




2015

# Urban Development in Practice and Theory: A Baltimore Neighborhood Revitalization Model and a UNESCO Framework

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# Urban Development in Practice and Theory: A Baltimore Neighborhood Revitalization Model and a UNESCO Framework

## **Abstract**

This thesis compares a nonprofit planning real estate development model and a preservationist framework recently created by UNESCO to explore to what extent can these two models of urban development be combined to create the most positive impact on quality of life at the neighborhood scale? The first, The Reinvestment Fund, Development Partners, a nonprofit operating in Baltimore, MD utilizes the Federal Historic Tax Credit to retain the character of the neighborhood and create a more stable economic landscape. The second, the Historic Urban Landscape approach, is a UNESCO recommended framework to integrate historic fabric into urban areas undergoing modern development and reconcile the modern needs of a city and its historic past. The goal of this thesis is to combine the two methodologies in order to equally provide a positive future for the buildings and people of historic neighborhoods.

## **Keywords**

historic urban landscape (HUL), The Reinvestment Fund Development Partners (TRF DP), redevelopment, cultural landscape, Baltimore MD

## **Disciplines**

Economic Theory | Environmental Studies | Historic Preservation and Conservation | Urban, Community and Regional Planning

## **Comments**

Suggested Citation:

Mazie, Amanda (2015). *Urban Development in Practice and Theory: A Baltimore Neighborhood Revitalization Model and a UNESCO Framework*. (Masters Thesis). University of Pennsylvania, Philadelphia, PA.

URBAN DEVELOPMENT IN PRACTICE AND THEORY:  
A BALTIMORE NEIGHBORHOOD REVITALIZATION MODEL AND  
A UNESCO FRAMEWORK

Amanda Simon Mazie

A THESIS

in

Historic Preservation

Presented to the Faculties of the University of Pennsylvania in  
Partial Fulfillment of the Requirements of the Degree of

MASTER OF SCIENCE IN HISTORIC PRESERVATION

2015

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## DEDICATION

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I would like to dedicate this thesis to my parents. I would not have made it without their continued support and constant encouragement throughout my college and graduate school career.

## ACKNOWLEDGEMENTS

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I would like to thank my advisor David Hollenberg for his insight and advice over the past two years.

Special thanks to:

Dr. Ron van Oers, WHITRAP UNESCO

The Reinvestment Fund, Development Partners Team

Martha Cross, Carolyn Placke, and Sean Closkey

The Reinvestment Fund, Policy Solutions Team

Lance Loethen and Carl Kunda

## TABLE OF CONTENTS

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<b>1</b>	<b>CHAPTER ONE: INTRODUCTION AND LITERATURE REVIEW</b>	
1.1	INTRODUCTION & THESIS QUESTION	1
1.2	RESEARCH METHODOLOGY	3
1.3	LITERATURE REVIEW	4
1.3.1	PLANNING LITERATURE	5
1.3.2	HISTORIC PRESERVATION LITERATURE	9
1.3.3	HISTORIC URBAN LANDSCAPE LITERATURE	16
1.3.4	BALTIMORE HISTORY & REDEVELOPMENT	19
1.4	CONCLUSION	23
<b>2</b>	<b>CHAPTER TWO: WHAT IS THE HISTORIC URBAN LANDSCAPE (HUL)?</b>	
2.1	INTRODUCTION	25
2.2	HISTORY AND SIGNIFICANCE	25
2.3	TOOLS	28
2.4	CONCLUSION	31
<b>3</b>	<b>CHAPTER THREE: THE REINVESTMENT FUND, DEVELOPMENT PARTNERS (TRF DP) IN BALTIMORE, MD</b>	
3.1	INTRODUCTION TO TRF, DP	32
3.2	HISTORY OF REDEVELOPMENT IN THE OLIVER NEIGHBBORHOOD	33
3.3	TRF DP HISTORY AND THEORY	36
3.4	TRF DP DEVELOPMENT MODEL	42
3.5	CONCLUSION	47
<b>4</b>	<b>CHAPTER FOUR: OLIVER NEIGHBORHOOD COMMUNITY IMPACT ASSESSMENT SURVEY</b>	
4.1	INTRODUCTION	49
4.2	SEPTEMBER IMPACT ASSESSMENT SURVEY EVENT	51
4.3	HISTORIC PRESERVATION – IMPACT ASSESSMENT SURVEY INDICATORS	52
4.4	SUMMARY OF DATA COLLECTION FINDINGS	55
4.5	IMPLICATIONS FOR FUTURE DEVELOPMENT	56
<b>5</b>	<b>CHAPTER FIVE: COMBINING THE DEVELOPMENT MODELS</b>	

5.1 INTRODUCTION	59
5.2 STRENGTHS AND WEAKNESSES TRF DP	60
5.3 STRENGTHS AND WEAKNESSES OF TRF DP	63
5.4 THE COMBINED DEVELOPMENT MODEL	66
5.5 CONCLUSION	71
<b>6 CHAPTER SIX: RECOMMENDATIONS FOR FUTURE RESEARCH</b>	
6.1 IMPLEMENT A LARGER SURVEY EFFORT	72
6.2 DEVELOP SPECIFIC PROGRAM PROTOCOLS TO HELP CONVERT RENTERS TO HOMEOWNERS	72
6.3 EXPAND PRODUCT TYPE TO INCLUDE MIXED USE AND RETAIL	73
<b>7 CHAPTER SEVEN: CONCLUSION</b>	75
<b>BIBLIOGRAPHY</b>	76
<b>APPENDICES</b>	
APPENDIX A: TRF NEIGHBORHOOD IMPACT ASSESSMENT SURVEY, SEPTEMBER 2015	82
<b>INDEX</b>	88

