far more effective than increasing police presence in communities.

Physical determinism reflects misgivings expressed by some over the tenuous association between the physical environment and behavior. Based on this belief there is no causal relationship between physical improvement and reduced criminal activity. However, studies on the application of defensible space have in many ways transformed thinking about incivilities. The popularity of New Urbanism among policy makers and academics, for example, partly celebrates the virtues of compact, dense urban environments with vibrant public spaces that encourage “eyes on the street” (Jacobs 1961) as opposed to the typical desolate, barren urban landscapes that perpetuate car dependency and empty streets.

A second perspective, which is interrelated to the first school of thought, discusses how certain locations become apt for certain criminal activities. Finally, a third perspective addresses the flows of people in public spaces and how such flows can affect crime. While the three perspectives have spatial elements embedded in them, criminologists do

not necessarily see physical improvement solutions as deterring criminal activity and behavior. For example, while believing that “good design is expensive, and in and of itself cannot reduce crime” (Eck 2005), Prof. Eck stressed the importance of physical and social “management” in deterring crime. The patterns of criminal activity show that relatively few addresses are often hot spots. This means that hot spots cluster spatially and temporally. These findings reveal that while particular locations are poorly designed, they may also be poorly managed. To improve the situation, therefore, one should be looking at the sub-neighborhood level. Eck believes that while the literature on safety has dealt predominantly with crime at the neighborhood level, a lot more can be done at the sub-neighborhood level. For example, questions should be asked such as why criminals like to sit on the bridge, or why some streets dotted with crime and not others? This implies that making it difficult for criminals to sit on the bridge might be more effective than some other design solutions at the neighborhood level. But he is a firm believer that bringing more police onto the streets is not the only solution to crime. Design, he argues, needs to be coupled with other measures such as community education about what works and what does not work - a point also emphasized by Mr. Ferrara, the UC Director of Public Safety.

While community participation in the creation of safety is acknowledged to be very useful, and community police recommend that communities should police them selves, the extent to which the police help with that is not clear. A disadvantage to this method is that police cannot delegate the power to arrest people to the community. In the end, the police are charged with and held accountable for arresting felons. The community must, therefore, call the police, serving as their eyes and ears. If criminals know people are watching them, they will go elsewhere. In Corryville, the police are saying to the community, “You have to create a neighborhood watch. We can’t do everything.”

Another measure, problem oriented policing, is complementary to community policing. From a problem oriented approach, police receive demands from a community, which wants the police to fix its problems. The police should, in fact, analyze them and design solutions. After a time, the police would evaluate these solutions to determine if they work and make appropriate revisions. This technique works best when government and local institutions such as colleges are involved in the community.

6.4 Institutional Role in Insuring Safety

The institutional partners of the Uptown Consortium have a powerful role to play in the Uptown area’s safety, both jointly and individually. The University of Cincinnati has many and diverse resources to offer in this regard. These include incentives, research facilities, and a private security force. Each of these factors can be employed by UC to improve safety in Uptown. First, UC has the incentive to think about safety as a quality of life issue. With the large amount of development going on around the campus, safety inside the campus has become a matter of concern. There is an interface of the on-campus and off-campus environments. UC sees that it is in its best long term interest to overcome the perception of its surroundings, and by implication the campus itself, and an unsafe place.

The research capabilities of the University of Cincinnati can be employed in a number of inventive ways to improve safety in the Uptown area. The Criminal Justice Department is a real resource, and its faculty and students could carry out a variety of useful research projects, possibly in conjunction with the School of Architecture and Urban Design and the School of Planning. Environmental Criminology, for example, is researched by a small group of criminologists who focus on opportunities and spatial arrangements. These research professionals include a number of people with design and planning backgrounds. They seek to implement strategies that lead to crime prevention. John Eck's graduate students have done a number of useful studies of this type. One report, for instance, deals with police on Calhoun Street and getting police to protect vehicles there from vandalism. Watching vehicles reduced crimes on them, but the project only lasted for one quarter. It seemed to have had an impact, and it was the first time the group had worked with UC police. It was a promising start, and more such projects could be done.

The institutional partners as well have begun to address safety issues in other ways. UC has sent out informational packages that emphasize such practices as leaving porch lights on, locking car doors when getting out, paying closer attention to one's surroundings, and walking in groups when in an area that has safety issues. The zoo is also seeking to come up with solutions for safety. They have installed cameras on Burnet Ave., which are monitored by the Cincinnati Police Department. While the cameras have been very successful, they are now old and in need of replacement. The Uptown Consortium as an organization is currently lagging behind in similar efforts. Attempts to create simple and straightforward solutions must be adopted to be successful. For example, if the Uptown Consortium wants to have an impact on safety in the Burnet area, they should identify criminal hot spots. Once these high crime properties have been identified, then the Consortium should focus on acquiring these buildings to renovate or demolish.

The size and influence of the institutional partners comprising the Uptown Consortium be a force for change at the city level. This can include mutual aid contracts, which were implemented first by the University of Pennsylvania. Penn assembled a group of uniformed people, analogous to unarmed security guards, who then became omnipresent on the streets looking and listening for crime. They are paid employees being, and if they see anything suspicious, they call the campus police. Penn pays these people and they are very effective. They walk (or ride bicycles) in tandem through the business district around the university. Thomas Hadley, UC's Associate Vice President for Student Services, thinks that this arrangement would be ideal in Clifton Heights and the Burnet Ave. area

Mutual aid contracts are also useful in connecting the institutional partners' private security forces to the city police department. UC, for example, has a mutual aid contract with the Cincinnati's police department. If either the UC safety department or the police force needs assistance, it can call upon the other for help. Currently, the contract is being adjusted so campus officers can prevent or stop a crime in the adjacent neighborhoods without having to be asked for help from the police force. The police force's radios and computers are all integrated with the UC's safety office. When a dispatcher sends an

officer to Clifton Height, the University safety office is aware of it and can talk directly to the city officers.

There are also measures that the University and the Uptown Consortium must be careful not to take. These factors include cuts in the safety budget, creating developments that are isolated islands of security, trying to stretch meager resources over too large of an area and thereby diluting them, and utilizing one type of resource when another would be a better fit.

6.5 Developers' Role in Insuring Safety

To some, physical improvements per se do not necessarily increase perceived neighborhood safety - although they might improve the physical quality and physical features of the area. It is clear that to most of the interviewees for this study that physical improvements and increased safety are two separate issues. However, a comprehensive approach to neighborhood safety explores the ways in which design solutions such as creating "defensible spaces" complement other means of crime reduction, including a police presence. Safety is a concern. At University Park Apartments, for instance, the students want a safe environment, and the developers must meaningfully engage these individuals. This participation cannot be accomplished without knocking on doors of the student community members and asking for their input. Proposals must be designed with safety as the number one issue and with significant community (i.e., student) involvement. Extended to the other developments in the area, without this involvement, the developments can lead to tension and social friction.

The defensible space approach to designing public space aims to raise the risk of criminal activity for perpetrators and criminals in vulnerable neighborhoods. The premise is that by building public spaces that are well-designed, well-monitored, and accessible to the public, committing crime becomes too risky for potential offenders (Cisneros undated). Hence, the more public awareness permeates a public space, the less attractive it becomes for criminals to take charge and control that neighborhood. Oscar Newman has shown that demarcating clear and definable boundaries for semi-private spaces and implementing visual markers and closing off through traffic will, among other things discourage criminal behavior. A good example of this practice in the Uptown area is the Ronald McDonald House. Rick Biehl, Executive Director of Community Policing for the Urban League of Greater Cincinnati, sees this project as a good example of safety protection strategies provided by developers. With the design of the Ronald McDonald House, one has access control and defensible spaces. The fence around the property is a visual parameter, which establishes a clear distinction between private and public space. It is also wrought iron which does not impair visibility. The Ronald McDonald House is a great example of a design that promotes control and protection, which leads to safety.

Other physical approaches to crime reduction that developers could support include wider applications of neighborhood-based improvements that would significantly increase the risk for offenders to commit crime. An example of this is that Clifton Heights applied for a safe and clean grant from the city, and it received \$13,000 for lighting on building façades and private lighting in public areas. UC then matched it. The focus is on poorly

lit areas, especially those areas with crime issues to get that area primed to compete with new developments coming online in the future. Housing design, land use and circulation patterns, eliminating visual obstacles to detect criminals, using territorial features, and controlling physical deterioration constitute common physical approaches to neighborhood safety that developers should implement in all new projects. These strategies help instill a sense of collective vigilance and consciousness in the local residents.

Skeptics have criticized the concept of defensible space on a number of different grounds, including the shift of criminal activity from one location to another and physical determinism, which posits that improving the design quality would change people's behavior. Yet studies of the effectiveness of urban design techniques for reducing neighborhood crime have shown promise. For example, Oscar Newman's developer commissioned design for Dayton's Five Oak neighborhood has shown a reduced crime rate and a lower incidence of crime following the implementation of defensible space techniques.

Furthermore, Bothwell, Gindroz, and Lang (1998) have shown how well-designed public spaces can help create new social capital. Using Newman's initial concept of defensible space, these authors have examined the nexus between social capital, public space, and defensible spaces. While the nexus between social capital and defensible space has gained popularity in recent years - especially against the backdrop of New Urbanism - doubters have questioned the role of environmental design in reducing criminal behavior. Herbert Gans' (1961) critique of environmental design in shaping behavior is a case in point. However, design-related approaches to restoring a sense of community safety are more effective than emphasizing police power and monitoring potentially vulnerable public spaces with high-tech surveillance equipment.

6.6 The City's Role in Insuring Safety

With the change in city administration this past year, there is now cautious optimism that the city might improve its performance in community safety. The districting issue (i.e., Uptown being covered by two police districts) is largely a political problem that needs to be resolved, but crime is hard to deal with because it is a problem of the city as a whole. Criminals come in from other neighborhoods, and the city needs an overall plan for public safety in the city as a whole.

For example, the city has no guidelines for adequate lighting. Eugene Ferrara believes that if a neighborhood increases lighting it can reduce crime, and that if he can show data that prove this connection then he can convince the University of Cincinnati's president to fund more lighting. Student government organizations are getting involved in this new lighting project as well, but street lighting, off campus, is the domain of the city.

To return to the problem of divided police responsibility for Uptown, the Uptown Consortium has enough clout to change police districting if it would apply pressure on city hall. Perhaps it made sense in the past, but crime prevention is a dynamic process, and the current system is inadequate for solving current needs. Perhaps the lack of action

here is reflective of the organizational structure and decision-making process of the Uptown Consortium, and these matters will be discussed next in Chapter 7.

Chapter 7 - Issue: Organizational Structure and Decision-making

The Uptown Consortium is a partnership of five major organizations located in the Uptown area: The University of Cincinnati, the Cincinnati Zoo and Botanical Garden, Tri-Health, Children's Hospital, and The Health Alliance. The uniqueness of this Consortium is found in the shared institutional responsibility of the development corporation, which has led to a high degree of cooperation. Jack Huelsman, Vice President of Facilities and Planning of the Cincinnati Zoo & Botanical Garden, one of the Consortium's members, makes this very clear when he notes that, "the institutions are interacting better than anything I've seen in my 35 years" (Huelesman 2006). Dale McGirr, the former Senior Vice President for Finance of the University of Cincinnati states, "In the Uptown partnership, institutional policies are unique, both with regard to the Consortium governance and with respect to the composition of investments. We believe that this uniqueness adds to the effectiveness of the Uptown development project" (McGirr 2005). The Consortium, thus, is considered a new concept and organizational experiment for Cincinnati. In this chapter, its characteristics and its *modus operandum* are described.

7.1 The Five Partners

Before discussing the organizational structure of the Consortium later in the chapter, profiles of the five members are provided to offer a brief overview of each member's history and current status. Basic details are provided about their activities and employment in the Uptown region.

7.1.1 The University of Cincinnati

The University of Cincinnati has already been discussed in detail in Chapter 1 of this document. In summary, the University is the second largest institution of higher learning in the State of Ohio, after Ohio State University, with 35,000 students, more than 5300 faculty and upwards of 4500 staff (<http://www.uc.edu>). A Carnegie Research Extensive University, UC draws its students from all states of the US and more than 50 other countries. The University was established as the Cincinnati College and the Medical College of Ohio in 1819, and moved to its present location on the McMicken estate at Clifton and Vine streets in 1875. It became part of the Ohio state system in 1977 (Grace and Hand 1995). Located at the heart of the Uptown area, it is the largest employer in the Cincinnati metropolitan area. It was the initiator of the Uptown Consortium and has played a major role in its operations. More about the university can be found at: the Uptown Consortium's website: <http://uptownconsortium.org/uc.asp>.

7.1.2 The Cincinnati Zoo and Botanical Garden

The Cincinnati Zoo and Botanical Garden, opened in 1875, is the second oldest zoo in the United States. According to the Zagat Survey measuring customer satisfaction, the Cincinnati Zoo was rated one of the top three zoos within the United States in 2004. The institution has an annual economic impact in excess of \$88 million and serves as a magnet facility for Uptown Cincinnati, drawing people into the area that normally wouldn't have a reason to come (Uptown Consortium 2005). Detailed information on the zoo can be found on the web at: <http://uptownconsortium.org/zoo.asp>.

7.1.3 Tri-Health, Inc.

Tri-Health, Inc. provides a range of health services to the Greater Cincinnati region, including: clinical, educational, preventative, and social health activities. Non-hospital services include assisting professional physicians with practice management, running occupational health centers, hospice care, and at-home health services. Tri-Health, Inc. employs more than 7,000 employees, including 2,000 physicians, and coordinates the activities of 1,600 volunteers in the Greater Cincinnati region's healthcare industry. The organization has annual net revenue of approximately \$266 million with over 270,000 outpatient visits and a daily hospital census of 311 patients. Corporate headquarters are located in the Uptown Cincinnati area along with hospital facilities (Uptown Consortium 2005). Further details on Tri-Health, Inc. as an organization can be found on the Uptown Consortium's website: <http://uptownconsortium.org/TriHealth.asp>.

7.1.4 Children's Hospital

Children's Hospital is a pediatrics hospital located adjacent to the University of Cincinnati medical campus. It includes 423 patient beds and employs over 7,700 people in the Uptown area. Similar to the other Consortium-members, Children's Hospital has experienced rapid and substantial growth, doubling in employment in the last six years. The hospital is also in the process of constructing a new 12-story, 415,000 square foot research facility adjacent to the University of Cincinnati, University Hospital, and Children's Hospital itself. It is expected that this facility will increase the research budget by approximately 70% within a few years (Uptown Consortium 2005). More information on the hospital can be found on the Uptown Consortium website at: <http://uptownconsortium.org/childrens.asp>.

7.1.5 The Health Alliance

The Health Alliance is an umbrella organization that binds together The Christ Hospital, The University Hospital, The St. Luke Hospitals, The Jewish Hospital, The Fort Hamilton Hospital, and the physicians of Alliance Primary Care. Combined, the Health Alliance is a system that includes 1,749 beds, a staff of over 13,000 employees, and over 3,000 physicians. Taken together, the entities generate \$1.4 billion in annual revenue and have three separate presences in Uptown Cincinnati: the primary administrative offices of Alliance Primary Care, the University Hospital (adjacent to the University of Cincinnati and Children's Hospital), and the Alliance Business Center (Uptown Consortium 2005). Details on the consortium can be found at its website: <http://uptownconsortium.org/healthalliance.asp>.

7.2 Organization of the Uptown Consortium

7.2.1 History of Organizational Structure

Before discussing how these five very different institutions cooperate effectively in community development in their shared part of Cincinnati, it is important to understand how this organizational structure came about. This indicates the seriousness of purpose that underlies its formation. Detailed information on the consortium and its activities can be found on its website at: <http://uptownconsortium.org/members.asp>.

Under the auspices of the then President of the University of Cincinnati, Joseph Steger, at that time the University of Cincinnati's Senior Vice President for Finance, Dale McGirr, brought together in February 2003 leaders from the five member institutions as a "steering committee," which met for about a year. The steering committee invited Valerie Lemmie, then the city manager of Cincinnati, who suggested they bring in John Aschuler's firm to develop a strategic plan. Nancy L. Zimpher became the president of the University of Cincinnati halfway through this process, embraced the project and carried it where it is today. According to Kathy Schwab, currently a consultant with the Cincinnati City Center Development Corporation (3CDC), the city's input was minimal in establishing the Uptown Consortium (Schwab 2005).

Initially, John Aschuler was brought in to discuss the process of formation for the Uptown Consortium. He had provided this same assistance with the formation of 3CDC, the city's privately financed and operated downtown development entity. The institutional partners liked Aschuler's way of thinking. He pushed the envelope and tried to get things done differently. He was well liked and respected from his work with 3CDC. Jack Heulsman of the Cincinnati Zoo & Botanical Garden was the one who got him involved. Aschuler brought in his team from New York and began to create the strategic framework. He assisted the institutional partners in looking at other universities and their campus partnership programs. Penn State's campus partnership was explored in-depth. According to Dee Ellingwood, in the end it was Penn State, which became the model for the Uptown Consortium (Ellingwood 2005).

Consequently, according to Ellingwood, John Aschuler can be considered the "architect" of the Uptown Consortium. Ellingwood further notes that he made the institutional partners think about the goals of the redevelopment effort, and then helped create the strategic framework for these goals to be met. Aschuler helped identify the regional areas to be developed and, significantly, brought the concept of the importance of a real dialogue with the Uptown communities to the partners (Ellingwood 2005).

Because of Aschuler, the Uptown Consortium had two Uptown Summits with the community to bring in residents to get their ideas on the redevelopment schemes **after the Consortium was created**. There are now also community meetings twice a year to engage non-institutional community groups, members of which serve in committees and sub-committees of the Uptown Collaboration (Enns 2006). Aschuler convinced the five institutional partners that redevelopment was a ten year process, and that the benefits of the redevelopment efforts would not happen over night. He helped to get them focused on the transportation issues and the big picture. According to Ellingwood, Aschuler felt that transportation through the Uptown Region needed to slow down (interview with Ellingwood 2005). He felt that the Uptown Region needed to be an attractor for pedestrians, and that the redevelopment efforts could become hubs throughout the Greater Cincinnati Region. Dale McGirr brought everyone together, but Aschuler provided the strategic framework and sold the vision to the five institutional partners. Although, as Heulesman points out, each member of the Uptown Consortium has its own personal interests with a Board of Directors that want to support them, Aschuler got the

five CEOs together and helped them to find a common vision for the Uptown Region (interview with Heulesman 2006).

7.2.2 Organizational Structure

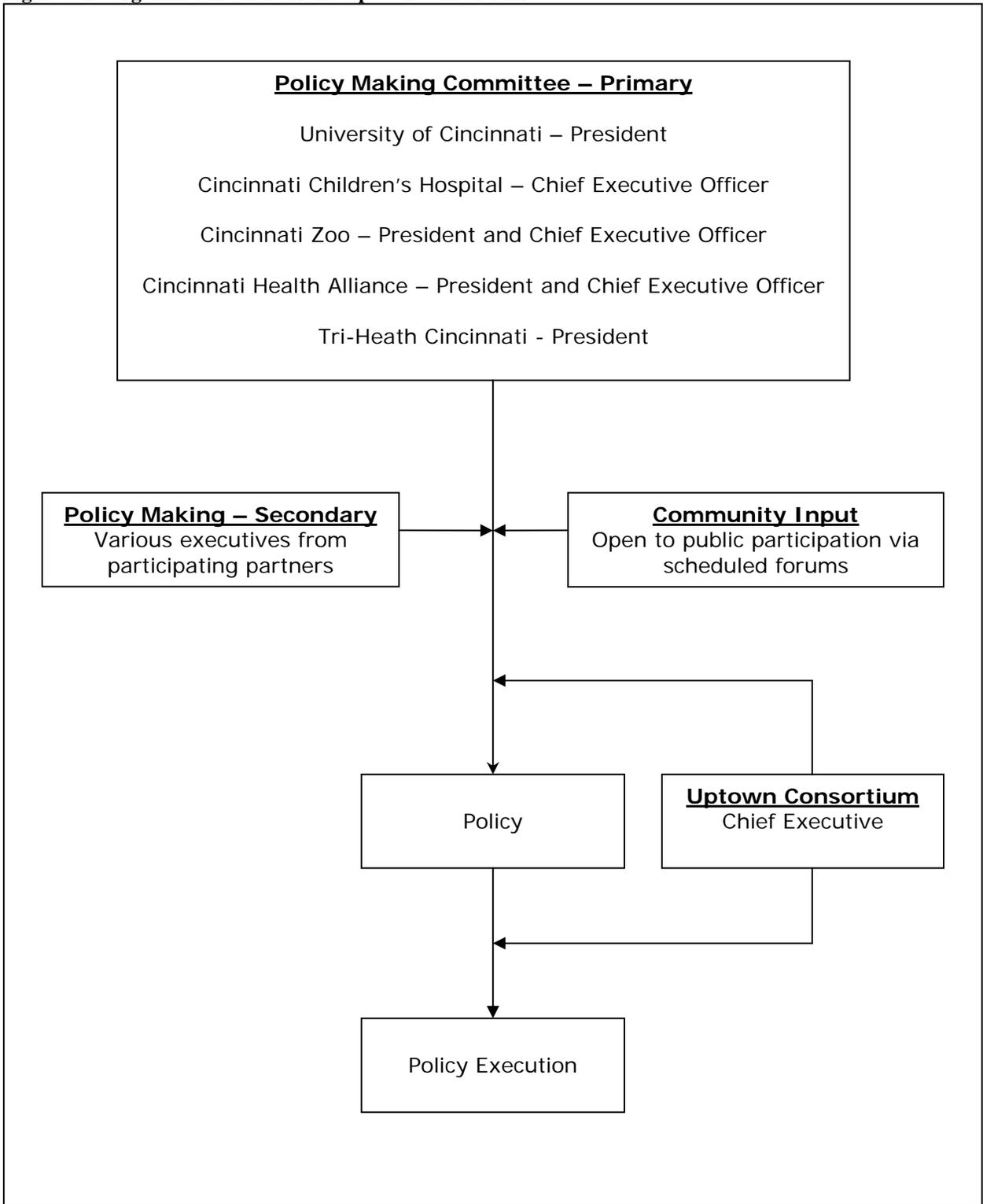
From these origins, the Uptown Consortium was established as a public-private organization with a simple structure. The organization is divided into a policy-making committee composed of high-ranking representatives of the participating partners and a small staff of employees charged with executing agreed-upon policies and initiatives. The policy-setting committee is chaired by the University of Cincinnati (as the dominant economic force in the area and principle source of funds) with equal representation from each of the participants. Technically, policy is set by majority vote, but, in reality, according to both Joseph Steger, the former president of the University, and Tony Brown, the executive director of the Consortium, it is set by general consensus through a loose and informal method. The committee serves as a catalyst to focus discussion as opposed to a forum for political or inter-organizational maneuvers.

At the second tier, there is a set of trusted, high-ranking individuals from the various partner organizations that also contributes thoughts and ideas toward policy creation. Whereas the first tier is generally composed of the top leaders of each partner and charged with setting broad vision statements and goals for the organization, this second tier represents the professionals at each organization historically charged with community involvement. The first tier gives extra “weight” and “credibility” to the decision making process, but it’s the second tier that provides extensive professional knowledge and background to economic development.

A smaller “third tier” of professional staff is directly employed by the consortium to coordinate and promote Consortium activities. This group is also charged with implementing policies and programs formulated by the first and second tiers, while at the same time providing inputs into the policy-setting process. The head of this group, the executive director of the Consortium, is charged with implementing the policies of the Consortium but also provides input due to his expertise in the field of economic development and contextual familiarity with the issues directly impacting the Uptown Region (See Appendix 3-1). An organigram of the Uptown Consortium appears below in Figure 7.1.

Critical to the success of the policy-making process is explicit inclusion of the residents of Uptown. To date (June 2006), four community gatherings (two Uptown Summits and two Uptown Collaboration meetings) have been sponsored by the Uptown Consortium to provide a forum for thoughts and ideas about future economic development. These forums constitute the first prong of the Uptown Consortium program: creating a venue for inclusion of public thoughts into the planning process. Numerous additional public gatherings have been hosted by the Consortium to target development goals and designs in specific locations. For example, the Burnet Avenue revitalization program and the Uptown Cincinnati transportation study have both generated summits. Neighborhood representatives, through these forums and meetings, are also included in the organization structure.

Figure 7.1: Organization Chart of the Uptown Consortium



Source: Uptown Project Staff, 2006

7.2.3 Key Officers and Responsibilities

Even though the Consortium has ambitious goals and objectives, it is run by a small staff. Minimum overhead has been expended by the Consortium to attempt to maximize money available for investment in the community. The Consortium's executive director, Tony T. Brown, is a native of Cincinnati who returned home after spending time in Washington DC to spearhead the Consortium's revitalization and community outreach efforts. Tony Brown spent his tenure in Washington as the Director of the Community Development Financial Institutions Fund, which is a part of the U.S. Department of the Treasury. In this capacity, he oversaw the awarding of \$2.6 billion dollars in New Market Tax Credits for community and economic development.

Tony Brown's primary responsibility is to implement projects and policies that will make obtaining the goals and objectives established by the consortium members' chief executives a reality. While the chief executives set the general goals and objectives, Tony Brown consults with them to formulate strategic plans to achieve those desired results. He oversees the consortium's office, ensures that day-to-day operations are successfully executed, and meets regularly with neighborhood representatives.

7.2.4 Place in University Organizational Structure

Since the Uptown Consortium is an independent public-private corporation, it technically doesn't exist within the University of Cincinnati hierarchy. The Consortium exists outside of any of the members' hierarchies, although each member supplies operating funds and professional liaisons to assist and support Consortium activities. The Consortium does communicate regularly with the leadership of each of its members and enjoys easy access to skilled professionals (internal to each organization) for consultation and collaboration on setting policy and implementing programs.

7.2.5 Location of the Organization

Originally, the Uptown Consortium was physically located in University Hall at the University of Cincinnati. University Hall is at the nexus point between the mainly academic "West Campus" and the "Medical Center Campus" or "East Campus." University Hall houses a large part of the University's administrative staff, including the University Foundation, the Office of the University Architect, and a large number of Finance Department personnel. Additionally, this location served to place the Consortium geographically closer to the other members in the alliance to facilitate greater opportunities for meeting and discussing local problems. The choice of University Hall placed the Consortium in proximity to a major source of the funds for development (the University of Cincinnati Foundation), but also with easy access to the Office of Community Engagement, and other departments with a history of neighborhood activity, including the Office of the University Architect.

Recently, however, the Consortium left University Hall and moved to more permanent headquarters in a refurbished facility of the Bethesda Hospital, now owned by Children's Hospital, on Reading Road and Oak Street, within the Avondale community. As an independent organization, the Consortium is responsible to each of the members, not just the University, and as it grows and starts to undertake more elaborate activities with the neighborhoods, having its headquarters closer to the neighborhoods themselves

allows the Consortium to communicate directly and quickly with residential representatives.

7.2.6 Leadership

All of the institutions in the Uptown Consortium are large complex entities. Their leaders have multiple issues to resolve and must set priorities for their close attention. For any major problem or issue, the chief executive's attention is critical to timely action, retaining focus, allocation significant resources and ultimately, to the success of the particular undertaking. Throughout the almost twenty years of Joseph Steger's presidency of the University of Cincinnati, he was largely responsible for expanding the University's endowment and rebuilding its campus. These two achievements took a tremendous amount of time and energy. Consequently, he was able to spend far less time on the economic development of the Uptown area. However, when he retired and was replaced by Nancy Zimpher, the situation changed dramatically. President Zimpher came to the University from the University of Wisconsin-Milwaukee, where she established a national reputation for community engagement. When she energized the campus with a shared vision called UC/21, community engagement played an important role, and the Uptown Consortium drew her close attention and enthusiastic support.

