Anchor Institutions Toolkit
A guide for neighborhood revitalization
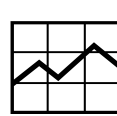
Using this Toolkit

This is a Toolkit for Anchor Institutions to use as a guide to rebuild, revitalize, strengthen and improve their local communities.

Each of the tools in this kit was developed and implemented by the University of Pennsylvania working with stakeholders of West Philadelphia, Penn's local geographic community, including neighborhood associations, city officials and city agencies, local businesses, nonprofits and higher education institutions as appropriate.

The toolkit provides an overview of Penn's trajectory in recognizing and acting upon its role as an anchor institution; prior to and including the launching of a major effort in 1996 - the West Philadelphia Initiatives. The toolkit draws from Penn's work in West Philadelphia focusing primarily on the initiatives that were launched under the leadership of then President Judith Rodin. The toolkit's goal is to help other anchor institutions understand the steps that were taken by Penn, the challenges the institution faced and the results. The initiatives embody the tools utilized by Penn to effect significant major transformation and revitalization in West Philadelphia. The toolkit follows the work up to 2007, under the current leadership of President Amy Gutmann, whose *Penn Compact* challenges Penn to engage locally to advance central values of democracy: life, liberty, opportunity and mutual respect.

When an anchor institution considers beginning a process of engagement to improve their community, a number of questions arise. Some of which may include: how does an institution determine if it is an anchor? How does an anchor determine its capacity for engagement? How does an anchor get started? And how does an anchor work best with its adjacent neighbors?

This toolkit is designed to help institutions formulate the right questions and seek effective answers that will lead to collaborative actions that benefit both institutions and communities.

Is your institution an anchor institution?

Does it have a large stake and an important presence in your city and community?

Does it have economic impacts on employment, revenue gathering, & spending patterns?

Does it consume sizeable amounts of land?

Does it have crucial relatively fixed assets and you are not likely to relocate?

Is it among the largest purchasers of goods and services in your region?

Is it a job generator?

Does it attract businesses and highly skilled individuals?

Is it one of the largest employers, providing multilevel employment possibilities?

Is it a center of culture, learning and innovation with enormous human resources?

Preface

For many American cities, deindustrialization and globalization have undermined their traditional manufacturing-based economies, leaving unemployment, poor schooling and generational poverty in their place. Since the mid 1990s, there has been increasing recognition of the role that "eds and meds," i.e. institutions of higher education and medical facilities, play in the urban economy and the life of their cities generally. These institutions reflect a knowledge-based economy that is now dominant in American cities. These institutions have been propeled to the forefront as the "anchors" of their communities—anchors that can rethink their range of resources to contribute more directly to the improvement of their communities, cities and regions.

Henry Cisneros and Ira Harkavy in the essay, *The University and the Urban Challenge[1]*, indicated the necessity for institutions of higher education (i.e. colleges and universities) to contribute to their cities. They urged these institutions to help rebuild their communities, not just for moral reasons but also for reasons of enlightened self-interest. The fate of the academy and the city are simply intertwined. According to Ira Harkavy, "universities also cannot afford to be islands of affluence, self importance, and horticultural beauty in seas of squalor, violence and despair."[2]

Colleges and universities tend to be place-based institutions with a vested interest in their geographical communities mainly because of sizeable real estate holdings and local investment, which makes it difficult and costly for them to move. Hence the reason why today higher education institutions are playing a crucial role in the economic vitality and competitiveness of their surrounding regions.[3] Indeed, universities have become increasingly more strategic in leveraging assets, partnering with the private sector, and generally supporting broader community and economic development activities. [4]

Medical institutions are also place-based and major drivers of economic activity, community development and revitalization. According to Bostic, Lewis and Sloane in *The Neighborhood Dynamics of Hospitals as Large Land Owners*, they are also hubs of employment, payers of wages, purchasers of goods and services, and generators of tax revenue[5] making them the anchors of cities and towns, the local and sometimes regional economy.

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1   *The University and the Urban Challenge* by Henry G. Cisneros, Secretary of Housing and Urban Development, First in a series of essays, February 1995. Contributions by Ira Harkavy and Joseph Foote.
2   In *Creating a New American College*, by Ernest L. Boyer, The Chronicle of Higher Education, March 1994
3   *Leveraging Colleges and Universities for Urban Economic Revitalization: An Action Agenda*; a joint study by Initiative for a Competitive Inner City (ICIC) and CEOs for Cities, notes that colleges and universities have long been important to urban and regional economic growth. They have also been one of the most valuable assets for urban communities in advancing educational, health, & social service needs of urban residents.
4   Indiana University Economic Development Strategic Plan
5   *The Neighborhood Dynamics of Hospitals as Large Land Owners* by Raphael W. Bostic, LaVonna B. Lewis, and David C. Sloane. Paper prepared for the Lincoln Institute for Land Policy Conference on Large Landowners and Their Impact on Land Values October 4-5, 2006.

According to Harkavy and Zuckerman in *Eds and Meds: Cities' Hidden Assets*, a college, university, or medical institution is in the list of top ten private employers in every one of the 20 largest cities in the U.S. Their report also indicates that in 1999 there were 69 cities with one or more "eds and meds" among the 10 largest employers. These "eds and meds" are powerful economic engines in cities, and they are increasingly recognizing that their health depends on their cities' health.

Across the country, "eds and meds" are among the largest employers in their cities and have enormous impact on their local economy in areas such as construction and the purchase of goods and services. They also attract a highly educated workforce and offer cultural and other amenities e.g. theaters, museums, academic and other noncredit classes for the city and region.

There are other institutions besides "eds and meds" that are enduring components of urban economies that are considered anchor institutions. Institutions in the for-profit sector—financial institutions, media and utility companies, large corporations such as pharmaceutical and technological companies and sports franchises— also serve as potential anchor institutions in their locales. Other potential anchors include cultural institutions (e.g. museums, libraries, and performing arts facilities), churches and communities of faith, and military bases.

Examples of Anchor Institutions:

Universities

Cultural Institutions
(Museums, Libraries, Performing Arts Facilities)

Religious Institutions

Utility Companies

Military Installations

Sports Franchises

Large Corporations
(such as Pharmaceutical and Technological)

Medical Centers/Hospitals

The characteristics that makes an institution an anchor institution (as mentioned previously: job generator, tied to community, large employer etc.) also makes them valuable for urban revitalization strategies that involve "building from strength" by stabilizing and improving areas adjacent to existing centers of investment and employment.[6] Beyond their inherent impact, higher education institutions of all types and sizes can be key engines of growth and revitalization and active participants in the renewal of older, often struggling communities.[7] All anchor types have the potential to be key engines of growth and revitalization in their communities.

Anchor institutions are widely recognized as having significant value for investment and development. Eugenie Birch in *The Next American City* declares that anchors serve as engines of urban renaissance (or even survival) and are magnets for economic development. She states that anchors fill important vacuums where industries have fled cities and are looked to, to leverage their value. Kromer and Kerman in *The West Philadelphia Initiatives: a Case Study in Urban Revitalization*, view this value in several ways:

a. Institutions help define the urban environment and shape the identities of the cities where they are located.

b. Urban institutions have a greater stake in the future of the city and its neighborhoods.

c. Major institutions are among the largest employers in their regions and cities.

The U.S. Department of Commerce has gone even further in making a case for the role of institutions acknowledging their role at the local and regional levels and going as far as declaring a role at the global level. According to David Sampson, former Assistant Secretary of Commerce for Economic Development in *Our Universities: Accelerators for Economic Growth*, anchors such as universities have a critical role in securing America's future innovation, economic competitiveness and prosperity in a global economy. While national policies set the stage for robust innovation, a key focus of innovative activities is at the regional level, at the interface between companies, workers, universities and government.[8]

Community groups are also actively looking for opportunities to collaborate with anchors. As public resources dwindle and social needs increase, community based organizations are increasingly looking for institutional partners with which to collaborate to address complex social issues.[9] In return, community groups offer anchors, particularly educational anchors, opportunities to apply "real world" situations to their missions and to develop an understanding of community goals, processes, and current

6   *West Philadelphia Initiatives*: a Case Study in Urban Revitalization by John Kromer and Lucy Kerman.
7   *Higher Education In Pennsylvania: A Competitive Asset for Communities,* Brookings Institution.
8   *Our Universities: Accelerators For Economic Growth* by Dr. David A. Sampson, former Assistant Secretary of Commerce for Economic Development.
9   *Building Partnerships with College Campuses: Community Perspective, A Monograph* by Sally Leiderman, Andrew Furco, Jennifer Zapf and Megan Goss.

issues. Together, through collaboration, anchors and community organizations can build communities that are healthy places to live and work.

This toolkit aims to provide a guide for all anchor institutions; whether academic, medical, corporate or otherwise, to examine their roles in their community, to pose questions and seek answers on how to participate in neighborhood stabilization and revitalization. This toolkit is not a one-size fits all formula, nor does it contain all the answers relevant to each individual case. It does however present a framework, based on lessons learned from Penn's evolving experience, to guide such efforts and to present possible starting points to commence important work.

The toolkit is presented in three sections as follows:

Section I Picking the Right Tools	Section II Honing the Tools	Section III Mastering the Tools
Briefly identifies five (5) community revitalization tools utilized by Penn.	Provides detailed information on how the tools were used by Penn. Highlights the pathway of Penn's evolution in this work.	Presents guidelines for anchors to determine appropriate tools for community revitalization. Reflections on Penn's approach including key ingredients and guiding principles.

The kit, through an analysis of Penn's effort, explores the significance of each tool that Penn used for advancing economic growth and revitalization, outlining strategic steps to get started, and presenting some impacts of implementation.

Your institution is an anchor institution. Why should it act?

Anchor institutions—with the proper incentives and motivation—have the economic potential to leverage their assets and revenues to promote local private sector development. The economic role of these institutions is very important. Universities alone spend $350 billion annually and have a total endowment of over $300 billion. Nonprofit hospitals own assets in excess of $600 billion and enjoy annual revenues greater than $500 billion. Nationwide, foundation assets exceed $650 billion. Anchors can leverage assets through such means as:

- Directing a greater percentage of their purchasing power toward local community-based vendors.

- Hiring a greater percentage of their workforce from the community.

- Providing workforce training for people needing assistance in the community.

- Incubating the development of new businesses, including social enterprise among nonprofits.

- Serving as an advisor or network builder.

- Leveraging real estate development to promote local retail, employer-assisted housing, and community land trusts.

- Using pension and endowment funds to invest in local job creation strategies and to provide community venture capital for nonprofits, entrepreneurs, and employee-owned firms.

Anchor institutions can also provide capital or low-interest loan financing to community development financial institutions (CDFIs). Harvard, for instance, in 1999 provided $20 million in low-interest loans to Boston-area CDFIs.[10]

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10 http://www.community-wealth.org/strategies/panel/anchors/index.html

According to the Initiative for a Competitive Inner City (ICIC) and CEOs for Cities in their joint study[11], leveraging academic assets in urban economic growth strategies is one of the greatest untapped urban revitalization opportunities in the country. Academic, public, private and community leaders are joining together in new innovative and bold partnerships to promote urban and inner-city revitalization. Economic development opportunities arising from these partnerships do not require huge shifts in funding or changes in daily operations of colleges and universities, governments, community groups or any other anchor type. Institutions involved in these new partnerships acknowledge that economic competitiveness of their communities directly correlate to the health of their institution and vice versa.

David Maurrasse states in *Beyond the Campus*[12], that in order to achieve lasting solutions to long-standing problems of inequity, communities need the academy. To be grounded, of service, and a part of the future, the academy needs to reconnect to the community. In many low-income communities, institutions are important and powerful untapped assets. This offers a starting point for building partnerships. In answering the question of why anchors should engage, Maurrasse notes that institutions of higher education must as a part of their mission take ownership of its broader environment; the institution must see itself as a citizen with a responsibility to its neighbor. This same rationale applies to all types of anchors.

A few reasons for anchors to engage:

    a.   It is good business

    b.   Engagement fosters the socio/economic health of surrounding community.

    c.   Healthy environment is critical to the attraction of visitors and retention of residents, employees and students

    d.   What happens in the surrounding community affects the anchor and vice versa.

    e.   It is in their enlightened self-interest

    f.   It is the right and moral thing to do.

11 *Leveraging Colleges and Universities for Urban Economic Revitalization: An Action Agenda*; a joint study by Initiative for a Competitive Inner City (ICIC) and CEOs for Cities
12 *Beyond the Campus: How Colleges and Universities Form Partnerships with Their Communities,* David J. Maurrasse

A Rationale for Engagement

The combination of external pressure and enlightened self-interest spurred research universities to increasingly recognize that they must be in and of their local communities.

This same revelation can apply to all types of anchor institutions, not only to research universities. But the question still remains; why would anchors – such as medical centers, higher eds, and large corporations - engage in this work that is not their core mission or reason for existence?. Why should prestigious, powerful, and successful institutions undertake the terribly difficult job of trying to become engaged civic institutions dedicated to taking the lead to transform their communities?

From Penn's experience the following are strong reasons for engagement:

    a. The anchor's future and the future of their communities are inter twined.

    b. Anchors can make a significant contributions to improving the quality of life in their communities.

    c. Anchors can enhance their overall missions by helping to improve the quality of life in their communities.

In attempting to improve quality of life in the community, a strategy that Penn has undertaken since 1985, is to address the issues of the public school system. Penn has increasingly engaged with its local public schools in a comprehensive school-community-university partnership. This strategy requires creatively and intelligently adapting the work and resources of a wide variety of local institutions (higher education institutions, hospitals, faith-based organizations) to the particular needs and resources of local communities. It assumes that universities and colleges potentially represent the most powerful partners, "anchors," and creative catalysts for change and improvement in the quality of life in American cities and communities.

Institutions must give full devotion to the difficult task of transforming themselves into socially responsible entities. This is a challenging call to action for all anchors and by no means an easy road to travel but a very essential one.

Penn's history of working with West Philadelphia public schools has been challenging at many levels. It has been a process of painful organizational learning and conflict; and there has been many mistakes and misunderstandings. Through the process, activities have continually changed over time. However Penn has positioned itself to tap its extraordinary resources in ways that are mutually beneficial to both Penn and its neighbors.

Section 1: Picking the Right Tools

Anchors need to pick appropriate tools to address the needs of their neighborhoods. To determine the tools needed, it is best to first identify the goals of any engagement efforts. Penn identified a number of goals which then informed the choice of tools needed to meet the goals. Each of the tools in this kit represents a mechanism to achieve a desired goal that Penn hoped for in a successful transformation of West Philadelphia. These goals were selected after consultation with stakeholders and with the support of the University of Pennsylvania Board of Trustees. Not all of these tools may be available to all anchors and some anchors may put other tools in their kit that Penn did not utilize. Penn identified five goals:

1. Improve neighborhood safety, services and capacities
2. Provide high quality, diverse housing choices
3. Revive commercial activity
4. Accelerate economic development
5. Enhance local public school option

How did Penn come up with these goals?

Penn's community engagement work that commenced in 1996 was not unprecedented. In years prior, the City of Philadelphia had prepared plans focused on the West Philadelphia community, the University had produced its own documents, and adjacent neighborhoods had also generated plans. This prior work helped to inform the goals and creation of the initiatives Penn enacted as tools for change. Some of the work completed includes the *West Philadelphia Plan*, prepared by the City Planning Commission in 1994, the Penn Faculty and Staff for Neighborhood Issues, Report to President Judith Rodin, 1994 and the *Spruce Hill Community Renewal Plan*, and strategies and actions for West Philadelphia prepared by Penn's Center for Community Partnerships in 1995.

Identifying the Tools

Recognizing that there are multiple facets of an integrated neighborhood revitalization strategy, Penn leveraged resources for economic and retail development, for improved housing and increased housing options, for improved public education by the construction of a new public school and for a clean and safe community.[13]

What follows is a brief description of the tools which were developed and executed in an integrated approach. The tools are the initiatives that Penn implemented, each of which attempted to meet the goals mentioned above while addressing areas of meaningful impact. A set of questions also follows as an exercise for the anchor to begin the process of assessment to determine and identify appropriate tools to meet goals. This is a critical step in the initial phase of engagement by any anchor.

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13 *The University & Urban Revival, Out of the Ivory Tower and Into the Streets,* Judith Rodin.

Tools of Change

Five Initiatives

1

CLEAN AND SAFE INITIATIVE

a. Formation of a Business Improvement District

b. Greening and Streetscape Improvement

c. Neighborhood Lighting

2

HOUSING INITIATIVE

a. Employee incentive programs for homeownership (Penn's mortgage programs)

b. Infill development

c. Rental initiatives

3

COMMERCIAL AND REAL ESTATE DEVELOPMENT INITIATIVE

a. Investment in retail by Penn Facilities and Real Estate (FRES)

b. Enhancement of Commercial Corridors

4

ECONOMIC DEVELOPMENT INITIATIVE

a. Engage Locally

b. Economic Inclusion

c. Skills Development Center

d. Job training/internships for high school students

e. Apprenticeship program for construction trades

5

EDUCATION INITIATIVE

a. Connect Community and University Academic work

b. University partnerships with local school district

i. University-assisted model

ii. University-assisted Community Schools model

iii. Education Management Contract

The ICIC and the CEOs for Cities *Leveraging Colleges and Universities for Urban Economic Revitalization: An Action Agenda* illustrates a strategic framework to accelerate urban economic revitalization for colleges and universities that was developed based on their research. The framework identifies six areas where colleges and universities can have meaningful impact on job and business growth in economically disadvantaged areas:

1. Purchasing of goods and services

2. Employment

3. Developing real estate

3. Creating business incubators

5. Advising businesses and building networks

6. Workforce Development.

These six activities are in line with the operating, investing, and learning functions that an academic institution carries out. However the framework is an excellent reference for all anchor types as it explores other activities for anchors to identify tools beyond those identified by Penn. *(See page 18)*

Kauper-Brown and Seifer took this framework and in *Health Institutions as Anchors in Communities: Profiles of Engaged Institution*, re-crafted it to focus on health institutions. In addition to the initial six areas of activities, they changed the learning function to include service and added three broad areas as follows:
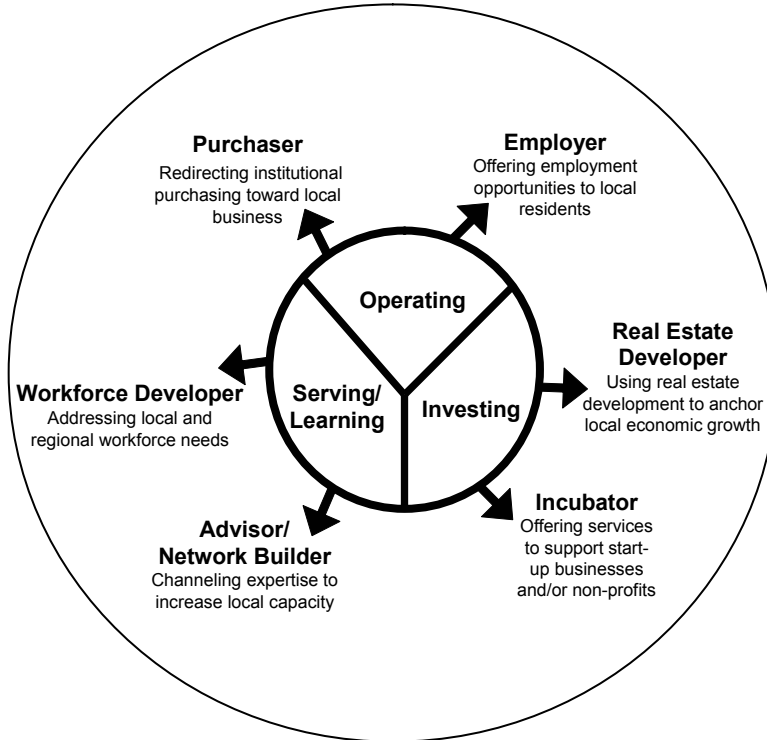
1. Service provider

2. Funder

3. Community/Neighborhood Developer

All of these activity areas are potentially a part of the fabric of anchors. A slight shift in strategy on how the anchor "conducts business" in each area can have a sizeable impact on local communities. Penn recognized this and adjusted purchasing, employment, and real estate development, to name a few, to elicit positive impacts on West Philadelphia. (How Penn accomplished this is explored further in Section Two)

It is worth noting here that any of these activities can create value both for the anchor and the community. By strategically linking a number of these activities, the benefits reaped can be even greater.