Similarly, at the University of Pennsylvania, the commitment of West Philadelphia native President Judith Rodin to rejuvenating that declining urban area, where Penn is located, enabled a successful economic development program to be undertaken. She dedicated senior staff and substantial funds to the process, invested university money in specific projects and established a neighborhood school.

The lesson here is that the leader of the dominant institution's role is critical. If, in the case of Uptown, the University of Cincinnati president does not care or is distracted, nothing happens, while if she takes bold initiatives, things move decisively forward.

7.2.7 Communication

Modes of operation, communications with the affected communities, citizen participation, the role and involvement of the city and its institutions, especially service providers and planning departments are also critical to the success of economic development efforts surrounding major urban institutions. Even the best intentions go awry if the residents of the affected communities are left out of decisions. These decisions cannot come before community involvement. Eminent domain, if used by institutions without developing consensus, can destroy good intentions, and those who lose their property, whatever the merits of the particular taking, are likely to be considered the underdog and generate sympathetic publicity. Thus, the "Uptown Consortium has to have partners in the community. Now, there's not much direct participation. It is important that it is a REAL community partnership with the Uptown Consortium" (Schimburg 2005). Tony Brown agrees that, "the neighborhood component is as important as the real estate component," and the Consortium is trying to become better linked to the community. After all, he notes, the Consortium is still very young; it is only going on its third year. In his view, "Community development is creating a shared vision for shared resources and creating a partnership between private [entities]

and the public to execute this vision. By designing the investments correctly, it [the Consortium] can help to make this happen” (Brown 2006).

In summary, to be effective and accomplish its goals,

The Consortium must play the role of visionary, idea generator, consensus builder, and empowerer of others who have the skills and wherewithal to make a substantial contribution to the improvement of the Uptown neighborhoods. Their sustained and committed action will dramatically shape the future of Uptown for generations to come (HRA 2004).

Chapter 8: Funding Strategies and Financial Instruments Used

Given the resources of the Uptown Consortium and the organizational structure outlined in the previous chapter, financing the developments planned by the Consortium in the Uptown area is perhaps the most critical factor for the success of the overall operation. Favorable terms of loan financing will keep overall costs down and will make the residential and retail/commercial spaces in Uptown more attractive to potential buyers and renters. In addition, the amount of risk for the developers will be reduced, and, thus, the probability of attracting the best developers to invest in the area will increase. It is, therefore, important to understand the mechanisms by which financing of the Uptown developments is being handled, and to assess the innovativeness and risk associated with these mechanisms. These are the objectives of this chapter.

8.1 The Financial Model of the Uptown Consortium

8.1.1 Financial Commitments of the Five Institutional Partners

Not unexpectedly, the combination of supply-side incentives (loans to investors and contractors for the purposes of building the new communities) and demand-side incentives (loans to local participants to facilitate local ownership and participation in the developments) does not come cheaply. To raise the necessary money, the Consortium partners have committed a substantial amount of their own funds in the form of low interest loans. The UC contribution currently constitutes the “lion’s share” of underlying investments in the Uptown area, but further investments are expected by the other Consortium members in the future, and negotiations are still continuing to determine how much investment is needed and where it should be directed.

Budgetary figures from the other Consortium partners have not been revealed at this time, and no contributions have been made to the development fund by them yet, as far as was able to be determined, although it is expected that they will contribute monetary resources and time to the overall organization (Brown 2005, Mello 2006). Specific funding levels are still being negotiated.

The overall budget of the Uptown Consortium consists of two parts: (a) expenditures for routine operations, and (b) development funds.

8.1.2 Operating Budget

With the formation of the Consortium, its five partners made certain financial commitments to it in the form of fixed annual contributions to its modest operating budget. Of it, the University of Cincinnati contributes the majority, while the other four partners shoulder the balance through matching annual grants. The funds cover personnel salaries and other operating expenses, including advertising, the holding of public meetings and the cost of administrative staff responsible for policy and program implementation.

8.1.3 Development Funds

The funding mechanisms employed by the Consortium are of major significance, given the magnitude of the investments, which are expected to exceed one half billion dollars

by the completion of all the planned developments in Uptown, and the fact that the partners are public and non-profit private institutions, which have much less flexibility than the private sector for-profit entities to make such bold financial investment decisions.

The funds collectively committed by the five Consortium partners for the allocation of below-market interest loans of slightly over \$34 million to the Community Development Corporations formed with Consortium support are intended to keep the cost of financing the planned projects as low as possible, and to function as leverage for the securing of favorable market-rate or below-market-rate commercial loans, the utilization of \$52 million in New Market Tax Credits awarded to the consortium in 2006 by the federal government (See below), and other support. In addition to its own contributions, the Consortium has access to grants and funds secured from government sources for economic and community development purposes (Brown).

8.1.4 Development Funding Scenarios

The main approach of the Consortium to development financing is to “recruit potential private developers and investors. These potential development partners should receive assistance in gaining an understanding of the benefits of public/private partnering” (*University Village Urban Renewal Plan 2005: 97*). To accomplish this end, the above *Plan* suggests that the Consortium consider for:

- Community Reinvestment Act loans;
- Tax Increment Financing;
- Special Improvement District designations;
- New Market Tax Credits;
- Enterprise Zone programs;
- Job Creation Tax Credits;
- Small Business Administration 504 Loans;
- Small Business Administration Micro Loan programs, and
- Ohio 166 Regional Loans.

For community development financing, the Consortium should consider:

- Community Development Block Grants;
- Clean Ohio funds;
- TEA-21 transportation funding;
- Local Transportation Improvement funds, and
- Nature Works grants (p. 97).

8.1.5 Financial Obligations of the Consortium

To date, the Consortium has been using a “Leveraged Model” to raise the funds for its development initiatives. Under that model, each of the five members has pledged a certain amount of money into the initial fund, in the form of low interest loans to be repaid from the proceeds of the property investments in Uptown. This is justified by the fact that the five partners are all located in the Uptown area, and, therefore, have a vested interest in the continuing prosperity and improvement of the area and its neighborhoods (Jackson 2006). As was already mentioned, the University of Cincinnati Board of

Trustees approved an initial allocation from the University's endowment fund, to be capped at \$75,000,000, to support the development program in Uptown Cincinnati¹. The University's endowment fund is separated into different categories for investment: a certain percentage goes into fixed income investments, another goes into stocks, and the balance goes into treasury bonds. Fixed income investments representing approximately 20% of the total University endowment of close to one billion dollars are normally allocated to low-yield but relatively safe investments (Siegert 2005). Through Board of Trustees action, a small portion of this 20% allocation was invested in the Community Development Corporations of Uptown Cincinnati instead of other investments such as federal treasury bills and bank savings accounts. These funds, representing current and previous monies already allocated to existing projects and made available to the CDCs and redevelopment corporations of the Uptown, constitute 5.5% of total UC endowment value.

The part of the UC Endowment fixed income investment funds approved for use in the Uptown development program is controlled by (a) a vote of the University's Board of Trustees to ensure that the funds are being directed toward long-term capital investments in the Uptown Cincinnati CDCs. (b) With the consent of the Office of the University President, the money is then formally transferred to the control of the UC Senior Vice President for Finance, Planning, and Community Development who proceeds with the investment decisions. (c) Throughout the period of the investments, the funds are monitored by the Office of the University Treasurer and the Office of the University Controller, as part of their departmental responsibilities. This tracking includes the investment outputs from the endowment fund, the inputs into the CDCs, and the returns to the Endowment fund, i.e., the two offices track both the investment and the return on that investment (Siegert 2005; McGirr 2005).

It is important to understand that the University and, by extension, the Uptown Consortium, are not giving money away out of the University endowment. Rather, they are using the allocation category for fixed income investments, which would have normally been invested in other financial enterprises, to make a long-term capital investment in Uptown Cincinnati. The funds invested in the Uptown neighborhood CDCs are not grants, but rather loans at near market rates (McGirr et al 2003).

The first phase of the Uptown development has been completed with the construction of a mixed use block at the southern edge of the University of Cincinnati campus facing Calhoun Street, containing a large multi-level garage, over 700 beds of student housing, and retail space on the ground level along Calhoun, able to accommodate approximately ten stores. Of the three use types, the garage is already attracting a lot of use, while the

¹ Regarding partner contributions to the Consortium, to date the University of Cincinnati has given a considerable amount, while the other partners haven't. This is expected to change soon, as additional projects, locationally related to the other partners, will be initiated. The partners have bi-weekly meetings where they decide how much each partner is to invest in these real estate projects. The percentages of the partners' investments will depend on who has what interest in what project. For example, for the Burnet Avenue redevelopment project, Children's Hospital is clearly the primary mover and will have the highest stake in terms of its financial contribution.

student housing units are completely filled and have had more demand than the available space to accommodate tenants. The retail spaces, however, have not fared as well. To date, more than a year after the completion of the building, only five of the store spaces have been filled. Reasons given for this lack of interest among tenants vary. The high cost of rent per square foot is most often cited as a reason, but other factors are brought up as well, including the existing competition from the many services available to students and others through the Main Street on-campus development, now completed, and the other neighboring business districts; deteriorating safety/lack of security issues; the lack of street-level parking; and the prospect of two or more years of construction-related disruption of business in the area because of the planned major redevelopment of the Calhoun-McMillan corridor – McMillan blocks 4a and 4b – right in front of the completed structures. Other reasons cited include the lack of a critical mass of retail business in the area capable of attracting customers, the lack of visibility of the area as a retail district to people not living in the Uptown neighborhoods, and uncertainty about the ability of the planned new residential developments to attract buyers, given the high prices at which they are being marketed and the lagging expression of interest among prospective buyers.

The slow pace of renting the retail spaces is an issue of concern to the Consortium. It sends a message that the spaces and the location may not be attractive enough to allow the formation of a significant and sustainable neighborhood business district; it makes it harder for the Consortium to secure advantageous terms for the commercial loans that will finance the next phase of the uptown development project; and it imposes financial strains on the University in the short run, because as the initial guarantor of the loan, UC is responsible for the payment of the mortgage and the coverage of all other expenses associated with the retail space.

8.1.4 Major Innovation: The New Markets Tax Credit

The Consortium is using the funds contributed by its members as leverage to attract investors to provide cash equity into the fund pool for the Uptown redevelopment program. To date, such funds have come from a group of five local and national bank lenders and equity investors in two ways: as regular commercial bank loans and as New Market Tax Credits (NMTCs)². Recently passed federal legislation allows non-profit universities like UC to extend money into private development corporations. Those

² The New Market Tax Credit program was established under Section 45.D of the Internal Revenue Code as part of the Community Development Financial Institutions (CDFI) Fund of the United States Treasury Department. The New Market Tax Credit (NMTC) was enacted into law in December 2000 with the purpose of spurring private investments in low-income urban and rural areas. CDFI makes allocations of New Markets Tax Credits to “qualified Community Development Entities” (CDEs). The NMTC amount will be 30 % of the “qualified equity investment” (QEI) a taxpayer makes in a CDE. The CDE must use “substantially all” of the investment proceeds to make “qualified low-income community investments” in “qualified active low-income” community businesses” located in “low-income communities” (Williams 2002 p. 1). Community development organizations are eligible to apply for New Market Tax Credits when they have a track record of success in local economic development and can demonstrate that they are accountable to the neighborhood. This can work in conjunction with local institutions, like a university and other major neighborhood employers (Rapoza 2005).

private development corporations are then able to issue tax-exempt bonds like municipal organizations in order to raise capital. Development, then, is a function of university resources (endowment) coupled with private initiatives (private development agencies, contractors, constructors, etc.) but *retaining the power of tax-exempt bond issuance*. The tax exempt “Private Activity Bonds” that Congress passed, are intended to encourage the provision of student (and university employee) housing (McGirr 2006).

Funds made available to the Consortium through the 2005 federal approval of up to \$52 million of NMTC to it will be the principal source of funds for the second phase of the Uptown developments. An additional proposal will be submitted this year (2006) requesting a second award of \$100 million in 2007³. New Market Tax Credits, the funds of which are restricted to use by beneficiaries that are qualified low income community investments - “Qualici” - (Section 45.D), are tricky to understand because they relate to the specific borrower or the investment equity.

To take advantage of the NMTC opportunity, the five partners of the Uptown Consortium have created a partnership with a group of five banks⁴ and have formed the Uptown Community Development Fund, totaling \$54,600,000. Of this money, \$2.6 million represents direct contributions of the Consortium for operating expenses, and \$52 million is made up of Partners’ contributions as agreed upon, bank equity at the level of \$17.6 million using the NMTCs approved in 2005 by the federal government, and market-rate loans of up to \$34.4 million. Of these \$52 million, \$49.4 million will be used to make development-related investments (mezzanine loans⁵) to qualified Uptown development activities and business, while the balance of \$2.6 million will be used to service costs. Rental property does not qualify for these funds (Alexander). Thus, in summary, the

³ Credits are available to support a total of \$15 billion in investment over the six years of the program: \$2.5 billion in 2002; \$1.5 billion in 2003; \$2 billion each year in 2004 and 2005; and \$3.5 billion each year in 2006 and 2007. The CDFI Fund may carry forwards unallocated MNMC authority through 2014.

⁴ The five-bank lender group consists of: PNC, 5th/3rd, US Bank, National City Bank, and JP Morgan/Chase.

⁵ A mezzanine loan is a supplementary – filler – loan bridging the gap between the primary mortgage or construction loan (say 80% loan-to-value) and the developer’s own equity investment (say 10%). A mezzanine loan can fill the remaining 10% of capital needed to finance a project (Bergsman 2006: 36-37). Mezzanine borrowers, because of possible lack of collateral or relatively high risk development projects, consider investment opportunities outside conventional commercial bank parameters. Mezzanine loans are often collateralized by the stock of the development company rather than the developed property itself, as would be the case with a traditional mortgage. The mezzanine lender's primary collateral in a pure mezzanine loan is a pledge of the stock, limited liability membership interests or other equity ownership interests in the borrower. This pledge gives the mezzanine lender a security interest in the ownership interests of the borrower entity. This is quite different from the security interest in the real property which is pledged by the owner to the first mortgage lender providing the acquisition and/or construction financing.

Total Uptown Community Development Fund **\$54.6 million**

of which, income will come from:

- Share of the tax credit investors (the five banks) (NMTCs equity, for which they will receive back \$20.28 million) (Reilein) \$17.6 million
- Share of the economic investors (the debt of the Uptown Consortium, through its own leveraged funds plus market-rate “senior loans” from the lender banks) \$34.4 million
- Outright contribution of the Uptown Consortium for operating expenses \$ 2.6 million

Of the \$52.0 million (\$17.6 million + \$34.4 million) in NMTCs and market-rate loans:

- Mezzanine (subordinate) loans to qualified business for development in Coryville, Mt. Auburn, Clifton, Avondale etc. will be made for up to \$49.4 million
- While loan servicing costs will be allowed up to \$ 2.6 million

Figure 8.1: New Market Tax Credit Illustration

Suppose one makes a \$1 million contribution to the Development Fund. Of that \$1 million, the Uptown Consortium will contribute \$680,000 in borrowed funds and the group of five banks will contribute \$320,000 (32%) in equity capital. The bank group members will get tax credits – not cash – to retire their investment of \$320,000, in the amount of \$390,000 (39% of the total), of which the additional \$70,000 represents loss claims for the forgone interest. At the same time, the borrowing entities – in this case the Community Development Corporations of the Uptown area – only have to pay back interest on the outright loan of \$680,000, even though the pool of available money is \$1 million. Because of this break, the banks can lend at a rate lower than the market rate, and the leverage helps to reduce the interest cost to the qualified businesses (Mezzanine debt would typically cost 12%-18%. Under the NMTC a business development gets funding at a fraction of that cost, less than 6%-8% in most cases, and sometimes as low as 4%. That’s a significant benefit.). The interest rate is structured so that it will allow the Uptown Consortium to service its debt and have enough income left over to service the administrative costs of the development.

Source: Present study

This is a leveraged fund model. The five members of the Consortium, as non-profits, do not have tax liabilities and thus could not derive any tax benefits from the award of the NMTC. But the five bank members of the financing group do, so they are leveraging off

the debt capital to take the tax credits⁶. In this case, they are allowed to claim 39% of the fund in tax credits. The equity capital of the five banks will amount to 32% of the total fund, while they are lending to the Uptown partners the balance of 68% as debt equity (a regular, market rate commercial loan). The NMTC portion of the loan (the equity capital) has a much lower interest rate than the 68% debt equity, which is a regular commercial loan and subject to market rates. (See the box above for an illustration of how the policy works). It should be clear that the NMTC is not a grant, nor is it a forgivable loan. It is an investment by the group of five banks and must be paid back by both the Consortium and by the business borrowing from the Consortium for development purposes, according to the terms of the federal law establishing the program. If the loans are not repaid, the lender banks may not get the tax benefit they are going for.

The New Market Tax Credits act as a magnet for private investment in a development corporation. Investors are able to invest money in the development organization in exchange for a portion of the New Market Tax Credit, which is then applied to offset their federal taxes. For example, a bank would be able to purchase a share of the New Market Tax Credit by extending a loan to a community development organization in Uptown Cincinnati. The bank is then able to apply the purchased tax credit against any federal taxes it would owe (for profits generated in other investments, for example), and the development organization has the capital it needs to plan and implement its development agenda in the neighborhood. Generally, investments will qualify for the New Market Tax Credit when: “such credit is acquired by the investor at its original issue solely in exchange for cash; substantially all of such cash is used by the CDE to make a qualified low-income community investment; and the investment is designated by the CDE as a qualified equity investment which may also include the purchase of a qualified equity investment from a prior holder.” (Rapoza 2005).

8.1.5 Other Financing

In the McMillan Avenue and the University Village Urban Renewal redevelopments, the New Markets Tax Credit will not be enough to cover all development costs. To ensure adequate project financing, Tax Increment Financing (TIF) and other options such as Special Improvement Districts (SID) designations are being considered. These are well accepted methods of community development financing, and have been successfully used in thousands of cases all over the country, including Ohio and the Greater Cincinnati Metropolitan Region. The catch is that they require local government approvals and cooperation, school district agreements, neighborhood participation, and a well-developed scheme of bond issuance and/or establishment of reserve/escrow funds. All of these procedures are time consuming, require negotiations, and may entail compromises

⁶ The five lender banks are providing equity and are receiving the benefits of the income tax credit. The NMTC program provides a 39% tax credit over 7 years, of which 5% is allowed for the first three years, and 6% is allocated during the remaining four years. So, in years 1 through 3, the lender banks will receive 5% of the 52 million (\$2.6 million each year) in tax credits, while in each of the years 4 through 7 they will receive 6% of the \$52 million (\$3.1 million each year). Over the course of the 7 years, they will receive a total of about \$20.28 million (Reilein).

and adjustments to proposed plans. Therefore, initiation of processes to secure the establishment of such districts and funds should start as soon as possible. There were no indications given during this study that such special arrangements have already been made.

8.2 Fund Management

The fund formed by the Consortium's and the banks' contributions is not being managed by the Consortium which, as a new organization, is considered relatively inexperienced for this magnitude of investment management. Rather, it is being managed by the Cincinnati Development Fund (CDF), a local organization with long experience and a strong past track record in such types of financial management, and especially the management of New Market Tax Credit funds. CDF will be the manager of record for the next seven years of the duration of the New Markets Tax Credit 2005 award to the Consortium by the federal government in the amount of \$72 million. CDF is setting the terms and criteria for lending by the commercial banks.

Each investor who provides an equity contribution has to feel comfortable with the overall lending group because once contributions have been made into the fund, individual lenders lose control of it. One has to make sure that that money is protected, and that there is confidence in how it is being managed. The governance structure of the fund is such that there are agreements that protect each of the investors, giving each one a voice. These agreements largely govern how the organization will proceed, and partly, what it is doing with the money. Before investors put money in, they have to understand how that money will be managed.

8.3 Procedures for Project Financing Approval

Decisions on the allocation of money for all projects seeking an investment of \$1 million or more from the Uptown Partners Development Fund are made through a three-tier committee review process. The first review is carried out by the Uptown Consortium Board, on which all five Consortium partners are represented, and which makes recommendations about the allocation of funds to specific development requests by the CDCs. These recommendations are then reviewed by the Cincinnati Development Fund, the manager of the NMTC funds, acting as the Community Development Entity (CDE), which checks to ensure that the recommended loans are going to qualified low income community investments (proper neighborhood, census tracts) as defined by Section 45.D and meet the criteria of (a) appropriate land uses and (b) appropriate development goals. If it agrees, the CDF underwrites the request and sends it to the Investment Committee, which is made of representatives of the five lender banks. The IC may approve or reject the request, based on criteria of (a) financial commitment of the applicant and sustainability of proposed development project, (b) feasibility of project implementation and conformity to all pertinent regulations, and (c) sound management capacity and assessment (*Community and Economic Development* 2005). In reality, the likelihood of rejecting a request is rather remote because the banks would already have underwritten it to some extent. The banks are involved in all phases of these transactions (McGirr et al 2004, Brown 2005, 2006).

Figure 8.2: Example of Loan Calculation

Suppose one has a real estate transaction (such as an office building) with \$10 million of cost. The bank lending policy would limit the amount to be lent to 80% of that cost, with the remaining 20% to be equity contribution. Thus, the banks are investing on a regular loan of \$8 million at a favorable market rate, and on \$2 million through the equity fund. This usually varies between 12% and 18% but because of the NMTC it can be as low as 4%.

Source: Present study

Funding usually flows into a development projects in two ways. First, a line of credit is extended to the development organization to be used directly for development. Near market or at market interest rates are part of the loan, and loans are scheduled to be repaid according to the development schedule of each project. As is standard practice with most bank originated loans, not all the money is made available at the start of the project, but the line of credit is established at the beginning so proper planning for the project can proceed. As the project progresses from planning into construction, additional percentages of the loan are allocated so that construction can continue. Not all the money is allocated in one lump sum at the beginning of the project, but rather in scheduled installments as the project progresses (Siegert 2005).

Second, bridge loans are issued on a needs-basis. Occasionally, due to a variety of issues ranging from weather delays to unforeseen construction issues, additional sources of capital are needed for construction and development to continue. The CDCs are able to ask for bridge loans, usually repaid on an expedited basis, in order to bridge a gap between one moment of construction and development time to another. This loan bridges the funding gap and allows for construction to continue; otherwise the project would be suspended while additional loan sources were sought out. These bridge loans are usually kept in a separate accounting category and repaid when other loans are secured (Siegert 2005).

8.4 Findings and Development Funding Issues to Be Addressed

8.4.1 Implications of this Financial Model

If the Uptown Consortium transaction goes well and the investment is successful, it will be of great benefit to all the participants in this transaction and development:

- The transaction will benefit the banks in two ways. First, it's a fair return on the banks' investment. Second, banks have an obligation to see their communities redeveloped, and that is the purpose of the Uptown Development Fund. At the same time, the banks face no economic risk, because they are getting tax benefits for the funds they contribute.
- The transaction will benefit the Uptown Consortium in two ways. It makes it easier for the banks to agree to provide the necessary funds, while the cost of the overall loan is considerably lower. However, the Consortium members are taking the economic risk of potentially losing their principal.

- The transaction will also benefit the Community Development Corporations in two ways. It makes cash available to them for the implementation of the development and redevelopment programs at lower than market costs, while they also address the low income community problems, since the NMTC funds are specifically designated to provide funding for such redevelopments.

8.4.2 Need for a Master Real Estate Plan

The experts interviewed for this project agree that a Master Real Estate Development Plan is much needed. That plan should provide an organized approach to development and should be executed in a logical and systematic fashion so as to produce the best results: “You don’t want to be put in a situation where you just have to throw it against the wall and hope it sticks”. The worst case scenario is that the University can find itself funding two businesses in the same area that will be competing with each other in a limited market (Alexander 2006).

Rushing into action in the absence of such a master plan may be detrimental to the overall development program. The argument is made that the deterioration of Uptown did not happen overnight, but was the result of a number of factors working in synergy. These factors – lack of safety, deterioration of housing stock, loss of retail, demographic change, dilapidated infrastructure, limited accessibility, limited parking, poor public transportation, declining environment – will also need time to recover, so the rejuvenation of the region is not going to happen overnight either.

It is understood that UC has enrollment issues because of security, housing and area deterioration issues. But there are other solutions to these problems, such as entertainment districts or other activities that will foster a better quality of community. That’s why a Master Development Plan is needed - to address issues of transportation, entertainment, etc. All of those factors have to be brought together (Alexander 2006).

8.4.3 Need for a Real Estate Market Study

One doesn’t build a development starting with its cost and then translate it into price, but one starts with the price, and then builds to suit it. Suppose one is building a \$50 million office building, but then realizes that the realistic rent capacity of that building will be \$30 million. An office building that costs \$50 million will never work if the market will only support \$30 million. Similarly, one cannot build retail spaces that would lease at \$50/sq.ft in a market where rentals go for about \$15/ sq. ft. It is hard to get well-intentioned institutions and non-profits to understand that they’re not going to drive the market, but rather that the market is going to drive them (Alexander 2006).

The market is pretty efficient and will indicate what housing and retail developments will fit and what will not. New products (buildings, facilities) coming on line will compete with existing nice products. Already, a lot of condominium renovations have been done in Over-the-Rhine and elsewhere in the broader region, including downtown. That is beginning to saturate the condominium market and will create competition with the developments of Uptown. Consequently, a study of the condominium market in Cincinnati and Northern Kentucky is necessary to determine demand for condominiums

in the Uptown area, identify desirable characteristics that would make the product attractive, and estimate a price range at which these condominiums would remain competitive. The perception is that a condominium market in Uptown can be successful if it takes advantage of its location characteristics and develops mostly in high-rise buildings.

8.4.4 Need to Secure the Best Possible Financial Deals

The cost of money borrowed to finance the organization, planning, design, construction and marketing of the redevelopment of Uptown has the ability to make or break the success of the developments. Securing lending money below market rates establishes a major advantage in building price-competitive products within the city of Cincinnati market. Part of the complexity of the Uptown developments comes from the fact that it's much more costly to build within existing urban environments than in new areas, and because of this, builders need subsidies.

8.4.5 Need to Offer a Package, not Just Building

It is being emphasized that money is only one component in the mix of how to develop communities. Lending money below the market rate is merely one portion of a successful redevelopment strategy. It is important to know what products are going to work for the target population. The Consortium thinks that it will create a new market in the Uptown area, consisting of empty nesters and retirees. But it is not creating a package in that market to attract these people. Some of the retirees have told us that they would come if they could participate in UC activities and opportunities (library, etc.). But UC has not developed any of these things.

8.4.6 Need to Create a Positive Image -- Avoid the Perception of Failure

The image of the developments is critical. The perception of failure that can be associated with vacancies, slow renting, and adverse publicity can be very difficult to overcome, and this is a challenge in the Uptown area. It requires significant cooperation in the community; that is, it requires partnership with the community. Chapter 9, which follows, outlines the conceptual model of community partnership pursued by the University of Cincinnati.

Chapter 9: Case Studies of Peer US and Canadian Academic Institutions

9.1 Introduction

So far, this study has dealt with the University of Cincinnati and its Uptown Consortium structure, under which a number of community partnerships have been conceived or are about to be initiated. But to this point, this review of the Uptown activities has been made in a vacuum. The people involved in the Uptown initiatives are justifiably proud of their efforts and the prospects of large scale revitalization of its seven neighborhoods, as well as of the novel ways employed in the financing of its ventures. But to date all these activities have not been reviewed vis-à-vis those of their peer institutions elsewhere in the United States and, to a lesser degree, Canada. Thus, it is not clear whether the Uptown initiatives are truly unique for North America, and represent an exceptional amount of effort and university commitment, or are just one of hundreds of similar efforts around the country. Given that in the last twenty years most urban universities have recognized the practical benefits of more active involvement with their communities and thus have become more actively involved with their neighborhoods and cities, the examination of the relative scale, nature, approach and results of the University of Cincinnati and its Uptown partners in comparison to other major academic institutions would provide valuable insights to the University and Consortium officials as they readjust their strategies and priorities for the long term development of the Uptown communities.

In this chapter, then, we attempt to provide such a basis for comparison. To accomplish it, we embarked in an initial review of approximately fifty (50) US and Canadian urban academic institutions with characteristics resembling some of the features of the University of Cincinnati. Such characteristics included:

- Universities in larger cities – over 300,000 people – or metropolitan areas of 2 million people and above.
- Large academic institutions, with student populations over 15,000.
- Both public and private universities.
- Older academic institutions, with a history of fifty years or more.
- Research institutions with a record of active research programs.
- Located within the urban areas, and especially within the urban cores.
- Known for community involvement of some sort.

Extensive Internet research was conducted on all of these institutions, in order to understand their similarities and differences from the University of Cincinnati, to assess the extent of their community involvement, to determine if that involvement was institutionally led or only the result of individual faculty, students or academic department initiatives, and to determine if these universities had some track record of involvement, so that the results of this involvement could be assessed. Several of the universities in the initial list were dropped when it was determined that either their community partnerships were too new for any kind of assessment, or that their activities were mostly if not entirely the result of individual activism, without any official institutional participation. We were thus left with twenty one (21) urban academic institutions which met the above criteria. We proceeded to conduct more thorough research on these twenty one institutions, and to prepare extensive case studies of their

history, developmental backgrounds, models of institutional partnerships with their communities, and range of outreach activities.

The research carried out examined the history of these organizations, their goals, the people and groups who are involved, how they fit into the university structure, and the projects they have undertaken. Of special concern was gaining an understanding of the methods used to reach out to the communities. Some programs included university students spending time engaging their communities through after school programs for local youths. Others universities took a highly active role in the planning and development of their region. Also of concern was the understanding of financial mechanisms that enabled these organizations and collaborations, particularly where the money originated, and how it was being used. Some funds were supplied by non-profit organizations and federal grants, while some universities had funds set up to specifically to aid the community.

An analysis of these collaborations reveals that each project typically fits into one of four categories. While it is not the purpose of this chapter to categorize all projects undertaken by the universities studied, it is useful for the reader to keep in mind that different community collaborations undertaken by universities have different objectives, although most universities pursue a combination of the four when their activities are considered in total. However, the weights given to the four categories will vary. These four categories are:

- **Generation of Knowledge:** Research, data collection, experimentation – purely for the generation of knowledge, no attempt to improve community quality of life;
- **Collaborative Studies:** Studies with the collaboration and/or participation of the community – fundamentally for educational and/or research purposes, but with derived benefits to the community;
- **Community Involvement:** Activities specifically designed to benefit the community, carried out by faculty and student volunteers and with the active participation of the community, or
- **Area Redevelopment:** Direct interventions of the university into the community for real estate rehabilitation, redevelopment, campus expansion or community enhancement.

To set the context for these case studies, the history of both the universities and their localities were researched in addition to the collaborations themselves. Research on city history concentrated on major events, demographics, industry, and major political forces. With reference to the universities, each case study details major academic programs throughout each institution's history, in addition to information on relationships with the various communities that the schools are a part of.

Information gathered for these case studies comes from a variety of sources. Interviews were conducted with many staff members of the universities and collaborative organizations. In addition, the publications of some of these organizations (such as actual development plans) were available to help in understanding the impact these

collaborations have made. Internet research typically provided an adequate overview of the city and university histories.

Here we summarize these twenty one case studies conducted among selected US -- and some Canadian -- academic institutions located within major urban/metropolitan areas and recognized as significantly involved with their communities in various programs of community enhancement, rehabilitation or redevelopment. They include:

University of Akron: University Park Alliance

- Boston University Community Partnerships

Boston College University Partnerships

Duke University: the Duke-Durham Neighborhood Partnership

Georgia Tech University: Blueprint Midtown

Johns Hopkins University: East Baltimore Biotech Research Park

Louisiana State University: The LSU Community University Partnership

McGill University Community Partnerships

Ohio State University: Campus Partners for Community Urban Redevelopment.

San Diego State University: College Community Redevelopment Project

Simon Fraser University Community Partnerships

University of Pennsylvania: West Philadelphia Initiatives

University of Pittsburg: Community Partnerships

University of Victoria Community Partnerships

University of Wisconsin, Milwaukee: Community Partnerships

University of British Columbia Community Partnerships

University of California at Los Angeles: UCLA Center for Community Partnerships

University of California, San Diego: Community Development Initiatives

University of Illinois at Chicago: UIC Neighborhoods Initiative

University of Louisville: Signature Partnership Initiative and SUN

University of Southern California: USC Civic and Community Relations

Through these initial case studies, a smaller number of academic institutions were selected for more thorough analysis. These were institutions which have already achieved a significant and recognized degree of success in community development, and have exhibited innovative behavior in the types of initiatives as well as in the planning, financing, management, community outreach, and other aspects of their programs' implementation. We studied these institutions much more thoroughly by visiting their campuses and conducting extensive semi-structured interviews with university leaders and other officials, faculty members involved in various aspects of the university partnerships, planners, architects, developers, business people and community activists in each city. The information collected through these field research visits was also incorporated in the detailed case studies included in the Appendices. The ten universities selected for this in-depth study included:

- Ohio State University in Columbus,
- The University of Pennsylvania in Philadelphia,
- John Hopkins University in Baltimore,
- The University of Southern California in Los Angeles,
- The University of California at Los Angeles,

- The University of California at San Diego,
- San Diego State University,
- The University of Louisville,
- The University of British Columbia in Vancouver, and
- Simon Fraser University in Barnaby, British Columbia.

The twenty one case studies in this chapter are presented in summary form. The summaries provide information primarily on the collaborations, their projects, the benefits that have derived from them, and the financial mechanisms that have been employed to their success. For those seeking more detailed information, each case study is presented in its entirety in Appendices 1 to 21.

9.2 University of Akron: University Park Alliance

The University Park Alliance (UPA) was founded in 2000 as a partnership between the University of Akron (UA), the City of Akron, Summa Health Systems, and the University Park Development Corporation. The UPA was formed to create and sustain partnerships that implement the community-wide vision for University Park, to promote, enhance and institutionalize student service-learning, faculty applied research and volunteer projects in University Park, and to develop the capacity for neighborhood groups, community organizations and grassroots leadership in University Park (University Park Alliance 2005).

The initial goal of the UPA was the creation of the University Park Revitalization Plan. The planning committee consisted of representatives from the four UPA partners, neighborhood business leaders, and community members. The UPA also holds regular meetings with community leaders and neighborhood groups to keep them updated and informed of development efforts. In addition, UPA has created an Outreach Task Force, which meets monthly, to continually engage and involve the community in the redevelopment of University Park (University Park Alliance 2005).

Programs of the UPA can be grouped into the categories of economic development, housing, neighborhood revitalization, and education. Spicer Village is the primary economic development project, the plan of which calls for the construction of 120 town homes and 50,000 square feet of retail space in the heart of the university community. The UPA helped Beacon's Farmer's Market to open in downtown Akron, and it also partners with local business associations to provide assistance to retailers and small business operators (University Park Alliance 2005). UPA partners with Habitat for Humanity to provide renovation assistance to low income residents in the community, and it's also in the progress of starting a down payment assistance program for low-to-moderate income employees of UA to purchase homes in the area. Programs in neighborhood revitalization and education are still in their early stages, but will focus on working with campus community groups to beautify public parks, develop a pilot neighborhood arts festival, and train neighborhood leaders in communication, grant writing, and advocacy (University Park Alliance 2005).

Initial funding was provided by the university and a \$200,000 grant from the Knight Foundation. In 2002, the Knight Foundation followed this grant up with an additional

\$2.5 million. By the end of 2003, the total financial commitment from all partners was nearly \$9,000,000. In 2004, the UPA received a \$400,000 Community Outreach Partnerships Centers Program (COPC) grant from the U.S. Department of Housing and Urban Development (University Park Alliance 2005).

9.3 Boston University Community Partnerships

Boston University is involved in the Allston/Brighton Healthy Boston Coalition, which integrates public and private resources with the goal of strengthening families and neighborhoods. It is a collaboration of over 700 residents, educators, religious groups, students, and business-owners. The Coalition is very involved in elections and voting, and sponsors a number of youth-oriented programs and activities.

Another Boston University collaboration is the Brighton Main Streets Organization. It focuses on building consensus and cooperation among business district stakeholders, promoting the image and promise of the district to shoppers, businesses, visitors, and investors, unifying and improving the physical design, and creating economic restructuring to respond to changing markets. To date, Brighton Main Streets has provided services associated with storefront renovations and other design projects, provided technical assistance to businesses, published newsletters promoting local businesses, and taken steps toward nominating Brighton Center for the National Register of Historic Places.

9.4 Boston College University Partnerships

At Boston College, the Boston College/Allston/Brighton Community Fund provides financial support to community organizations involved in education or beautification. Since the founding of the Fund in 1995, \$500,000 in grants has been awarded to nearly 100 organizations. Special consideration is given to organizations which will benefit children, senior citizens, or lower-income residents of Allston and Brighton. In addition, grants may be provided to groups which wish to sponsor an event that will benefit the community.

The Boston College Neighborhood Center was founded in 1994 and works with the Office of Governmental and Community Affairs. The Center works to provide services to residents through the creation of partnerships with schools, non-profit organizations, and social service agencies. The Center also offers volunteer opportunities for the Boston College community through programs such as the Food for Families Program and the Read-Boston tutoring program at local schools.

9.5 Duke University: the Duke-Durham Neighborhood Partnership

The Duke-Durham Neighborhood Partnership was founded in 1996 under Duke President Nan Keohane as an effort to engage the university with the surrounding communities. The primary goals of the partnership were determined by directly asking residents of the surrounding neighborhoods. Programs for K-12 education, public safety, affordable housing, neighborhood revitalization, and accessible healthcare were subsequently developed (Duke University 2006).

The Neighborhood Partnership also includes the city, county, and federal governments, Durham Public Schools, North Carolina Central University, churches, non-profit organizations, neighborhood community centers, businesses, and individuals. Much of Duke's involvement comes through the participation of 35 Duke Departments and schools being involved in Partnership programs (Duke University 2006). The Partnership works in neighborhood empowerment by helping local community groups and non-profit organizations. They educate, locate funding, and hold meetings with these groups to help the communities help themselves (Kauffman 2006).

The Partnership sponsors several programs in five categories. Programs in K-12 education and enrichment include mentoring, tutoring, and various after-school programs. Duke sponsors and participates in such programs as the science-based BOOST, the Creative Literacy in Computer Knowledge (CLICK) program, and the math-based MUSCLE program. The Partnership also helped to secure a new Science Resource Center at a local elementary school. Under affordable housing, Duke loaned \$4 million to the Self-Help Community Development Corporation. To date, the non-profit lender has purchased and renovated over 60 homes in Walltown to be sold to low-income, first time buyers. The Partnership has also worked to develop more affordable housing in the West End, opening Pauli Murray Place in 2005. The Partnership is involved in improving safety and security, particularly as it applies to crime prevention. In 2000, Duke made a grant to Self-Help that allowed them to purchase a Walltown grocery store that was a center of drug activity and prostitution. The Walltown Ministries has since turned the building into their headquarters. Neighborhood revitalization efforts include building 40 residential units for use by Duke employees in the Trinity Heights neighborhood and helping to secure buildings for new community centers. Finally, the Partnership has opened 2 community healthcare clinics in convenient locations, as well as two school clinics (Duke University 2006).

The Duke-Durham Neighborhood Partnership is funded by a mix of Duke University and private funding. There is currently a project budget of over \$12 million coming in from grants and non-profit organizations. Among this is a \$4 million loan from Duke to the Self-Help Community Development Corporation. The Partnership staff is paid as full time staff of Duke. In addition, the Partnership is getting about \$350,000 a year from local donations of money, goods, and services. The Partnership transfers this funding to be used for its many projects in affordable housing, youth programs, health care, and neighborhood empowerment (Kauffman 2006).

9.6 Georgia Tech University: Blueprint Midtown

In the mid-1990s, Georgia Tech became more involved in the neighboring Midtown community through a project called Blueprint Midtown. The Blueprint project is a division of the Midtown Alliance, and it is a partnership between the Alliance, Georgia Tech, and many more community groups, businesses, and architecture and development firms. Blueprint Midtown follows a six-step process: assess the situation, envision the future, design the plan, develop strategies, implement, and refine the plan. Georgia Tech is involved heavily in the first, second, and fourth steps. Through student and faculty work, it provided the majority of the research for the initial Blueprint. The University

was involved in envisioning workshops, and also takes part in Working Groups that develop strategies and proposals (Midtown Alliance 2006).

Georgia Tech achieves community involvement through the many partnerships that make Blueprint Midtown possible. The envisioning process included 50 public meetings that were held in everything from churches and PTA meetings to student lounges and corporate buildings. In addition, the public was asked to take part in the massive Visual Preference Survey to give their opinions of what the physical appearance of Midtown should look like. The community is also involved through the volunteer Task Force and the large Advisory Board, which are both comprised of a variety of community leaders and stakeholders. To maintain communication with the general public, Midtown Alliance publishes a number of videos, brochures, and development trend reports (Midtown Alliance 2006).

Completed projects of Blueprint Midtown involve transit, land-use, beautification, and safety. The Midtown Transit Management Association was established in 2000 and has programs that reach 75% of the Midtown workforce, including vanpools, carpools, bicycle racks, and Walk Challenge programs. Blueprint Midtown has set 20-year goals for new retail, commercial, and residential space. While commercial and retail space is not currently meeting projected goals, the 5,789 completed residential units already exceeds the 2017 goal of 4,000, and many more are expected to be completed soon. Streetscape design and beautification has also developed under Blueprint Midtown, including a set of specific design standards for retail, commercial, and residential spaces (Midtown Alliance 2006).

Funding for Blueprint Midtown was kicked off in 1996 and 1997 by a \$1 million Robert W. Woodruff Grant, which is largely funded by the Coca-Cola Company. An additional \$500,000 in private grants has been received since the project's inception in 1997. Federal grants have helped to finance transit projects, such as the Transit Management Association. In 2000, the Midtown Improvement District (MID) was implemented. It is an overlay district of self-taxing businesses, revenues from which go toward large-scale public improvement programs in Midtown. This funding will continue as the MID was renewed in 2006. Midtown Alliance makes the final decisions on what funding is used for, but not without the heavy involvement of its partners (Midtown Alliance 2006, Jannie 2006).

9.7 Johns Hopkins University: East Baltimore Biotech Research Park

Johns Hopkins University (JHU) has historically been committed to Baltimore, but has stepped up its community investment over the last decade. The East Biotech Research Park is a site where JHU had bought hundreds of properties over several years so that the site could be redeveloped as one. Partners in this project were the Historic East Baltimore Community Action Coalition (HEBCAC), East Baltimore Development Inc. (EBDI), and Forest City Enterprises.

HEBCAC is a non-profit organization responsible for planning and implementing a variety of projects in East Baltimore. HEBCAC was founded in 1984 as a partnership of

JHU, the City of Baltimore, the State of Maryland, and local residents. HEBCAC is involved in housing rehabilitation, reemployment training and placement, economic development, commercial revitalization, and other related activities. EBDI works as an umbrella corporation to coordinate the many small community development corporations active in East Baltimore. The primary goal of EBDI is to recapture the former essence of East Baltimore and restore the community's vibrancy and productivity. Forest City is a major NYSE-listed real estate company. The Forest City-New East Baltimore Partnership was selected by EBDI, and furthers Forest City's commitments to large-scale urban development for the life sciences and university communities. JHU representatives are on the administrative review boards of both HABCAC and EBDI, but HBU does not make final development decisions (Quinn 2006).

In 2002 Baltimore Mayor Martin O'Malley initiated the redevelopment of 80 acres in East Baltimore. JHU had already purchased 600 housing units on the site, but another 300 units were acquired with eminent domain. JHU is not a developer in this project; they merely sold their 600 units to the city so that they could be redeveloped. The University is often blamed for allowing the 600 units to sit vacant for years, causing an increase in crime. The plan for the area included 1,500 new and rehabilitated residential units, green space, new jobs, and new retail space (Hopkins Biotech Network 2006). 20 of the 80 acres were planned for the East Baltimore Biotech Research Park. JHU is committed to leasing 30,000 square feet of laboratory space in the park. The redevelopment will also create new street layouts, improve transit, and provide for mixed-income housing. In addition, the City of Baltimore, JHU, and the Annie E. Casey Foundation are working to provide assistance to residents displaced by the development. An average of \$150,000 was paid to approximately 350 families displaced (Bishop 2006).

JHU, due to its lackluster relationship with East Baltimore, maintained a supporting role in the redevelopment. It provided monetary support to the project, as well as to HEBCAC and EBDI (Quinn 2006). Due to the large amount of federal funding for the project, JHU only had to provide 5% of HEBCAC's operating budget. The city also set up a Tax Increment Financing (TIF) district around the university as an incentive for private development.

9.8 Louisiana State University: The LSU Community University Partnership

The LSU Community University Partnership (CUP) was founded in 1994 to help revitalize the Old South Baton Rouge community. Much of the community saw LSU as part of the racist legacy of the Deep South and feared that the University was only interested in co-opting the community for its own benefit. As a result, many of CUP's early goals went unfulfilled (Vincent 2004). A renewed effort from new Chancellor Mart Emmert resulted in a grant from the Department of Housing and Urban Development (HUD) and a reinvigorated CUP at LSU (HUD 2005). CUP focused its efforts on the Three R's: responsibility for past wrongs and recent failures, recognition of the need for a relationship with the surrounding community and its residents, and respect to not get involved where involvement is not wanted and respect to boundaries. Programs of the CUP fall under three categories: neighborhood revitalization, economic development, and community organization.

The CUP grew out of an early 1990s meeting that LSU conducted with community leaders, residents, and business owners (Vincent 2004). After rejuvenation in 2001, CUP took a more action-oriented approach to earn and keep the trust of the community. It immediately became involved with long-standing community groups (LSU CUP 2005).

Some CUP programs are aimed at helping the youth of Old South Baton Rouge. The NIA program provides youth mentoring assistance, while the Community Playground Project utilizes the faculty and students of the LSU Department of Biological & Agricultural Engineering to design and build neighborhood playgrounds and play lots in Old South Baton Rouge. The Old South Baton Rouge Oral History program has been set up to bridge the cultural gap between the community's younger and older residents. Under the category of economic development, CUP has collaborated with the LSU's Louisiana Business and Technology Center to assist entrepreneurs and small businesses with access to the resources they need to grow and attain long-term success. Involved in both economic development and neighborhood revitalization is the Urban Studio Project, which works with Old South Baton Rouge businesses on renovation techniques that improve the physical condition of the neighborhood business districts. LSU has specifically provided funding to the North Gate Merchants Association to revive a key neighborhood business district through streetscape renovation and façade repair. CUP has provided funding, planning support, and operational assistance to the Old South Baton Rouge Revitalization Corporation (OSBRCRC), the largest economic development entity in the city. CUP is also working with Fannie Mae and local banks to increase homeownership financing to low-income residents of Old South Baton Rouge. A current project of CUP is the First Worthing retail development and the mixed-income Chimes Street Condominiums (LSU CUP 2005).

In 2001, the LSU CUP was awarded a Community Outreach Partnership Center (COPC) grant from HUD in the amount of \$400,000 (HUD 2005). LSU then agreed to match the grant with an annual commitment of \$500,000 from 2001 to 2004 (Vincent 2004). CUP also helped to attract an \$18.6 million HUD HOPE VI grant to replace dilapidated public housing with a new mixed income housing complex in the heart of the town (LSU CUP 2005). LSU has traditionally committed a total of approximately \$6 million per year to community development, an amount that is not expected to decrease (LSU 2006).

9.9 McGill University Community Partnerships

McGill University, located in Montreal, has some programs in community outreach, although much of their work is international. The Office of Technology Transfer (OTT) at the McGill provides services to the community through the management of intellectual property and partnerships with the private and public sectors. OTT oversees approximately 500 research agreements with the private and public sectors (McGill University 2006).

The Supporting Montreal Schools Professional Development Assessment Pilot Project is a qualitative research study funded by the Quebec Ministry of Education's Supporting Montreal Schools Program (SMSP). The purpose of the project is to assess the role

professional development has played in the SMSP. Results of this study will help delineate the best practices associated with supporting disadvantaged students in the elementary grades, inform planning for future professional development activities, and help construct a template for the assessment of professional development for educators of at-risk students (McGill University 2006).

The Aboriginal Healing Foundation (AHF) takes the McGill community partnership further from home. The corporation is a non-profit, aboriginal-run group that operates throughout Canada. The mission of the AHF is to encourage and support Aboriginal people in building and reinforcing sustainable healing processes that address the legacy of physical and sexual abuse in the Residential School system, including intergenerational impacts (McGill University 2006).

9.10 Ohio State University: Campus Partners for Community Urban Redevelopment

Campus Partners for Urban Redevelopment (CPUR) was formed in 1995 to lead redevelopment in the neighborhoods surrounding Ohio State University (OSU), i.e., in the University District (Foegler 2006). The first project of CPUR, the University Neighborhoods Revitalization Plan, was completed in July 1996. It set the following redevelopment goals: improving rental housing and student quality of life, increasing homeownership, revitalizing the retail space, and encouraging faculty, staff, and student involvement with the neighborhoods. It was also decided that CPUR would focus on the High Street corridor and the Weinland Park East and West neighborhoods (Campus Partners for Community Urban Redevelopment 2005).

CPUR is overseen by a board of directors consisting of OSU administration, faculty, and students, the City of Columbus, and various community groups and business representatives. Committees have been established to address issues surrounding student life, education, community services, local businesses, code enforcement and public safety. Committee members come from a variety of stakeholder institutions and local organizations. They meet monthly with members of CPUR. In addition, printed publications, broadcast news, and electronic media have been used to communicate to the community (Campus Partners for Community Urban Redevelopment 2005).

CPUR has created a variety of programs to improve conditions in the University District. The South Campus Gateway Development is a \$130 million mixed use project, including 250,000 square feet of retail, 88,000 square feet of office space, 190 new apartments of varying styles, and a 1,200 space parking garage (Foegler 2006). To increase homeownership in the University District, OSU and Fannie Mae have sponsored the Homeownership Incentive program to provide up to \$3,000 in down payment assistance to OSU employees buying homes in the District. Other projects have dealt specifically with housing. One project saw CPUR, in collaboration with the Columbus Empowerment Zone and the City of Columbus, acquire and rehabilitate 1,335 units of low income housing in the University District (Sterrett 2006). Another \$60 million project has rehabilitated 300 housing units that are to be occupied by low income residents eligible for Section 8 vouchers (Foegler 2006). Specifically for the High Street

District, the High Street Redevelopment Plan has been developed. CPUR is currently in the process of helping the City of Columbus create a Special Improvement District (Campus Partners for Community Urban Redevelopment 2005).

In 1995 OSU's Board of Trustees made a \$28 million, five-year pledge to fund urban renewal efforts in the University District (Campus Partners for Community Urban Redevelopment 2005). The initial redevelopment plan was funded jointly by OSU and the City of Columbus. Specifically, the South Campus Gateway project was funded by a variety of sources including \$30 million in new market tax credit funding, \$20 million from OSU's endowment, \$7.5 million from the City of Columbus, \$4.5 million from the State of Ohio, \$33 million from a tax-exempt bond issue by OSU, and \$10.5 million from a conventional mortgage loan. The \$60 million Section 8 housing project was funded by OSU, the City of Columbus, and the Ohio Capital Corporation (Foegler 2006).

9.11 San Diego State University: College Community Redevelopment Project

The \$800 million College Community Redevelopment Project (CCRP) was planned in the early 1990s to revitalize the neighborhoods surrounding the San Diego State University (SDSU) campus. A major part of it was the Paseo, which would offer near-campus housing for 1,300 students in addition to 250,000 square feet of retail and commercial space (Nakata 2006). Designed in the form of an open shopping plaza, it was the result of years of negotiations between the university Foundation and the community. In the first decade of its existence, CCRP was administered by the SDSU Research Foundation, which thus became a major developer in the communities surrounding SDSU. The initial goal of the CCRP was to improve housing opportunities in the community by developing 6,000 beds of student housing (SDSU Research Foundation 2006). A secondary objective was to reduce traffic congestion and demand for on-campus parking. The housing goal created concern in the community because of the magnitude of the project, but also because of fears of gentrification. To quell these concerns, SDSU established a voluntary development boundary for the university's redevelopment initiatives. Then, in 2005, the university completed a new Campus Master Plan which expands on the initial efforts of CCRP and the Research Foundation but also included new locations for the Colleges of Engineering, Health and Human Services, and Science, and provided for the preservation of wetlands and the creation of a community park (SDSU 2006). CCRP and the Research Foundation communicate to the community primarily through the College Area Community Council (CACC), which also came into existence in 1993. It consists of elected community representatives, both residents and business owners. Before CCRP moves forward with any planning decision, the CACC is consulted for opinions. Charrettes involving the university, the CACC and hired architects also help to communicate with the community as a whole (Nakata 2006).

CCRP and the Research Foundation have been successful in acquiring, operating, managing, and developing university real estate. Today, the Research Foundation owns \$141 million of land. It completed and operates the 40,000 sq ft Coastal Waters Laboratory, the Piedra del Sol apartment complex, the 160,000 sq ft KPBS/Gateway Building, the 130,000 sq ft Alvarado Medical Center, and the 55,000 square foot Sky Park Court office complex. In addition, it developed the Fraternity Row housing

complex, to move SDSU's Greek housing closer to campus (SDSU Research Foundation 2006). Since 2002, redevelopment projects have generated \$600,000 for the University. This funding has been used for research, buildings, equipment, library materials, international activities, additional permanent faculty positions and for graduate assistantships (SDSU Research Foundation 2006).

All SDSU Research Foundation projects, including the CCRP, are self-sustained. Rental income is used to cover the initial debt of the projects. No state funding or student fees are used (SDSU Research Foundation 2006). Recently, the California State University Chancellor's Office stated that all projects would have to be financed through a state revenue bond process (Nakata 2006).

SDSU also works with the Price Community Builders project to improve the education of low-income residents of the surrounding communities. Price Community Builders students earn a Bachelor's of Social Work, after which they work for one year in the Price community before they return to SDSU to earn a Master's of Social Work. Price Community Builders relies on the Price Charities donation, as well as SDSU faculty grants that also fund the project (Singer 2006).

9.12 Simon Fraser University Community Partnerships

The Centre for Sustainable Community Development (CSCD) at SFU, founded in 1999, works to encourage and support sustainable environmental, social, and economic development through research, education, and community mobilization in British Columbia. The CSCD is collaborating with Ecotrust Canada and other partners to develop a Sustainable Building Centre, which will provide region-specific information on products, technologies, as well as services to help increase awareness and adoption of green building practices (Sustainable Building Centre 2006). CSCD's current primary research projects are food security, forest communities, and civil society, focusing on sustainable community development, food security and food-related micro-enterprise and professional development (Lindberg 2005).

The SFU Community Trust is managing the planning and development of a completely new community, called UniverCity, on 65 hectares of land surrounded the SFU campus. When completed, UniverCity will house up to 10,000 residents and have a variety of shops, services, and employment opportunities. The community will also have a discounted transit pass for residents. The project has thus far received eight awards for environmental foresight, design innovation, and progressive community planning.

The Continuing Studies unit at SFU is expected to create a partnership between the university and community by providing university-level programming that meets community needs and enhances faculty research. University expertise is extended to the community, and community knowledge and priorities are brought to SFU.

Sustainable SFU promotes dialogue and collaboration within the university community, initiates and encourages research on sustainable campus practices, and provides educational programs and resources. Sustainable SFU works with facilities management

to initiate composting projects throughout campus and the community. In 2004 Sustainable SFU launched the Campus Sustainability Assessments Project, focusing on and conducting research on topics related to sustainability (Sustainable SFU 2006). Sustainable SFU is also working with partners to provide education and awareness programs and workshops on energy and water conservation, healthy and sustainable food choices, and waste reduction.