This toolkit illustrates Penn's approach as a case study of how one anchor managed to succeed in transforming a community. Although limited to Penn, it is important for anchors to recognize the significant areas relevant to their communities. Each anchor must determine the activities that are pertinent to their context in order to pick the right tools. Anchors should not focus or choose the tools that Penn used, to meet their long-term goals unless appropriate.

Purchaser
Redirecting institutional purchasing toward local business

Employer
Offering employment opportunities to local residents

Operating

Real Estate Developer
Using real estate development to anchor local economic growth

Workforce Developer
Addressing local and regional workforce needs

Serving/ Learning

Investing

Advisor/ Network Builder
Channeling expertise to increase local capacity

Incubator
Offering services to support start-up businesses and/or non-profits

Leveraging Colleges and"Universities for Urban Economic Revitalization: An Action Agenda
A Joint Study by Initiative for a Competitive Inner City and CEOs for Cities, 2003.

Strategic Framework for Leveraging Health Institution Assets for Community Economic Revitalization

Purchaser
Redirecting institutional purchasing toward local business

Employer
Offering employment opportunities to local residents

Real Estate Developer
Using real estate development to anchor local economic growth

Operating

Workforce Developer
Addressing local and regional workforce needs

Community/ Neighborhood Developer
Contributing to the quality of the local physical environment

Serving/ Learning

Investing

Advisor/ Network Builder
Channeling expertise to increase local capacity

Incubator
Offering services to support start up businesses and/or non profits

Service Provider
Providing health care and social services

Funder
Providing resources to support local community development

Note: This figure adapted from "Leveraging Colleges and Universities for Urban Economic Revitalization: An Action Agenda" A Joint Study by Initiative for a Competitive Inner City and CEOs for Cities, 2003.

Exercise: Preliminary Self-Assessment

Use the following questions to guide your discussions in determining goals. Think of additional questions appropriate to your context.

1. What are the critical and pressing socio/economic issues in the neighborhood?

   _____

   _____

2. Has a community needs assessment been undertaken and are the results available?

   _____

   _____

3. If not, is there an existing entity in the community to partner with to undertake a needs assessment?

   _____

   _____

4. What impacts are targeted for achievement?

   _____

   _____

5. Where do institutional goals and those of the neighborhood overlap?

   _____

   _____

6. What available resources can be tapped or leveraged?

   _____

   _____

7. What other resources need to be acquired?

   _____

   _____

8. How prepared and committed is the institution to invest resources of time and labor in community building?

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9. What resources are available for an internal needs/resource assessment?

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10. Who can be identified as potential partners, short and long term?

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11. Are there any existing plans and proposals?

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12. Has any work been accomplished?

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13. What relationships exist or need to be created with municipal departments such as city planning, zoning, license and inspection?

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Section 2: Honing the Tools

The information in this tool kit is distilled from Penn's efforts and experiences. The implementation of these initiatives as tools was catalyzed by tragedy which compelled Penn to act and to do so decisively. A spike in crime in West Philadelphia in the early 1990s that culminated in the murder of a Penn staff member in the fall of 1996 forced the University to sit up, take notice and take action. Penn's decision to act was also influenced by demands from the campus and the community to do so.

Hence, Penn embarked on a strategy with the community, the city, public and private stakeholders to effect broad, systemic change by undertaking multiple domains of re-development and revitalization simultaneously. One advantage Penn had was the vast amount of research and groundwork that had taken place prior to the murder, which allowed Penn to respond from a position of enlightened self-interest.

Before exploring the tools further and how Penn honed them to work within the context of West Philadelphia, there were two key elements that were essential to successful utilization of the proposed initiatives as tools for change. These were identified by Judith Rodin in her book, *The University & Urban Revival, Out of the Ivory Tower and Into the Streets:*

1. The idea of a multi-pronged integrated synergistic intervention
2. The necessity for good communications and partnerships.

These two elements together acted as the thread that united the initiatives and emphasized the importance of the role of the anchor to be a good leader and an inclusive neighbor. A multi-pronged approach is critical but also challenging and consideration must be given to community participation. Anchors cannot work alone as no one institution has all the resources and all the tools. According to Rodin, anchors must embrace their role as leaders. Anchors require commitment, dedication, credibility and clout to lead and leverage multiple resources effectively. Penn took the lead gently—developing new ways of relating with stakeholders and partners and new ways of organization to implement the initiatives as tools for change.

To understand how Penn decided upon its approach, it is important to examine Penn's pathway in taking the lead on revitalizing West Philadelphia. To understand how Penn got to this point it is important to examine the history of Penn and civic engagements, over the past five decades. The history of Penn's physical growth chronicles the history of Penn's relationship with the community, which was not always a positive one. This section will examine the evolution of Penn's pathway; an in-depth exploration of how Penn was able to hone the tools and Penn's continuing evolution regarding civic engagement and community revitalization.

Multi-pronged Approach

A sidebar on Penn's approach: Penn utilized a number of initiatives as tools for stabilization and revitalization of the community and for engagement with stakeholders. Before exploring Penn's use of the tools further, it is important to stress the multi-pronged nature of Penn's approach. To address and tackle the challenges of the community, a tactic of Penn's strategy was simultaneous action of addressing all of the most pressing issues facing the community. Success depended upon mitigation in all areas, as ignoring any area could potential undermine all other areas. This was not always smooth or unfolded according to plan but the integration of efforts and the focus on open communications kept the process on track and moving forward.

Now, one may say, "my institution does not have the depth of resources that Penn has to kick off and operate initiatives simultaneously." This may be the case, as anchors are not equipped with unlimited resources. Resources at anchors' disposal likely vary according to the type of anchor. Among the variety of anchors there are differences: different types of higher education anchors; research, teaching, service, community and HBCUs (Historically Black Colleges and Universities); variations in sizes of corporations; Fortune 500, international, national, statewide, regional and local; and differences in the size and scope of medical facilities. The capacity of anchors will vary depending on the category it falls within.

Your institution may not have all the resources needed. Penn did not; hence, the need for collaboration became critical. All anchors have the ability to form partnerships and leverage resources collectively for the greater good of the community. If each potential partner completes a self-assessment, it is possible to identify the strengths of various institutions and thereby increase the depth of resources in a particular area through collaboration.

Penn's goal was to not leave critical issues unaddressed. One element of the multi-pronged approach that is essential for anchors to keep in mind is the importance of beginning where one can. Initially, Penn did not utilize all the tools in the toolkit simultaneously; they started where they had the resources and where the results could quickly be observed, measured, and would create momentum. For Penn, this meant utilizing the clean and safe tool first. Improving the physical environment created a tangible entity that people could readily see, understand and celebrate.

Notwithstanding that, Penn recognized that for transformative change to occur, a multi-pronged approach that was holistic and integrated had the greatest chance for success. A multi-pronged approach also had a greater chance of capitalizing on resources more efficiently and promoting sustainability. Anchors should be prepared that this approach is challenging to execute as it requires understanding of the complex layers and experiences of communities and their stakeholders.[1] A multi-pronged approach also requires patience and dedication of time and resources to coordinate and work collaboratively. This is still an evolving process for Penn.

It is important for anchors to think holistically, to execute strategically, to be flexible and open to new opportunities, to strive for collaboration with potential partners and to identify and include the host of stakeholders in the community and beyond.

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1 *The University & Urban Revival, Out of the Ivory Tower and Into the Streets*, Judith Rodin

Civic engagement, as defined in *Civic Responsibility and Higher Education* by Thomas Ehrlich,[14] is working to make a difference in the civic life of our communities and developing the combination of knowledge, skills, values and motivation to make that difference. This includes promoting the quality of life in a community through both political and non-political processes.

Based on this definition, anchors are strategically positioned and suited to engage in this work because of their influence to play a leadership role in making such differences and their greater access to resources. Penn has not always been recognized for its dedication to civic engagement despite sporadic attempts over the years. During the past five decades, Penn presidents employed varying degrees of civic engagement. The following timeline presents a synopsis of Penn's pathway and how it has evolved in various phases to the Penn Compact – the vision for advancing Penn "From Excellence to Eminence"[15] in all core endeavors of teaching, research, and service.

This section also highlights lessons and considerations from each phase as well as questions for anchors to pose to themselves as they look to get started and to assist in their work as it evolves.

The pathway provides a historical perspective and explains the context that has propelled Penn to the forefront of anchor institutions that are leading the way in working with the community to improve their neighborhood.

The pathway is presented in five phases.

> **Phase I** examines briefly the university's pre-1960's growth.

> **Phase II** explores the era of Urban Renewal from the 1960s to the 1970s. It highlights Penn's first serious attempt at civic engagement.

> **Phase III** highlights the 1980s and the various attempt to grow and institutionalize civic engagement.

> **Phase IV** examines the tenure of former president Judith Rodin during which time the West Philadelphia Initiatives i.e. the tools used to transform University City were implemented. The tools are explored in great detail in this section before proceeding to the fifth and final phase.

> **Phase V** which summarizes the university currently, exploring the Penn Compact, under the leadership of Penn's current president, Amy Gutmann in some detail.
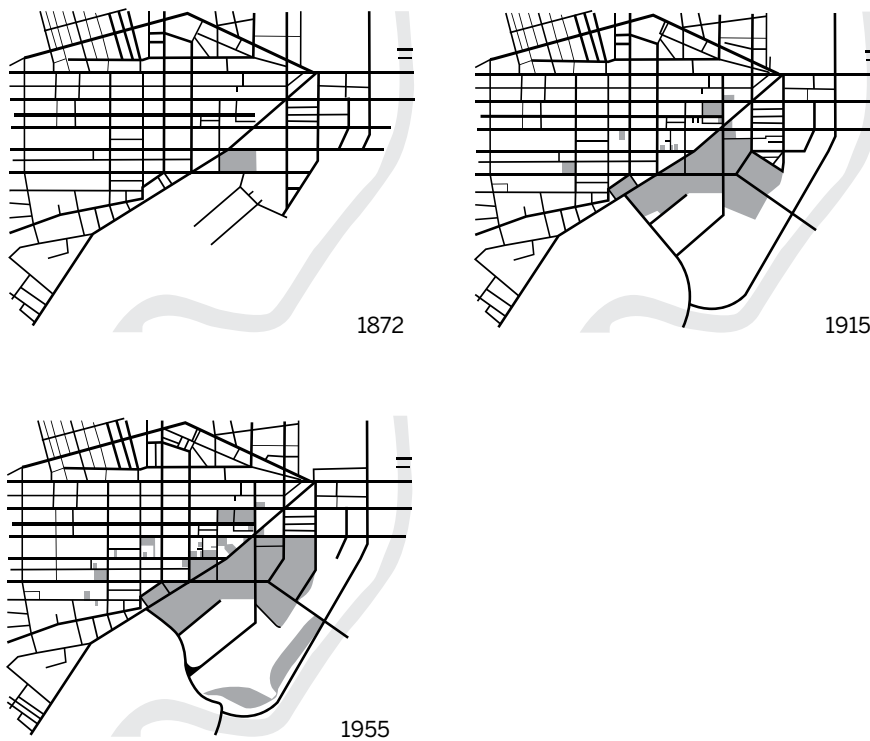
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14 *Civic Responsibility and Higher Education*, edited by Thomas Ehrlich, January 2000. Ehrlich has collected essays from national leaders who have focused on civic responsibility and higher education.
15 Inaugural address by President Amy Gutmann, *From Exellence to Eminence*. October 2004

Phase I : Pre-1960s Growth of the University

The University of Pennsylvania was founded in 1740 and relocated to West Philadelphia from its initial site in Center City in 1872. Penn went through a planning process that allowed for organized growth up to the 1940's. In1948, Penn began to consolidate the campus to build a pedestrian campus by closing city streets that ran through the campus, relocating surface trolleys underground and carving out additional space by buying property in West Philadelphia. Penn was able to do this successfully because of its close connection with the city agencies. Establishing and maintaining close working relationships with City officials was a tactic that Penn utilized. Penn worked closely with the city to establish common goals based on the principal of the greater good. Penn's action was met with challenges from the community during this time in reaction to a number of displacements of businesses and residences.

The maps indicate the physical growth of the university in West Philadelphia, beginning with relocation in 1872 up to expansion and acquisition up to 1955.

1872

1915

1955

1740

1958

1872

Phase I

Phase II

Lessons and Considerations

Pre-1960s Penn initially built on their own property or on city property which resulted in few conflicts with community.

Issues arose when Penn decided to expand into West Philadelphia, by acquiring privately owned property which displaced businesses and residences.

As long as Penn didn't need space there was minimal conflict.

The goal of development during that phase was marketed for the "greater good," but the question remains—where does "greater good" and institutional self-interest intersect. The greater good as Penn defined it, did not always align with the opinions of the community.

Penn operated on a foundation and affirmation of self-interest. The code of conduct was protect the campus from the community. This was reflected in the physical layout of the campus which had buildings with their backs to the street and an internal pedestrian system with buildings facing inward away from the community.

1. What is the history of the anchor in relation to the neighborhood?

   _____

   _____

2. Is there a need to focus on building or re-building trust?

   _____

   _____

| Phase III | Phase IV | Phase V |

3. What is the socio-economic state of the city and community?

    _____

    _____

4. What are the city's priorities?

    _____

    _____

5. What are the key points of intersection of the city's goals and the institutions goals?

    _____

    _____

6. What relationships can the anchor build on with city departments and officials?

    _____

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Phase I

Phase II

Phase II: Urban Renewal

During this phase, the Philadelphia City Planning Commission and the city's Redevelopment Authority divided the area around Penn in West Philadelphia into three planning units. This was a time when Penn capitalized on its close relationships with City Departments and received permission to demolish entire city blocks for proposed construction projects, some of which was never built, leaving parcels vacant for decades. Penn faced mounting dissension regarding its expansion efforts as well as rising crime during this phase. Other significant events that occurred during this phase are indicated below.

1958: Murder of a Penn Grad student.

This was a significant turning point for Penn. The brutal assault enraged the community and forced Penn and other area institutions to realize that the quality of life in their surrounding neighborhoods directly affected the quality of the life at their institutions. The result was to explore a new approach of relating with the community and the West Philadelphia Corporation, a non-profit development corporation spearheaded by Penn was formed.
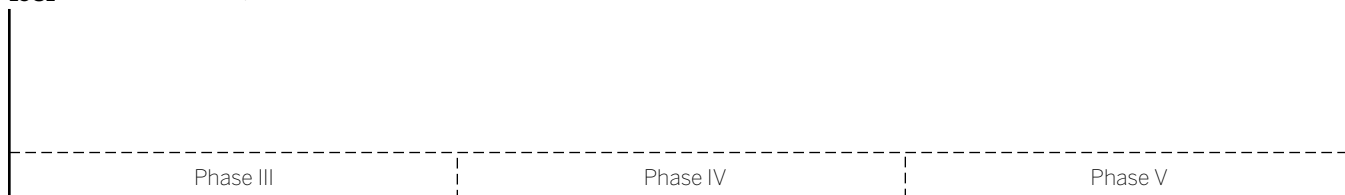
1959: Formation of Institutional Civic Group

In 1959, the West Philadelphia Corporation (WPC), was organized by the University of Pennsylvania, Drexel Institute of Technology, Presbyterian Hospital, Philadelphia College of Pharmacy & Science, and the Philadelphia College of Osteopathy. Retrospectively, the WPC is identified as a proxy organization of Penn that handled the creation of the Science Center, a number of institutional buildings designed to attract scholars and faculty. The Science Center was constructed on land obtained through the demolition of what was then known as the Black Bottom neighborhood that was declared blighted by the City of Philadelphia. This led to strong objections from residents, activists, and supporters who denounced Penn's action. Although the WPC in theory was acting independently, Penn was the dominant force in that corporation; hence the reputation of being a bully was planted and would plague Penn in decades to come.

The institutions were united by their common interest in West Philadelphia in general and the University City[16] area in particular. The common interest was described as "the need for elbow room and a

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16 The name University City was adapted in the 1950s and refers to a geographic area that includes institutions and neighborhoods. Educational institutions in the area in addition to the University of Pennsylvania include Drexel University, the Philadelphia College of Pharmacy and Science and a satellite campus of Lincoln University.

1981

| Phase III | Phase IV | Phase V |

more healthful campus environment." There was a continuous increase in enrollment at area universities that resulted in the increased need to expand. The goal of the WPC was to make University City more desirable and create a satisfactory residential environment allowing it to fulfill its potential as a center of private research that would attract faculty and scholars to the area.[17]

The goals of the WPC are strikingly similar to the goals of the West Philadelphia Initiatives almost 40 years later.

The WPC goals included to the University City area commercially and make it a research center by creating and attracting new businesses and institutions. Develop University City as a better community in which to live, eradicating blight to attract students and faculty via various housing programs. Institute crime prevention, the Greater University City Beautification and other residential, cultural, recreational and beatification goals. There was also a goal to improve health conditions of University City and a goal of improving education in the University City area through relationships with the local public schools.

It would seem that Penn had determined the tools needed from the formation of the WPC. What then is the difference between then and now, almost 50 year later?