Simon Fraser University Net Impact (SFUNI) is a diverse group of students and professionals working together to create innovative opportunities to integrate corporate environmental and social responsibility into their business decisions. Its mission is to foster a new generation of leaders who use the power of business to create a better world. SFUNI has recently held two workshops on how to have a profitable business that works to build a better world. The presentation Green Shell focused on creating a green market niche, while the Sustainable Purchasing presentation dealt with issues in supply chains. SFUNI is primarily associated with the School of Business and its MBA program.

9.13 University of Pennsylvania: West Philadelphia Initiatives

In the mid-1970s, The University of Pennsylvania (Penn) began to take a more active role in the surrounding community. A university restructuring in the early 1990s provided for a number of organizations and programs to aid the community, and the chief vehicle of economic development was the West Philadelphia Initiatives (WPI) (Weeks 2006). Planning for WPI began in 1994, and was made more urgent by the murders of two Penn students (Kerman and Kromer 2004). Goals of the Initiatives at this time included creating clean and safe streets, improving neighborhoods, increasing housing choice and homeownership, improving public education and school options, fostering economic opportunity, and promoting commercial development and retail activity.

A major principle of the Initiatives is the ongoing consultation and dialogue with community members prior, to, and during implementation, with a willingness to modify plans as needed to maintain this support. Forums and meetings were held to gather input from local residents and citizen groups. The Penn Office of City and Community Relations held monthly meetings with neighborhood leaders and activists to gather opinions and concerns. The official university publication, *The Almanac*, was used along with local print and television to promote the Initiatives and report on their progress.

The West Philadelphia Initiatives is not a unified organization, but a group of organizations and partnerships that work to achieve a set of ideals and goals. The Center for Community Partnerships (CCP) works to achieve many of these goals. A project of the CCP was the Penn-Alexander School, a university-assisted public school funded by the Initiatives (Grossbach 2006). CCP partnered with a local non-profit to create the West Philadelphia Partnership (WPP), which provides local community services and educational programs, in addition to managing the UC Brite and UC Green projects that work to improve lighting and landscaping in the community (Kerman and Kromer 2004, University of Pennsylvania 2005). The University City District (UCD) works to reduce crime and blight in the area. WPI is also very active in addressing commercial and housing development. University Square is a 300,000 square foot development housing

over 20 retailers and a 228-room Hilton hotel (Pearsons 2003). This is but one example of where the University has acquired land and redeveloped it. The Neighborhood Housing Preservation and Development Fund renovate outdated and dilapidated affordable apartment housing. To date it has created over 200 units of high quality affordable housing (Roland 2005). WPI also works to provide housing for Penn employees. Since the inception of the two programs in 1998, nearly 400 faculty and staff members have bought homes in West Philadelphia (University of Pennsylvania 2005). WPI is also dedicated to supporting local businesses. Since 1999, the University has procured over \$262 million in goods and services from West Philadelphia based businesses (University of Pennsylvania 2005). Penn also offers supplier mentoring and e-commerce advice to local minority businesses while advising them to move close to campus (Kerman 2005).

Initial funding for the WPI came directly from the Penn operating budget and endowment. As the Initiatives progressed, additional funding was attracted from non-profit, governmental, institutional, financial, and private development sources (Kerman and Kromer 2004). University investment in the University Square project was over \$90 million (University of Pennsylvania 2005). Such investors as Fannie Mae and Citizens Bank have made considerable contributions to the Neighborhood Housing Preservation and Development Fund (Roland 2004).

9.14 University of Pittsburgh: Community Partnerships

The University of Pittsburgh is located in the neighborhood of Oakland, which is divided into North, South, Central, and West districts. While no major university-community collaboration is located at the University of Pittsburgh, several small collaborations do exist. One such collaboration is the Ben Franklin Technology Partners, an organization that developed a five-year regional plan, which began in 2001 (Ben Franklin Technology Partners 2006).

The Oakland Task Force is a partnership of Oakland institutions, businesses, community groups, and city government focused on improving Oakland. The Task Force recently developed a strategy for Oakland that includes the following goals: create a sense of place, improve transit, foster technological development and stimulate neighborhood revitalization. In addition, the strategy aims to improve single- and multi-family housing in Central Oakland through rehabilitation, to develop new housing improvement programs and to provide incentives for landlords to improve properties (Wilson 2006).

Three Rivers Connect refers to the development of a regional information commons. This will allow organizations and businesses to share information and collaborate more frequently with each other. It will also help people to understand societal forces that affect children, families and neighborhoods, so that planning and services can be improved in the future (Three Rivers Connect 2006).

The Department of Community and Economic Development, HEECD, is an organization that brings universities together with economic development organizations, workforce development agencies, government officials, community leaders,

entrepreneurs and investors to foster stronger economic development for Pennsylvania through the assets of the state's higher education institutions (Department of Community and Economic Development 2006).

The Franklin Technology Development Authority provides grants to promote stronger collaboration between university research and development and the surrounding communities, including the transfer of technology for the economic development of the communities. The Development Authority is funded by the Department of Community and Economic Development (NTI 2006).

9.15 University of Victoria Community Partnerships

Community Based Collaborative Action Research (CBCAR) at the University of Victoria (UV) involves community members, practitioners, decision and policy makers and researchers in discovering core issues in the community. Strategies and programs are designed to solve these problems. For example, the In from the Margins project is dedicated to improve access to appropriate health services for Aboriginal peoples and those with hepatitis or HIV/AIDS. In addition, participating in CBCAR provides community members with new skills and knowledge and empowers the community to be more active in future research.

The Community-University Research Alliance Program (CURA) at UV operates out of the History in Art Department. CURA has funded 22 pilot projects at UV, including the Cultural Property Community Research Collaborative, which established a partnership of over 30 heritage organizations in British Columbia, and "A Woman's Place: Art and the Role of Women in the Cultural Formation of Victoria, BC, 1850s-1920s."

The UV Sustainability Project is a student organization which focuses on building a cohesive community and mainly targets environmental sustainability. Programs include natural areas management, energy management, transportation demand management, water management and planning, including projects such as low impact development, campus plan implementation, and green renovations. Current projects include restoration, reclamation, watershed renewal, a campus energy management plan, storm water management, environmental education and recycling improvements.

UV Child and Youth Care, in partnership with First Nations communities, have provided a far-reaching Child and Youth Care Diploma program for Aboriginal communities. The program aims to maintain a curriculum that reflects the culture and values of the community in which it is taught. Seven First Nations communities have partnered with UV in the program.

The Clayoquot Alliance for Research, Education and Training is a partnership of the University of Victoria and communities of the Clayquot Sound region. The Alliance focuses on social learning and the development of social capital in these communities. This program also focuses on making the academic resources of UV more accessible to both First Nations and non-First Nation communities in the Sound region.

Community-University Connections explores the use of science in environmental and social policy and facilitates collaborative research between community organizations and university-based researchers. Connections facilitated a panel presentation and discussion on “New Approaches to Making Resource Policy: Ideas on Integrating Traditional Ecological Knowledge, Local Knowledge and Conventional Science in Resource Management”. Three of the five panel members came from UV.

The Healthy Youth CAHR project, under the Community Alliance for Health Research, focuses risk prevention for youth injuries through the identification of health risks and assets and through the investigation of health-promotion strategies designed specifically for both normally developing and high risk youths. Comprised of a youth health survey, as well as six community-based research programs, Healthy Youth contributes to the knowledge base of youth injuries.

9.16 University of Wisconsin, Milwaukee: Community Partnerships

The Consortium for Economic Opportunity (CEO) is the largest university community partnership at the University of Wisconsin, Milwaukee (UW-M). The Consortium works to build university partnerships with non-profit organizations and small businesses in order to foster economic growth throughout Milwaukee. The UW-M Center for Economic Development is the research and technical assistance branch of the Consortium for Economic Opportunity, and is also a major university-community collaboration. It is specifically dedicated to low-income and minority based neighborhoods (Consortium for Economic Opportunity 2006).

A major program of CEO is the Milwaukee Idea Economic Development Fellows Program (MIED). MIED Fellows spend two-years working with a participating community organization, helping to achieve economic development objectives, while simultaneously attending graduate school at UW-M.

The UW-M Brownfields Research Consortium is another program under CEO. It is a partnership among faculty, government agencies, businesses, and non-profit organizations, which focuses on the cleanup and redevelopment of brownfields in the Milwaukee area. The goal is to eliminate barriers to redevelopment through collaborations between brownfield stakeholders and a research team. Meetings have already been held with the City of Milwaukee Department of City Development, the Sixteenth Street Community Health Center and Menomonee Valley Partners. Research needs, preferences, and agendas are decided at these meetings.

There are several other university-community collaborations at the University of Wisconsin-Milwaukee not associated with CEO. The UW-M School of Education alone fosters a total of twelve collaborative programs. One of these, the Milwaukee Idea, involves University and community representatives in addressing challenges to education, the environment, public health, and economic development. Another of these twelve is Partnerships for Education, funded by a \$26 million federal grant, and aimed at revitalizing urban schools.

The Lynde and Harry Bradley School of Technology and Trade is a joint effort by UW-M and other community stakeholders and businesses. An eleven member commission, including UW-M representatives, among others, has worked to develop a state-of-the-art building and curriculum for the school.

Gear Up is a program in which UW-M works with whole school grades of low-income students in order to increase the number of students who will be prepared to enter and succeed in postsecondary education. Gear Up students receive mentoring, tutoring, and guided college visits. Gear Up also works to strengthen the everyday curriculum for these students.

9.17 University of British Columbia Community Partnerships

The University of British Columbia (UBC) has several community partnerships and community development projects. The University Town project aims to transform UBC from a car-dependent commuter campus into a more compact, environmentally friendly live-work community with better amenities for students, faculty and staff. UBC is creating a wide range of new housing options, including student, faculty, and staff rental, co-development, and market housing. Over the next 25 years, over \$500 million will be donated to the endowment which funds University Town (A Sustainable Future 2006, University Town 2006).

UBC is currently managing its own land, for both institutional and non-institutional development, through the Official Community Plan, the Comprehensive Community Plan, the Neighborhood Plans, and the Memorandum of Understanding. The Comprehensive Community Plan, specifically, is focusing on providing a more complete community near campus, with a strong pedestrian and transit focus.

The UBC Dental School has a strong history of serving individuals with limited access to dental care while providing experience for students. The Special Children's Dental Program offers free basic dental services to low-income children. The Geriatric Dentistry Program, a partnership between the Dental School and Providence Health Care, offers services to the residential care populations of several hospitals. At the Portland Community Clinic, senior UBC dental students deliver or observe dental care delivered to individuals on income assistance, job training, or other pre-employment programs.

A UBC team is partnering with six British Columbia coastal towns and the Coastal Community Network of British Columbia to help shape the social, environmental, and economic futures of these communities. The Resilience and Local Capacity Development in B.C.'s Coastal Communities project is funded by a \$1 million grant from the Social Sciences and Humanities Research Council of Canada (Matthews 2006).

The Community-University Research Alliances (CURA) has, since 1999, held competitions which have formed alliances. CURA programs promote research and social innovation through university-community partnerships. One such alliance, under the Social Sciences and Humanities Research Council, received a \$9 million grant to fund production or licensing of existing digital content on behalf of British Columbia's

libraries and helped fund digitization projects developed by arts and heritage organizations in 2005.

The Human Early Learning Partnership (HELP) maintains strong community links with educators, community agencies, research centers, and government. HELP works with children from a variety of socio-economic backgrounds, as well as with agencies that provide services to these populations, and is aimed at conducting research and using the results of this research to help the community.

9.18 University of California at Los Angeles: UCLA Center for Community Partnerships

The UCLA Center for Community Partnerships (CCP) was created in 2002 under the initiative of Chancellor Albert Carnesale and the leadership of Professor Franklin D. Gillian Jr. The initial goals of CCP were to promote the exchange of ideas and resources between the University and community, to create partnerships between UCLA students, faculty and staff and the community, and to support the communities directly adjacent to UCLA. CCP aims to achieve these goals by turning UCLA into a more active stakeholder, serving as an entry point where the University and community explore common interests, strengthening community-based organizations, and by showing support to UCLA members working with community-based programs (UCLA University Communications 2003). CCP programs are grouped into ten categories: business and economic, education and training, legal services, libraries, museums and collection, environmental programs, ethnic and gender studies research centers, health services, performing and visual arts, public policy, and students, alumni and special programs (UCLA 2006).

CCP works with the community through multiple channels. The 26 member Advisory Committee, comprised of UCLA and community representatives, creates a direct link between the University and the community. Presentations, workshops, forums, orientation programs, meetings, publications, and internships also help to strengthen this tie (UCLA in LA 2006).

While broad benefits and results from CCP cannot yet be measured, some completed programs already show promise. An economic development program entitled CDTech-NAID Center for Small Business Assistance Project received \$23,100 to support small businesses in LA. It was a partnership between UCLA's North American Integration and Development Center (NAID) and the Community Development Technologies Center (CDTech). The program used improved websites to facilitate e-commerce, and created an inventory of manufacturing associations, retail and discount chains, and IT basic training programs. Under the category of "children, youth, and families," a specific program received \$27,881 to provide preventative intervention services to families at risk for neglecting and/or abusing their children of ages one and two. Families which were more involved in the program showed far more progress. A program entitled The Element of Sound received \$24,900 to teach youth more about hip-hop culture through workshops, classes, and performances. 1,200 young people in total participated. After

the 2002-2003 scholastic year, CCP was already viewed as a “win-win” model for dealing with community issues (UCLA University Communications 2003).

The funding process of UCLA CCP follows a series of steps. First, a partnership between a UCLA representative and an LA NGO forwards a proposal to CCP, which makes selections on the basis of the Advisory Committee’s recommendations. Selected projects are given funding for one academic year. Grants come from the privately-funded UCLA Foundation or from other private gifts. Therefore, CCP is entirely funded by private resources. In the first year of CCP (2002-2003), a total of 202 proposals were received. Of these, 18 campus-based and 16 community-based projects were funded, receiving grants ranging from \$10,000 to \$50,000 (UCLA University Communications 2003).

9.19 University of California, San Diego: Community Development Initiatives

The University of California at San Diego (UCSD) has always maintained strong ties to its surrounding communities. Planning UCSD as a “cluster college” in the 1963, 1966, and 1981 university plans helped to reduce the perceived impact and to increase community interactions (UCSD 2006). The 2004 Long Range Development Plan works toward the year 2020 and focuses on preserving the character of the UCSD campus while strengthening ties with the community. The plan also aims to reemphasize each campus “cluster” as both a community of its own and as part of the larger community. By 2021, the amount of land used by UCSD is expected to double. The plan is an attempt to balance the competing interests of the University and the community, as well as a way to properly allocate community resources. High levels of community involvement have been used to help reach this goal (Schwab 2004).

Community involvement at UCSD happens at all levels, from major groups to individual students and faculty. Numerous groups at UCSD and within the communities reviewed and approved the 2004 Plan. Final approval was made by the Campus Community Planning Committee. To ensure student involvement in the communities, each UCSD college has its own community service group. Students who volunteer do so for an average of 127 hours per year. 31 percent participated in educational programs, 16 percent in fundraising, 15 percent in public health, 10 percent in humanitarian assistance, and 8 percent in religious programs. Only 8.4 percent of those students who performed community service did so because of required course work, but 70 percent of all service courses require students to perform community service (UCSD 2003). This reveals that both the UCSD curriculum and student body highly value community service.

The efforts of UCSD stretch far beyond development of the campus. More than 200 community-oriented programs are offered by UCSD in the categories of education, health care, economic development, the arts, and community service. Such programs include elementary school science enrichment programs, specialized health care services, dance and theater productions, and entrepreneurship programs. UCSD is also improving computer infrastructure to enable sharing of technology among communities (Pezzoli 2006). UCSD has also helped economic development through the creation of new businesses and education of highly-skilled local workers.

Most community outreach programs are directly financed by UCSD. Nine of the current on-campus projects are valued at \$400 million, with another fourteen projects planned, valued at another \$98 million. Another fifteen projects, at \$310 million, are in the initial planning stages.

9.20 University of Illinois at Chicago: UIC Neighborhoods Initiative

The UIC Neighborhoods Initiative (UICNI) was founded in 1994 as part of the Great Cities Institute to fulfill the need for a specific entity to provide assistance to the Near West Side of Chicago. The UICNI is a comprehensive community development program that is rooted in partnership with the Near West Side. The Pilsen area of the Lower West Side was soon added to UICNI's targeted development zone (Loomis and Hellwig 1999). Since then, UICNI has expanded its scope into the following five neighborhoods: Near West Side, Lower West Side, Near South Side, Douglas, North Lawndale, South Lawndale, and Austin (UICNI 2005).

UICNI began with a large planning committee with many university staff and neighborhood stakeholders. To streamline the planning process, the committee has been reduced to five UIC faculty/staff members, five community members, a City of Chicago representative, and a committee coordinator. The UICNI supports two Partners Councils that provide opportunities for University and community scholars, staff and community organizations to come together periodically to discuss issues of mutual concern. These Councils are the main form of communication between the University and community. UICNI has also been very active in using the local media to communicate its vision for the community (Loomis and Hellwig 1999).

The UICNI has developed or participated in over 50 projects that focus primarily on small business training, health promotion, job training, commercial development, affordable housing, and neighborhood design (Loomis and Hellwig 1999). UICNI has completed the following economic development programs: The Affordable Housing Consortium, The Affordable Housing Fund, Hiring and Purchasing Community Linkage, Near West Side Commercial Development Project, and Pilsen Commercial Development Project (UICNI 2005). UICNI was actively involved in the planning process to redevelop the crime-ridden ABLA Homes housing project the mixed-income Roosevelt Square. The \$700 million University Village project was met with considerable resistance due to UICNI overcoming local efforts to get Maxwell Street (part of the site) on the National Historic Register. By 2001, however, a large portion of the district was demolished. UICNI eventually revised its original plan to maintain some of the original character of the street (Kening 2005).

The University of Illinois at Chicago (UIC) initially funded the Initiative through the Great Cities Institute. Start-up funding was provided through UIC's general revenue fund. In the late 1990s, the State of Illinois provided a special appropriation to UIC to provide long term financial support for its economic development and neighborhood revitalization efforts. Additionally, during the 1995 through 1997 period, UIC received funding from the first round of U.S. Housing and Urban Development (HUD)

Community Outreach Partnership Center (COPC) grants and a five-year grant from HUD's Joint Community Development Program (Loomis and Hellwig 1999). UICNI has also gathered funding from charitable foundations and non-profit community entities (UICNI 2005).

9.21 University of Louisville: Signature Partnership Initiative and SUN

In recent years, the University of Louisville (U of L) has engaged in over 1,400 community partnerships, most of which only involved individual departments, faculty or staff members. However, over the last fifteen years, U of L has launched two major university-community partnerships: the Signature Partnership Initiative and Sustainable Urban Neighborhoods (SUN). Both of these partnerships focus on the redevelopment of the West End or West Side of Louisville, which suffers concentrated poverty, crime, and a deteriorating housing stock (Interview Fitzpatrick/Hall 2006, U of L 2006). This area of Louisville, which includes the historic communities of Russell, Portland, and Parkland, is not adjacent to the U of L campus, a characteristic that sets these programs apart from other well-known university-community partnerships. Although this action received some criticism due to a shortage of university funding, Louisville's West End was seen as the area with the highest need of assistance.

SUN began in 1992 as HANDS (Housing and Neighborhood Development Strategies). Dr. John Gilderbloom of the U of L Urban and Public Affairs Department was instrumental in HANDS and made the West End a focus early on, particularly the community of Russell. The collaboration of SUN and Russell resulted in over 700 new and rehabbed residential units that were structurally sound but still affordable (Mullins and Gilderbloom 2002). Despite this accomplishment, many viewed that Gilderbloom's work as a personal crusade that was damaging to the University's overall relationship with the city. U of L has since removed Gilderbloom's partnership with Russell, transforming SUN into more of an outreach program.

The Signature Partnership Initiative was founded by U of L President Dr. James Ramsey in an effort to improve the quality of life in Louisville. It grew out of an assessment of the above university-community partnerships. Ramsey views community partnerships as part of a University-wide strategy to make U of L the preeminent metropolitan research university. The Initiative focuses on four areas of improvement to raise social equity in Louisville: education, economic development, health, and human and social services. The Initiative, founded in July 2005, is currently focusing on the three neighborhoods of the West End. Many other parties are involved in this collaboration, such as Jefferson County Public Schools, United Way, the Louisville Urban League, YMCA, religious institutions, health care institutions, and many others (U of L 2006). Currently, the Initiative has no results to show, but it is felt that this will change over the next three years as relationships to these neighborhoods are strengthened.

Initial funding for the Signature Partnership Initiative came from the University itself. In July 2005, following the results of the university-community partnerships surveys, the U of L Board of Trustees approved the creation of the Initiative (Fitzpatrick and Hall interview 2006). When SUN was founded as HANDS in 1992, it was financed by a

combination of the U.S. Department of Education and funds coming from local sponsors (Mullins and Gilderbloom 2002).

9.22 University of Southern California: USC Civic and Community Relations

USC Civic and Community Relations (USC CCR) was founded in 1972 as the USC Office of Special Community Affairs. The initial goals of the organization were to develop partnerships with surrounding neighborhoods, both to improve economic development of these communities and to share resources. In 1992, USC CCR stated five goals that stand today: to provide resources to the children of these neighborhoods, to involve multiple partners working for safer streets, to encourage small business around the USC campus, to encourage USC employees to live near campus, and to employ persons who have lived in the USC neighborhood for at least 5 years. USC CCR programs focus on three main societal issues: community building, education, and economic development (University of Southern California 2006).

USC CCR works with the surrounding communities primarily through the Community Advisory Council. The Council consists of an eight member executive committee and members of diverse community organizations, such as the LA Police Department, public schools, the Esperanza Housing Corporation, banks, and many others. Various forms of publications are also used to communicate with the neighborhoods, such as an English-Spanish newspaper. Health fairs, expositions, meetings, and workshops are also methods employed by USC CCR (University of Southern California 2006).

Several USC CCR programs have been extremely successful in enhancing the surrounding communities. USC Family of Schools focuses on tutoring, workshops, sports, music, and arts to help children access the resources of a community. Since 1994, the program has had over 12,000 beneficiaries, and annual funding has increased to over \$8 million. Kid Watch gives children who feel threatened someone to help them when walking to and from school. Today, the program helps over 9,000 children make their daily commute, while the program has been used as a model at other universities. Direct educational services are provided through the USC Educational Opportunity Program Center, USC School for Early Childhood Education, and the Multimedia University Academy. Since 1999, Neighborhood Councils has encouraged USC faculty, staff, and students to be involved in neighborhood councils, resulting in USC involvement in the Empowerment Congress North Area Neighborhood Development Council and the Lincoln Heights Neighborhood Council. The USC Business Expansion Network, in collaboration with community partners, has developed the LA Metro Minority Business Enterprise Center. Thus far, the program has assisted over 1,000 enterprises to secure over \$100 million in finance and procurement transactions (University of Southern California 2006).

The USC Good Neighbor Campaign is a primary funding source for USC CCR. USC employees are asked for a 1 percent payroll deduction to contribute to this fund. USC employees and departments, in partnership with a community NGO or school, propose projects. Between 1995 and 2005, the Good Neighborhood Campaign raised \$6.3 million. In addition, all USC students donate \$3 of their fees to provide scholarships for

students in the surrounding neighborhoods who are in financial need. Grants also come from the state and federal governments, as well as from various other LA foundations. The Grants Committee decides which projects receive funds from the Good Neighbor Campaign and other resources (University of Southern California 2006).

9.23 Next steps

This long list summarizing the primary outreach activities and partnerships of our representative sample of North American universities, while giving a flavor of the wide range of options available to academic institutions in the establishment of community development partnerships, does not inform us adequately about the different emphases of these institutions, nor of their placements vis-à-vis the initiatives of the University of Cincinnati and its partners in the Uptown Consortium. To understand these two issues, chapter 10 attempts to place a sample of these universities on the spectrum of categories of community interventions introduced earlier in this chapter, and compare them to those of the Uptown partners.

Chapter 10: Models of University-Community Involvement and Outreach Activities

10.1 The Analytical Framework

In the previous chapter we introduced a framework for the analysis of the various outreach activities of academic institutions. To remind the reader about this framework, the four categories in which we have organized such activities are:

- **Generation of Knowledge:** Research, data collection, experimentation – purely for the generation of knowledge, with no attempt to improve community quality of life;
- **Collaborative Studies:** Studies with the collaboration and/or participation of the community – fundamentally for educational and/or research purposes, but with derived benefits to the community;
- **Community Involvement:** Activities specifically designed to benefit the community, carried out by faculty and student volunteers and with the active participation of the community, or
- **Area Redevelopment:** Direct interventions of the university into the community for real estate rehabilitation, redevelopment, campus expansion or community enhancement.

10.2 Explanation of the Graph

In this chapter, we have employed these four categories to create a graph (Figure 10.1) that can be used to classify the most significant outreach activities of each institution studied. In order to identify the relative importance of each category of outreach activity for each institution, we have adopted a five-symbol approach. In it:

- an X symbol indicates no significant *institutional* outreach activity of the university, while an arrow symbol indicates the presence of measurable activity. Arrows come in four colors and sizes:
- a small blue arrow indicates very little, but measurable activity,
- a larger green arrow indicates moderate levels of activity,
- an even larger yellow arrow indicates major activity, while
- the largest red arrow identifies significant activity area(s) where the university has put most of its outreach and community partnerships emphasis.

The characterization of these symbols becomes clearer by viewing Figure 10.2.

We have then applied this analytical system to the analysis of the outreach and community partnership activities of ten universities which, from the review of the previous chapter, have been shown to be in the forefront of their peers in the area of community development, have embarked in interesting projects, or have invested significantly in community partnerships. These universities are:

- Duke University,
- Simon Fraser University in Burnaby, British Columbia,
- University of Victoria, British Columbia,

- The University of California at San Diego,
- Louisiana State University,
- The University of Southern California in Los Angeles,
- The University of Pennsylvania in Philadelphia,
- Ohio State University in Columbus,
- University of Illinois at Chicago, and
- John Hopkins University in Baltimore.

Figures 10.3 to 10.12 below illustrate this analysis.

A note of caution: Areas marked with an X symbol do not signify that a university does not have any activity involving communities in that activity category. Rather, it indicates that such activities, if they exist, are not officially initiated, sponsored, funded, or otherwise considered part of the official institutional mission and outreach activities of the university, but may be the independent initiatives of individual faculty, students, or academic units.