One difference is that Penn did not work as integrally with the community in the 1960s, but instead flexed its muscles to restructure itself for its own benefit[18] with little regard for the community's benefit. Similar to many higher education institutions across the country, Penn was in, and not of, its community. Relationships were at best civil. The driving force for Penn to act at this time was a motivation for self-protection from the increasing rise in crime.

1960s: Explosion of Expansion by Penn in West Philadelphia

The 1960s was characterized as a time of urban renewal in Philadelphia. Penn took advantage of funding opportunities to create large-scale redevelopment in the area to bolster the idea of "University City," a neighborhood of residences and services for students, faculty and staff. Penn utilized federal funds for urban renewal starting in the 1950s for expansion and- to rebuild and control neighborhoods that were developing characteristics of blight. Penn also continued to capi-

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17 *Come to Where the Knowledge Is: A History of the University City Science Center* by Mackenzie S. Carlson September 1999, University Archives and Records Center, University of Pennsylvania.
18 *The University & Urban Revival, Out of the Ivory Tower and Into the Streets,* Judith Rodin.

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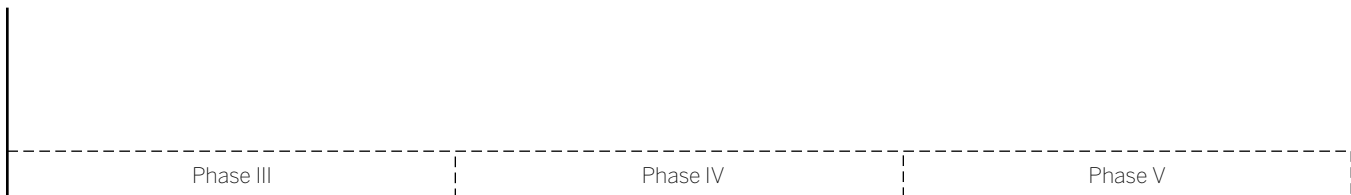1872

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Phase I

Phase II

talize on its relationships with existing city agencies, particularly the Redevelopment Authority (RDA), to enable a strategy of land acquisition, relocation of residents and businesses, and clearance of existing structures. In return, the city benefited from a boom in construction at a time when the city was suffering from an economic decline. Penn began what became three decades of construction expansion and became the largest landlord in Philadelphia. However, much to the distress of community residents, Penn's built environment reflected an inward direction. New buildings were turned inward away from the street with backs to the community. This fostered a contentious relationship between Penn and the residential community.

During this decade Philadelphia suffered from population loss. Since 1950, the city has experienced over 27% decline in population. In West Philadelphia, the most recent census in 2000 indicates approximately 5% population decline. In West Philadelphia, nearly one-in-three adults did not graduate from high school. This impacts employability as more than 13% of the residents of working age are not in the labor force. Approximately 26% of residents live below poverty with 10% relying on public assistance. The impact of these conditions resulted in a weakened housing market which led to an increase in vacant houses and abandoned properties dotting the adjacent neighborhoods of West Philadelphia. Population decline resulted in fewer people to purchase retail goods and services thereby resulting in a decline of commercial areas. The reduced tax base resulted in a decline in city services and the quality of public schools. Race relations worsened and poverty increased.

There were also a number of lawsuits and protests during this time against Penn's expansion efforts. During his tenure President Gaylord Harnwell, reacting to student and community protests, created a new administrative position, 'Assistant to the President for External Affairs,' to address community issues via opening lines of communication between Penn and West Philadelphia stakeholders. No funds were directed to alleviate urban issues such as crime, overcrowded schools and job discrimination instead money was concentrated on staffing open lines of communication between Penn and the Community.

It is important to note that unsustainable programs and initiatives started and floundered as Penn was not ready to embrace as part of its role, addressing community issues or to fully dedicate resources to addressing the challenges of being an urban institution.
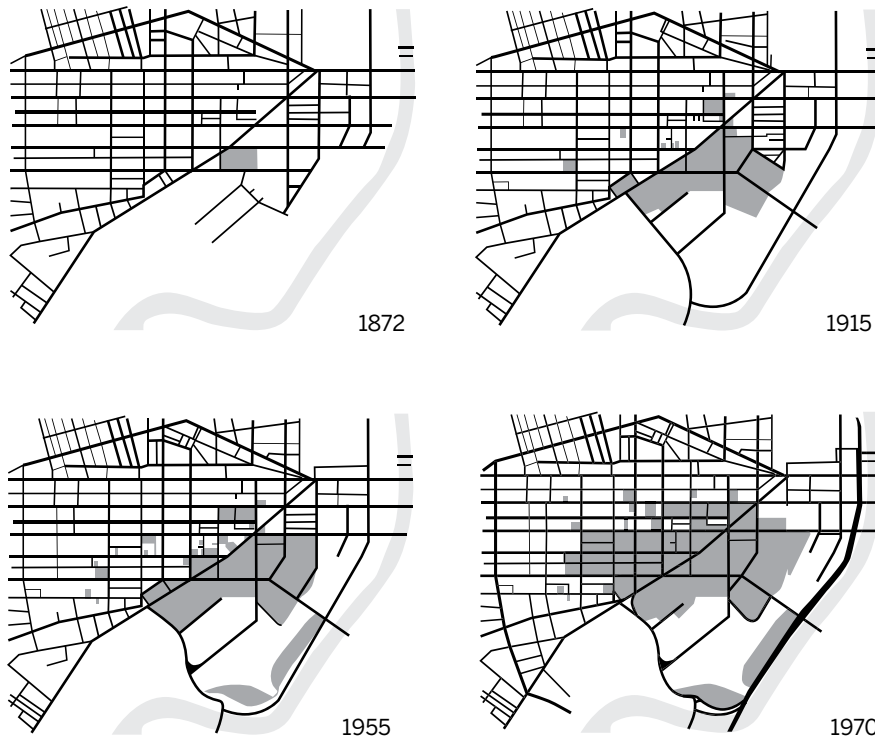
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| Phase III | Phase IV | Phase V |

1970s: Continued Expansion

During 1970–81, President Martin Myerson's tenure, attempts made to more fully engage with the community were stymied because the university was experiencing financial difficulties. According to an interview with Penn Professor of Education, John Puckett, a number of universities were extended to the limits during this time and funding was restricted because of a drop in the stock market. There was an energy crisis and cost of living had skyrocketed. The momentum to focus development in West Philadelphia took a blow and construction and expansion slowed. What little development did occur resulted in conflicts, lawsuits and protests. The City of Philadelphia also faced challenges as there was a continued decline in population, employment, and the city's built environment.

Additional map indicating the expansion up to the 1970s.
Note the campus almost doubles between 1955 and 1970.

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Phase I

Phase II

Lessons and Considerations

> Penn did not work with the community and was perceived as attempting to close itself off from the adjacent neighborhoods.
>
> This resulted in negative reactions from the community eventually leading to Penn reconsidering and redefining its approach.
>
> Penn's focus was on eliminating "blight" as defined by Penn to make way for residential development that would attract faculty, staff and students.
>
> Penn took advantage of urban renewal programs and partnered with the city to clear land and make way for an expansion to accommodate GI bill students, as well as the new growth in the research sciences funded by the Federal government.

1. Does the institution have a structure in place to accommodate community input?

2. Who will be impacted by any actions and how?

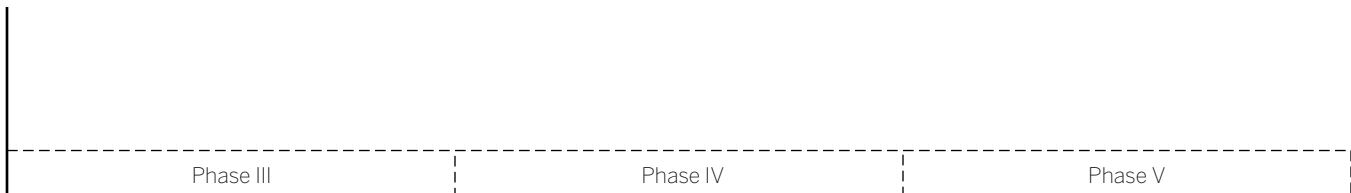3. How can negative impacts be mitigated?

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Phase III | Phase IV | Phase V

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Phase I

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Phase III: The Growth of Civic Engagement

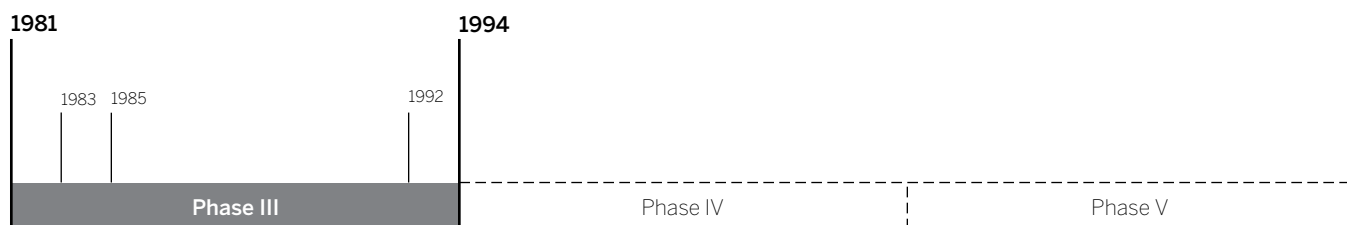1980s: Arrival of a progressive and socially conscious leader

The University had such contentious relations with the community that the arrival of a new president became an opportunity for change. A change in leadership afforded Penn the platform to enact a change in community relations. A new leader always arrives with the expectation of change and it is this element that presented a turning point for Penn.

In 1981, new President Sheldon Hackney resolved to improve relations with the community and began to take steps in that direction.

In 1983, the WPC became the West Philadelphia Partnership (WPP) with emphasis on **Partnership**. This was the first time Penn invited community members and organizations to the table as equal partners and board members.

Penn's School of Arts and Science created an Office of Community Oriented Policy Studies that led to the creation of the Penn Program for Public Service (PPPS). Hackney wanted a collaborative and participative program in which administrators, professors, and students could work with local institutions to do applied research on social and economic problems.

In 1985, four undergraduates in a History seminar on "Urban University-Community Relationships" co-taught by Hackney, Lee Benson and Ira Harkavy, proposed the development of a West Philadelphia Improvement Corps (WEPIC) to provide opportunities for Penn affiliates to work with existing agencies in West Philadelphia. When work first began on university-community relationships in 1985, there was not a grasp of the strategic role of schools or universities in the urban environment. The immediate concern was that West Philadelphia was rapidly and visibly deteriorating, with devastating consequences for Penn and given that "present situation" what should the university do? The seminar aimed to stimulate Penn undergraduates to think critically about what Penn could and should do to remedy its "present situation" and the result was the creation of WEPIC.

1981				1994		
1983	1985		1992			
Phase III				Phase IV	Phase V	

According to Benson et al,[19] it was through a complex and painful process of trial, error, and failure that Penn recognized that the best strategy to remedy its rapidly deteriorating environmental situation was to use its enormous resources to help improve both West Philadelphia public schools and the neighborhoods in which they are located.

The mid to late 80s saw the development of the University-Assisted Community Schools (UACS) model that proposes the public school as a catalytic center for community improvement activities. The tenet of UACS is that by drawing on university and community resources, schools can serve to educate, involve, and activate all members of a community for transformation of entire neighborhoods. Given Penn's deep-rooted institutional resistance to serious involvement with West Philadelphia's problems, the limited resources available, and the intrinsic difficulty of transforming conventional, inner-city public schools into community schools, the strategy was to try to achieve a visible, dramatic success in one school rather than marginal, incremental changes in a number of schools. That decision led to a concentration of work initially on the John P. Turner Middle School.

Penn assisted in operating after-school programs at Turner that were designed to serve community needs. By 1990, the academic links were deepened by Penn Professor Francis Johnston, Chair of the Anthropology Department. He decided to convert an Anthropology class into an academically based community service (ABCS) seminar designed to improve the nutritional knowledge and behavior of West Philadelphia students and residents.

Penn and Turner students collaboratively engaged in activities that required systematic reading and research, data collection, and data analysis and interpretation. Both sets of students learned by working to solve a strategic real-world problem and then reflecting on what they had done to solve that problem. As a result, Professor Johnston found that the Anthropology class worked better for Penn students than it ever had previously and the Turner students were highly motivated to work intensively on the subjects involved in the nutrition project. He also found the seminar more stimulating, enlightening, and enjoyable to teach, and that it significantly contributed to his own scholarly research.[20]

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19 *Dewey's Dream, Universities and Democracies in an Age of Education Reform: Civil Society, Public Schools, and Democratic Citizenship.* Lee Benson, Ira Harkavy, and John Puckett.
20 *Ibid*

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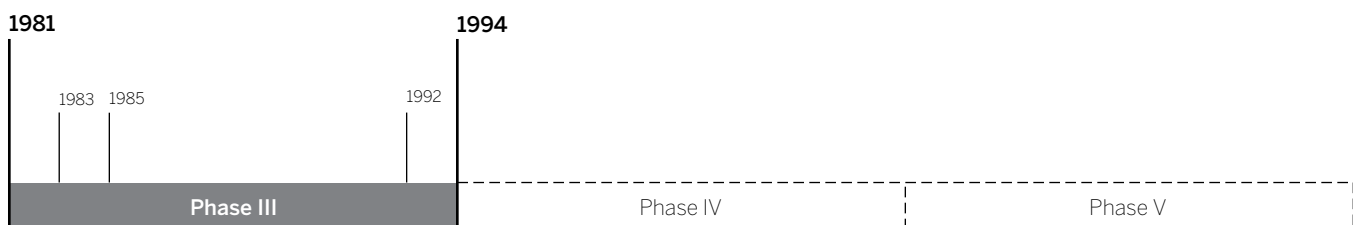**1958**

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Phase I

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This strategy that ties the mission of the university (to educate) with meeting a need of the community is a win-win approach. This can be especially successful for educational anchors as it addresses the interests of the stakeholders; the college students are more engaged and excited about having practical real-world experience, the community is excited to have resources directed at addressing pressing issues and the faculty benefits from having a topic of interest more deeply investigated.

The success of the Anthropology course, one of the first academically based community service (ABCS) courses - radiated to other departments and schools at Penn. Since the inception of ABCS courses, 16 years ago, approximately 150 courses working with schools and community organizations to solve strategic community problems, have been developed at Penn.

ABCS courses have become a strategy that ties academics with community and civic engagement. These courses allow for the development of major academic partnership projects with the community and at the same time remains core to Penn's mission to educate.

In 1992 President Hackney created the Center for Community Partnerships (CCP). The mission of the Center was to be *"Penn's primary vehicle for bringing to bear the broad range of human knowledge needed to solve the complex, comprehensive, and interconnected problems of the American city so that West Philadelphia (Penn's local geographic community), Philadelphia, the University itself, and society benefit."*

The formation of CCP was a turning point for Penn. Here, for the first time the University formally committed itself, through CCP, to finding ways of leveraging university resources to improve the quality of life in the local community. Symbolically and practically, creation of the Center constituted a major change in Penn's relationship with West Philadelphia and the city as a whole. In principle, by creating the Center, the university as a corporate entity formally committed itself to finding ways to use its truly enormous resources (i.e., student "human capital and intellect") to help improve the quality of life in its local community; including public schools, economic and community development.

1981 **1994**

1983 1985   1992

Phase III   Phase IV   Phase V

The emphasis on *Partnerships* in the Center's name was deliberate; it acknowledged that Penn could not try to go it alone in West Philadelphia as it had done in the past. The creation of CCP sent a signal to the community and indicated that Penn wanted to work as a partner with the community. The creation of the Center was also significant internally. It meant that, at least in principle, the president of the university would have—and use—the capacity to strongly encourage all components of the university to seriously consider the roles they could appropriately play in Penn's efforts to improve the quality of its off-campus environment.[21]

The CCP was created based on the assumption that one highly effective and efficient way for Penn to simultaneously serve its enlightened institutional self-interest and carry out its academic missions of advancing universal knowledge and educating students is to function as a truly engaged civic university. It assumed that Penn's research and teaching should strongly focus on strategic universal problems—such as schooling, healthcare, and economic development—as these universal problems *manifest themselves locally in West Philadelphia*. By focusing on strategic universal problems and effectively integrating general theory and concrete practice, Penn would symbiotically improve both the quality of life in its ecological community and its academic research and teaching.[22]

The CCP was successful in breaking down some barriers and creating lines of communication but could not halt the decline in the neighborhood. The challenge of an insufficient job and tax base could not be resolved by the work of CCP alone.[23] This was the climate that greeted Judith Rodin as the new president in 1994.

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21 *Dewey's Dream, Universities and Democracies in an Age of Education Reform: Civil Society, Public Schools, and Democratic Citizenship.* Lee Benson, Ira Harkavy, and John Puckett.
22 Ibid
23 *The University & Urban Revival, Out of the Ivory Tower and Into the Streets*, Judith Rodin.

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Phase I

Phase II

Penn and University-Assisted Community Schools

As university-assisted community schools (UACS) and related projects have grown and developed, and as concrete positive outcomes for schools and neighborhoods have continued to occur, community trust and participation have increased.   However, university and neighborhood collaboration has not replaced the conflicts that strongly characterized Penn-community relationships before 1985. Since then, Penn's engagement with West Philadelphia schools and neighborhoods has come a long way, but Penn still has a very far distance to travel before it radically changes and really uses all of its enormous resources to help transform West Philadelphia.*

*Dewey's Dream, Universities and Democracies in an Age of Education Reform: Civil Society, Public Schools, and Democratic Citizenship. Lee Benson, Ira Harkavy, and John Puckett.

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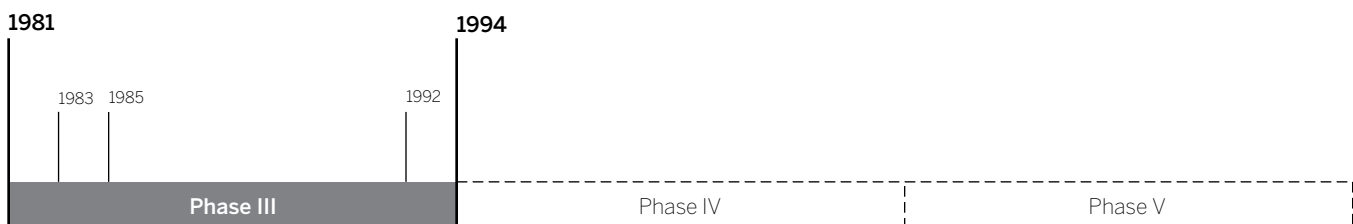
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| Phase III | Phase IV | Phase V |

The Center for Community Partnerships is now the Barbara and Edward Netter Center for Community Partnerships (Almanac October 2, 2007).

The University of Pennsylvania named its Center for Community Partnerships for Edward Netter, a 1953 graduate of Penn's College, and his wife, Barbara, in recognition of their commitments of more than $10 million. This endowment reflects the institutionalization of civic engagement at Penn.

"One of Penn's great strengths lies in our ability to work hand-in-hand with our West Philadelphia neighbors to improve lives," President Amy Gutmann said. "This extraordinarily generous gift from Barbara and Edward Netter will enable Penn students, faculty and staff to deepen and expand this creative and dynamic partnership. The Barbara and Edward Netter Center for Community Partnerships will greatly enhance Penn's ability to make a difference in our West Philadelphia community while creating new knowledge that can benefit communities everywhere."

Since its 1992 founding, the Center has been a catalyst for the transformation of West Philadelphia from a declining neighborhood to one with a promising future The Center directs the talents and idealism of thousands of Penn students in addressing problems of schools, health care, childhood obesity, environmental hazards, unemployment and economic decline. Penn faculty teach more than 50 courses a year that engage students with the community, enriching their academic experience as well as benefiting the neighborhood they serve. This type of academic work led to the development of the university-assisted community schools model which had not previously existed, one that research is finding to be effective, cost efficient and of proven success.
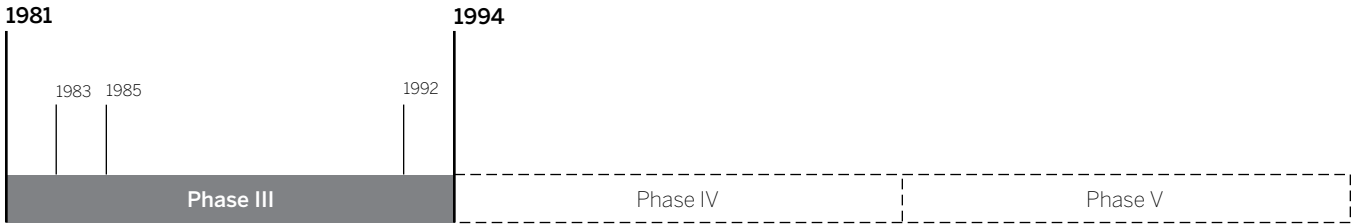
"The Netters' inspiring generosity enables colleagues at Penn and in the community to take their work to the next level, making a greater difference on campus, in the community and in society in general," said Dr. Ira Harkavy, the center's founding director.

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Phase I

Phase II

Lessons and Considerations

> Leadership played a major role

> Entities within Penn pressed the administration on key points regarding community and civic engagement

> Penn transformed the West Philadelphia Corporation (WPC) to the West Philadelphia Partnership (WPP) to advance mutually beneficial efforts of higher education and the community.

> There was a deliberate strategy for integration of academics with civic engagement resulting in the growth of Academically Based Community Service Courses (ABCS)

> There was increased involvement of Penn's various schools and departments with the community organizations and public school.

> Penn students are a potential source of change e.g. West Philadelphia Improvement Corps (WEPIC)

> Public schools can serve as catalytic centers for public schools and community improvement activities to educate, involve, and activate all members of the community.

> Youth can serve as change agents for the community.

> The process of building community schools serves as a vital step in revitalizing neighborhoods and improving public education during the school and the extended school day.

> Penn created an internal entity that focused on partnerships. (CCP)

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| Phase III | Phase IV | Phase V |

1. Does a separate internal entity such as the CCP exist or is it possible to create such a separate entity within the institution to effectuate partnerships?

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   _____

2. Does my institution have capacity in place to spearhead the creation of an external entity such as the WPP?

   _____

   _____

3. What kind of collaboration and partnership structures exist or need to be put in place?

   _____

   _____

4. If your institution is an educational anchor, are there possibilities to connect academic programs with partnership projects in the community?

   _____

   _____

5. If another type of anchor, are there possibilities to connect with partnership projects in the community?

   _____

   _____

6. How can resources be reallocated to increase possibilities?

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   _____

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Phase I

Phase II

7. What incentives can be given to employees to boost their involvement in civic engagement?

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8. How can engagement be built into the core mission of the anchor?

_____

_____

1981   **1994**

1983 1985   1992

Phase III   Phase IV   Phase V

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Phase I

Phase II

Phase IV: The West Philadelphia Initiatives

1994: West Philadelphia in Crisis

In 1994, Judith Rodin becomes President. A native West Philadelphian and Penn graduate, Rodin was appointed in part because of her commitment to improving Penn's local environment and to transforming Penn into the leading urban American university. Having a leader who had not only a vision and personal ties to the community and who was vested in making a difference, helped to foster an atmosphere for change.

One of Rodin's first priorities was to reform undergraduate education. She established the Provost's Council on Undergraduate Education and charged it with designing a model for Penn's undergraduate experience for the twenty-first century. The Council designated academically based community service (ABCS) as a core component of Penn undergraduate education for the 21st century. By the end of her first year in office, Rodin had defined the integration of theory and practice as the hallmark of Penn and identified ABCS focused on West Philadelphia and its public schools and neighborhoods as a powerfully integrative strategy to advance university-wide research, teaching, and service.

Penn gave high priority, therefore, to increasing the number and variety of ABCS courses. The CCP worked on ensuring participation by community members in problem identification and planning, as well as in implementation.[24]

Rodin began her tenure when crime was at its peak in West Philadelphia, public schools were low performing, there was a plethora of deteriorated and vacant housing, a host of failing commercial corridors and poorly maintained streets and public spaces. The effect of the previous contentious history between the university and the community still endured as there was a continued perception by the community that Penn still sought to isolate itself from the community. At the edge of campus, 40th Street was viewed by both parties as the dividing line between Penn and the community.

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24   *Dewey's Dream, Universities and Democracies in an Age of Education Reform: Civil Society, Public Schools, and Democratic Citizenship.* Lee Benson, Ira Harkavy, and John Puckett.

1981				1994		2004	
	1983	1985		1992	1996		
Phase III				Phase IV		Phase V	

The president recognized the importance of addressing the community issues that continued to challenge Penn and in 1994 created the Office of Government, Community and Public Affairs (now Office of Government and Community Affairs, OGCA) and appointed a new Vice President to oversee that office. One strategy employed by OGCA to foster a new atmosphere of transparency and improve the perception of Penn in the community was to hold monthly public meetings that are open to all members of the community. At these meetings Penn officials are also present and there is a forum for discussion of any of Penn's proposed plans that may have an impact on the neighborhood and to field any and all questions from members of the community.[25]

University faculty and staff also pressed for deeper involvement by the institution in the surrounding community. They formed an advocacy group, Penn Faculty and Staff for Neighborhood Issues (PFSNI) and produced recommendations for engagement in West Philadelphia. Various departments and schools at Penn collaborated to work on community planning and action strategies to transform the area around the University. The CCP was also pivotal in producing a number of white papers for the University on strategies for engagement and partnership.

Community groups also played a major positive role at this time, not just as collaborators, but as active partners dedicated to neighborhood revitalization.

1996: The Catalyst

Unfortunately, it was a second murder within two years of Rodin's appointment, (this time of a Penn faculty member) that became the catalyst that compelled Penn to act and to do so decisively. Alarmed by the increasing incidents of violent crime on and near campus and regaled by alumni, the University community, and parents who threatened to remove their children, Penn reached a crisis point which required decisive action to address critical neighborhood problems. The tragic death became the catalyst for action. Penn decided to react from a position of "enlightened self-interest."

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25 These meetings are held on the first Thursday of every month and continue to be a highly successful avenue for Penn to foster positive relations with the neighborhood.

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Phase I

Phase II

Penn had learned from its past and recognized the importance that any action taken by the university would have to be mutually beneficial for Penn and for the community.

It was at this time that President Rodin, capitalizing on the attempts of the past and with the support of the trustees, launched the West Philadelphia Initiatives, the **Tools of Change**.

The tools as initiatives are explored in further detail to conclude Phase IV. Also examined are some of the challenges in the process and some of the benefits that Penn and West Philadelphia continue to reap.

Anchors reacting to negative events

An institution has to be so disposed to having a positive reaction to a crisis. Penn could have reacted by completing closing off itself to the community in any number of ways, including building a wall around the campus. But it chose to react in a different manner because its 40 year prior history had indicated that the likelihood of that reaction being successful was slim. The ensuing years had prepared Penn to engage in "enlightened self-interest."

What is enlightened self-interest?

It is an understanding of decision making based on self-gain, but with a moral and ethical dimension.[1]

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1   *Beyond the Campus: How Colleges and Universities Form Partnerships with Their Communities* by David Maurrasse.

1981

1983   1985

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1994

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2004

Phase III

Phase IV

Phase V

Summary: Phases I to IV

One may ask what factors were present to propel the university into action. And moreover, what factors need to be present for any institution to act? Allow a brief diversion from Penn's pathway to address these questions.

Penn was prepared to act as the ideas around civic engagement had slowly germinated and became a part of the culture at Penn. Often, a critical component for anchors is to change mindsets towards engagement before any actionable steps can be initiated. This often takes years. Penn was moving in this direction when tragedy struck. Various entities internally and externally had been calling for action and had prepared a plethora of work on how the institution could best engage. The catalyst for action for Penn unfortunately was the death of an affiliate.

But anchors can act before tragedy strikes. Being pro-active versus reactive is the best mode of action. As mentioned before, one critical necessity for an anchor to act is *leadership* that is committed and willing to make the investment of resources and the dedication of time. Maurrasse notes in *Beyond the Campus*, that in order for partnerships to be successful, leadership has to come from the top. A sympathetic faculty member or even an entire department is not enough. It takes a commitment from the top to institutionalize partnerships. Major transformative efforts require strong and effective leadership. Sometimes anchors assume this role, sometimes not. Leadership roles can be played by the anchor, by public sector entities such as a city's economic development agency or by the entities from the private sector. The importance is that the lead is taken and collaboration and partnering ensues with all stakeholders.

Given solid leadership, an institution also needs to *prepare* for such work. Penn was prepared—had a lot of the pre-work completed. Anchors can begin preparing by investing in a set of relationships and seeding an orientation at their institution around "enlightened self-interest." Before any actions are taken, anchors can develop plans and strategies around "win-win" scenarios and establish criteria to determine where opportunities exist for collaboration. Another factor is the willingness to *collaborate* and partner with various entities in creating a better community. Partners include entities from both the public and private sectors, not just neighborhood groups.

An important take-away for anchors is that investment will reap benefits beyond calculation. The benefits of engagement that Penn has reaped are immeasurable and were not fully predicted.

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Phase I

Phase II

Lessons and Considerations

The reason for action by Penn in 1996 was one of "enlightened self-interest." Penn had learned from its past and recognized the importance that any action taken by the university would have to be mutually-beneficial for them and for the community.

Penn was very well prepared—papers and policy statements had been written in the preceding decade that became useful guides in the process.

It was at this point in Penn's history that the following breakthroughs were cemented:

Penn's future and the future of West Philadelphia/Philadelphia are intertwined.

Penn can make a significant contribution to improving the quality of life in West Philadelphia/Philadelphia.

Penn can enhance its overall mission of advancing and transmitting knowledge by helping to improve the quality of life in West Philadelphia/Philadelphia.

1. What does an anchor need to have in place to act?

2. Is it prepared to take the lead and have "true and genuine" partnerships?

1981		1994	2004
1983 1985	1992	1996	
Phase III		Phase IV	Phase V

3. What resources is it willing to commit in terms of skills, administration and money?

    _____

    _____

4. Are the top leaders vested and ready to embrace traveling this path—boards, trustees, CEOs, presidents, faculty?

    _____

    _____

5.   Is the institution ready to make a shift in the way of conducting business and to sustain it for the long term?

    _____

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Phase I

Phase II

Beginning in 1996, Penn charted a new course toward civic engagement and resolved to work with neighborhood leaders and residents to rebuild a spirit of fellowship and shared purpose and to create a more livable community. By linking its academic and research expertise and its financial commitment with the energy, resources, and inspired commitment of neighborhood residents and businesses, Penn embarked on a civic-reform partnership that would restore and revitalize West Philadelphia. The Five Initiatives presented in detail here, were used as tools for neighborhood change. The tools are:

TOOL 1 - Clean and Safe

TOOL 2 - Housing

TOOL 3 - Commercial Real Estate & Development

TOOL 4 - Economic Development

TOOL 5 - Education

By examining the tools that Penn used to help in the transformation of its neighborhood, other anchors can adapt these tools and/or develop more appropriate tools to address challenges in their communities.

Penn chose to take the lead and administer the tools. The tools were not thought of as an academic project or assigned to a particular department, although they were "academically informed" by the preparatory work described earlier. Instead, they were made a top university priority and responsibility was delegated across Penn's major administrative departments to work with community members as part of a broad, decentralized reorientation of the University to this new priority. The president worked closely with the Board of Trustees who formed a standing committee on Neighborhood Initiatives that worked with university administrative staff to oversee the initia-

1981   **1994**   **2004**

1983 1985   1992   1996

| Phase III | Phase IV | Phase V |

tives. The following section outlines the goal of each tool, the strategies developed to get to the stated goal, and some results and challenges along the way. Each description is followed by a set of questions for anchors to pose to themselves.

TOOL 1 - Clean and Safe

Goal: Improve neighborhood services, capacity, and safety

Cleaning the neighborhood and improving safety can be an effective short term tool to begin a major transformation process of a community. It provides ready opportunities for celebration and momentum building

Penn employed the following four strategies to enhance quality of life by maintaining clean and safe neighborhoods and to promote University City for residents and visitors.

   i.   Established a University City Special District

   ii.   Improved on- and off-campus pedestrian oriented street lighting

   iii.   Promoted public and private initiatives to improve the areas public areas and streetscapes through community greening programs

   iv.   Maintained a strong public safety presence

i.   Established a University City Special District

A special services district (SSD), sometimes referred to as a Business Improvement District (BID), is an effort by local property owners and other stake holders to develop and carry out a program of cleaning, security and other services that are specially tailored to their area and its needs and opportunities. It does not replace City services. An effective SSD works with the City and serves as an advocate for improved City services. SSDs improve areas in terms of attractiveness, livability and development.

Diagram ndicating the boundaries of University City District

University City Special District

University City District (UCD) was established in 1997 to improve the quality of life of a 2.2 square mile area of West Philadelphia in close proximity to the university. UCD builds partnerships to maintain a clean and safe environment and to promote, plan, and advocate for University City's diverse, urban community. The organization administers programs and services which enhances public space, increases public safety, assists homeowners and commercial and rental property owners, and promotes University City attractions. UCD is managed by a 25-member Board of Directors representing University City's prominent institutions in education, health care, scientific and medical research, as well as representatives of University City's business and residential communities.

UCD manages the following:

- Sanitation, security, and other services, leveraging existing institutional services.

- Advocacy for improved city services and capital improvements.

- Monitoring of code and license violations.

- Marketing and promotion of University City.

Funding for UCD's programs and services comes mostly from voluntary contributions from University City businesses, institutions, and individuals. Tax-deductible contributions are dedicated to programs and services that enhance the public environment and quality of life in University City.[26]

**University City District FY07
Budget Revenue: $6,536,284** [1]

Board Contributions	57.4%
Fee-for-Service Contracts	6.4%
Interest/Other	2.0%
Grants & Sponsorships	22.6%
LUCY® (shuttle bus service)	11.0%
Annual Appeal*	1.9%
Clark Park Fundraiser	0.7%
*Annual Appeal	
Business	20.4%
Landlord	40.8%
Individual	12.2%
Non-Profit	24.5%
Quest Newsletter	2.0%

1   University City District Report Card 2007

An SSD was planned and carried out in University City prior to the establishment of UCD. It was successful initially, but did not have sustained support. In the formation of UCD, a methodical effort was made to gain buy-in from the large institutions so that there would be a financially stable base for sustainability of programs and services. UCD's service program initial estimate was over $4.3 million annually. Institutions voluntarily committed to fund over 70 percent of this for the first five years. In University City, because of the extent of property held by institutions, (most of which are tax-exempt) a voluntary route of funding was taken. Today UCD continues on a

26 http://www.ucityphila.org/about

voluntary funding basis as the contributors and partners have seen the value in the services the organization provides although the initial 70 percent funding from institutions has been reduced to 57% as alternative sources of funding sought by UCD has been successful.

ii. Improve on and off campus pedestrian oriented street lighting

Penn and the West Philadelphia Partnership (WPP) started a community lighting program called UC Brite in 1996. The program was turned over to UCD in 2002. Under UC Brite, the University worked together with community members to light the neighborhood house by house, block by block. Specifically, Penn reimbursed homeowners and landlords in University City for 50 percent of the cost of both lighting fixtures and installation charges of pole lights or other exterior lighting. Using local electricians, UC Brite helped homeowners to purchase nearly $70,000 of fixtures and installation on 58 University City blocks.[27]

The UC BRITE program is not currently active but this has not prevented UCD from utilizing lighting as a primary tool for enhancing the vitality and perception of safety of University City. In 2005, UCD hired a team of experts to evaluate existing light levels and provide recommendations for ways to improve lighting conditions. The organization has installed more than 300 street lights, and numerous façade and residential lights, helping to illuminate the neighborhood in the evening. In 2007, UCD installed pedestrian lighting on five blocks of the Baltimore Avenue commercial corridor to make the shopping district brighter, safer, and a more desirable place to do business.

The program was criticized in its initial stages for having a slow start but by providing matching funds to reimburse property owners for the purchase of lighting fixtures, the program was able to make a significant difference in the community.

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27 *Planning and Capital Improvements* by UCD, http://www.ucityphila.org/ucd_programs/neighborhood_initiatives/planning.

iii. Promote public and private initiatives to improve the public areas and streetscapes through community greening programs

Over the years, UCD has installed and currently maintains numerous street trees, bike racks, trash cans, planters, and other streetscape elements that create an attractive and desirable destination for businesses and residents. In addition, UCD is working to develop small urban gardens on neighborhood traffic islands, transforming blank sidewalls into works of art with the Philadelphia Mural Arts Program, and highlighting the community treasures through lighting and landscaping.

In 1999, UC Green was created by Penn to unite community organizations, city agencies, university students, and residents in local greening efforts. The organization fosters community cooperation as these various entities work together around their own residences, streetscapes, institutions, businesses, local parks, and schools. UC Green provides resources and support (such as design assistance, project management for professional contracting, tools, soil supplements, organizational support, plants, and construction materials) often through the management of third party grants. Many efforts generate in-kind donations which leverage matching funds. UC Green helps to develop partnerships and encourage leadership; providing technical assistance and ongoing support as groups build their own systems and take on new projects. UC Green has brought Penn students, faculty and staff together with public schools and neighborhoods to enhance the physical environment in University City through planting new trees and greenery. So far, UC Green has:

- Helped renew 25 neighborhood blocks.

- Planted more than 400 trees and more than 10,000 flower bulbs.