Figure 10.1: Classification of university outreach activities



Figure 10.2: Explanation of symbols used

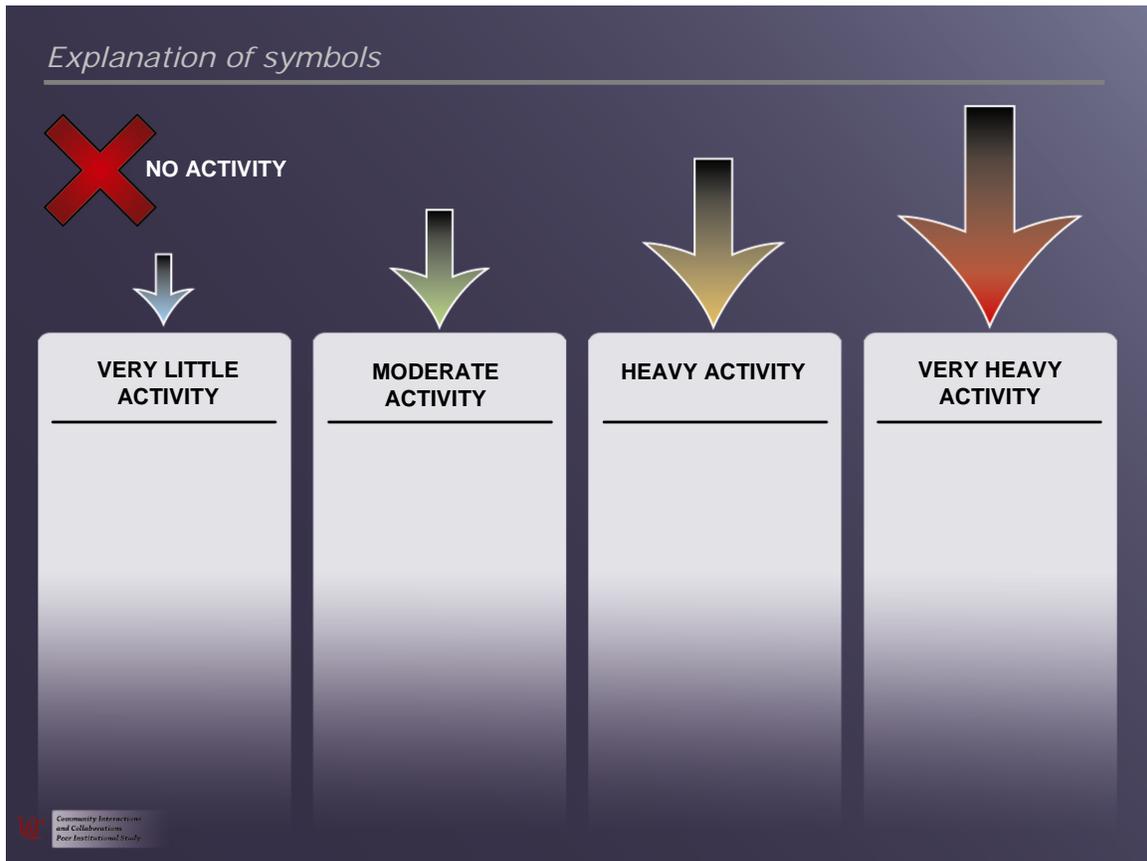
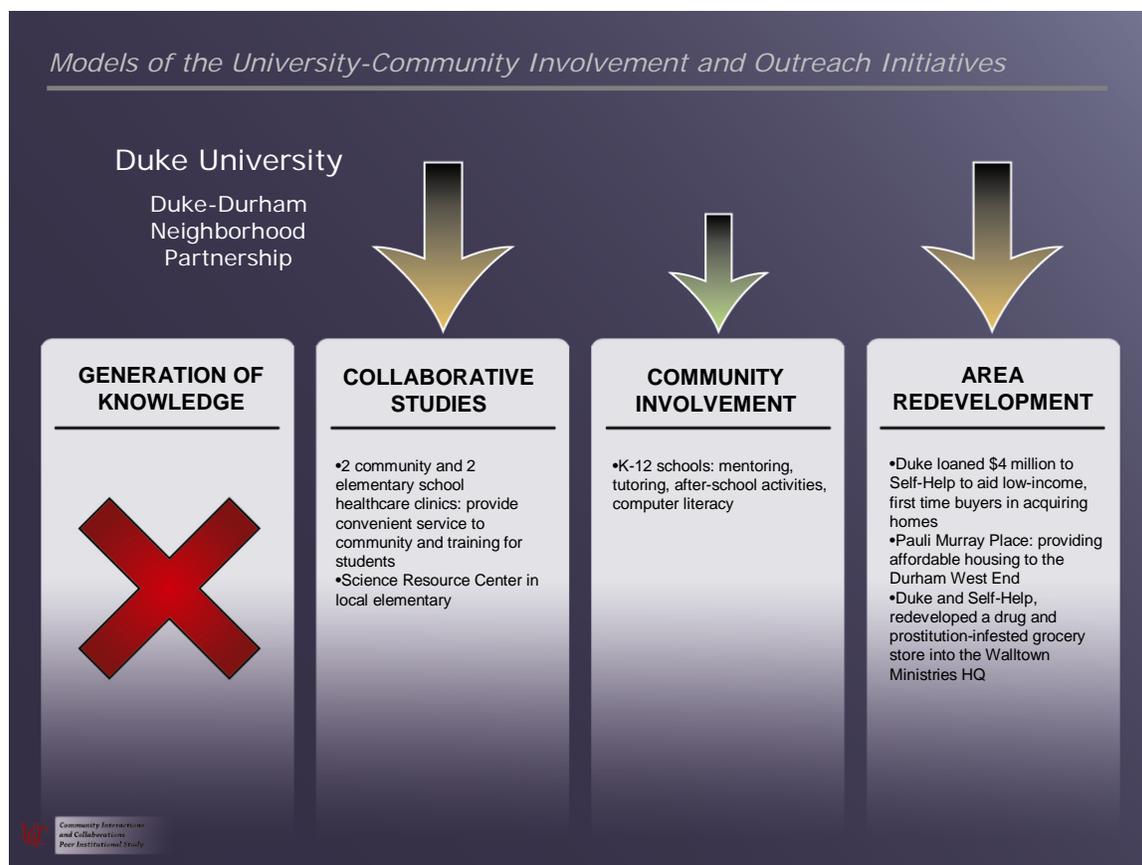


Figure 10.3: Duke University – Durham Neighborhood Partnership



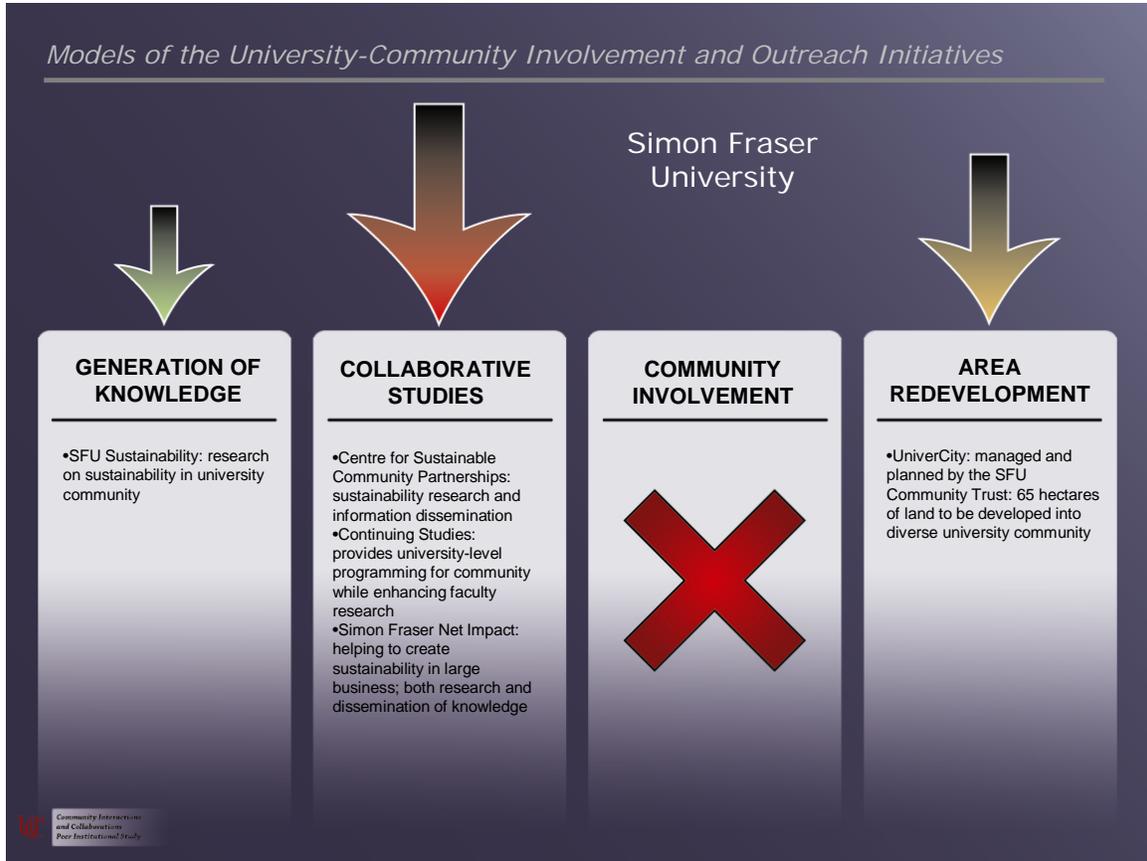
Duke has one of the best planned programs in the country. Its Neighborhood Partnership, initiated by its own President, includes a large number of other local government and community organizations as well as business people and community organizers.

Its *Collaborative studies component* is very strong, as more than 35 academic units are involved in its programs. Their emphasis has been on the opening and operation of community healthcare clinics in convenient locations, school health clinics, and assistance with science education. An important Science Resource Center has been established at one of the local elementary schools to support this function.

Its *Area Redevelopment Component* is directly supported by the University. Duke has financed the Self-Help Community Development Corporation, a non-profit lender that has purchased and renovated over 60 homes in Walltown to be sold to low-income, first time buyers. The Partnership has also worked to develop more affordable housing in the West End, and is involved in improving safety and security, particularly as it applies to crime prevention. Other neighborhood revitalization efforts include building 40

residential units for use by Duke employees in the Trinity Heights neighborhood and helping to secure buildings for new community centers.

Figure 10.4: Simon Fraser University, Burnaby, British Columbia, Canada

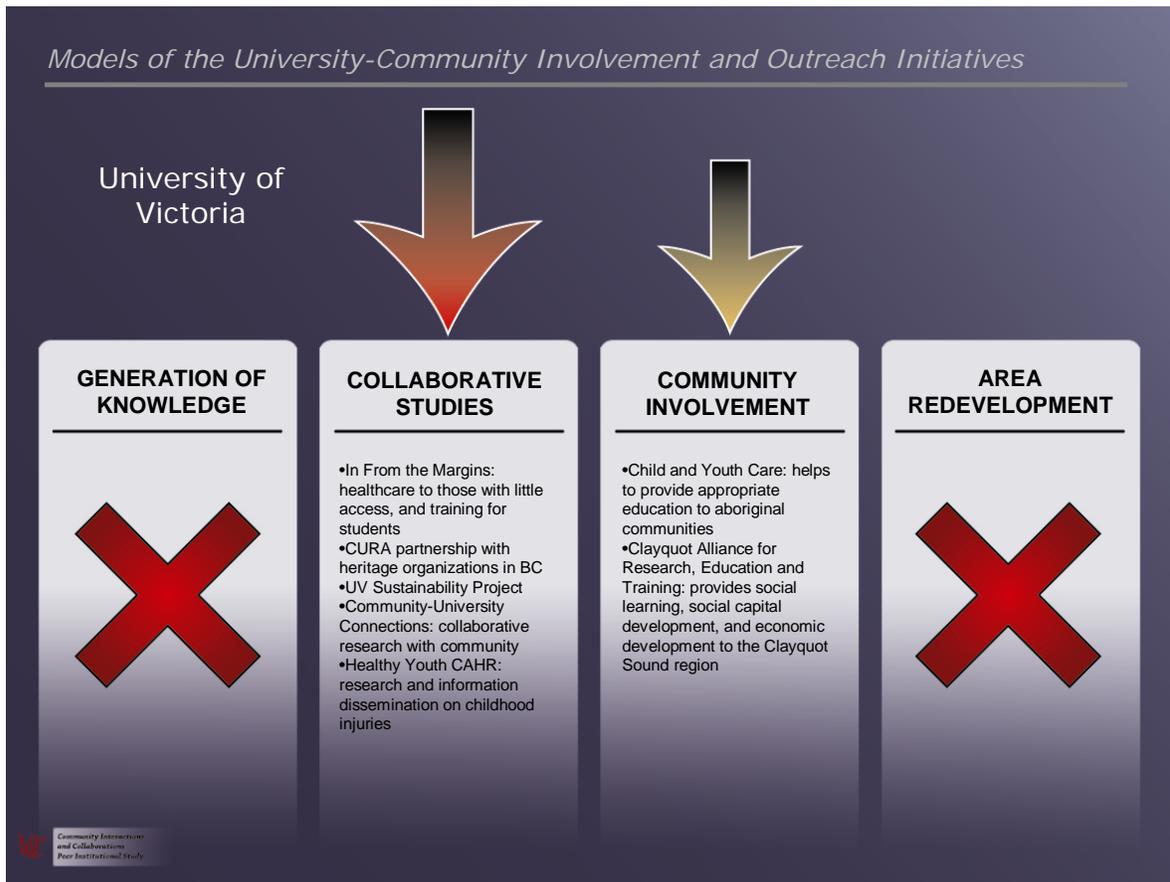


SFU’s Centre for Sustainable Community Development supports sustainable environmental, social, and economic development through research, education, and community mobilization. Its Sustainable Building Centre is intended to provide region-specific information on products, technologies, and services to help increase awareness and adoption of green building practices.

SFU’s Net Impact is an organization of students and professionals working together to create innovative opportunities to integrate corporate environmental and social responsibility into business decisions. Its mission is to foster a new generation of leaders who use the power of business to create a better world.

At the same time, the University’s Community Trust has embarked on the planning and development of a new community for 10,000 people called UniverCity, on land surrounding the SFU campus. With a variety of shops, services, and employment opportunities and an advanced public transit system serving it, this community has thus far received eight awards for environmental foresight, design innovation, and progressive community planning.

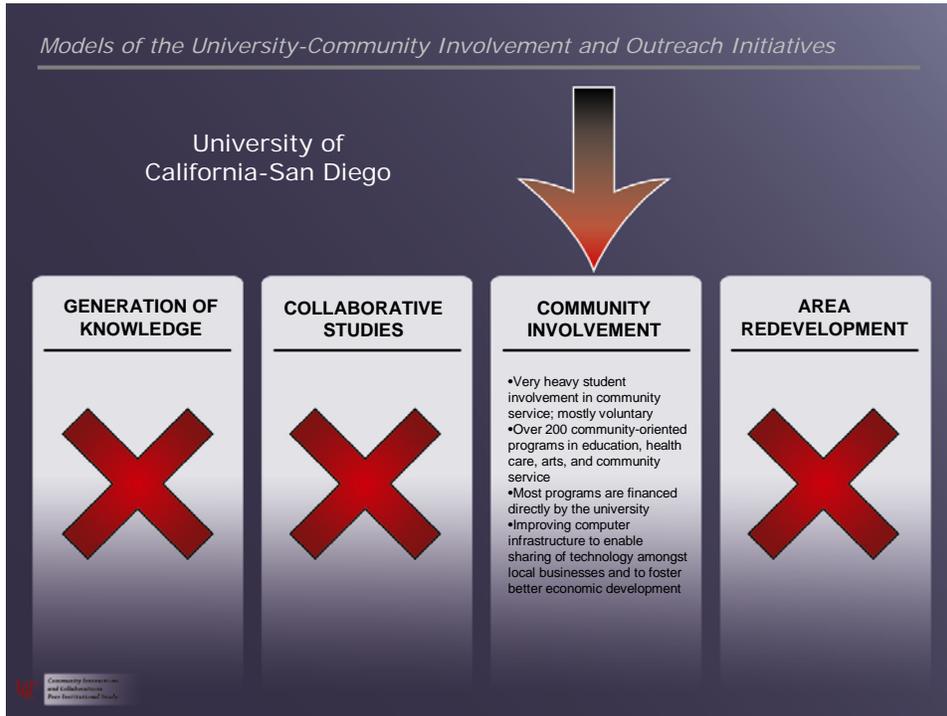
Figure 10.5: University of Victoria, British Columbia, Canada



UVic’s Community Based Collaborative Action Research involves community members, practitioners, decision and policy makers and researchers in discovering core issues in the community. For example, its In from the Margins project is dedicated to improving access to appropriate health services for Aboriginal peoples and those with hepatitis or HIV/AIDS. The University’s Sustainability Project is a student organization with programs that include natural areas management, energy management, transportation demand management, water management and planning, low impact development, campus plan implementation, and green renovations. Community-University Connections explores the use of science in environmental and social policy and facilitates collaborative research between community organizations and university-based researchers.

UV Child and Youth Care, in partnership with First Nations communities, has provided a far-reaching Child and Youth Care Diploma program for Aboriginal communities. Seven First Nations communities have partnered with UV in the program. In addition, the Clayoquot Alliance for Research, Education and Training, a partnership of the UVic and communities of the Clayoquot Sound region, focuses on social learning and the development of social capital in these communities.

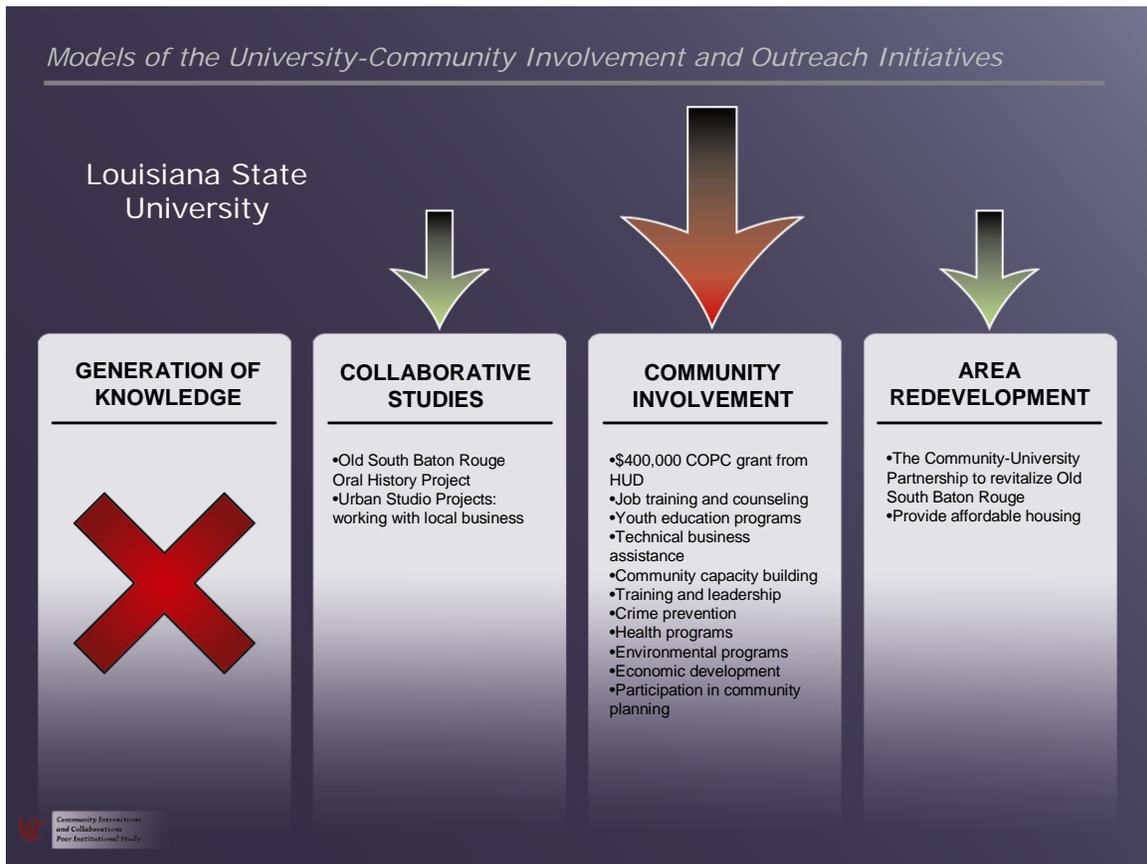
Figure 10.6: University of California at San Diego



Community Development Initiatives. UCSD has maintained strong ties with its surrounding communities since its founding in 1963. Its 2004 comprehensive plan makes special efforts to balance the competing interests of the University and the community, as well as to properly allocate community resources. To ensure student involvement in the communities, each UCSD college has its own community service group. 70 percent of all service courses require students to perform community service.

More than 200 community-oriented programs are offered by UCSD in the categories of education, health care, economic development, the arts, and community service. They include elementary school science enrichment programs, specialized health care services, dance and theater productions, and entrepreneurship programs. UCSD is also improving computer infrastructure to enable sharing of technology among communities, and supports economic development through the creation of new businesses and education of highly-skilled local workers. Most community outreach programs are directly financed by the university.

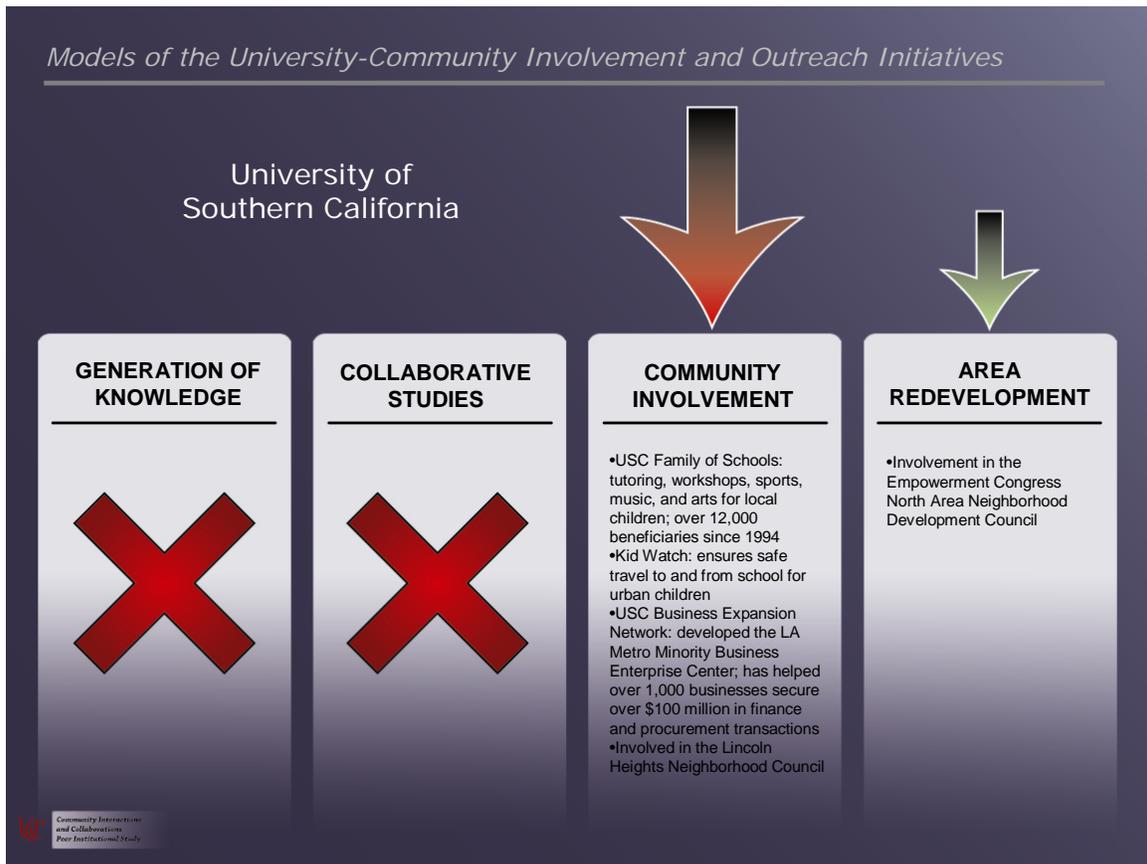
Figure 10.7: Louisiana State University



LSU has historically been mistrusted by its community as a racist institution of the Deep South. Its support of the *revitalization of the Old South Baton Rouge community* by its Community University Partnership (CUP) was founded on three premises: responsibility for past wrongs and recent failures, recognition of the need for a relationship with the surrounding community and its residents, and resolve to not get involved where involvement is not wanted. From its inception in 2001 it took an action-oriented approach to earn and keep the trust of the community, and it became involved with long-standing community groups.

Other CUP programs include economic development and community organization. In partnership with the Urban Studio Project, CUP advises local businesses on renovation techniques that improve the physical condition of the neighborhood business districts and has provided funding to the North Gate Merchants Association to revive a key neighborhood business district through streetscape renovation and façade repair. It has also provided funding, planning support, and operational assistance to the Old South Baton Rouge Revitalization Corporation, the largest economic development entity in the city, and is working with Fannie Mae and local banks to increase homeownership financing to low-income residents of Old South Baton Rouge.

Figure 10.8: University of Southern California, Los Angeles



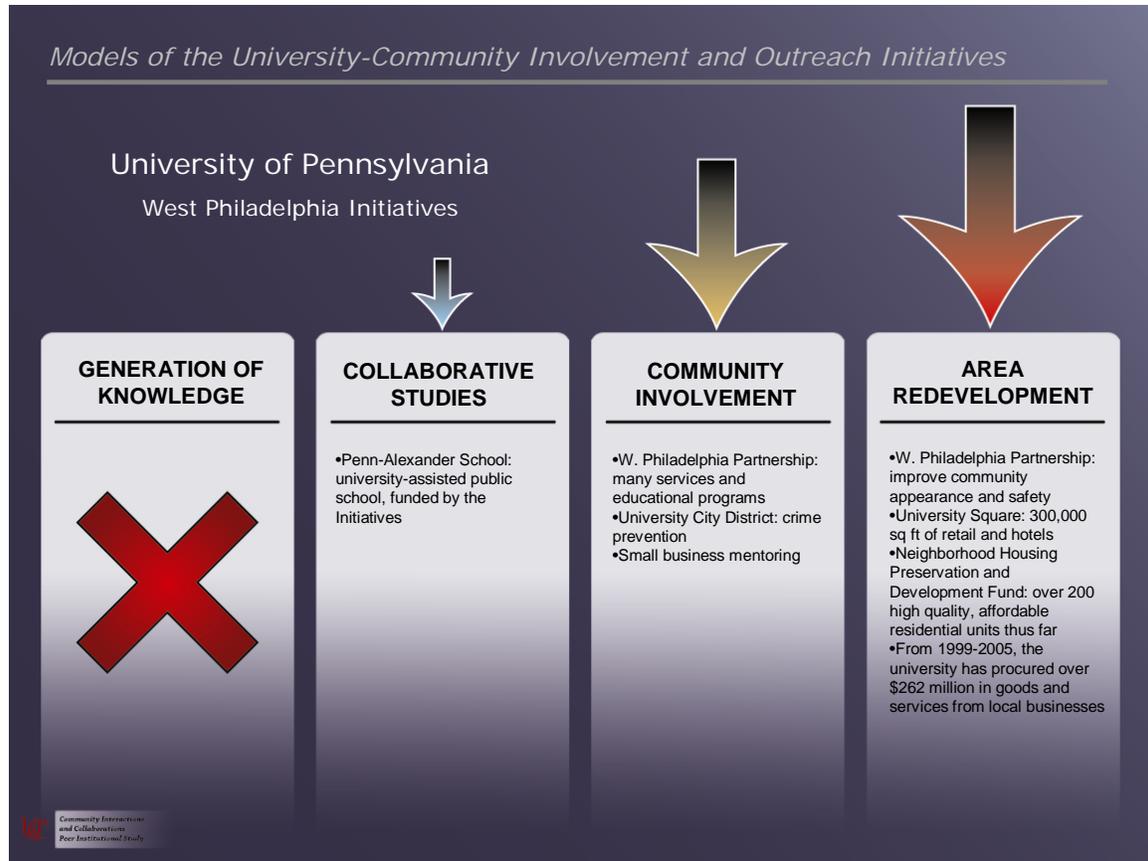
Community involvement. In 1972 USC founded its office of Civic and Community Relations with the goal of developing partnerships with the surrounding neighborhoods, both to improve economic development of these communities and to share resources. Twenty years later, its goals were articulated as: Providing resources to the children of these neighborhoods, involving multiple partners working for safer streets, encouraging small business around the USC campus, encouraging USC employees to live near campus, and employing persons who have lived in the USC neighborhood for at least 5 years.