- Created three children's gardens and four public gardens.

iv. Maintain a strong public safety presence

Since 1996, Penn has taken broad steps to combat crime not only on campus, but also in adjacent areas of University City. The Penn Police Department:

- Hired 19 new officers.

- Revamped its detective unit, bringing in four seasoned veterans from the Philadelphia Police Department.

The University of Pennsylvania and its partners in West Philadelphia worked successfully to increase public safety in the area. In 1999, the University of Pennsylvania Department of Public Safety opened a new headquarters building on 40th and Chestnut Streets in West Philadelphia. The Philadelphia Police Department opened a new substation in West Philadelphia at the UCD headquarters.

Public Safety Task Force

University City District convenes a group of security professionals made up of representatives from UCD, the Philadelphia Police Department, Drexel University, University of Pennsylvania, University of the Sciences in Philadelphia, and Town Watch. This group discusses and coordinates details regarding crime trends, community-wide problems and deployment.

Safety Ambassadors

UCD also has 42 Safety Ambassadors who aid residents and visitors. Uniformed in green and yellow, the Safety Ambassadors are unarmed and equipped with two-way radios. The Ambassadors patrol University City seven days per week from 10am to 3am. In cooperation with the Philadelphia and Penn Police departments and security forces from Drexel University and the University of the Sciences in Philadelphia, Public Safety Ambassadors serve as a highly visible deterrent to crime.

Each Safety Ambassador undergoes training in public safety and crime prevention, emergency first aid and CPR, interpersonal relations, customer service, city services, and University City and Philadelphia history, attractions and amenities. UCD's 42 Ambassadors provide a secure, welcoming presence. They offer directions, pedestrian assistance, provide homeless outreach services, can call for assistance during emergency

situations, and provide walking escorts, and vehicular lockout and jumpstart services. Public Safety Ambassadors also track public hazards such as potholes, problem street signs, and blocked sewers.

UC Walk

As an extension of Penn's safety escort service, the UCD Safety Ambassador Program has expanded UC Walk to all members of the University City community. For those needing someone to walk them to a meeting, to public transportation, or home UCD dispatches a Safety Ambassador. The service operates 24 hours a day, seven days a week in partnership with the University of Pennsylvania.[28]

Results

Using clean and safe initiatives as a tool has resulted in:

- An overall crime dropped 36 percent in the first five years

- Streets in University City are well lit at night and pedestrians walk home in safety.

- Home fronts have been improved with new paint and new greenery.

- Entire blocks have been reclaimed by new and longtime residents.

- Demand for houses in the neighborhood has soared.

Challenges

Despite the Clean and Safe Initiative to ensure a vibrant, active and safe neighborhood, in 2005, West Philadelphia experienced a significant rise in crime. Prompted by events near campus, the university allocated $5 million to a new safety initiative. President Gutmann said that until crime is brought under control, "we will spare no expense." She stated that Penn's campus is one of the most vibrant urban campuses in America and by working with partners in the City and neighborhood, Penn will do everything to enhance the safety and security of the community.[29]

The funds were allocated to implement a series of measures to strengthen safety and security including the addition of both uniformed and plain-clothes police officers and security guards to street patrol during the evening and early morning hours, both on campus and in the surrounding community, and a significant expansion of lighting and other security-related technology.

Two years later, in 2007, with an additional rise in crime, the university once again addressed issues of safety and security on campus and in the surrounding community. The recent incidents resulted in Penn supplementing existing measures with additional safety initiatives working with local landlords, especially in the area west of campus

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28 *University City Report Card*, by UCD http://www.ucityphila.org/_files/docs/reportcard07.pdf, 2007.
29 *Almanac*, December 6, 2005.

where many students live. Penn also works closely with city leaders, including new Mayor Michael Nutter, who made improving public safety a cornerstone of his campaign. Dr. Gutmann stated that it takes a lot of work to keep this place "vibrant, safe and wonderful."[30]

Additional Safety Measures instituted in 2007

- Additional police overtime hours to supplement the already high level of police and security patrols.
- The installation of new CCTV cameras between 40th and 43rd Streets.
- A new lighting program to increase pedestrian lighting on and off campus.
- Three new transit stops: two on the western boundaries of campus and one on the eastern side.
- A new late night pilot shuttle service for those who live in Center City developed with input from Penn's graduate and professional student association.

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30 http://www.upenn.edu/almanac/volumes/v52/n20/uc_coverage.html

Phase I   Phase II

Lessons and Considerations

Past poor relations and distruct created real challenges to creating partnerships with a community that was cautious of the institution.

Many false starts

Storm of criticism internally (from university members) and externally (from community members)

Determination that no future westward expansion would lessons points of conflict with the community.

Consider ways to implement improvements to the aesthetics of the physical environment.

Consider forming a public safety taskforce, including the participation of the local police, charging the task force to develop strategies to improve safety in the community.

1. What strategy is feasible for your institution?

_____

_____

2. Where can the most visible impact occur with the least amount of capital outlay that is mutually beneficial to the community?

_____

_____

3. What is the temperature of the relationship with the community?

_____

_____

4. How can the institution begin to engender trust if it's lacking?

_____

_____

5. How can community engagement in projects be fostered and sustained?

_____

_____

6. How can efforts be galvanized early and momentum maintained?

_____

_____

7. Explore creating an SSD or BID or joining one if one already exists. Is it feasible?

_____

_____

8. Is there enough financial and other support from stakeholders to fund an SSD at least initially? (e.g. for the first five years)

_____

_____

9. What is the most pressing critical issue that needs immediate attention?

_____

_____

10. Consider a lighting campaign for the neighborhood. How can you reach out to partner with hardware stores (Home Depot/Lowes) for a donation to kick start a lighting campaign—maybe a donation of light bulbs?

_____

_____

11. What is the current capacity of neighborhood groups? Are they capable of contributing human capital for initiatives such as tree planting and street cleaning?

_____

_____

Phase I | **Phase II**

12. How can an anchor assist in capacity building of community groups?

_____

_____

13. If safety is an issue, are there community town watches and patrols? If not, how can one be created?

_____

_____

14. How can you assist in capacity building of community groups?

_____

_____

Phase I | Phase II

TOOL 2 - Housing

Goal: Attract new residents to the community by providing high quality diverse housing choices

Improving the housing market is an effective tool for neighborhood transformation. The availability of quality housing attracts new residents, which in turn increases resident property vesting while raising the tax base. The availability of quality housing is only one factor for attracting new residents to an area. It is important to keep in mind the multi-pronged, synergistic thread, critical to Penn's approach; all tools must work together. "Clean and Safe" was aimed at turning around the physical image, while simultaneously improving the perception of the community. This second tool, housing, builds upon "Clean and Safe" by incentivizing current residents to stay in their homes and encouraging additional residents to move in to the neighborhood.

The West Philadelphia residential real estate market has been weakened by decades of population loss, disinvestment, abandonment and deterioration of the housing stock. The challenge for an anchor is how best to reverse and stop deterioration while stimulating reinvestment in the community. In the mid-90s, Penn used the following strategies to rebuild the residential fabric of West Philadelphia:

i. **Acquired, restored and resold deteriorated and vacant properties in key locations in partnership with city agencies and community groups, .**

University officials working on West Philadelphia Initiatives found that, in many cases, otherwise stable blocks of University City were marred by individual properties in serious disrepair, affecting both quality of life and property values for the entire block. In response, Penn acquired and invested in gut renovation of such distressed properties, and then resold them into an increasingly competitive housing market. In the late 90s, 20 properties were rehabbed and returned to private home ownership by a local Community Development Corporation (CDC). Although, this strategy is no longer active, it assisted in jump starting the real estate market.

ii. **Attracted new homebuyers to University City through financial incentives to encourage Penn-affiliated families to buy or improve homes in the neighborhood and through pre-purchase counseling services to prospective homebuyers.**

Penn created valuable new programs to encourage its own faculty and staff to purchase homes within West Philadelphia. These include the continuation of the Guaranteed Mortgage Program and the creation of the Enhanced Mortgage Program.

Guaranteed Mortgage Program

The University helps eligible employees to apply for home financing of one- or two-unit family homes, priced up to $417,000 for one-unit and $533,000 for two-unit Fannie Mae approved mortgages. The mortgages can represent up to 105 percent of the purchase price of the property in order to help pay for closing costs, plus up to 15 percent of the purchase price to help pay for home improvements.

Enhanced Mortgage Program

The University provides financial incentives to Penn employees who purchase homes in a designated area in West Philadelphia. Under the program, Penn faculty and staff receive a forgivable cash loan (currently $7,500, initially $15,000-$21,000) for purchases within these boundaries. These loans can be used for a down payment, closing costs, to buy down points, or for interior or exterior home improvements. A homebuyer may also use the loan to convert a property from a multifamily to a single-family home. Loans through the Enhanced Mortgage Program are forgiven after the purchaser has lived in the home for five years.

Since March of 1998, when the University began the Enhanced Mortgage Program, a total of 1,300 loan transactions were executed and approximately 900 Penn affiliates have purchased homes in University City, the area most adjacent to the University. The Office of Penn Home Ownership Services provides assistance and valuable information regarding the home-buying process, such as mortgage pre-approval and referral for credit counseling.

iii. Stimulated new investment in West Philadelphia real estate by developing programs to support the rehabilitation of deteriorated or vacant multi-family properties.

The University brought on a private developer to create a new 282-unit apartment/retail/office complex in a former General Electric factory that was vacant just east of the campus. Under a long-term lease with the University, the developer invested $55 million to recreate the structure as "The Left Bank."

iv. Maintained Moderate Rental Housing Options.

The University raised more than $50 million in capital to create the Neighborhood Housing Preservation and Development Fund, which protects a large and critical inventory of moderate cost housing for students and the community alike. Penn's own $5 million investment in the Fund has leveraged over $40 million in equity and debt from four other partners. The Fund now owns and operates more than 200 rental units, helping to provide quality, affordable rental options for students, faculty, staff, and local residents.

Phase I   Phase II

Lessons and Considerations

University had to make initial capital investment

Any housing initiative requires institutional commitment in action. Resources have to be set aside to seed the program and engage in community partnerships.

Neighborhood groups bonded and united forming the University Neighborhood Council, a strong advocacy group representing other interest outside of Penn to counter Penn's powerful position.

There are measurable results between 1998 and 2006:

a. 1200 Penn faculty and staff have purchased homes in University City
b. The University itself rehabbed 20 vacant properties and returned them to the homeownership market.
c. Penn raised more than $50 million in capital to create a Neighborhood Housing Preservation and Development Fund.

Consider partnering with community agencies and classes at an institution of higher education to conduct a housing survey and analysis.

1. What actions can the anchor take to stimulate the housing market?

2. What is its relationship with financial institutions?

3. What types of mortgage programs can it sponsor and/or support?

| Phase III | Phase IV | Phase V |

4. Is there an assessment of the housing market?

   _____

   _____

5. What is the quality of the stock?

   _____

   _____

6. What is the demand for housing?

   _____

   _____

7. Where is the demand?

   _____

   _____

8. Is there a need to attract new buyers to the market place?

   _____

   _____

9. Are there possibilities for renovation and rehabilitation of vacant and abandoned properties?

   _____

   _____

10. Can the anchor provide incentives to attract residential developers?

    _____

    _____

TOOL 3 - Commercial and Real Estate Development

Goal: Revive commercial activity and use real estate development as a tool for revitalization and economic development.

This can be the most significant tool in an anchor's toolkit. However patience is required as the results of a commercial and real estate development tool are typically evident in the long term.

Commercial Development

In the early 1990's, the 40th Street commercial corridor linking Penn's campus to West Philadelphia's residential neighborhoods was in decline. The mid-campus blocks along Walnut Street from 36th to 38th Streets held an asphalt parking lot. Working with local businesses and national retailers—and guided by retail surveys identifying the needs of local residents and students—Penn invested heavily in bringing more retail activity to the area, helping to transform the quality of life for those who live both on campus and in the community. Penn's engagement was guided by three principles:[31]

a. Begin with substantial commitment of university funding and resources to support initial development that will eventually attract private investment.

b. Create retail development in context of the surrounding neighborhood—complementing existing mix versus displacing

c. Create new public spaces as part of retail development to increase pedestrian activity and street life and the intermingling of campus and community

Penn tackled commercial development in two ways:

i. **Through joint ventures, invested in real estate development to improve the retail climate near campus. The programs and projects that have helped drive this transformation of local commercial activity include:**

University Square

Penn invested $90 million in building University Square—originally known as "Sansom Common"—a 300,000-square-foot retail and hotel development on the site of former parking lot creating a new social and commercial magnet for students, faculty and staff, as well as local residents and outside visitors.

New Supermarket

Penn partnered with Fresh Grocer Corporation to develop a new supermarket, and retail anchor along the 40th Street corridor that opened its doors in May 2001. The Fresh Grocer fulfills what local residents themselves said was one of University City's greatest needs – a new, high quality supermarket. The University acted as the main developer of this project, and spent $35 million to finance it. The Fresh Grocer is a key success story,

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31 *West Philadelphia Initiatives*: a Case Study in Urban Revitalization by John Kromer and Lucy Kerman

keeping economic activity in the neighborhood while acting as a meeting place where the community and University come together.

New Movie Theater

Another retail anchor brought new life to the 40th Street corridor—a new multi-screen movie theater directly across the street from the Fresh Grocer. The facility brought a new source of cultural life, foot traffic and commercial activity to 40th Street, while providing an important new venue for art house films in Philadelphia.

Road block

One unforeseen challenge that Penn experienced was during the development of the Movie Theater. Before the project, a joint venture between the university and a developer, the developer declared bankruptcy and pulled out of the venture. Penn's option was to shelve the project or invest more University funds to see it through to completion. President Rodin advocated for the latter and made a case to the University Trustees who approved. The project was completed with a new partner in 2002.

ii. **Acquire problem retail establishments and convert them to better uses in collaboration with area residents and businesses.**

40th Street

With the completion of the movie theater and the supermarket, two anchors along 40th Street, Penn embarked on a strategy to improve and nurture the smaller-scale, neighborhood-oriented, retail businesses along the Street. Penn did this by investing $40 million along 40th Street and by promoting new retail stores. In cooperation with the University City District (UCD, the special services district), Penn helped lead improvements such as sidewalk lighting and repairs, tree plantings, building façade upgrades and signage, as well as promoting cleaning efforts. Previously, Penn students and local residents looked primarily to Center City or other parts of the Philadelphia area to shop and dine. Having thriving stores, cafes and restaurants adjacent to the campus has helped create a safe, lively atmosphere of day- and night-time street life, as well as generated new employment opportunities in the area.

Promoting New Retail Stores

Ninety-eight percent of the available retail space in the neighborhood in 2007 was leased or committed, providing a higher quality, more diverse range of retail options for both students and local families. Penn recruits new retailers and restaurants to locate in the growing West Philadelphia market. The University has, for example, joined with local elected officials and community organizations to jump-start the planning and redevelopment of other commercial corridors. In 2002, UCD realized that the

Baltimore Avenue and Lancaster Avenue commercial corridors were struggling from disinvestment and embarked on a multi-year effort to improve the corridors. With a number of new retailers continuing to express interest in locating in the area, University officials are continuing to expand and strengthen the marketplace by helping find the right kind of space for the commercial tenants.

Real Estate Development Strategy

Real estate development and reuse has proven to be an effective revitalization and economic development tool. At Penn real estate development projects are the manifestation of new investment in programs and businesses that create jobs, improve the tax base and bring economic and social vitality. Penn's multi-pronged strategy utilized real estate swapping and ground-leasing as tactics for development. Penn's Department of Facilities and Real Estate Development (FRES) also crafted a matrix that illustrates Penn's development strategy.

i. Real-estate swapping

During the years of intense development and expansion, Penn acquired a vast amount of real estate holdings in West Philadelphia, some within close proximity to campus and some located remotely, becoming one of the largest landowners in the city. Penn identified desirable property, especially ones closer to campus, owned by other parties and negotiated an exchange for properties that Penn owned that were more remotely located. Penn enacted this strategy to obtain greater control of its edges, particularly at the borders of the campus.

ii. Ground Leasing

According to Black's Law Dictionary, ground leasing is defined as "a long-term (usually 99 year) lease of land only; such a lease typically involves commercial property, and any improvements built by the tenant usually revert to the landlord." In other words, it is a legal contract for the lease of land and contains an agreement that the lessee is obligated to pay rent each year for the use of the land for the duration of the contract. The lessee usually builds on the land but the buildings constructed must be turned over to the land's owner at the termination of the contract. Penn decided not to sell any of its holdings but was willing to use ground leasing as a major tactic to attract development and stimulate the real estate market.

The following gives an overview of the steps Penn undertook for ground leasing:

1. Conducted an assessment of land holdings
2. Categorized parcels by current use
3. Determined parcels in proximity to campus suitable for development
4. Determined need from holdings—Retail? Residential?
5. Determined leasable parcels—particularly surface parking lots
6. Undertook a market analysis and developed a retail strategy

7. Retained a consultant to develop a campus revitalization plan, committing to improving own public space as a catalyst for community revitalization

8. Tapped internal resources: schools of architecture, planning, social policy, public policy, geography etc.

9. Determined credit rating and floated a bond to finance initial developments

10. Created Request for Proposals (RFPs) for developers

11. Pre-selected developers, focusing on local developers first

12. Leased land to developers for 65 years

iii.   Real Estate Development Strategy matrix

Penn's framework for its level of involvement and participation in commercial development is guided by the economic fundamentals of the projects. Penn also created a real estate development matrix which illustrates the strategy Penn used to meet the goals of commercial and real estate development (see page 72).

The Real Estate Development Strategy matrix provided a framework for determining approach to projects that were either viable ("capable") or required assistance and support ("constrained"). This matrix also considers the University's aptitude or interest to invest or share risks of Development as denoted by the Institutional Capacity axis. Additionally, along the axis of Market Readiness, the marketplace of developers, investors, and other commercial interests or stakeholders view of the various projects as either favorable ("pro-investment") or unenthusiastically ("anti-investment"). Each quadrant of the matrix led the University to an approach that informed the deal structure and terms of the ground lease or joint venture. The University approach indicated by the matrix facilitated the development and supported the overall strategy for its community development strategy.

For example on deals like Sansom Common which was quite feasible, but with demand fundamentals that were unknown and untested in 1998, the site and project were viewed by developers unfavorably. Penn's approach was to self develop the 100M project, shoulder all the development, market and operational risks, and thus spur development. Similarly in 2000 for the 40th and Walnut project, a $53M project, the University absorbed significant development risk to facilitate the project but also equally protected its significant investment since third party sources co-invested in the project as lead tenants.

For the 40th and Chestnut project where the economics of the project were constrained and the development market viewed the site unfavorably Penn subsidized the investment via favorable ground lease terms and accepted minimal returns.

In the instance of the $55M Left Bank project where the economics were perceived as constrained and the University's capacity to absorb downside risk was constrained yet the developers market viewed the project favorably, the approach taken was to facilitate the investment via Penn's leaseback and to protect the development returns via a fixed ground lease.

Phase I   Phase II

For the quadrant of the matrix where both the market fundamentals and investment perception were favorable, Penn sought to co-invest via a participating ground lease. similarly for Pine arms a relatively small redevelopment Penn was an equal joint venture partner with the developer and expected to fully share in the upside of development.

Funding Real-Estate Development

Real estate development is not part of the core mission of the university but was seen as a critical tool for major transformation of the community. Penn always looked for strategies that would lessen its risks and explored various methods of financing of projects.. The following outlines methods of financing according to Wim Wiewel in *University Real Estate Development* as possibilities to fund real estate development, if this is a tool an anchor is interested in using.

Bonds	Tax Increment Financing (TIF)
Certificates of Participation	Loans
Capital grants	Gifts
Private capital and leasing	Operating funds
Debt finance through intermediary	New Market Tax Credits

Challenges

Challenges encountered with real estate development as a tool included:
- Balancing opportunity and risk factors
- Matching buying power and retail development opportunity
- Determining retail that attracts both campus and community customer base, providing new products to complement existing products and services rather than erode the competitive position of existing businesses.

Specific challenges in ground leasing included:
- Sacrificing control of quality of product to developer
- At Penn, developers are required to appear before University Design Review Committee (UDRC), but the UDRC does not have the authority to force developers to conform to design guidelines (can only strongly encourage). Therefore, buildings are constructed that are not in sync with the institutions' aesthetic.
- Retail choice was not up to Penn although the university prepared and shared a retail strategy with developers.
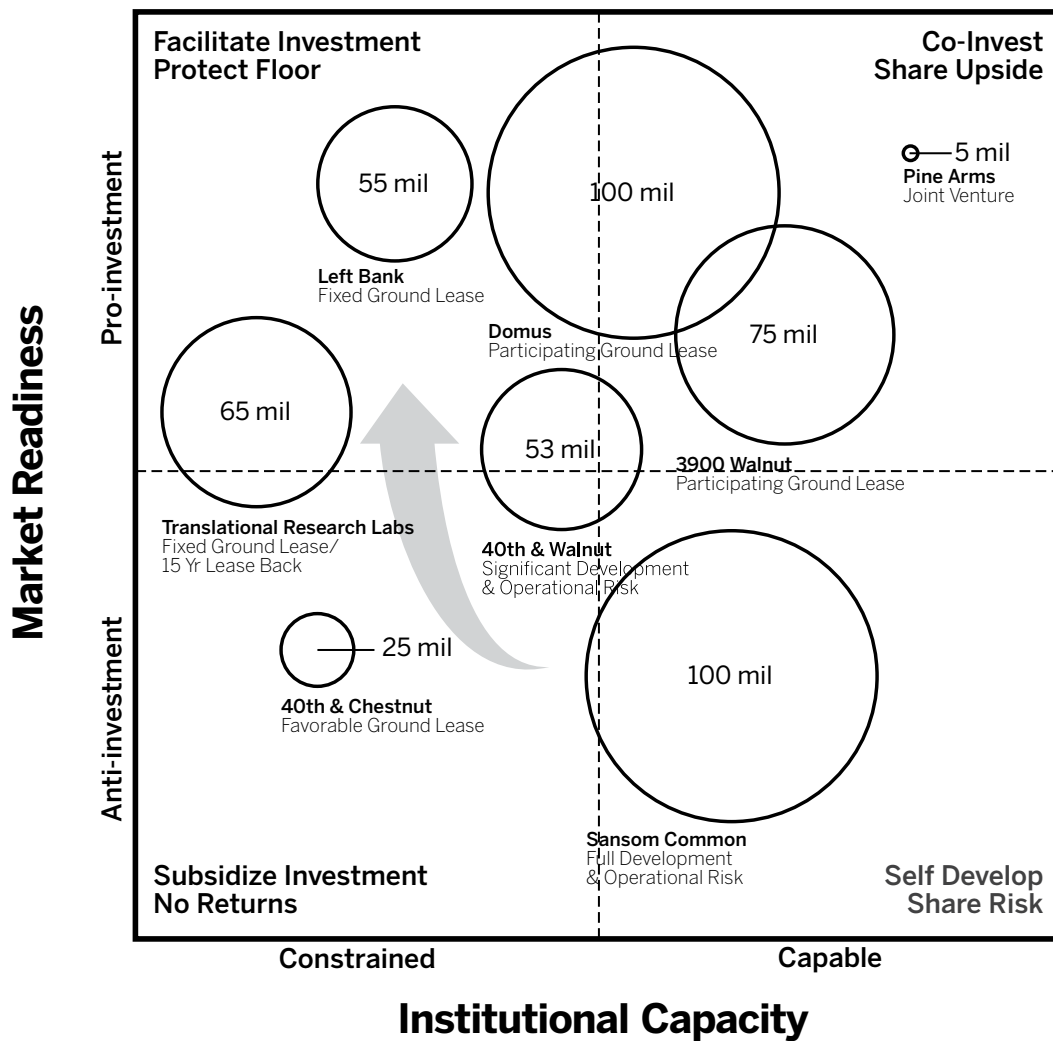
Real Estate Development Strategy Matrix[1]

Market Readiness

Pro-investment · Anti-investment

Institutional Capacity

Constrained · Capable

**Facilitate Investment
Protect Floor**

**Co-Invest
Share Upside**

55 mil

100 mil

○——5 mil
Pine Arms
Joint Venture

Left Bank
Fixed Ground Lease

65 mil

75 mil

Domus
Participating Ground Lease

53 mil

3900 Walnut
Participating Ground Lease

Translational Research Labs
Fixed Ground Lease/
15 Yr Lease Back

40th & Walnut
Significant Development
& Operational Risk

25 mil

40th & Chestnut
Favorable Ground Lease

100 mil

Sansom Common
Full Development
& Operational Risk

**Subsidize Investment
No Returns**

**Self Develop
Share Risk**

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1   University of Pennsylvania, Department of Facilities and Real Estate (FRES)

Phase I	Phase II

Lessons and Considerations

University had to make initial capital investments to stimulate the market.

Ventures have succeeded in attracting both campus and neighborhood shoppers. Until recently, Penn students and local residents looked primarily to Center City or other parts of the Philadelphia area to shop and dine. Having newly thriving stores has changed the area around 40th Street, the former divider between the University and community is teeming with students, neighborhood residents and visitors drawn to one of Philadelphia's most vibrant new shopping and dining hubs.

Penn's investment in the area has spurred other investments by other nearby institutions such as Drexel University and University of the Sciences.

Over 150,000 square feet of new retail inventory space in University City.

More than 25 new stores have opened in less than four years;

University City is now recognized as an attractive private investment market for retailers—with Penn's retail vacancy rate at less than 5%.

1. Is there an updated record of the anchor's real estate holdings?

   _____

   _____

2. How can ground leasing become a viable tactic?

   _____

   _____

3. Do parcels need consolidation for potential development?

_____

_____

4. Can city agencies render assistance in assembling development parcels?

_____

_____

5. What type of real estate is there a demand for—residential, retail, commercial?

_____

_____

6. Is there a current market analysis and/or retail strategy?

_____

_____

7. What is the institutions' credit rating and ability to secure credit?

_____

_____

8. Are funds available to retain consultants to develop revitalization plans?

_____

_____

9. What existing internal resources can be tapped?

_____

_____

10. Who are potential partners for commercial/retail/residential developments?

_____

_____

11. Is there an assessment of development needs? Retail? Residential?

_____

_____
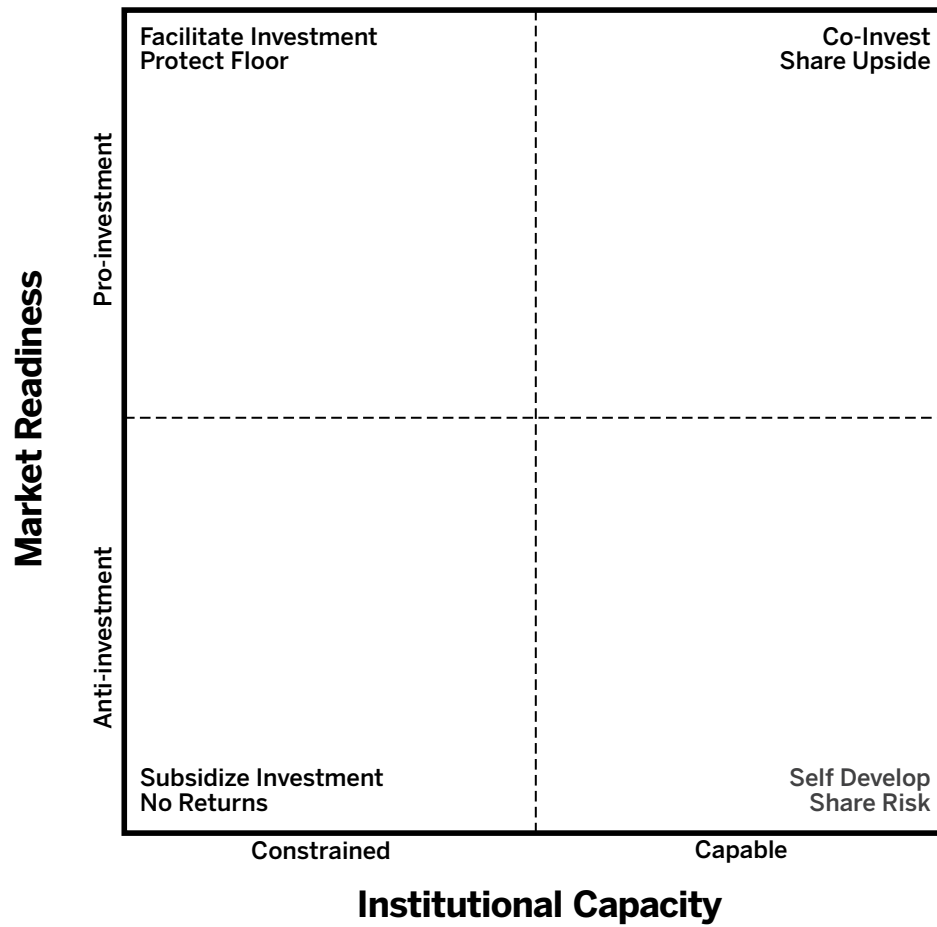
12. What are your long-term physical plant needs?

_____

_____

Use the following blank matrix to determine potential real estate opportunities:

Market Readiness (vertical axis)

Pro-investment

Facilitate Investment
Protect Floor

Co-Invest
Share Upside

Anti-investment

Subsidize Investment
No Returns

Self Develop
Share Risk

Constrained   Capable

Institutional Capacity

TOOL 4 - Economic Development and Economic Inclusion

Goal: Accelerate and distribute economic growth opportunities

This is another significant tool in the toolkit as it is the chief area where efforts are directed for the mutual benefit of the community and the anchor institution. Penn used its purchasing power strategically to increase business opportunities for minority owned and community based businesses and to increase access of university related jobs to West Philadelphia residents. Penn leveraged business relationships to facilitate enhanced;

i.   Purchasing

ii.   Contracting

iii. Employment opportunities for West Philadelphia residents and businesses.

i. Purchasing

Penn stimulated major business relocation and expansion in University City using Penn's purchasing relationships ($7 billion per annum). The following are purchasing initiatives that Penn utilized promoting economic inclusion.

Local Community Business Program.

Penn supported small businesses through the procurement of locally provided goods and services. Penn's spending on goods and services in the neighborhood increased 400 percent from 1995 to 2004.

Supplier Diversity Program

Through an initial program, "Buy West Philadelphia", the University identified and purchased products and services from West Philadelphia vendors, while also helping small businesses in forging partnerships with major national firms.

Diversity Supplier Development Program

A collaboration between Penn Purchasing, Drexel University (one of Penn's neighbors) Procurement Services and the Pennsylvania Minority Business Enterprise Center, the program helped bridge the gap between procure-to-pay technology business requirements and supplier capabilities.

ii. Contracting

Through Penn's Economic Opportunity Plan, Penn aspired to having 20%-25% of construction projects over $5 million awarded to minority and women-owned companies and sought to create local jobs through new construction projects with targets for minority and female labor force participation on construction projects.

iii. Employment

Penn sought to increase employment opportunities by improving job skills and workforce capacity. As the largest private employer in Philadelphia, Penn is able to offer a multitude of job opportunities for local residents. Penn has established a number of initiatives for employment as outlined below:

Unique Advantage

This is a women and minority owned company that is Penn's exclusive provider of temporary staffing services. They actively recruit local candidates for employment.

KRA Corporation

Penn and Unique Advantage work with KRA to provide assistance to welfare recipients looking to move from welfare to work including job placement and retention.

High School Paid Employment Program

The Health system hosts a program that offers paid employment opportunities for high school students, providing both after-school and summer positions. Ninety-one percent of participants are from the West Philadelphia area.

Outreach Activities

Penn participates in activities aimed at reaching out to local residents, especially minorities and females. These include, career fairs, outreach to local religious leaders, and conferences.

Economic inclusion requires dedicated support from across the university. A Plenary Committee was created+ to provide oversight and strategic direction to the University in formulating and managing its economic inclusion initiative. There are three sub-committees that monitor and review progress made in *procurement, construction* and *workforce development*. These committees collaborate with the community to advance economic inclusion. One critical step in advancing economic inclusion according to Glenn Bryan, Associate VP of Office of Government and Community Affairs, is to develop and maintain dialogue with various community stakeholders, advocates and constituents; including elected officials, representatives from faith based organizations and community development corporations.

Phase I | Phase II

Lessons and Considerations

Economic Inclusion presented the opportunity for the Human Resources (HR) departments of both the University and the University Hospital to work together and coordinate opportunities to increase employment opportunities for community residents.

This collaboration also enabled a comprehensive overview of the employee pool in West Philadelphia and determined areas to focus skills development.

The prevalence of an under skilled population in West Philadelphia is one major challenge for economic inclusion in knowledge based industries such as nanotechnology.

When Penn has the opportunity to hire from the neighboring community, a fair number of candidates often don't possess advanced skills critical for obtaining career advancing positions.

The same applies for the construction trades. There is not a large enough pool of skilled laborers in West Philadelphia.

Penn has also been challenged in finding qualified minority contractors to hire to fill the demand of work on large projects.

1. Does the institution have economic inclusion provisions or a plan?

   _____

   _____

2. What percentage of its goods and services are purchased from the local community?

   _____

   _____

3. What percentage of its contracts are currently held by minority and women owned businesses?

   _____

   _____

4. What upcoming projects that can provide opportunities for economic inclusion?

   _____

   _____

5. What opportunities are there to engage local youth in after-school and/or summer internships or employment?

   _____

   _____

6. What resources/programs/departments/partnerships are in place and can be leveraged to improve the access and knowledge of employment opportunities.

   _____

   _____

7. Is there a structure in place to tap the local population for employment opportunities with the institution? If no, how can one be established?

   _____

   _____

TOOL 5 - Education

Goal: Enhance local school options

This is a critical tool that is often underrated as public education especially in urban environments can be overwhelming to tackle and it isn't always considered early in the process of neighborhood revitalization.

The most healthy and stable neighborhoods include a diverse mixture of land use, age groups, income levels, ethnicity and lifestyles. In human society as in the rest of nature, diversity creates stability. Exclusive and special-purpose neighborhoods are inherently unstable because they appeal to narrow markets.[32] Any efforts to improve communities must include attracting new residents to create stable diverse population that would include families, young couples, retirees, etc. Because quality public education is a key factor in where families choose to live, enhancing local education is an essential strategy for community revitalization.

High quality housing, prospering retail corridors, and clean and safe neighborhoods, all worthy, cannot on their own create a comprehensive transformation if they are not integrated with the provision of attractive local school options. Penn's partnerships with the West Philadelphia community have long focused on improving the neighborhood's public schools.

Over the past decade, more than 1,700 Penn faculty, students and staff have joined together with local educators and community members in more than 130 programs at 33 different West Philadelphia public schools. Penn faculty, graduate, and undergraduate students, have worked with local schools on curriculum improvements, classroom instruction, professional development for teachers and technological innovations. Tackling the issues of public education is challenging and Penn employed a variety of strategies in using education as the tool. The following cover the major strategies.

i. **Penn as lead partner, brought together institutional and community partners to improve educational outcomes in West Philadelphia Schools in two large-scale coalitions called Resource Boards.**

Beginning in 1998, Resource Boards operated under the tenure of school superintendent, David Hornbeck, but have dissolved since his departure from the School District of Philadelphia. However, it is a model worth examining by other anchors. These boards were comprised of leaders from local schools, nonprofit and community groups, business, and government. Under Penn's efforts, member institutions provide professional and curriculum development, school-to-career opportunities, and expanded services to children and their families in West Philadelphia. The Boards coordinated and leveraged resources to support curriculum enhancements and served as advocates for West Philadelphia public schools.

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32 The Neighborhood by Chet Boddy; http://www.chetboddy.com/Pages/neighborhood.html

ii. Created a university assisted pre-kindergarten through 8th grade public school in an adjacent neighborhood with Penn's academic resources integrated into the curricular and community life of the school.

A model Penn-assisted PreK-8 public school was created in a pioneering collaboration in June 1998 between Penn's Graduate School of Education, the School District of Philadelphia and the Philadelphia Federation of Teachers. Officially know as the Sadie Tanner Mossell Alexander University of Pennsylvania Partnership School, it is named for the first African American woman to earn a doctorate in economics, at Penn and the nation. It is commonly referred to as the Penn Alexander School or PAS.

The School opened with Kindergarten and first grade in September 2001. The phase-in of all grades (PreK-8) was complete in 2004. The School serves approximately 500 students in grades K through 8, along with two Pre-K Head Start classes.[33]

Penn's partnership with PAS is a campus-wide endeavor. The University has committed for the first 10 years to subsidize the school with an operating contribution of $1000 per student—an amount that helps to keep the student-teacher ratio low (17:1 for kindergarten and 23:1 for grades 1-8). In addition, Penn has participated in raising additional funding and maintaining the lush green space surrounding the school and cooperates with the community and the school in developing the grounds for use by students and University City families.

A large number of Penn schools, departments, and programs are working with PAS to enrich the students' educational experiences. Penn's Graduate School of Education is closely involved, contributing expertise and hands-on effort to PAS by providing Penn student teachers in the classrooms, professional development courses and workshops for staff, and enriched curriculum in literacy, math and science as well as an integrated global studies program at the middle grades. Penn students from all across the campus serve as interns, tutors, pen pals, and leaders of after-school clubs. Penn faculty in many different disciplines develops curriculum units and assists PAS teachers with instruction. Penn organizations provide reduced-rate or complimentary tickets and services to PAS students. Every grade at Penn Alexander has its own unique Penn partnership, and all students benefit from the depth and breadth of the school's collaboration with the University.

iii. Enhanced existing academic and institutional efforts to assist area public schools.