Its Family of Schools program focuses on tutoring, workshops, sports, music, and arts to help children access the resources of a community. Since 1994, it has had over 12,000 beneficiaries, and annual funding has increased to over \$8 million. Kid Watch gives children who feel threatened someone to help them when walking to and from school. Today, the program helps over 9,000 children make their daily commute, while the program has been used as a model at other universities.

USC CCR works with the surrounding communities primarily through the Community Advisory Council. The Council consists of an eight member executive committee and

members of diverse community organizations, such as the LA Police Department, public schools, the Esperanza Housing Corporation, banks, and many others.

Figure 10.9: University of Pennsylvania, West Philadelphia Initiatives

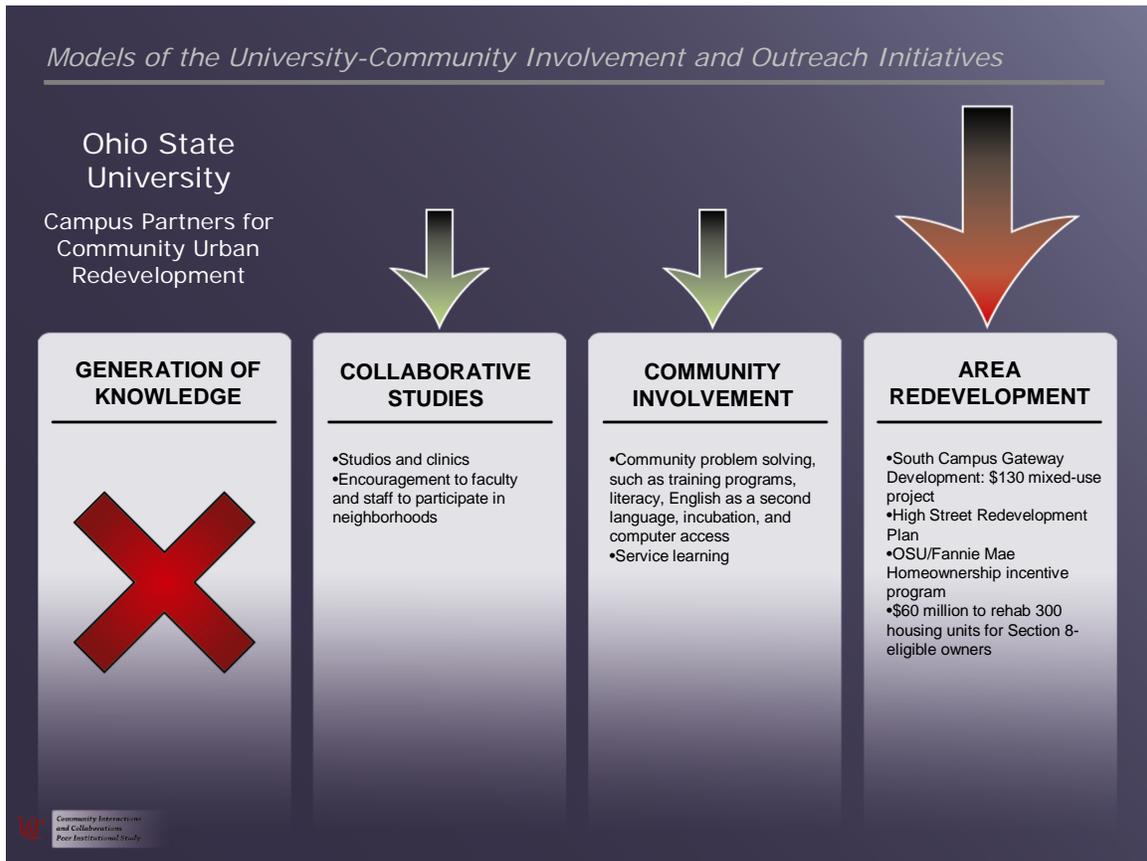


Penn is considered the leader in community partnerships among major urban universities in the US. Its active role in the development of its surrounding communities dates from the mid-1970s, but a university restructuring in the early 1990s provided the impetus for major renewed community assistance initiatives. The chief vehicle employed by the university for the area’s economic development was the West Philadelphia Initiatives, the planning for which began in 1994. Goals of the Initiatives at that time included creating clean and safe streets, improving neighborhoods, increasing housing choice and homeownership, improving public education and school options, fostering economic opportunity, and promoting commercial development and retail activity.

The West Philadelphia Initiatives is actually a group of organizations and partnerships that work to achieve a set of goals: Its Center for Community Partnerships works to achieve many of these goals through projects like the West Philadelphia Partnership, which provides local community services and educational programs; Its University City District works to reduce crime and blight in the area; While WPI itself is also very active in addressing commercial and housing development. University Square is a 300,000 square foot development housing over 20 retailers and a 228-room Hilton hotel, and the

Neighborhood Housing Preservation and Development Fund has renovated outdated and dilapidated apartment housing to create over 200 units of high quality affordable housing to date.

Figure 10.10: Ohio State University, Columbus, Ohio

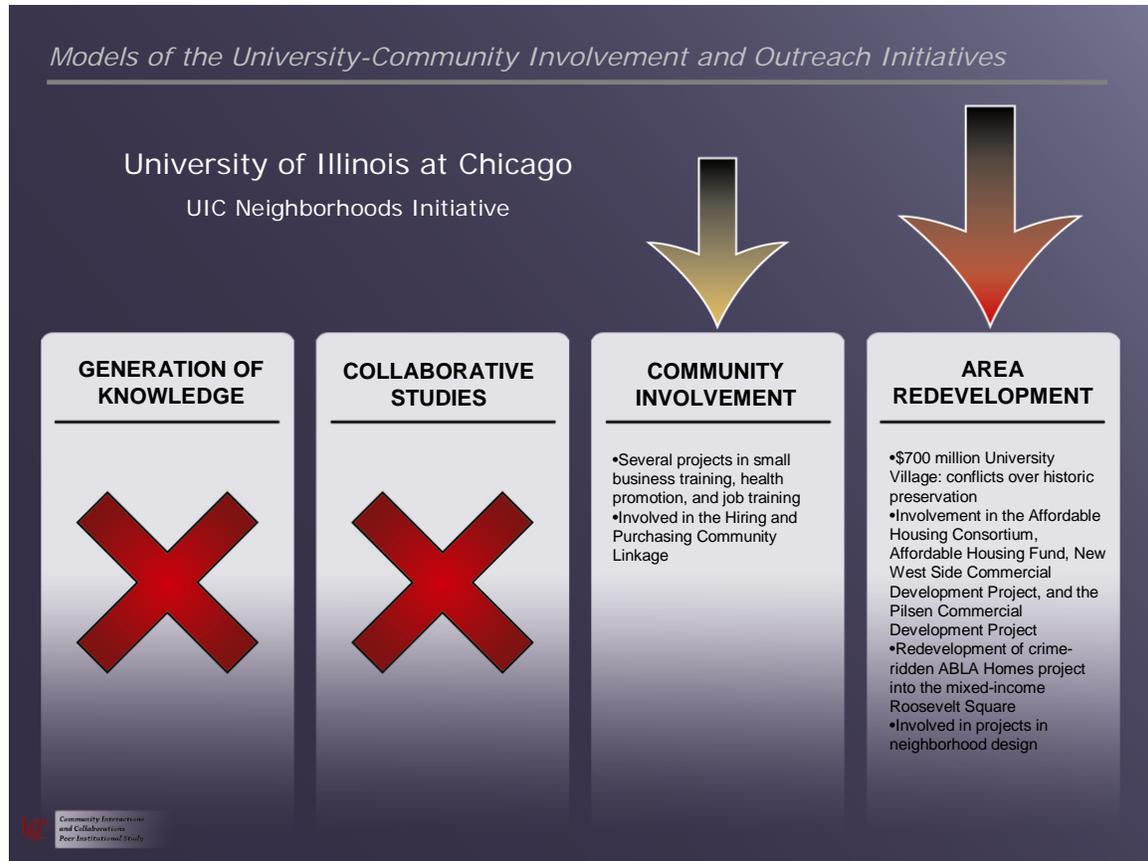


In 1995 OSU formed Campus Partners for Urban Redevelopment to lead redevelopment in the neighborhoods surrounding the campus. Its University Neighborhoods Revitalization Plan, completed in 1996, set redevelopment goals for improving rental housing and student quality of life, increasing homeownership, revitalizing the retail space, and encouraging faculty, staff, and student involvement with the neighborhoods. The Partners focused their efforts on the declining High Street commercial corridor and the impoverished and crime-infested Weinland Park East and West neighborhoods.

In 1995 OSU's Board of Trustees made a \$28 million, five-year pledge to fund urban renewal efforts in the University District. The initial redevelopment plan was funded jointly by OSU and the City of Columbus. Its South Campus Gateway project was funded by a variety of sources including \$30 million in new market tax credit funding, \$20 million from OSU's endowment, \$7.5 million from the City of Columbus, \$4.5 million from the State of Ohio, \$33 million from a tax-exempt bond issue by OSU, and

\$10.5 million from a conventional mortgage loan. The \$60 million Section 8 housing project was funded by OSU, the City of Columbus, and the Ohio Capital Corporation.

Figure 10.11: University of Illinois at Chicago

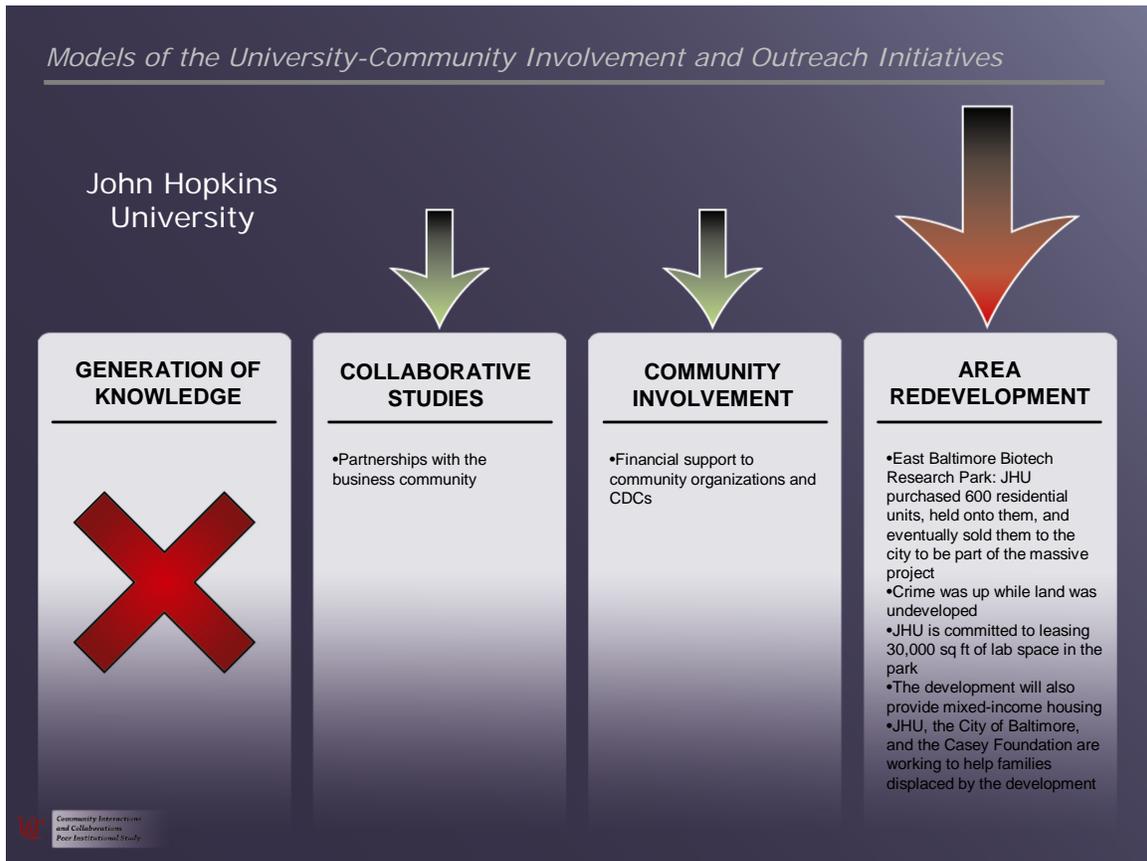


UIC founded its Neighborhoods Initiative in 1994 as part of the Great Cities Institute to fulfill the need for a specific entity to provide community development assistance to the Near West Side of Chicago. Eventually, several more neighborhoods were added to this list: the Near West Side, the Lower West Side, the Near South Side, Douglas, North Lawndale, South Lawndale, and Austin. A planning committee has been formed with representatives from the neighborhoods, the university and the city, to provide linkages of communication between the University and the community. To date, UICNI has completed economic development programs for the Affordable Housing Consortium, the Affordable Housing Fund, the Hiring and Purchasing Community Linkage, the Near West Side Commercial Development Project, and the Pilsen Commercial Development Project.

The IN was initially funded through the UIC Great Cities Institute. Start-up funding was provided through UIC’s general revenue fund. But in the late 1990s, the State of Illinois provided a special appropriation to UIC to provide long term financial support for its economic development and neighborhood revitalization efforts. Additionally, UIC has

received funding from HUD’s Community Outreach Partnership Center program, from HUD’s Joint Community Development Program, and from charitable foundations and non-profit community entities.

Figure 10.12: Johns Hopkins University, Baltimore, Maryland



Johns Hopkins is notable for its long term and large scale involvement in **Area Redevelopment** through its community investment on the East Biotech Research Park, in partnership with the Historic East Baltimore Community Action Coalition, East Baltimore Development Inc., and Forest City Enterprises is one of the largest developments in the city of Baltimore in recent years, and the largest the university has ever embarked on. The plan for the area includes 1,500 new and rehabilitated residential units, green space, new jobs, and new retail space, in addition to the Biotech Research Park. The redevelopment will also create new street layouts, improve transit, and provide for mixed-income housing. A coalition lead by the university and the city is working to provide assistance to residents displaced by the development.

Chapter 11: Comparisons between the University of Cincinnati and its Peer Institutions

11.1 Introduction

Up to now we have treated each academic institution studied, including the University of Cincinnati partnership, as individual units, and we explored and described their characteristics, their community partnerships and their community outreach and development activities *per se*. No attempt has been made yet to make any comparisons among them, either in terms of their models of operations and their approaches to community development involvement, or in terms of their effectiveness in this involvement. At this point it would be useful to review the institutions we have studied in comparison with each other, in an attempt to understand both, how they fare against each other in terms of several criteria and characteristics, and how they compare with the University of Cincinnati and its partners in terms of their community development and outreach activities.

11.2 The Assessment System: Spectrum and Criteria

We have attempted these comparisons by designing a spectrum for each variable used in the comparison. This spectrum can be read as follows:

- At the left of the spectrum is the value: “minimal or no representation of the institution in this variable”, meaning that the institution has not been characterized by any significant, notable activity with regard to this variable.
- At the other end of the spectrum is the value: “significant, major representation of the institution in this variable”, meaning that with respect to this criterion the institution in question has had a remarkable record of involvement and excellence in its results regarding this variable.

Within the spectrum, then, the further to the left an institution is placed, the less its involvement with this particular activity is judged to have been. Inversely, the more to the right of the spectrum its placement, the more active the institution is with regard to this criterion.

The institutions studied have been compared with regard to sixteen (16) criteria, selected on the basis of importance attributed to them by the respondents during the over 80 interviews conducted for this study. Other criteria could have been included, and the advantage of this methodology is that it can be expanded as needed, to include monetary, other quantitative, as well as qualitative criteria and characteristics. A further expansion of the study could identify a wider range of such variables.

Summary descriptions of these criteria are given below. Their presentation is then followed by a series of graphs depicting the relative positions of the universities studied on these spectrums by narrow arrows, and with a large triangular indicator indicating the relative position of the university of Cincinnati community partnership initiatives within the universe of its peer institutions.

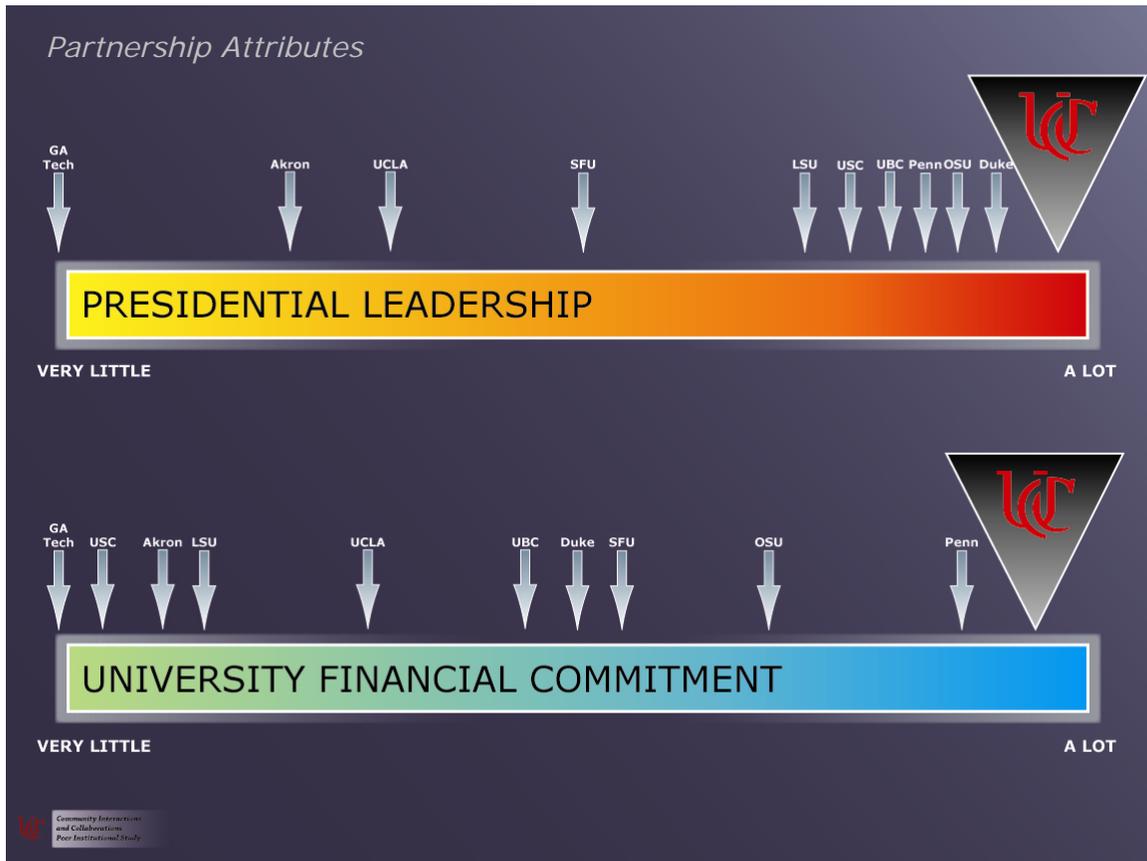
1. Presidential leadership. This criterion attempts to determine the role of the university President, Chancellor or Provost, and thus define the administrative level at which the institution's initiative with regard to its community partnerships and outreach has been based. It has been our consistent finding in this research project that the leadership exercised by the top administrative officers of a university is absolutely indispensable for the visibility, the support, and the eventual success of a university-community development project. Presidential leadership conveys the message to the community that the top administrators have a stake in the success of the endeavor, that the university is serious in its partnership intentions, and that the chief operating officer of the institution, gatekeeper of the institution's resources, will be directly deciding on necessary resource allocations.

In key universities with well developed community partnerships, the role of the university president was found to be pivotal. At Ohio State University, the initiatives taken by President E. Gordon Gee to create the University Area Improvement were decisive in planning the redevelopment of the University District, forming the Campus Partners, and shaping the development of High Street and the improvement of the poor and high crime neighborhoods of Weinland Park East and Weinland Park West neighborhoods. At the University of British Columbia, President Piper's ideas of involving the university in the improvement of the local communities were incorporated into Vision 2000, her academic plan for the university. This decision was followed by the establishment of the Learning Exchange in downtown Vancouver with university funding and opened the door for a model social assistance experiment and the opportunity for hundreds of student and faculty volunteers to play a major role in the life of the downtown neighborhoods and their disenfranchised residents. Conversely, at the University of Southern California, the institutions' leadership had the philosophy of confining its initiatives within the campus boundaries, despite the many problems present outside the campus gates. Thus, when the Figueroa Corridor coalition was formed with the participation of the city of Los Angeles, the merchants of the area and the Staples sports arena, the university was limited to the role of a participant forced to contribute significant funds because of the size of its real estate in the area, but not having a major say in the shaping of the redevelopment program.

At the University of Cincinnati, presidential leadership has been one of the cornerstones of the entire Uptown redevelopment effort. First President Joseph Steger and then President Nancy Zimpher exhibited both leadership and commitment to the effort of Uptown neighborhood redevelopment. The prestige lent the initiative by the university president's office and personal involvement played a major role in attracting the other four institutional partners to join the partnership, in securing funding from lender institutions, and in mobilizing the community to the cause of the Uptown redevelopment. It also convinced the city that the Uptown Consortium and neighborhoods are serious and committed to this effort, and thus encouraged the city to contribute to the effort and become further involved, and induced regional entities like the OKI to focus more attention on the Uptown, as a result of which the Uptown Area Transportation Study is currently under way. See Figure 11.1 for illustration of this criterion.

2. University financial commitment. This criterion measures the degree to which an academic institution has made financial commitments to its partnerships for community development, or it relies completely on outside funding. In most cases, successful partnerships were found to depend on direct university contributions. These contributions take various forms. Predominant among them are annual allocations to the special units set up to coordinate the partnership’s activities (as is the Uptown Consortium, Inc. in Cincinnati). Other ways include outright grants to community organizations such as Community Development Corporations, down payments to cover the initial costs of a development, payments for specific projects and/or buildings, and equity to be used as collateral or leverage by the community organizations or the Partnership in order to leverage funds from the federal or state government and its programs or from private financial institutions. For example, the University of Cincinnati had to guarantee the rental of the commercial spaces built in the first phase of the McMillan Park development, on the campus side of Calhoun Street. On the strength of that guarantee the banks were willing to extend the loan that financed the project. In general, the University has been both a major contributor of funds and a guarantor of the loans secured from lending institutions to proceed with the developments. See Figure 11.1 for illustration of this criterion.

Figure 11.1: Illustration of “Presidential leadership” and “Financial commitment” criteria



3. Donor financing of university community development activities. This criterion refers to university outreach activities in which the financial burden for the execution of the program is borne by one or more private benefactors. The University of Cincinnati to date has not used this mode of operation, but other universities have made maximum use of it. For instance, San Diego State University has based its planning, management, training, education and other participation in the City Heights community, a 75,000-inhabitants part of the city which is the main business and residential area for the city's immigrants on the \$250 million grant extended to that project by Price Charities. The University of Cincinnati has not yet taken advantage of such opportunities, but instead has relied on its own Foundation's funds for the initial grants and low interest loans, and has attracted funding by employing the New Markets Tax Credit approved for it by the federal government. See Figure 11.2 for illustration of this criterion.

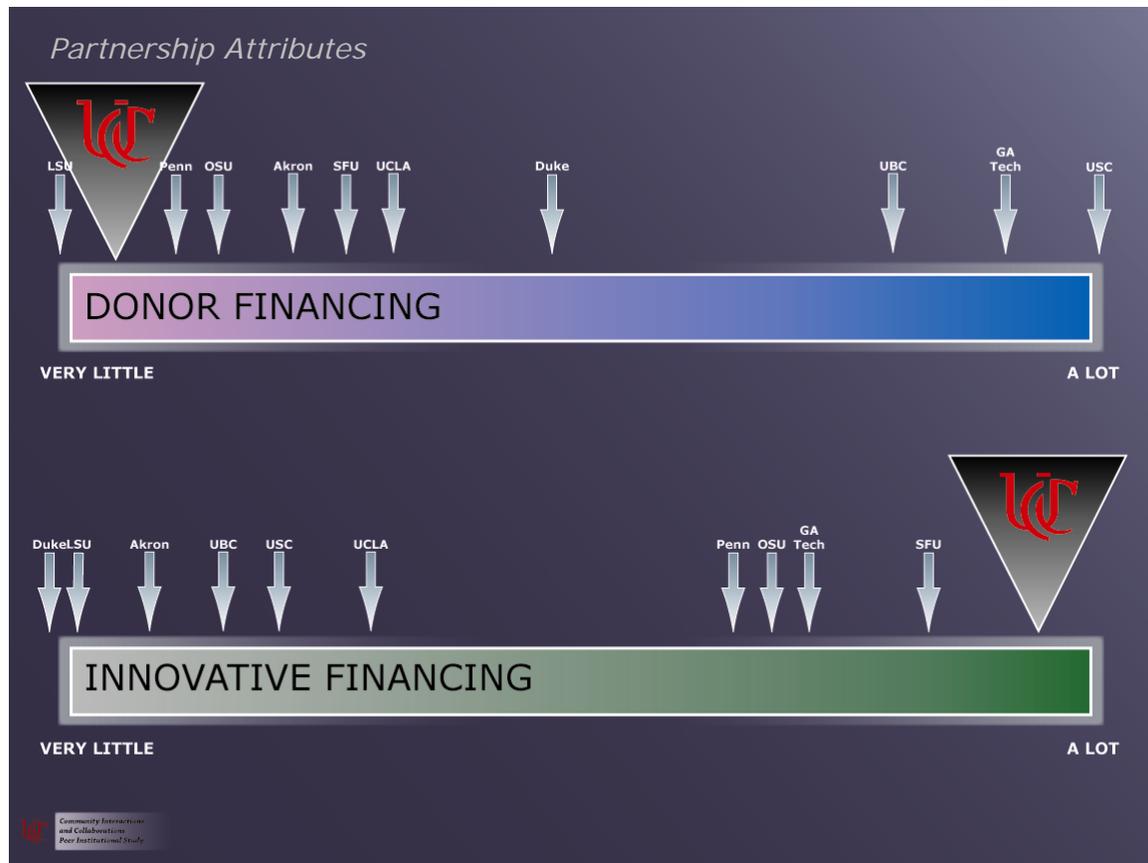
4. Employment of innovative financing mechanisms. This variable measures the innovative ideas implemented by the academic institution to put together the financial package that will make the proposed community developments possible. Given the non-profit status of academic institutions and the restrictions imposed on them by their Foundations, universities are quite limited regarding the use of their own funds, even if these funds are coming from private donor sources. Further, the condition of higher education around the country in recent years has made most public and private academic institutions strapped for funds. Thus, securing the necessary funds for the partnerships envisioned by urban universities requires creative thinking in the formation of financial sponsorships, leveraging of funds, loans with low interest or no interest charged, and taking advantage of special programs established by the federal and state governments to support community development. An excellent example of such an innovative financing model is the securing of \$52 million in New Markets Tax Credits by the Uptown Consortium of Cincinnati. This is a federal program which establishes win-win situations between the lender banks, who deduct the amount of the loan from their federal taxes, and the institutions using the funds for community development purposes. See Figure 11.2 for illustration of this criterion.

5. Partnerships with other community institutions. By their nature, universities are founded to promote scholarship, education, and research. Their institutionalized community service in the past was an afterthought, and even today the ability of universities to play major catalytic roles in the development of their communities is limited. By establishing partnerships with other stakeholder institutions, on the other hand, universities are able to create multidimensional teams with a varied expertise and experience with community projects, are able to share the risk associated with the developments, and create a more powerful block for negotiations with financial institutions to secure favorable terms for loans.

In each of the successful example that we studied, such partnerships played major roles. The University of Pennsylvania partnered with two other major academic institutions in its area to develop the far-reaching program that allowed the phenomenal redevelopment not only of its immediate neighbors but also the broader area of University City. The

University of southern California would not even have an active program of community redevelopment were it not for the business and institutional partners who formed the initiative that resulted in the construction of the Staples stadium, reformed the public space containing a park and two museums, and revitalized a major commercial corridor, and attracted private developers to increase the supply of good quality housing for students, faculty, staff and other residents of the area surround the USC campus.