The Graduate School of Education at Penn has education management contracts with the School District of Philadelphia to assist two struggling elementary schools in West Philadelphia. Penn faculty have developed new curriculum units, mentoring, and professional development programs for the schools.

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33 Penn Alexander Website - http://webgui.phila.k12.pa.us/schools/p/penn-alexander

The Netter Center for Community Partnerships has helped transition seven local public schools in West Philadelphia into university-assisted community schools. Evening and weekend school programs offer academic, job training, cultural and recreational classes to all members of the community. These schools are supported by the academically based community service (ABCS) courses of over 1500 Penn student and more than 50 faculty each year. These courses have a civic action component and are intrinsically linked to Penn's core missions of teaching and research.

Through the University's Civic House, Penn students serve as tutors and mentors, while local high school students can investigate academic and career opportunities through programs at the University. Fox Leadership program also has a Big Brother/Big Sister program that engages over 300 Penn students in one on one mentoring.

There has also been development of major academic partnership projects with the community. Examples include:

- Agatston Urban Nutrition Initiative (UNI)– Community health and nutrition

- Lead Avoidance Project – Environmental health

- African American Culture and Literacy Research Project – Culture and literacy

- Moelis Access Science – Science, technology, engineering and math (STEM) education

- Community Arts Partnership (CAP) – Fine arts

- CHORDS - Collaboration of universities, communities of faith, public schools and neighborhood organizations

- Penn's Medical and Dental schools conduct health screening, education, and referral programs at four West Philadelphia schools.

Phase I	Phase II

Lessons and Considerations

Any engagement to improve a neighborhood has to consider the state of existing public schools and resources must be allocated to improve public education if needed.

Penn made a heavy financial investment to construct and support a public school

Real-estate values within the catchment area of the school sky rocketed—leading to faint cries of gentrification.

The Netter Center (formerly CCP) was involved in the initial planning efforts for the PAS and passed on the development and lead role to the Graduate School of Education. Planning efforts included a number of community stakeholders.

1. What resources can the anchor tap to support public education?

   _____

   _____

2. If not an academic institution, can it provide mentors, adopt a school, provide interactions for youth, career days etc.?

   _____

   _____

3. What financial resources can be committed?

   _____

   _____

4. What relationships exist or need to be created to identify a public school(s) to with which to work?

   _____

   _____

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5. What financial and human resources can the anchor commit?

_____

_____

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Phase V: The Penn Compact

2004: Civic engagement continues to grow

Amy Gutmann assumed leadership of Penn in 2004, and this transition to a new leadership again marked a move from one phase to another. Solidifying engagement efforts that had preceded her, she presented the *Penn Compact* in her inaugural speech. The *Penn Compact* is a vision to propel the University of Pennsylvania from excellence to eminence in all core endeavors of teaching, research, and service. Under the *Compact*, Penn seeks to retain and attract the very best faculty and students. The *Compact* sets the stage for achieving eminence by embracing three principles:

1. increased access

2. integrated knowledge

3. local and global engagement

Penn would work to address global problems by working on problems that are manifested locally such as:

- Unemployment/Underemployment

- Public Health

- Public Education

Penn collaborates with local neighborhoods on many bold initiatives to improve public education, public health, economic development, employment opportunities, quality of life, and the physical landscape of West Philadelphia and Philadelphia as well as to promote sustainable and equitable economic growth throughout the region. The *Compact* has taken civic engagement to the next level and is another turning point for Penn.[34]

This section of the toolkit focuses on ways in which Penn continues to collaborate and remain engaged with its community. Penn engages locally in the following ways:

i. Boosting civic capacity through development

ii. Continuing to improve public education

iii. Improving public health

iv. Improving quality of life

v. Driving the economy

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34 *The Penn Compact,* http://www.upenn.edu/compact/locally.html.

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	1983	1985		1992	1996		
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i.   Boosting Civic Capacity Through Development

Real estate developments continue to boost the greater neighborhood but have also helped to transform the city and the region. In 2007, there are 6.3 million square feet of commercial and residential development that are either recently completed or under construction at an estimated total cost of $4 billion.[35] Recent developments occur in a pro-investment market where Penn facilitates investment or co-invest with a developer. The following is a sampling of ten years of real estate development by the University of Pennsylvania.

> Summer 1998–present: On-going redevelopment of 40th Street to offer more retail and amenities.

> September 1998: Opening of the retail and hotel complex called Sansom Common, now known as University Square, that houses the Penn Bookstore, Inn at Penn, and 10 other retail businesses.

> January 2001: Mixed-use development of The Left Bank Apartments and Retail (270 loft apartments, with retail, and day care center)

> May 2001: Fresh Grocer, 24-hour supermarket with 700 parking garage opened at 40th Street

> November 2003: The Bridge Cinema, a six-screen theater and cafe bar, opened across the street from Fresh Grocer.

> July 2004: Marathon Grill, a local chain restaurant opened next to Bridge Cinema.

> October 2004: World Café Live, an entertainment complex for dining and live music.

> November 2004: Translational Research Lab, a state of the art 125,000 square foot bio-tech lab, constructed by a private developer through a ground lease with Penn.

> December 2006: The Hub, a $23 million, nine-story apartment complex, opened at 40th Street with 101 student apartments and 35,000-square feet of retail.

> January 2007: Condos at 42nd Street, a $15 million investment. Penn partnered with a private developer to convert a Penn office facility into 30 condo residencies to increase home ownership and stabilize the neighborhood.

> June 2007: A $71 million, eight-story apartment complex at 34th and Chestnut with 295 apartments, 23,000-square feet of street level retail, and public art.

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35 *University City Report Card*, by UCD http://www.ucityphila.org/_files/docs/reportcard07.pdf, 2007.

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In 2007, Penn acquired 24-acres of land and properties to its east and is planning to create a new neighborhood that will boost the economic, educational, and social capacity of the entire city and region. In the next decade, Penn will begin converting surface lots, fallow buildings, and eyesores on the 24-acre parcel into beautiful parks and recreational facilities, new shops and restaurants, lively arts venues, gleaming buildings for teaching, research, and technology transfer, and inviting gateways along the Schuylkill River that will better connect the University and West Philadelphia to Center City.

This strengthens Penn's ties with its neighbors and will drive economic and technological development through the city and region. At the same time, knowledge will be shared wherever there is an opportunity for students, faculty, staff, and alumni to serve and learn. By dramatically boosting the capacity and impact of teaching and research at Penn, this campus expansion will position Philadelphia for national leadership in the knowledge economy. Penn also has continued its ground leasing of University owned property to private developers to build market-rate housing and ground-floor retail.

ii.   Penn Improving Public Education

The Penn Alexander School has emerged as a model of a high-achieving, urban public school since opening in 2001. In 2007, the admission of 82% of the graduating 8th grade class to selective high schools emboldened Penn to move forward with the School District on plans to create a college-preparatory international studies high school in West Philadelphia.

Penn continues its partnership with the School District of Philadelphia to revive struggling public schools. By providing professional development and managerial assistance at two public elementary schools, Penn's Graduate School of Education has helped to improve student achievement at the Lea Elementary School and the Wilson Elementary School.

Penn is also deeply involved in assisting local schools to become educational, social and service delivery hubs for their entire community. Penn's University-Assisted Community School (UACS) model, spearheaded by the Netter Center, was awarded the inaugural W.T. Grant Foundation Youth Development Prize in recognition of "high-quality, evidence-based collaborative efforts that generate significant advances in knowledge while increasing the opportunities for young people to move successfully through adolescence with ample support and care." The Center currently works in seven public schools deepening the UACS model.

At the same time, Penn faculty and students are now deeply engaged in academically based community service (ABCS) courses, community outreach, and organizational

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	1983	1985		1992	1996		
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activities—all of which promote better educational outcomes for local schoolchildren and their families. Over 150 courses from a wide range of disciplines and schools have been developed that link Penn students to work in the community, primarily in public schools.

iii.   Penn Improving Public Health

Penn is aggressively bringing health promotion and treatment services to vulnerable and underserved members of the community who cannot access quality health care. Penn Nursing's LIFE (Living Independently for Elders) program provides nearly 300 West Philadelphia seniors with comprehensive nursing and medical care, rehabilitation, social services, and an array of recreational activities. LIFE saves the state of Pennsylvania 15% to 20% in Medicaid reimbursement costs.

Penn Smiles is another program in which dental professionals and students take a fully equipped van to deliver oral health education, dental screenings, and treatment to neighborhood children and their parents.

Penn also partnered with the School District of Philadelphia to establish a school-based community health clinic at Sayre High School, a University Assisted Community School (UACS) site, that provides health services to students, their families and community residents. The health center promotes disease prevention through health and dental screenings and through the development of a health curriculum that draws on expertise of Penn's Netter Center for Community Partnerships and Penn's schools of Medicine, Dental Medicine, Nursing, Arts and Sciences, Engineering, Law, Social Policy and Practice, and the Graduate School of Education.

iv.   Penn Improving the Quality Of Life

Penn has leveraged its investments in public safety, enhanced mortgage programs, economic development, and neighborhood beautification efforts to attract new home -owners and nearly a half billion dollars of private investment in retail and new business development throughout University City. The neighborhood's arts and culture scene is thriving and more than 300,000 square feet of retail space managed by Penn is 100%-occupied, contributing to a lively 24/7 ambience along the 40th Street commercial corridor.

At the same time, UC Green continues to spearhead volunteer beautification projects and recently planted 100 trees, just north of Penn's campus, with the help of hundreds of Penn students.

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v.   Penn Driving The Economy

Ninety-eight percent of the available retail space in University City is leased or committed. This is in comparison to an average occupancy rate of 75% of comparable retail space in other neighborhoods according to *Philadelphia Shops Update 2003-2004.*[36] With a number of new retailers continuing to express interest in locating in the area, Penn recruits new retailers and restaurants to locate in the growing West Philadelphia market by helping find the right kind of space for the commercial tenants. The University has joined with local elected officials and community organizations to jump-start the planning and redevelopment of other commercial corridors, working with the University City District in revitalizing the commercial corridors along Baltimore and Lancaster Avenues.

Penn has entered a new phase of building that is generating new jobs for local residents and new private investment in West Philadelphia. For example, the construction phase of Penn's Raymond and Ruth Perelman Center for Advanced Medicine will create more than 1,500 jobs with more than $40 million in wages and benefits, as well as $3 million in wage tax revenues. After it opens in 2008, this state-of-the-art cancer, cardiovascular, and ambulatory care center will generate nearly 1,700 jobs, as well as $129 million in wages and benefits and $72 million in goods and services annually.

Penn and its health system spends an average of $300 million annually on capital investments. Penn's capital investment strategy is comprised of direct expenditures on campus and health system construction renovations, as well as spending to leverage private development funds for University City. The estimated statewide economic impact from these expenditures is $768 million and over 6,000 jobs.[37]

Penn is at the same time, using its considerable purchasing and construction capacity, as well as its academic expertise, to encourage local business growth, empower minority and women business owners, provide women and minorities with greater access to the skilled and higher-paying trades, and create jobs. Local residents have filled more than half of the jobs created by Penn's retail ventures. Approximately 35% of all Penn construction jobs have gone to minority and women workers, and 26% of all contracts have been awarded to minority and women owned businesses.

In 2007, Penn purchased more than $86 million in goods and services from neighborhood businesses, with $49 million going to minority vendors. Penn has helped its

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36 *Philadelphia Shops Update 2003-2004.* Prepared by the Philadelphia City Planning Commission to update the previous report *Philadelphia Shops: A Citywide Study of Retail Center Conditions, Issues and Opportunities, 1989.*
37 *Creating an Enterprising Community*, Office of the Executive Vice President, Penn.

1981   **1994**   **2004**

1983 1985   1992   1996

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small-business partners acquire e-commerce capability, empowering them to compete more effectively in the open market.

To address issues of under and unemployment, Penn is rigorously dedicated to its Economic Inclusion initiatives presented earlier in the toolkit.   In addition the following two programs are currently providing additional opportunities for economic inclusion.

- Lucien E. Blackwell Apprenticeship Program provides minorities and women in the labor and skilled trade professions with the training needed to enter into the trade unions in Philadelphia. The program was launched in September 2007 with an inaugural class of 50 West/Southwest Philadelphia residents. Upon reaching apprenticeship status, participants will be assigned by the unions to construction projects at Penn.

- The Skills Development Center is an initiative of the Netter Center to prepare incumbent employees for career advancement, creating room for additional jobs for local residents. It is an employer-driven program that provides individuals with comprehensive employment connections including career coaching, and other academic and social supports for advancement in their current position. The Health system has adopted this model creating a Pipeline Development Strategy to provide current employees with training and coaching to help them advance their careers in clinical areas where severe shortages exist.

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CHALLENGES

Over the ten-year period of Dr. Rodin's tenure and in the past four years of Dr. Gutmann's tenure, Penn largely focused its resources on working to reinforce and strengthen the geographic area around Penn's campus to address the issues of blight, crime, and quality of life that were affecting Penn faculty, staff, and students on a daily basis. Efforts have not yet reached many in the community who can and should benefit through Penn's partnerships.

Right next door to Penn are troubling conditions that have been decades in the making. Disinvestment in Philadelphia's industries, decline in the employment base, poorly performing schools, weakened civic infrastructure, and institutional indifference have resulted in many people living below the poverty leave and poorly equipped for today's knowledge-based economy. These and other factors have resulted in a long-term decrease in population with an ever-growing concentration of racial minorities living in communities with substandard housing, inadequate health care, poor schooling, and limited economic opportunities.

A thorough community needs assessment conducted in the summer of 2004 by the Netter Center for Community Partnerships through the support of State Farm Insurance Company, as well as conversations with neighborhood leaders have identified issues of particular significance to the wider community. A summary of the core issues and common concerns identified by State Farm Community Needs Assessment Report is provided below.

- Developing quality K-12 public education that prepares students well for college, other post-secondary training or a skilled trade, is vital to West Philadelphia's future.

- Maintaining housing affordability to assure a diverse socio-economic community, particularly in light of concerns about "uneven" development, with lower income residents often unaffected by improvements to the neighbor hood is another significant concern.

- A concern for equity and equitable development has led to an emphasis on broadening Penn's commitment to economic inclusion and workforce development so that more members of the West Philadelphia community benefit from the University's economic activity.

1981 **1994** **2004**

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- Safety and crime prevention continue to be strongly emphasized. There is also an emphasis on increasing economic opportunities for West Philadelphians as a way to decrease the incidence of crime. Data continue to show that many crimes on or near campus are committed by youth from poor neighborhoods close to the University, further illustrating the need to expand the benefits of Penn's efforts to those who have been left behind. Indeed, a failure to do so will only increase the prevalence of crime around and on campus, placing the advances over the last two decades at risk.

Community members and the State Farm Assessment report have also raised the issue of strengthening the capacity of both community-based nonprofit organizations and community leaders in West Philadelphia. In addition, Penn's developing a more rational policy for determining which community organizations it will work with and support has been raised. The State Farm Needs Assessment further identified the need for skills development in the adult population, a core sub-component of an effective economic inclusion strategy.

It should be noted that improving community health has been highlighted by leaders of communities of faith, schools, and community organizations in West Philadelphia.

Finally, it is widely recognized that Penn's new campus development provides an extraordinary opportunity for the university to be the catalyst for regional economic development to help West Philadelphia become a nationally, indeed globally, recognized cultural and economic destination.

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Lessons and Considerations

Penn's process is still evolving. As the work continues there are still issues that need continued focus.

The geographical areas in West Philadelphia, immediately outside of Penn's investment area, are still challenged by urban social issues.

The value of housing within the catchment area of the Penn Alexander School has skyrocketed.

The jump in real-estate values in the mortgage program boundaries has rendered the program unattractive to average university staff who cannot qualify for the program because of insufficient salaries.

Despite all the investments in education by Penn, West Philadelphia schools still rank at the bottom in terms of performance citywide.

Health statistics in the neighborhood reflect continued challenges for the residents

1. What impact can your institution have in addressing the social challenges of the community.

   _____

   _____

2. What are the investments necessary to create deep sustainable changes? How much of an investment can your institution contribute and how can your institution leverage other resources to close the gap.

   _____

   _____

1981   **1994**   **2004**

1983 1985   1992   1996

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3. Similar to the *Penn Compact*, Does your institution's leadership have a clearly defined vision for the future of the anchor and its relationship with the community?   If yes, what are the key opportunities for utilizing this toolkit to advance that vision? If no, what steps need to be taken to create such a vision?

_____

_____

_____

_____

4. What opportunities does your institution have for developing job training and career advancement program for community residents?

_____

_____

Section 3: Mastering the Tools

The identification of the initiatives that Penn utilized as tools was also based on studying the social, political, and economic forces at work in West Philadelphia. Before any initiatives can be appropriately implemented it is important for an anchor to consider the following: it's

Geography or Location

History

Resources

Socio-economic Landscapes

Political Landscape

Public and Private Sector Realities

Roles of Leadership

Administration

Partnerships

This analysis of information is critical and necessary to frame goals and determine appropriate tools. An institutions engagement must be guided by planning that is strategic and implementation-oriented. In addition to the initiatives, Penn was guided by certain approaches, principles, policies and strategies. In retrospect it is also possible to examine some key ingredients that enabled Penn to engage holistically with the community.

But what does this all mean for your institution? You may be asking yourself:
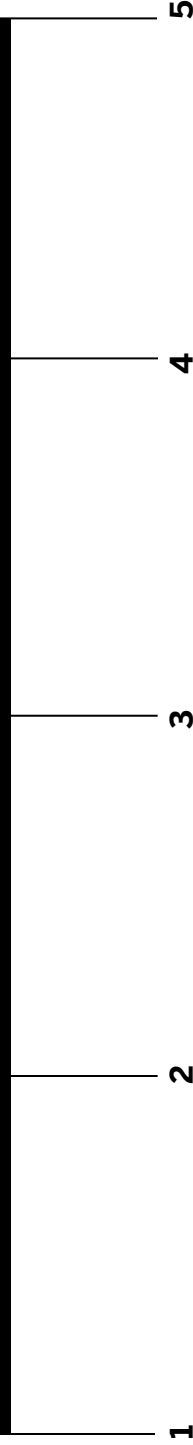
What is in the Penn Story for my Institution?

What lessons learned can apply to its context?

Where to begin?

How to begin?

This section on mastering the tools presents a framework of five major action steps to get started based on lessons learned from Penn's evolving experience. The framework is not a blueprint but a guide designed to unearth appropriate answers for your institution. The layout is as an interactive workbook, having room to complete exercises, and answer stimulating questions that will generate informed discussions.

Five Steps of Action

1

ASSESSMENT AND ANALYSIS

a. Map needs and assets

b. Identify present and future conditions and trends

c. Issues: determine opportunities & constraints

d. Identify resources—internal and external

e. Identify partners and stakeholders

f. Decide to proceed

2

SYNTHESIS

a. Establish collaborative agreement for working with partners and stakeholders

b. Define goals and objectives

c. Identify possible solutions

d. Identify tools to deliver the desired results

3

CHOICE AND RECOMMENTATIONS

a. Evaluate and select tools.

b. Allocate responsibilities and resources

c. Create an action plan with objectivies, responsibility, time frame, and expected outcomes

d. Create a timeline: short- and long-term

e. Determine means to evaluate and reassess actions and results

4

IMPLEMENTATION

a. Identify the most appropriate issue to tackle that will be successful and catalyze the community instilling momentum to employ the other tools.

b. Building on initial success determine implementation schedule for other solutions

c. Reassess and reallocate resources as needed

d. Document implementation process

5

EVALUATION

a. Collect data

b. Analyze the data

c. Identify lessons learned Report to stakeholders

Assessment and Analysis

In this phase, conduct a preliminary exploration and analysis of the issues and challenges facing the community to determine whether or not there are enough resources or opportunities for capacity building and collaboration to address challenges before deciding to proceeding.

Synthesis

This phase requires exploring the potential of the anchor and to begin to test these potentials through brainstorming alternative approaches of addressing identified community issues and challenges. Another purpose of this step is to establish a collaboratively relationship with partners and stakeholders, agree upon goals, objectives and desired results. This phase begins the task of determine appropriate tools for the community.

Choice & Recommendations

This phase begins the shift from analysis to action. The purpose is to choose the most appropriate tools for the anchor to utilize going forward and to decide where to apply resources initially.

Implementation

Develop strategies to put the first steps into action.

Evaluation

The purpose of this step is to monitor the work as it unfolds so that lessons learned can be recorder and inform the process in the future. This becomes a recurring step through the process.

Throughout all these steps one element that continually influences each phase is the values of the stakeholders which need to be considered at all times. Use the following worksheets[38] to assist in getting started.

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38 Note: Worksheets 1-5 adapted from A Manual for Small Downtowns by Martin Shields and Tracey Farrigan, The Pennsylvania State University, April 2001.

Worksheet 1: Assessment

When planning for rebuilding, revitalizing, strengthening and improving neighborhoods, it is essential that your institution understands the limits of its capabilities and extent of its resources. A SWOT analysis is an excellent tool to begin this analysis as it evaluates the Strengths, Weaknesses, Opportunities and Threats of a particular project or entity. This worksheet can in addition be used to analyze the community and any proposed projects. As it is presented, it is worded to analyze of the strengths and weaknesses of the anchor.

What are the institutions strengths?	What are its weaknesses?
1. 2. 3. 4.	1. 2. 3. 4.
What are the opportunities?	**What are the threats?**
1. 2. 3. 4.	1. 2. 3. 4.
How can it enhance its strengths?	**How can it mitigate weaknesses?**
1. 2. 3. 4.	1. 2. 3. 4.
How can it capitalize on opportunities?	**How can it minimize threats?**
1. 2. 3. 4.	1. 2. 3. 4.

When making choices and recommending courses of action, it is important for an anchor to honestly assess its ability to undertake particular initiatives solely or collaboratively with other partners. Similarly, it is important to assess how willing the community might be to embrace potential initiatives and resulting projects. This worksheet is designed to facilitate such an analysis. For each potential strategy, evaluate your institution's or community's capacity to implement the proposed project using the following scale, also thinking of the available resources to complete the project.

1 = very high capacity; 2 = high capacity; 3 = medium capacity; 4 = low capacity; 5 = very low capacity; NA = not applicable

Project name:		
Evaluate capacity	**Score**	**Available resources**
Human Resource capacity		
Within mission		
Willing leaders		
Time requirements		
Local attitude		
Political clout		
Adequate organization infrastructure		
Dedicated staff		
Collaboration Capacity		
Community groups		
Attitudes and relationships		
History		
Financial Capacity		
Local funding		
Grant writing skills		
Available staff to manage & oversee		
Overall	1 2 3 4 5	1 2 3 4 5

Worksheet 3: Risks and Benefits Analysis

When evaluating potential strategies and projects, an anchor might want to carefully consider potential benefits and costs of a strategy. Evaluate each with the following worksheet keeping in mind that both costs and risks can be monetary or non-monetary.

	Low benefit	Medium benefit	High benefit
High risk	E	D	C
Medium risk	D	C	B
Low risk	C	B	A

In this grid, items with low risk and high benefits will be found in Box A. These projects might be priority projects. Projects in Boxes B and C may also be attractive as they offer a relatively good ratio between expected benefits and risks. Project in Boxes D are medium to high risk with low to medium benefit and projects in Box E are characterized by high risks and low benefits and may not be suitable for pursuing.

Revitalization efforts typically involve a number of people and organizations. As a result, good communication becomes important. When projects are undertaken, there should be a means to keep related groups aware of all ongoing activities. By developing—and acting on—a worksheet such as the following, your group can keep communications open.

How will we keep each other informed?

Techniques	Person responsible	How frequently?

How will you keep the community informed and engaged?

Techniques	Person responsible	How frequently?

How will we keep the partners informed and engaged?

Techniques	Person responsible	How frequently?

How will you communicate with other stakeholders?

Techniques	Person responsible	How frequently?

Worksheet 5: Evaluation Guide

It is important to critically evaluate ongoing projects. Use this worksheet for each project that is initiated. If your accomplishments fall short of your objectives, think about steps that can be taken to get the project back on track. If you successfully completed a project, make sure you thank all participants and celebrate the success.

This year's objective	What we accomplished	Resources used	People or oranizations responsible

One way to determine your first step is to start by identifying the easiest task, so you can generate quick wins. Then identify the toughest but most strategic task so you can begin laying the groundwork for the long-term efforts. Estimate the timeframe required to accomplish the tasks and list the resources you will need to complete them:

	Timeframe for accomplishing the task	Resources required to successfully complete the task
The quickest task		
The most difficult but most strategic task		

To explore what's in Penn's story for your institution, please examine the next ten items that summarizes approaches from Penn's evolution that you may find applicable.

1. **Regularly Nourish the Process**

Through the Office of Government and Community Affairs, Penn embarked on fostering an atmosphere of transparency creating lines of communication with the community and vested stakeholders. The capstone of this effort is the monthly First Thursday Meetings held in the public library at 40th Street to which all community stakeholders and university administrators are invited and regularly attend to nourish the process of transparency.

List ideas of how to nourish the process at the anchor institution:

_____

_____

_____

_____

2. **Recognize the importance the social fabric of the community and conduct a community needs assessment**

The Netter Center for Community Partnerships, funded by State Farm, was able to conduct a full community needs assessment of West Philadelphia. That study was and is still used to provide information on critical socio-economic issues that continue to face the neighborhood. Penn is able to mobilize it's wealth of academic and research capabilities to analyze where there are strengths, weakness, opportunities and threats.

What resources does the anchor need and which are available to undertake a community assessment?

_____

_____

3. **Develop A Vision, A Strategy And A Plan For Deploying Leadership And Resources.**

Penn's president took the lead and worked with the Board of Trustees, the Vice President for Government, Public and Community Affairs, Executive Vice President and other administrative staff to develop and implement the tools.

Who are the critical participants from senior leadership of the institution that need to be engaged? Who are the critical participants from the community?

_____

_____

4.   Decentralized the approach

To foster a commitment by stakeholders, spread the leadership, management and communications responsibilities across major administrative departments. This makes meeting goals part of everyone's responsibility.

How would you approach decentralizing the work?

_____

_____

Identify departments and their roles:

_____

_____

5. Seek true partnership

Foster an environment that builds trust.

*T*he following are basic elements of a good partnership as outlined in *Building Partnerships with College Campuses*:[40]

- Community Perspective

- An understanding of each partner's assets and capacities to participate

- Shared decision making and resource allocation

- Realistic expectations

- Knowledge of community needs

- Diverse representation and participation

- An understanding of different ways to work in communities

- Adherence to basic standards for planning for using and interacting with another's resources

The following will strengthen partnerships, the more they are practiced, and the more likely engagement is to produce meaningful and sustainable results. The wording has been changed to apply to all types of anchors not only academic campuses.

- Recognize that communities and anchors each have multiple players and perspectives

- Existence of people in communities who can network and make connections

- Attention to building capacity of all partner organizations

- Specific opportunities for community partners to make use of anchor resources, such as conference rooms for meetings, attending classes etc.

- Attention to the institutionalization of an anchor's partnership with the community.

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40   *Building Partnerships with College Campuses: Community Perspective, A Monograph* by Sally Leiderman, Andrew Furco, Jennifer Zapf and Megan Goss.

List other ways to true partnership:

_____

_____

_____

_____

6. Work with local officials

This is critical as actions by anchors have resonating effects not only in the immediate surrounding neighborhood but potentially on the city and region. Penn established working relationships with local and state politicians, city administrative offices and municipal offices.

Who are the local officials essential to making any efforts successful?

_____

_____

How can you reach out to them?

_____

_____

7. Leverage resources by stimulating major investments by the private sector.

Penn took a risk by making major investments in the real estate market, which catalyzed other private investors to follow suit and seek investment opportunities in the area. Since 1990, Penn's West Philadelphia institutional neighbors, Drexel University and University of the Sciences of Philadelphia (USP) have also made major real estate investments.

Who are other potential investors for the community? Public and private?

_____

_____

_____

Consider creating partnerships with a conglomerate of smaller investors to create a critical mass for development. Who are potential smaller investors?

_____

_____

_____

8. **How will projects be identified and leveraged to become catalysts for further change?**

How can short-term 'wins' be generated?

_____

_____

How will you consolidate the gains and build on them?

_____

_____

How will you embed changes in the culture of the institution?

_____

_____

9. **Establish and maintain constant communication**

Via various means of communication: electronic, postal, community meetings, board meetings, newsletters, newspapers, keep the neighborhood engaged and informed of plans.

What are some ideas for a communication strategy?

_____

_____

_____

_____

10. **Develop explicit detailed plans for proposed activities with an overall strategy for integration.**

Begin to develop an action plan and document proposed activities:

_____

_____

_____

_____

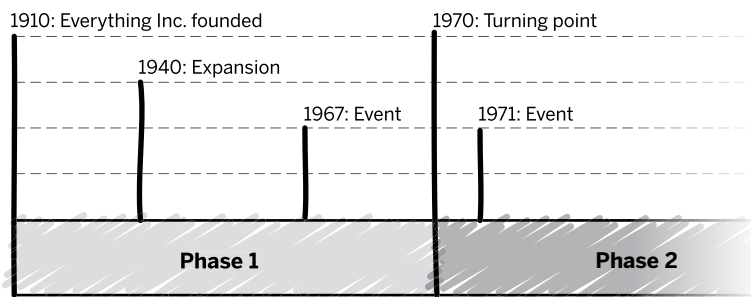*Use the following page to begin to layout a timeline.*

Create a Timeline

Use this space to draft a timeline for your own institution's relationship with the community. Locate significant events to identify boundaries. Define intervals of little or gradual change as distinct phases of development.

more significant

less significant

Example:

1910: Everything Inc. founded   1970: Turning point

1940: Expansion

1967: Event   1971: Event

Phase 1   **Phase 2**

Key Terms

Through all the work that Penn continues to do, these words appear again and again and are helpful for anchors to keep in mind.

Using the words below, write sentences relevant to your anchor's past, current, or future actions.

We have

Collaborate _____
_____

Connect _____
_____

Support _____
_____

We are

Partner _____
_____

Engage _____
_____

We will

Imagine _____
_____

Initiate _____
_____

Create _____
_____

We hope to

Develop _____
_____

Innovate _____
_____

The following words describe aspects of Penn's approach to community revitalization.

Use the space provided to think of additional words and phrases that could characterize your institutions approach.

Area-wide | Planning included a broad impact area, not just targeted areas that would be beneficial to Penn. The impact area considered all neighborhoods that could be affected by the institutions actions.

Market-driven | Revitalization plans were based on an evaluation of the real estate market, as well as information on social needs and political demands.

Data-linked | Utilize up-to-date existing data; census, municipal

Collaborative | Communication and coordination with community members as well as political leaders.

fold here

Guiding Principles

Below is a list of principles that have guided Penn's actions.

Add your ideas to Penn's 'to-do' list.

To-do

Clear identification of investment priorities and return objectives.

Leveraging of Penn resources with public, private and civic support systems.

Stimulation of market forces to revive the housing and commercial climate

Ongoing consultation and sustained dialogue with community members prior to and during implementation

Commitment to improvement activities that are sustainable Penn's resources are seed money for long term sustainable change in the community.

Penn also considered what not to do. It is also important to think of any actions your anchor should avoid.

Use the Space provided to create a not-to-do list.

Not-to-do

Penn would not expand the campus to the west or north into residential neighborhoods.

Penn would not act unilaterally and would actively engage the community in candid dialogue about plans before they were finalized and implemented.

Penn would not promise anything that the University could not deliver.

Key Ingredients

How was Penn able to implement these initiatives? Some key ingredients that contributed to the transformation in West Philadelphia include:

- Committed and demonstrated institutional leadership

- Senior administrators acknowledge the importance of this work and are willing to participate.

- An entity within the anchor that pushed and promoted the agenda for engagement

- Preparation

- Opportunity for participation by stakeholders

- Linking of the efforts with the Core mission of Penn. The work was academically informed.

Ingredients for anchors to consider

- Leadership

- Internal structure

- Partners

- Relations with community

- Relations with city government

- Time lines and obstacles

- Financing

List additional ingredients for your anchor:

_____

_____

_____

_____

_____

_____

_____

The following summarizes lessons learned from the research as this toolkit came together including interviews, reports, and books.

A decision to engage in neighborhood revitalization requires bold actionable steps. To remain with the status quo means working with the same forces that brought the community to the point that required transformation.

Think of the scale necessary to create significant transformation. The scale of initiatives must be of significance to have any impact on the local community.

Create a vision and credential that vision to everyone. Credential vision with all stakeholders and seek endorsement from all constituents. This ensures that all participants are knowledgeable of the end goals and become willing proponents of initiatives.

Local government has to play a role from the beginning. Local government has the power and the ability to make the process easier, by enacting ordinances and policies to support revitalization. Local governments can also play a critical role in leverage financing as private anchors are not always eligible for all streams of funding. Local governments can also play a role in negotiating land acquisition for anchors to undertake development.

Be convicted and confident in fostering relationships and gaining deeper understanding from other places, anchors etc. Seek institutions already involved in this type of engagement to learn from them. Often institutions are ready to share and learn from each other.

Anchors must be prepared. Preparation can take years. It is necessary to create an environment conducive to the kind of change desirable but it needs to be understood that this has to begin long before change will be evident.

Always celebrate wins. Especially initially, build momentum and create a psychological environment that celebrates even small victories at the same time that you are trying to create an improved built environment.

Create incentives and reasons for partners to engage. This type of work requires collaboration at all levels. Negotiate with potential partners, local government, other institutions, communities and offer incentives that may encourage their participation.

Attract diverse partners. Reach out to the private sector, the public sector and community groups.

Leverage strengths with nearby anchors. Explore partnering with other nearby anchors to pool resources and collaborate to meet shared goals.

Adopt a multi-pronged approach. Manage multiple objectives as concurrent intervention on several fronts signals commitment, creates leverage and has deeper impact.

Prepare a solid framework and timeline for this work. Not only must this work be strategic and bold but it must be based on a realistic and full assessment of social, economic and political forces at work with a clear map and timeline toward implementation.

Seek out creative developers. The prevailing market data does not always predict future demand and market potential. For real estate initiatives, choose developers who are not risk averse and are willing to see the opportunities not based on existing conditions but based on a transformed community.

Maintain adaptability and flexibility. Not everything will go according to plan. Be prepared to learn from mistakes and to adapt to shifting priorities.

Adopt patience to deal with setbacks, delays, and criticism. Remain cognizant that this type of work and engagement is characterized by challenges and it is imperative to not to let those derail your efforts.

Break down psychological barriers. Embark on marketing and promotional campaigns to challenge negative perceptions of the community and instead highlight the potential of the community beyond a built environment that is often blighted and distressed.

Include meaningful community participation and dialogue in formulating goals and strategies. Ensure that the community is represented at all stages of engagement.

Collaborate at all times where possible and keep the process transparent. People working towards shared goals produce better results

Maintain open communication with stakeholders. Be mindful of giving credit to others, often and generously.

Engage in capacity building. Empowering community residents to action increases the chance of shaping public outcomes.

Distinguish between developing common aims and seeking consensus. There are risks associated with developing an open deliberative process, diagnosing needs, and seeking allies when the balance of access to resources is one-sided. An anchor that is perceived as having the decision making power because it has a wealth of resources, must work harder to create and foster a collaborative environment that is characterized by the identification and agreement of common goals and not by a rubber stamped approval from other stakeholders of the anchor's goals.

Always keep in mind the rewards. The results of this work and type of engagement can be categorized by a stronger improved anchor institution relating with a stronger improved neighborhood.

Closing Statement

The aftermath of Hurricane Katrina vividly revealed what Jonathan Kozol (2005) has labeled "the shame of the nation"[41]—the disasters of extreme poverty, persistent deprivation and pernicious racism that occur daily across much of urban America. These inexcusable daily disasters are often visible in the shadows of some of the nation's foremost institutions, and indeed are a few blocks from Penn's campus.

By focusing on and working to solve highly complex, universal problems (Penn's focus in West Philadelphia include; Education and College Access, Economic Inclusion, Affordable Housing, Health of the Community, and Regional Economic Development) manifested locally, anchors will not only improve the quality of life in their communities, but also significantly advance their core mission by galvanizing their extraordinary resources and harnessing the creative energies through collaboration and partnering. Anchors can play a lead role in neighborhood transformation by changing their perspective of the importance of their role, especially in urban environments and making a commitment to alter its ways of interacting and transacting with its local, city, regional, national and global community.

The list of lessons learned continues to grow as Penn increasingly embraces its role as an anchor of West Philadelphia. Anchors, especially universities, are equipped to be agents of change because of their wealth of intellectual, financial and human resources. Penn is focused on improving the quality of life in West Philadelphia, and also significantly advancing its contributions to research, teaching, learning, and service, creating the united action President Gutmann has called for to fulfill the Penn Compact.

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41 *The Shame of the Nation: The Restoration of Apartheid Schooling in America* by Jonathan Kozol (2005)

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