Figure 11.2: Illustration of “Donor financing” and “Innovative financing” criteria



At the Uptown, the strong partnership formed by the five major institutions/employers of the area, was a fundamental breakthrough in the ability of the Uptown region to redevelop itself. It also gave major legitimacy to the effort, and convinced lending institutions to fund the early phases of the redevelopment program. The University gets a very high score for its strong leadership and consistent initiatives in support of the partnership. See Figure 11.3 for illustration of this criterion.

6. Community participation in the planning, decision making and development process.

An abundance of evidence in the planning literature makes clear that planning and development programs have a much greater degree of success if they are prepared with the active participation of the communities and populations that are the subjects and/or

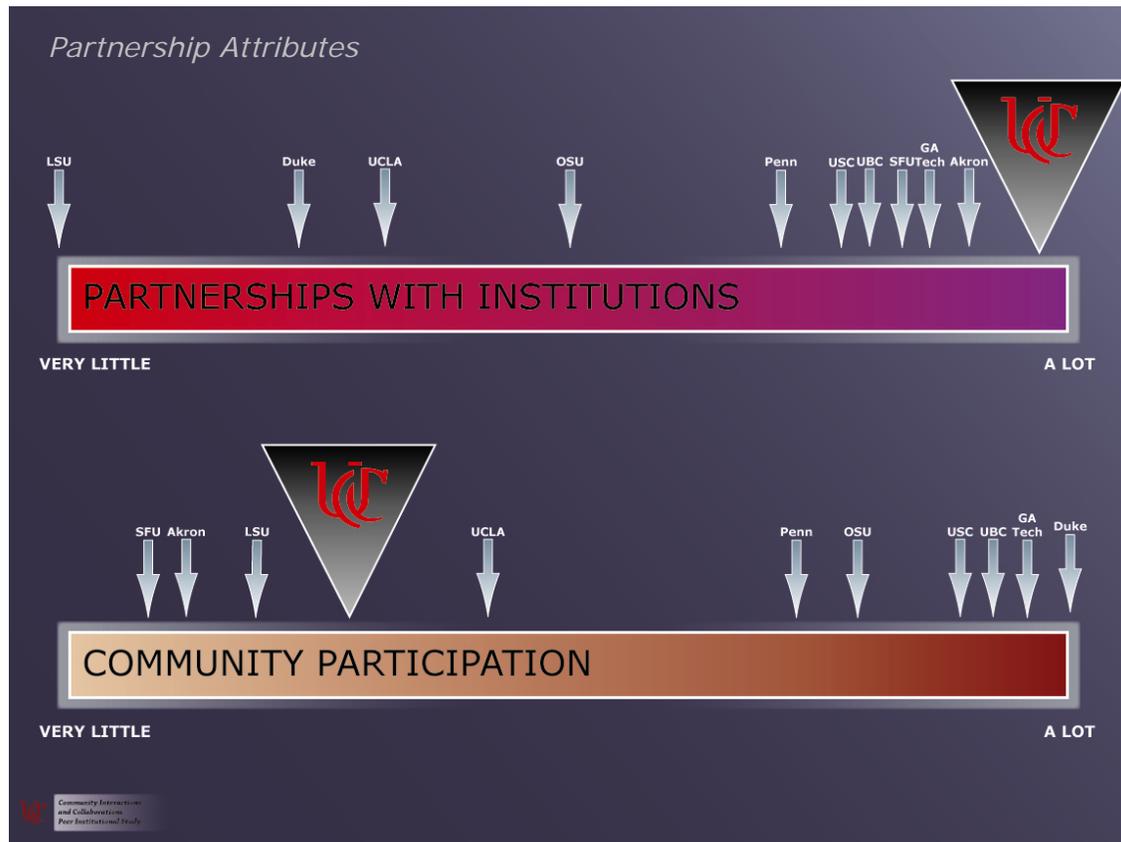
recipients of the intended plans or programs. If this premise holds true for countries and large regions, it is certainly especially relevant for community development. The inhabitants of long-established neighborhoods and their organizations, not only represent the depository of the history and past events that have shaped the neighborhoods, but are also the entities best in position to know what their aspirations and priorities are for their communities, and what is likely to work as a development initiative, given the diversity of backgrounds of the local residents and business, the opinions and the cultural biases of segments of the population.

Invariably in this research project we found that active involvement of neighborhood organizations, institutions, representatives and the public were responsible for large shares of the success of any community development experiment. Inversely, when a university went on its own for the implementation of its community development plans and objectives, its initiatives were resented or even opposed by the affected communities, no matter how noble and unselfish these objectives may have been. Appropriate illustrations of these cases are the University of British Columbia, whose Learning Exchange initiative in downtown Vancouver succeeded against all odds and the initial skepticism of practically all the established downtown social support organizations because it was considered elitist, out of touch, and lacking the experience to deal with the large segments of the poor, homeless and drug-addicted populations inhabiting the downtown of Vancouver; and of Johns Hopkins in Northeast Baltimore, the large scale biotech, office and residential redevelopment initiative of which has encountered a lot of opposition, and which is proceeding amidst a plethora of ill-will and outright hostility by its neighboring communities, because of the institution's inability to open a constructive dialog with, and make these neighborhoods both stakeholders and participants in its planning and redevelopment efforts.

Our own Uptown Consortium *thinks* that it has engaged the Uptown neighborhoods in the redevelopment process, but this thinking does not agree with the opinion of many of the residents and community leaders we have interviewed. The neighborhoods of Uptown do consider both the University of Cincinnati and Children's Hospital good and well-intentioned neighbors, but are convinced about the self-serving and self-interest nature of their urban renewal initiatives in the surrounding neighborhoods. They argue that neither institution has asked for community participation *in the early, conceptual stages* of the planning process, and that the planning and redevelopment decisions of these institutions are brought to the communities for approval on the assumption that renewal of these communities should be appreciated by their populations, regardless of the displacement and other impacts of these redevelopments, or of the ways by which these changes come about. For example, the nature of the planned business districts in both McMillan and Burnett avenues has been cited as an indicator of the planners' lack of responsiveness to the communities' retail service needs, as the types of stores planned for these business districts would address the demands and would appeal to the higher income professionals who would be moving into the neighborhoods and/or working in these institutions as soon as the redevelopments are completed. But in other respects the communities are appreciative of the fact that they are allowed to contribute significantly to the final decisions, and that they control the boards of the Community Development Corporations

set up to handle the funds and coordinate developments. So in summary, the University has plenty of room to improve its community participation procedures, but is praised for its efforts to do so. See Figure 11.3 for illustration of this criterion.

Figure 11.3: Illustration of “Partnerships with institutions” and “Community participation” criteria



7. Avoiding use of eminent domain. In most cases where a university partnership gets involved in redevelopments and/or rehabilitation of community segments, land is a resource in contention. You cannot redevelop a neighborhood unless you have control of the land in that neighborhood and you have secured city agreement for the alteration of uses, building densities and building characteristics. But different universities have chosen diverging paths to accomplish these controls. Some of them patiently assemble the land required, parcel by parcel, even though this is an elaborate and time consuming process, because they value the continuing good will of the community, and have resolved to approach the redevelopment of their neighborhoods in ways not antagonizing even small segments of the community. Other institutions believe in expediting the redevelopment process, and accept that the benefits to the community from the planned redevelopments justify the enlisting of the planning tool of eminent domain to achieve these results faster. In the first case, both time and funds are used to accomplish the desired objectives. Ironically, in the second case, even more funds and time are

expanded, and in addition, the development programs of the institution proceed under the cloud of forceful evictions, unwanted take-overs, and strong-arm tactics.

Again, a case in point is Johns Hopkins University, the redevelopment program of which in Northeast Baltimore proceeded by purchasing a number of homes in the surrounding neighborhoods over a period of time, vacating and boarding them up and, once a critical number of them was assembled, using these boarded-up structures as evidence of deterioration of the neighborhood. This argument convinced the city of Baltimore which bought into the university's plans and proceeded with the application of eminent domain to acquire the rest of the properties, so that the vast land area required for the expansion of the university's research facilities, the biotechnology complex, and the residential structures constituting the area redevelopment program could be assembled. The forceful use of eminent domain has been, and still is at the heart of the community's resistance to, and opposition to the JH university redevelopment of the area.

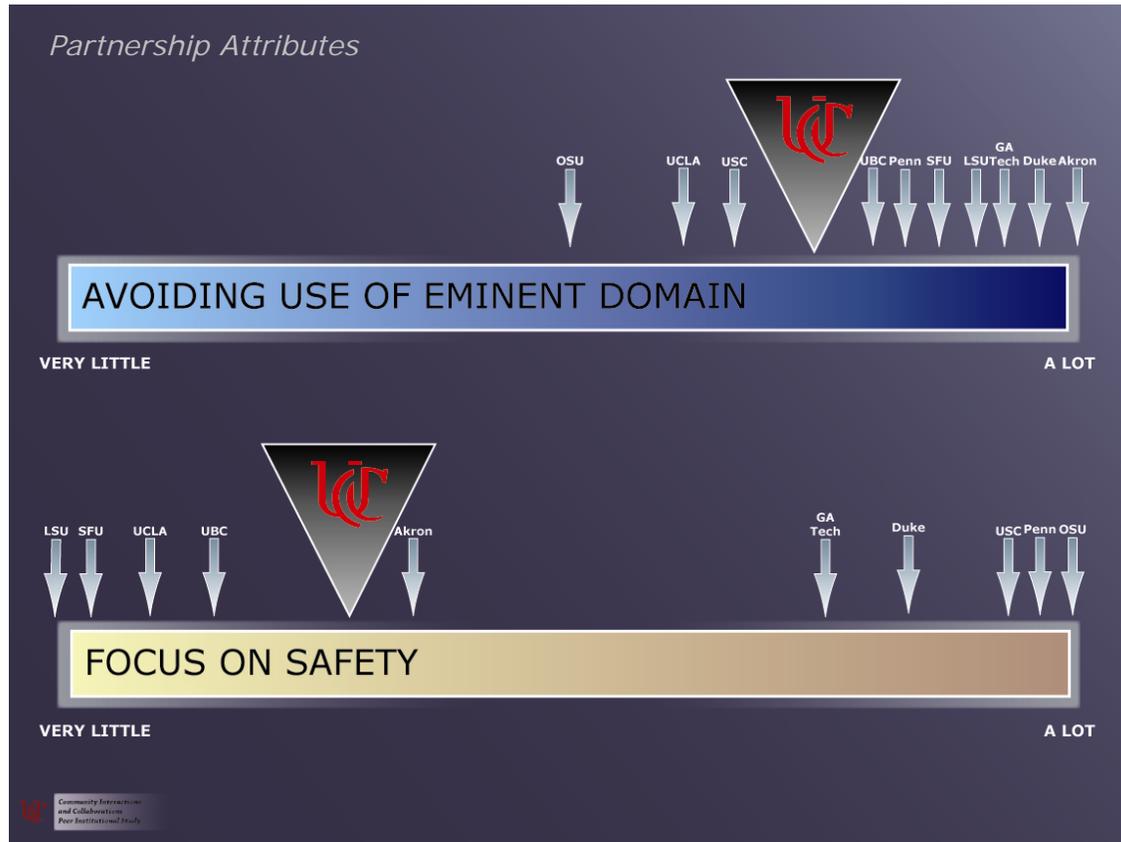
The Uptown Consortium began its acquisition of land for the McMillan/Calhoun street corridor redevelopment by purchasing properties in the open market and paying market prices or above them. All but three of the property owners eventually sold to the Consortium. The three remaining businesses refused to sell and demanded participation in the development and space allocated to them in a fair exchange. The Consortium did not agree to the terms and asked the city of Cincinnati to apply eminent domain based on the argument of dilapidation of the neighborhood and economic development objectives of the redevelopment. The case went to the State Supreme Court and the Consortium won. The businesses have capitulated and have been bought out, but the development has already been delayed by two years, much resentment remains because of the use of eminent domain, and a lot of negative publicity has been associated with the whole enterprise. It is the assessment of this study that the use of eminent domain by the Consortium should and could have been avoided. The Consortium could have offered favorable terms to the three established small businesses resisting the take-over, and could have accommodated them with appropriate space. This would have expedited the redevelopment, would have bought much needed good will from the community, and would have ensured the quick reestablishment of retail business once the redevelopment progressed, a prospect that currently is in doubt, given the slow progress towards securing tenants for the already completed retail spaces along the campus side of Calhoun Street. See Figure 11.4 for illustration of this criterion.

8. Focus on safety. One of the main reasons identified by most universities researched for their decision to become involved in community redevelopment partnerships and activities was the issue of deteriorating safety conditions in the periphery of the institutions, the threats that that deterioration represented for the students and personnel of the university, and the perceptions among the parents and the public of unsafe and dangerous conditions prevailing around the campus. The University of Pennsylvania, Ohio State University, and the University of Southern California were among the institutions placing campus town safety among their top concerns and priorities.

The University of Cincinnati belongs in that group as well. In recent years, there has been a continuous deterioration of the safety conditions in the proximity of the campus, with minor and major crimes against people and property reported on a regular basis by the university and the city police. Even though a number of programs intended to increase safety around the campus have been implemented by both the university police and the city, the inadequacy of resources and the difficulty of coordination caused by the splitting of the Uptown area into two police districts impairs the ability of both the city and the Consortium partners in their efforts to address crime issues.

Some of the problems associated with crime in the Uptown area are of a regional nature. For example, it is often stated that the consistent efforts by the city police to improve safety conditions in the Over-the-Rhine area have resulted in drugs-related and other crime to shift to the Uptown area. To the extent that this is true, it would require more than Uptown involvement and initiatives to ensure the safeguarding of its area by outside criminals. At the same time, a number of measures which could help improve safety conditions in the Uptown region have not yet been incorporated into the planning, design, and redevelopment program, and their incorporation would make a difference in the reduction of crime. These include defensive design, ample street and public space lighting, building façade and yard lighting, police foot patrolling, creation of a separate police district encompassing the university campus and all six surrounding neighborhoods, and community policing. We understand that the Uptown Consortium is currently undertaking a special study to investigate the feasibility, cost and potential of a number of these tools. See Figure 11.4 for illustration of this criterion.

Figure 11.4: Illustration of “Avoiding use of eminent domain” and “Focus on safety” criteria



9. Environment and sustainability. Comprehensive land use planning and area redevelopment studies increasingly make environmental quality and the management of environmental services and resources a backbone of their data collection, analysis, identification of issues, and recommendations. No less of an effort to protect and enhance the environment is expected of academic institutions involved in community outreach and redevelopment efforts, for they are considered the leaders in the protection of the intellectual and cultural heritage of the country, and the dissemination of the science and knowledge that will shape the values of the generations going through their schooling in the nation’s universities. More recently, this philosophy has been expanded to incorporate notions of sustainability and development following sustainability principles, in the belief that uncontrolled growth can be detrimental not only to the environment but also to the future of cities and communities, wasteful of financial and material resources, and undermining the cultural and community foundations of urban societies. This new approach emphasizes green buildings, energy efficiency and use of alternative energy resources, conservation, recycling, small scale, use of natural devices to control micro-climatic conditions, support of the local economy and employment, access to public transportation and alternative non-fuel using modes, etc.

In many of the cases we studied, this philosophy and sense of environmental responsibility was indeed very much in evidence. Simon Fraser University has made a

compact with the community of Burnaby for the preservation at perpetuity of a very large segment of its mountain forest land, in exchange for the construction of the UniverCity village around the campus and the installation of ecologically friendly water, sanitation and solid waste disposal systems. The director of its Department of Geography sustainability program sits in the Board supervising the development, and the city of Burnaby has drafted a special zoning ordinance and code which is considered path-breaking and has received tremendous publicity, including a major article in the *New York Times* in the spring of 2006. While on the Atlantic side, the University of North Carolina has completed and adopted a new campus-wide comprehensive land use and development plan based entirely on principles of sustainable development.

Other institutions have focused mostly on outreach programs intended to assist with the development of a community's human capital and/or redevelopment of its real estate, but have not emphasized environmental or sustainability concerns. The Uptown Consortium has only indirectly dealt with environmental concerns in its plans so far, by promoting beautification, expansion of green areas, and the design of public spaces. Its Uptown Cincinnati Strategic Opportunity Plan of 2004 addresses urban design, transportation, housing, retail, public safety and community services as its targeted areas of concern, but makes no mention of environmental issues. Among its sub-committees are listed Operations, Public safety, Finance, Community development, Shared services, Transportation/urban design, Neighborhood services, Life sciences and Communications, but no environment or sustainability. And among all its community and neighborhood organizations, strategic partners and public agencies involved in the Uptown planning, the only environmental concern listed is the United States Environmental Protection Agency, presumably because its federal research laboratories are located on the intersection of Jefferson and Martin Luther King Avenues. No other environmental organization is included in this long list. This absence of recognition of the importance of environmental and sustainable development issues as a mainstay of the university's involvement in the redevelopment of its communities may be simply an omission, but raises concerns that they may actually have been neglected all-together as principal elements of its planning program. It is the recommendation of this research team that the current and future plans of the Consortium should be reviewed and assessed with regard to their environmental sensitivity, focus and concerns, and that amendments to these plans be undertaken to ensure that the environmental, economic and social sustainability of the neighborhoods, their physical settings and their residents are ensured as the Uptown redevelopment effort moves into its second phase. See Figure 11.5 for illustration of this criterion.

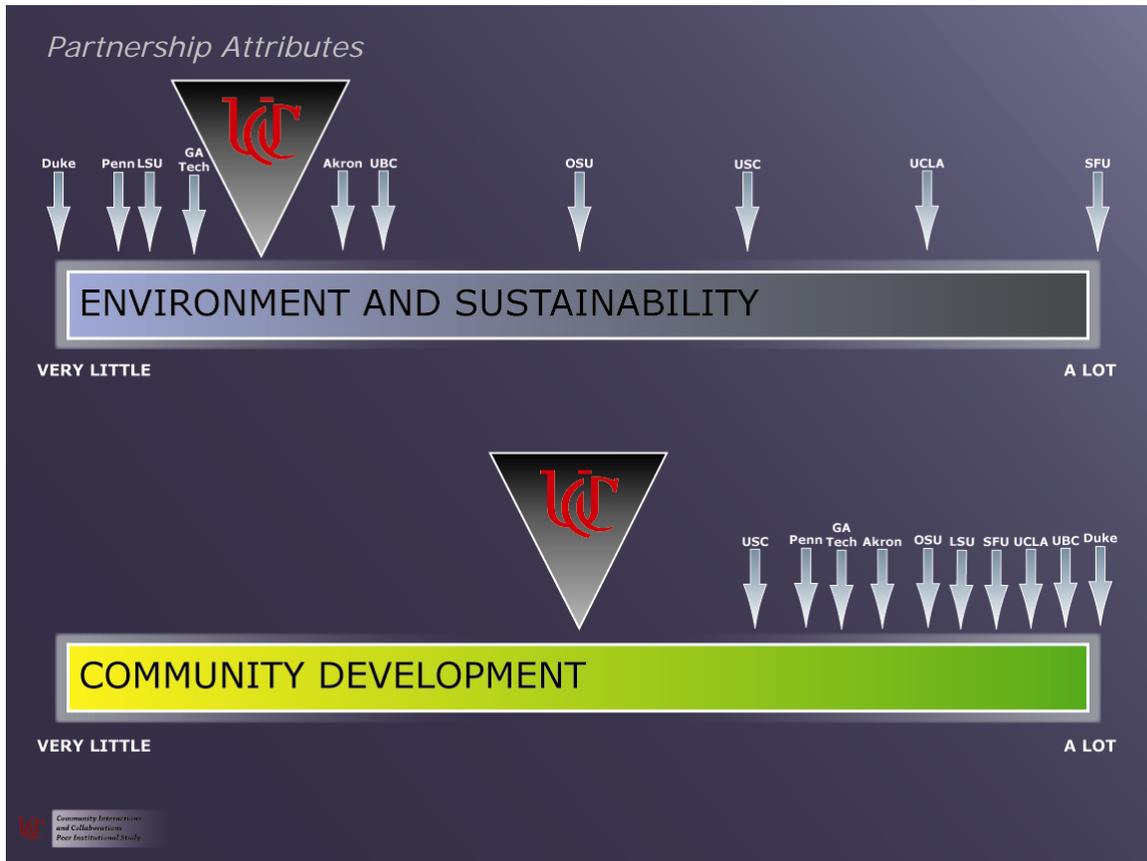
10. Community development targets, goals and effectiveness. This criterion evaluates the degree to which an institution's initiatives are primarily focused on the redevelopment of the affected community, and the comprehensiveness of the community development approaches taken. Community development is a complex and not precisely defined term, but its major components include housing conditions improvement and expansion of the home ownership base, economic development including new business attraction and existing business retention and expansion, labor enhancement and training, public space improvements, entertainment and recreation opportunities, access to alternative means of

transportation, including good accessibility to employment concentrations by public means, improved quality of life, including safety, health and education, good quality of the natural environment, and enhanced social capital in the form of active neighborhood organizations involved in the affairs of their communities.

While this is a long and demanding list for any academic institution's initiatives, the criterion mostly focuses on the intentions of the institution to advance one or more of these targets. Thus, the University of British Columbia is considered relatively successful in this respect, because while it has not have many community development initiatives, the major ones are having a significant impact on the development of the community affected. Ohio State University is ranked even higher, because much of its redevelopment activity on High Street has community Development undertones, with a movie theater, circulation improvements, a zoning overlay ordinance that allows special provisions for student housing, redesigning of the street network and public transportation system, and introducing educational assistance to its poor neighborhoods. Duke is graded excellent in this criterion because of its major community development impacts. The University of Cincinnati ranks average here, because its efforts have been limited to real estate redevelopment, but has to date laid lip service to economic development, existing housing rehabilitation and revitalization, youth problems, employment training, improvements to the public transportation system, or sustainability of the neighborhoods, including the fate of the present residents and small business displaced by the new developments. See Figure 11.5 for illustration of this criterion.

11. Impact on economic development. We consider economic development a sub-sector of community development, but treat it separately because of its importance and because much of the literature shows it to be pivotal in turning the condition of a neighborhood around. Economic development focuses on the elimination of poverty and homelessness, the attraction and retention of new business and the retention and expansion of existing business, the generation of new employment, including higher pay employment that will allow workers upward mobility, and the overall improvement of a community's incomes, so that both its purchasing power increases, thus supporting more business, and its contributions to the public revenues improve.

Figure 11.5: Illustration of “Environment and sustainability” and “Community development” criteria



Some of the universities studied have made economic development a major part of their outreach operations. Several of them, like UCLA, run community skill development and employment training programs in which faculty and graduate students provide instructions and technical assistance. Others, like UBC, establish centers inside the community in which they offer courses in computer literacy and English as a Second Language for immigrant workers and their families. Yet others, such as USC, form partnerships with business and commercial associations under which university expertise is provided for accounting and bookkeeping, business management, grant writing, fund and business management, and other business support functions. In such cases, the university can play the role of a business incubator, or of a support function for private or public incubator initiatives.

Neither the University of Cincinnati as an individual academic institution, nor the Uptown Consortium as a partnership, has done much work on this criterion yet. While the need for economic development is recognized in the planning of its projects, it has been mostly implemented as proposed construction of retail and office space. The assumption is made that if the contemplated commercial space is built and occupied it will bring

economic activity into the area, will provide employment opportunities, and will function as a growth attractor to facilitate the establishment of additional business in the immediate region. The cumulative effect of all this activity will be a renewal of the economic role and significance of the Uptown as a business district, a function now limited to the Ludlow Avenue commercial corridor and the few remaining shops on Short Vine. See Figure 11.6 for illustration of this criterion.

12. Impact on the broader metropolitan region. Any kind of community development would aspire to eventually have longer-term and wider-region repercussions. This is an important objective in general – we would like the multiplier effect from any kind of public and/or private investments to be as large and as widespread as possible – but it becomes essential in metropolitan regions, the cities of which show signs of decline. In such cases, any revival of business concentrations located within the old city core has the potential to retain business, generate employment in the area, and create incentives for existing business to stay there instead of relocating, and new business to move into the area and take advantage of the area’s stable purchasing power and demand.

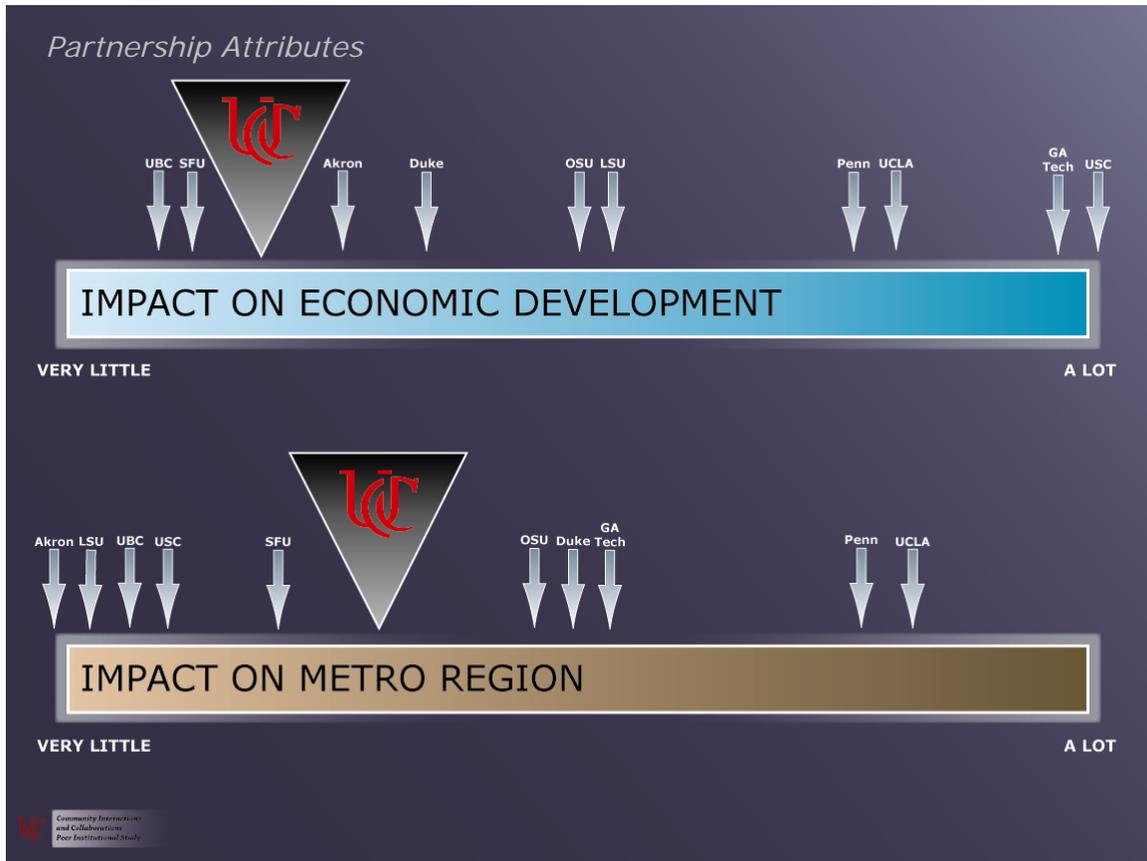
Some developments may be too small to cause a measurable regional impact, but major real estate developments and redevelopments around university campuses have the potential to generate significant ripple effects. Documentation of these effects is always difficult. One reason is that, especially within older city cores, the risks associated with staying in the old business districts or relocating into them are considerable, and it may take a long time for business to feel secure enough to make such decisions. Thus, the impacts may be only long run and slow to materialize. Another reason is that, given the multiplicity of locational, investment and other decisions present in a large city or metropolitan region, it is difficult to isolate the effects of one particular action, such as the redevelopment of a neighborhood business district, and attribute specific multiplier effects to it alone. But it is not hard to determine the *direction* of the impacts of economic investment decisions and, to a certain extent, the *magnitude* of these impacts, if not their precise value.

University-initiated community developments which have been completed for a period of time already show evidence of significant positive economic and other development impacts on their greater area. The University of Pennsylvania has had such success in the spreading of its development effects that it is now participating in the preparation of a larger comprehensive plan for several communities encompassing the entire region of the University City, way beyond the boundaries of its initial involvement. Studies of the urban economy show the positive impact of the Penn program on its communities, and the demand for real estate is an unfailing indicator that things in the region are moving in the right direction. At USC, the Figueroa Business Corridor is a neighborhood business District that has had a major transformation thanks to the redevelopment of both its own business district and its greater area, with new business moving in, a large car dealership building a brand new facility, and several commercial and residential developments started by independent developers, a sign that the profit prospects of the area are certain.

Because of the newness of the University of Cincinnati partnerships with its neighborhoods and the fact that much of the proposed developments, both in the area of the University and around Burnet Avenue are still incomplete, it is not possible at this time to trace the impacts of the Uptown initiatives on the broader Cincinnati metropolitan region. There is no doubt, however, that the intention of the planned developments by the Consortium is to generate major impacts on the region. The amount of condominium housing planned indicates a desire to create a significant uptown housing market that would divert hundreds of households from downtown or First Suburb locations. That by itself constitutes a large impact, in an area that has not experienced any such new housing supply for years. Even though the central city condominium market has been very successful in recent years in Cincinnati, it is still small in scale. The additional supply of housing proposed by the Uptown plans will, therefore, add a large housing component to the city's efforts to attract households back to the city, and could be the critical tipping factor in helping the city to succeed in becoming again a preferred place for residential location by households past the child-bearing age. It is clear from the interviews we had with city of Cincinnati officials that the city foresees such potential in the proposed Uptown developments. In fact, the city contemplates a development corridor that would encompass the Uptown and the Downtown in it, with Vine Street as the connector thoroughfare, perhaps with a special transportation line constructed to enhance accessibility between these two central locations. Thus, even though we cannot measure metropolitan region impacts at this time, we rank the University of Cincinnati as having the potential to influence the development of its region in the future, once the Uptown developments are complete. See Figure 11.6 for illustration of this criterion.

13. Social capital development. This criterion has already been discussed briefly above, as part of the economic development criterion. It is isolated here to indicate its significance for the success of the development of the affected neighborhoods. In many of the cities and universities we studied, the neighborhoods around university campuses have in the last thirty years experienced similar problems as those of the old inner city and first suburb neighborhoods. Namely, as the housing options expanded into the suburbs and exurbs of metropolitan areas after the 1960s, more and more households, especially white households, left the city for the lower densities and more comfortable living in newer homes in the suburban fringe and beyond. University neighborhoods lost much of their original populations during that period, as families chose to move away from campus towns where large numbers of young students lived and partied, at the same time that their landlords neglected the maintenance of their buildings and lawns and the streets were filled with parked cars. Eventually, these neighborhoods became the residential areas of the students and the poor households who could not afford to move. Unemployment and poverty further deteriorated the conditions in these neighborhoods, and have brought us to today's conditions.

Figure 11.6: Illustration of “Impact on economic development” and “Impact on metro region” criteria



University partnerships recognize the need to reinvest in these neighborhoods, improve the housing stock and public facility conditions, and bring commercial activity back into them. But in order to solve the poverty and unemployment problem of these neighborhoods, the human capital of the neighborhoods must be developed, so that the unemployed people living there can again become employable. Thus, this component of development is as critical for the turning-around of neighborhoods as the real estate redevelopments that intend to alter the appearance and radically improve the housing stock of these communities.

There is a wide variety of activities undertaken by different universities in this category. Notable is the effort of San Diego State University because of the magnitude of its involvement with immigrant neighborhoods in the city of San Diego under the Price Community Builders project. Both USC and UCLA also have extensive human capital development programs through involvement in local schools, continuing education programs of the community, minority business training, and small business incubators. They have received the highest scores in this criterion. We have already discussed the extensive involvement of UBC with the downtown neighborhoods and their immigrant

populations as well as its programs for drug-addicts support, rehabilitation and job training.

The University of Cincinnati as an institution has not yet made such activities part of its community redevelopment program. The Uptown Consortium is almost exclusively a real estate development entity for the time being, but several of its objectives address economic and community development as well, so presumably in the near future the human capital development of the Uptown initiatives–supported communities will also receive its needed attention. See Figure 11.7 for illustration of this criterion.

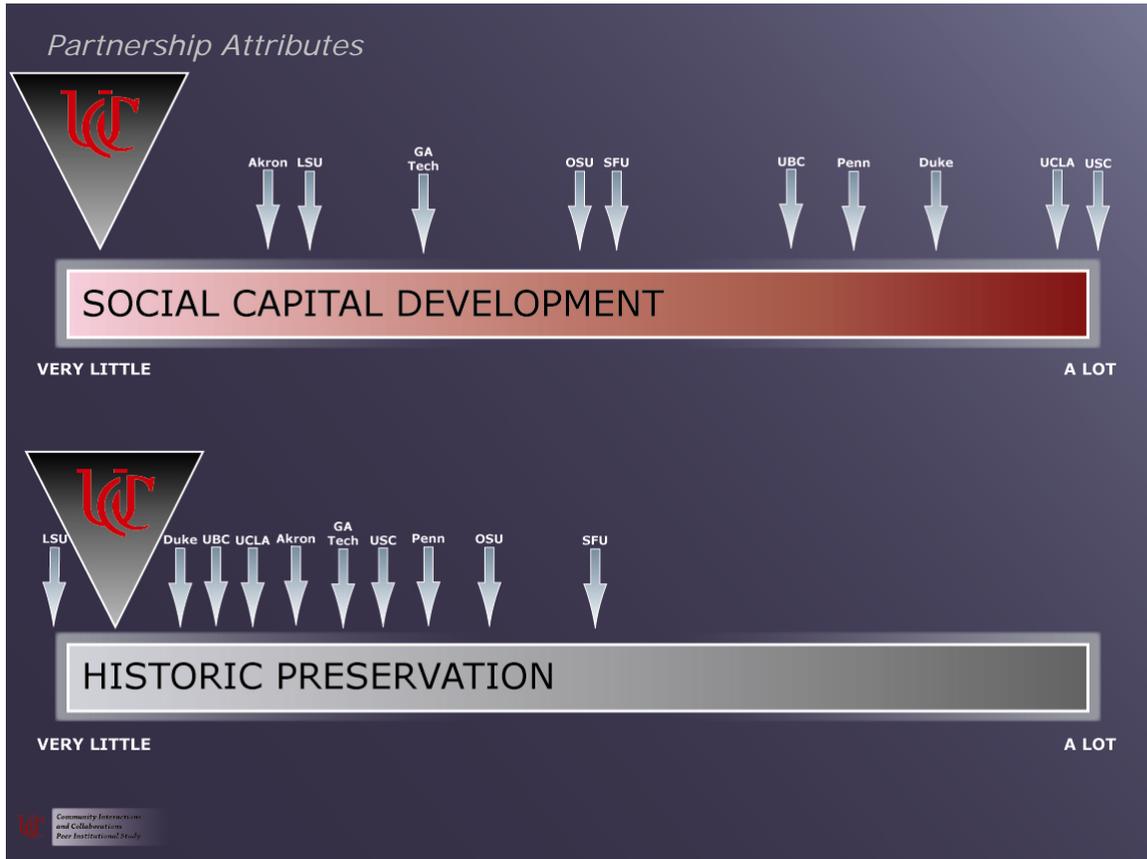
14. Historic preservation. As redevelopment takes place in the nation’s older cities and neighborhoods, the question of preservation of their older housing stock and commercial buildings, and thus the preservation of the architectural character conveyed by these buildings, often comes into question. Preserving older structures can be a very costly proposition, because modern city codes require extensive rehabilitation of their utilities, strengthening of their structural elements, removal or containment of asbestos, and other interventions which may make conservation cost-ineffective. On the other hand, elimination of the old buildings and their replacement with brand new structures, while significantly updating the older building stock, also alters the character, historic ambience, and environmental qualities of older neighborhoods.

As the debate has its supporters and critics at the national level, so it does at the level of community rehabilitation, including university-community redevelopment partnerships. Several universities studied have no concern for historic preservation. USC’s involvement in the Figueroa Business District rehabilitation has not brought with it any concerns about the older structures in the area, which are unceremoniously demolished as soon as a developer expresses interest in one of the properties for redevelopment. Duke, on the other hand, has embarked in extensive rehabilitation programs, under which it has financed private builders to purchase and renovate older homes in the Walltown, West End and Trinity Heights neighborhoods for sale to predominantly lower income families.

The University of Cincinnati has not been interested in existing structure rehabilitation yet. In all redevelopment projects in which it has been involved in Uptown, the pattern is that of demolishing, clearing the land of structures and trees, planning from scratch, designing, building and landscaping from the ground up. The environments thus created are completely designed, new settings. Historic preservation does not appear as a factor, a constraint or a goal in any of the documents made available to the study team either, so we have to assume that it is not one of the issues of concern to the Consortium or its individual partners. As this report is written, for example, most of the older structures along Burnett Avenue all the way to Harvey Street are being erased and the ground is being cleared for new construction. It is expected that a number of noticeable older buildings near the intersection of Burnett and Forest Street will also be demolished soon. See Figure 11.7 for illustration of this criterion.

15. Urban design. Since one of the reasons universities embark in the costly and controversial redevelopment programs around their campuses or beyond them is the

Figure 11.7: Illustration of “Social capital development” and “Historic preservation” criteria



aesthetic improvement, beautification, landscaping and enhancement of the visual impressions of visitors, students and the public at large, design in general, and urban design in particular, are important components of the redevelopment process. Urban design does not only refer to the designing of the spaces around the structures proposed for the redevelopments, but also the morphology of public spaces, plazas and avenues, their landscaping and ornamentation with public art, as well as the careful definition of the functions taking place in them.

Most universities studied have paid special attention to the design elements of their redevelopment programs. For example, the University of North Carolina has completed an award-winning campus plan with excellent urban design elements. The University of British Columbia has commissioned developers to raise high quality, high income subdivisions in the land endowment granted it by the national government around its campus. The University of Pennsylvania has extensive urban design as part of its community redevelopment program, while both Simon Fraser University and the Georgia Institute of Technology have been ranked very high on urban design qualities and integration into the overall plan by our team.

In this criterion the University of Cincinnati is ranked highest of all the academic institutions studied. Its efforts over the last twenty years to redesign its campus and build a large number of signature architect projects have subsequently been matched by its campus master plan, which transformed the urban character of the old campus into a green-dominated, attractive campus landscape in which the automobile is banned to peripheral multi-level garages while the main campus areas are devoted to pedestrian traffic and well-designed public spaces. With the Uptown Consortium development plans, this concern for good design has been expanded to all six neighborhoods included in the Uptown program, and the effort to integrate the buildings with the various functions of the public spaces and the landscape design elements makes these developments visually attractive and creates spaces inviting and designed to the human scale. See Figure 11.8 for illustration of this criterion.

16. Increase in housing supply. This criterion addresses the emphasis given to the supply of housing by the institutions' redevelopment plans. It is mostly indicative of the character and magnitude of the development, since comparisons among universities would be meaningless, because different universities have different redevelopment programs, and housing may not be part of some of these programs. Even if housing is a major part of the redevelopment program of an institution, on the other hand, the housing programs of these developments may not be comparable to each other, because they may be addressing different goals and purposes. Thus, for example, Simon Fraser University is constructing the large community of UniverCity, which will eventually house thousands of people in medium density, multi-story developments designed under strict rules of sustainability. But the housing stock produced by these developments will be market-rate housing for middle-income households, and will be sold for profit or will be rented to provide an income stream for the university. The plan is commendable, because it increases the supply of both owner-occupied and rental moderately-priced housing in the Vancouver metropolitan region where such housing is currently not available. Also, the income stream generated by the rental units will be deposited in a special fund to be used exclusively to fund research. But the development is a profit maker, not a community developer. UBC's housing development is similar in nature, except that the housing units produced by them, because of their unique location and their magnificent ocean views will price in the millions of dollars. At the other end of the range, Duke has a program almost exclusively focused on the supply of moderately priced and affordable housing, both new and rehabilitated, for the community at large as well as the student body and the faculty and staff employed at the university.

The University of Cincinnati again scores at the top of the range on this criterion. Not only has the Uptown Consortium plan provided for a large number and a varied range of housing types and costs, but it has paid special attention to the design, amenities, and quality of space around these housing units. The housing developments are intended for a large and diverse market, including students, faculty and staff, retirees and empty-nesters, and people attracted to the idea of living in proximity to the campus and taking advantage of the many and diverse facilities, activities and other opportunities available at the University. See Figure 11.8 for illustration of this criterion.

Figure 11.8: Illustration of “Urban design” and “Increase in housing” criteria



11.3 Synthesis

So how is the University of Cincinnati faring against its peer institutions in this study? What are the areas where UC is doing exceptionally well in its community partnership redevelopment efforts, in which areas it is in an average position, and in which criteria it is behind its peers? The answer to this question is shown on Figure 11.9, which is a cumulative image of all the criteria presented and discussed above, combined into one graph in which only the University of Cincinnati is shown. In that graph, UC is shown to have scored exceptionally well in the criteria:

- Presidential leadership,
- University financial commitment,
- Innovative financing,
- Partnerships with other institutions,
- Urban design, and
- Increase in housing.

The university fares quite well, but with room for improvement, which we hope that the Uptown Consortium will make an effort to reach, in the criteria:

- Avoid use of eminent domain (make every effort to avoid the use of eminent domain in the future), and
- Community development (Put emphasis on the development of all the assets of the neighborhoods involved in the redevelopment, not just on the real estate component of them).

It fares less well, and can improve considerably with respect to the criteria:

- Community participation,
- Focus on safety, and
- Impacts on the metro region.

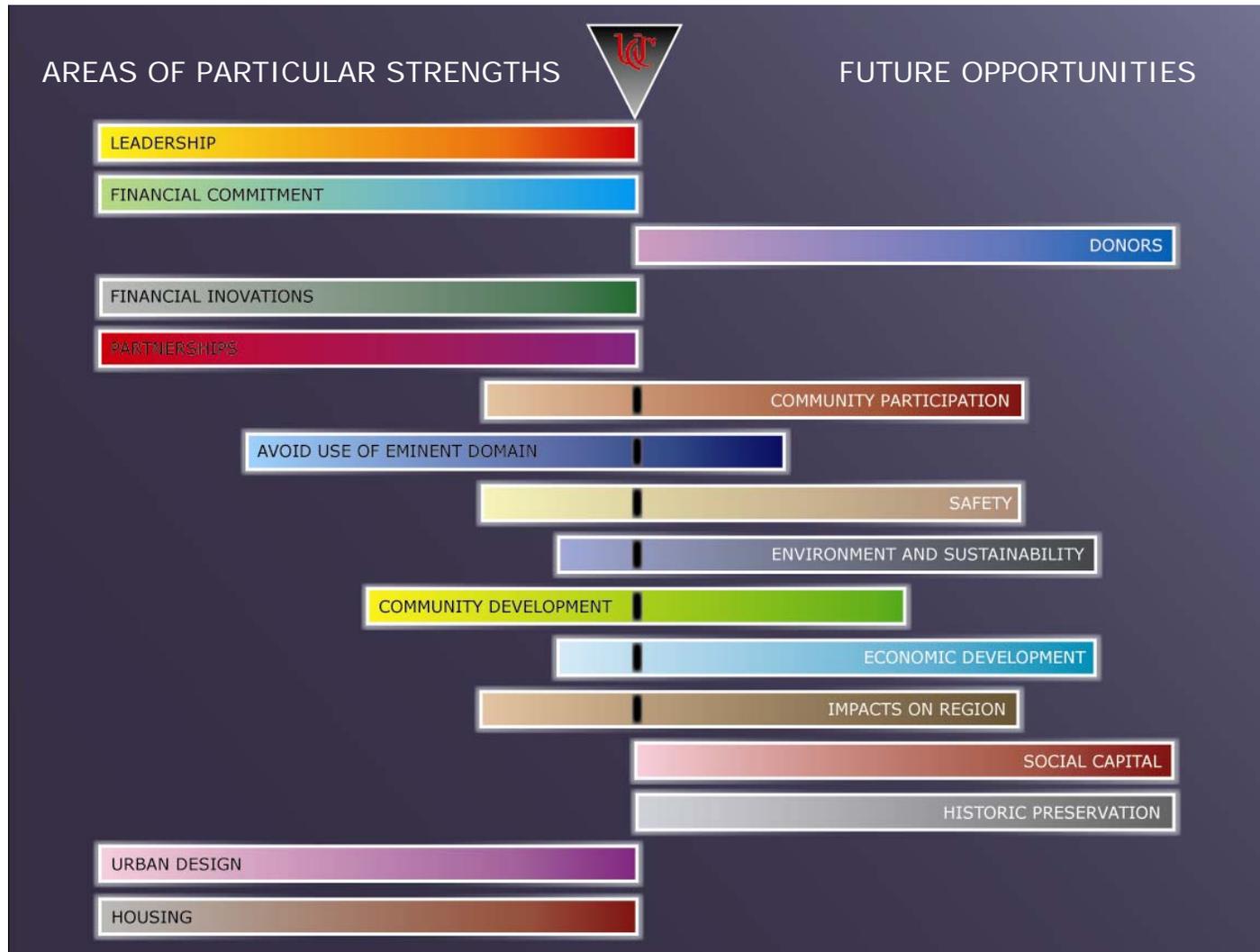
It needs to work harder to improve its standing with regard to:

- Environment and sustainability, and
- Economic development.

Finally, it has fallen at the bottom of the spectrum vis-à-vis its peer institutions in the areas of:

- Use of donors for financing of its development projects,
- Social capital development, and
- Historic preservation.

Figure 11.9: Cumulative evaluation of the University of Cincinnati against the sixteen criteria of performance



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General Resources

The Uptown Consortium

- <http://uptownconsortium.org/zoo.asp>.
- <http://uptownconsortium.org/TriHealth.asp>.
- <http://uptownconsortium.org/childrens.asp>.
- <http://uptownconsortium.org/healthalliance.asp>.
- <http://uptownconsortium.org/members.asp>.

*Office of University Partnerships –HUD**

<http://www.oup.org/>.

In 1994, HUD realized the impact institutions of higher education were having on their communities and the investments and partnerships many were forming in an effort to improve the educational experience for students and improve the quality of life of the surrounding inhabitants. In response to this growing trend of university led revitalization, the Office of University Partnerships (OUP) was set up to provide a clearing house for information about university projects. It serves institutions through grant programs, interactive conferences and related research. OUP also provides links to research and reports on university-community partnerships. Grants for OUP sponsored project come in the form of COPC Program grants (Community Outreach Partnership Center)

<http://www.oup.org/about/aboutcopc.html>

- *University-Community Partnerships: Current Practices Volumes II & III*
http://www.oup.org/pubs/curentp_2/toc.html (1996)
http://www.oup.org/pubs/currentp_3/toc.html (1999)
This is a publication put out by OUP that recognizes colleges and universities and their efforts in revitalizing their communities. It covers programs and their implementation in service learning, service provision, faculty involvement, student volunteerism, community in the classroom, applied research, major institutional change, institutions of higher learning index, contact information and service categories.
- *Characteristics and Principles of University-Community Partnerships: A Delphi Study*
<http://www.canr.msu.edu/dept/aee/research/sandmann.htm>
Through a Delphi study Sandmann and Baker-Clarke try to pinpoint best practices in forming university-community partnerships. The key characteristic of these partnerships is the application of knowledge and research to address societal needs. The key to initiating these partnerships is relationship building with all stakeholders. A successful relationship is developed around a solid work plan including a clear understanding of roles and responsibilities. Once established, these partnerships must be perpetuated with an open line of communication and an ability to keep promises.

- *Community Perceptions: What Higher Education Can Learn by Listening to Communities*
<http://www.oup.org/curriculum/files/commpercep.doc>
 This addresses the problem of active community engagement in civic life and the role universities can play in building more community participation in local government. The focus is building local partnerships to enhance civic education at the university level and perpetuating an active educated citizenry. The paper concentrates on universities as facilitators and conveners rather than developers and economic development powers.
- *A Growing Business*
<http://www.oup.org/about/growing.html>
 This highlights a partnership between UC Davis and local high schools in the development of a youth agribusiness program. Its goal is to help university students better understand the intricacies of small businesses and to introduce local high school students to an entrepreneurial environment that provides a hands on lesson and a chance to work in a real world laboratory.
- *Community Outreach Partnership Centers Receive Best Practice Awards*
<http://www.oup.org/about/awards.html>
 This is a list of 10 university partnerships funded with COPC money that have been singles out as best practices.
- *Town & Gown: Making Research Serve Communities' Needs*
http://www.oup.org/news/08_2000_09_2.html
 This article suggests the need for universities to apply more research to struggling urban communities. If enough effort is directed to these communities, then communities may start to change. The key is to engage in active participatory research where the neighborhood in question is not approached like a science project but as a sick/wounding animal that with the right approach can come back to life and thrive. The Policy Research Action Group in Chicago gets the most mention as what a community-university collaboration can become. However, despite the need for community based research, this alone is not enough to change the direction/future of a neighborhood; hands on implementation must be used.
- *UTPA's One Stop Capital Shop Keeps Startups on Right Track*
http://www.oup.org/news/08_2000_09.html
 The University of Texas, Pan-American has set up the Small Business Development Center in an effort to help boost the border economy of Texas. Focusing on the needs and experiences of locals, the program provides resources and expertise to small business owners that will extend the life of their new companies.
- *University of Georgia Operates an Outreach Services and Small Business Development Center*
http://www.oup.org/news/04_28_2000_04.html

The Coalition of Metropolitan and Urban Universities

<http://cumu.uc.iupui.edu/intro.asp>

The coalition brings together universities that share the mission of striving for national excellence while contributing to the economic development, social health, and cultural vitality of the urban or metropolitan centers served.

- <http://muj.uc.iupui.edu/backissues.asp>
This is a link to abstracts for each issue of the Coalition of Metropolitan and Urban Universities' journal *Metropolitan Universities*.
- This is an entire journal dedicated to university missions and community partnerships:
Vol. 13 No. 1 [Independent Institutions and Their Urban Missions](#)

*Center for Urban and Regional Policy – Northeastern University**

<http://www.curp.neu.edu/index.htm>

This is a policy think tank conducting research that covers a wide range of issues facing cities today with a primary focus on the greater Boston area. It has partnered with various city departments and local organizations to implement urban development programs through out the city. It also produces publications, including a study on university/community programs.

- Projects: <http://www.curp.neu.edu/projects/ongoing.htm>
- Publications (partnerships): <http://www.curp.neu.edu/pdfs/uchousing.pdf>

COMM-ORG – U. of Toledo

<http://comm-org.utoledo.edu/>

This organization links academics and activists, and thereby theory and practice, towards the goal of improving community organizing. It connects people, who care about community organizing, as well as finds and provides information that organizers and scholars can use in community organizing. It provides links to topics on various urban development projects across the country.

*UIC Neighborhoods Initiative (UICNI) – U. of Illinois, Chicago**

<http://www.uic.edu/cuppa/gci/uicni/>

<http://www.uic.edu/cuppa/gci/uicni/resources/publications.htm>

UICNI is a partnership between UIC and organizations in the neighborhoods adjacent to the university. It brings together resources from the community and the university to help strengthen the quality of life for the benefit of current residents, businesses, the university, and other institutions. The Initiative is a major component of UIC's Great Cities program, and it includes a large selection of working papers all related to university/community partnerships.

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- Bardoe, Cheryl. *Learning Connections in the Community*. UIC Alumni Magazine. November/December 1999.
- Cutforth, Nick, and Don Hellison. *Capitalizing on the Popularity of Sport and Physical Activity among Underserved Youth in University/Community Cultures*. Universities and Community Schools Journal. Vol. 7, No. 1-2, Fall/Winter 2002.
- Kordesh, Richard S. *Esperanza Familiar: A University-Community Partnership as a Social Learning Network*.
- Cityscape: A Journal of Policy Development and Research. Vol. 5, No. 1: 75-90, 2000. Read the **Abstract**.
- Mayfield, Loomis, Maureen Hellwig and Brian Banks. *The Chicago Response to Urban Problems: Building University/Community Collaborations*. American Behavioral Scientist. Vol. 42, No. 5, February 1999. Read the **Abstract**.
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Working Papers

- Kordesh, Richard S. *Esperanza Familiar: A University-Community Partnership in the Settlement House Tradition*. Great Cities Institute Working Papers, GCP-98-4, December, 2000. Read the **Abstract**.
- Wiewel, Wim and Ismael Guerrero. *Long-Term Collaboration - Building Relationships and Achieving Results through a Neighborhoods Initiative Program: The Resurrection Project*. Great Cities Institute Working Papers, GCP-98-1, January 1998 (also published in *Metropolitan Universities*. Vol. 8. No. 3, Winter 1997).
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Conference Papers

- Lucas, Edgar and Loomis Mayfield. Mutual Awareness, Mutual Respect: The Community and the University Interact. Read the **Abstract**.

Reports

- **West Side Community Congress Report**, West Side Consortium, April 14, 2001.

Cityscape: A Journal of Policy Development and Research (5:1)

<http://www.huduser.org/periodicals/cityscpe/vol5num1/advisory.html>

*Great Cities Institute (GCI) – U. of Illinois, Chicago**

<http://www.uic.edu/cuppa/gci/index.htm>

<http://www.uic.edu/cuppa/gci/publications/working%20papers/subject/university.htm>

GCI aims to promote civic engagement through the creation, dissemination, and application of interdisciplinary knowledge about urban affairs, with the goal of improving the quality of life in metropolitan Chicago and other urban areas. It also provides an excellent collection of articles and working papers. Some of the resources are the same as UICNI.

It's Not Just Academic: University-Community Partnerships Are Rebuilding Neighborhoods

<http://www.fanniemaefoundation.org/programs/hff/v1i1-ucpi.shtml>

This is a Fannie Mae *Housing Facts and Findings* article that tracks the history of university roles in environment. It follows the formation of modern partnerships and reasons for university-community partnerships. It also tracks funding opportunities, development opportunities and challenges facing universities in forming these partnerships.

The Jimmy and Rosalynn Carter Partnership Award for Campus-Community Collaboration

<http://www.usg.edu/carteraward/index.phtml>

The collaboration honors one award recipient in every state where there is a program that addresses critical areas of public need undertaken by a college or university in partnership with a community group. It provides a list of award recipients and applicants dating to 2000 (Georgia only).

University-Community PARTnerships Survey – Cornell University

<http://www.rrap.cornell.edu/par/>

This survey is designed to better understand current issues and “best practices” in university-based programs using Participatory Action Research (PAR) in their work with community organizations. It is specifically intended for programs that promote participatory approaches in community development and local capacity building.

The Role of Funders in University-Community Partnerships

http://econpapers.repec.org/article/fipfedbcb/y_3A1999_3Ai_3Aspr_3Ap_3A19-23.htm

Kathleen Gill; *Communities and Banking*, 1999, spring issue, pages 19-23

Abstract: Kathleen Gill of the Federal Reserve Bank of Boston outlines the role played by grant-making institutions in fueling the emerging field of university-community partnerships.

The Office of Housing and Community Partnerships (OHCP) - Ohio

<http://www.odod.state.oh.us/cdd/ohcp/>

OHCP provides financial and technical assistance to units of local government and nonprofit organizations in Ohio for project activities which benefit low- and moderate-income citizens. The overall objectives of OHCP are to: conserve and expand the affordable housing stock in order to provide a decent home and a suitable living environment. It provides a list of all community, housing, and economic development programs the state sponsors.