## LIST OF FIGURES

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**FIGURE 1:** HISTORIC URBAN LANDSCAPE MODEL

**FIGURE 2:** LOCATION MAP OF OLIVER NEIGHBORHOOD IN EAST BALTIMORE - TO THE NORTH OF JOHNS HOPKINS HOSPITAL AND EAST OF AMTRAK PENN STATION

**FIGURE 3:** MAP OF NATIONALLY DESIGNATED HISTORIC DISTRICT: BROADWAY EAST/ SOUTH CLIFTON PARK, HIGHLIGHTING OLIVER NEIGHBORHOOD, 2002

**FIGURE 4:** EXPANSION MAP CREATED BY EAST BALTIMORE DEVELOPMENT INC. (EBDI) – JOHNS HOPKINS: SITE PLAN FOR EAST BALTIMORE NEIGHBORHOOD EXPANSION, 2009

**FIGURE 5:** TRF DP MAP OF VACANT BUILDINGS AND LOTS BEFORE REDEVELOPMENT, OLIVER NEIGHBORHOOD, 2006

**FIGURE 6:** TRF DP MAP OF CURRENT OWNERSHIP AND VACANCY AFTER REDEVELOPMENT, OLIVER NEIGHBORHOOD, 2014

**FIGURE 7:** THE REINVESTMENT FUND, DEVELOPMENT PARTNERS DEVELOPMENT MODEL

**FIGURE 8:** IMAGE OF SURVEY PARTICIPANTS AT MEMORIAL BAPTIST CHURCH IN THE OLIVER NEIGHBORHOOD, SEPTEMBER 2014

**FIGURE 9:** MAP OF 15 SURVEY RESPONDENTS CURRENT HOUSEHOLD LOCATION – OLIVER STUDY AREA IS OUTLINED IN RED, SEPTEMBER 2014

**FIGURE 10:** OLIVER COMMUNITY SURVEY EXCERPT FOCUSING ON PRESERVATION, SEPTEMBER 2014



## CHAPTER ONE: INTRODUCTION AND LITERATURE REVIEW

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### 1.1 INTRODUCTION & THESIS QUESTION:

Past dialogue within the preservation field has often struggled to create a justification for why preservation goals belong in the forefront of discussion within the planning and real estate development field. The dialogue is extremely one-sided, the argument that old buildings are instrumental to the well being of an urban place primarily being made by passionate preservationists. However, the planning and development profession has almost unilaterally failed to respond or utilize tools outlined by preservationists in their development processes. In particular, the use of the Federal Historic Tax Credit for the rehabilitation of historic buildings is a tool that is often, and surprisingly, overlooked in the development profession despite its remarkable impact since its inception in 1976<sup>1</sup>. However, there is a surplus of preservation literature written extensively on the social and financial benefits of reusing older buildings and maintaining the physical qualities of a historic neighborhood.

This thesis compares a current planning affordable real estate development methodology and a recently created preservationist framework to analyze the extent to which these two methodologies might be combined to create the best possible product. What is the extent to which two models of urban development (Historic Urban Landscape and The Reinvestment Fund, Development Partners; herein HUL and TRF DP respectively) can be combined to create the best possible outcome and most positive impact on quality of life at the neighborhood scale? The goal is that these two methodologies can be combined to provide for all income levels, especially in the capacity of utilizing historic resources to provide an increased amount and quality of affordable housing.

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<sup>1</sup> "History and Culture," National Park Service, accessed February 2015, <http://www.nps.gov/history/tax.htm>.

The Reinvestment Fund, Development Partners is a non-profit housing developer focusing its activities in Baltimore, Maryland. They work in the Oliver neighborhood, directly adjacent to Johns Hopkins Hospital and within two miles of downtown Baltimore (FIGURE 2). Since 2008, TRF DP has focused its energy in partnering with local community groups and the City of Baltimore to acquire properties and reinvest in the area's vacant housing stock. The TRF DP model of development focuses on the use of the Federal Historic Tax Credit to support their activities in providing affordable rental housing. They specifically chose to work within a nationally designated historic neighborhood and place great stress on the preservation of the neighborhood fabric and the conservation of the Baltimore row house form, in combination with the introduction of compatible new buildings.

The Historic Urban Landscape (HUL) approach was approved by UNESCO in 2011 and is intended to become a framework for redevelopment in historic urban areas around the world. The HUL approach to integrating historic fabric into urban areas undergoing modern development attempts to reconcile the modern needs of a city and its historic past. It looks at the city as a layering of social, cultural and economic qualities and advocates for the use of civic engagement, knowledge and planning, regulatory systems, and financial tools. HUL is a way to assess the urban context that focuses on quality of life and collective memory. The HUL approach to development seeks to first understand the historic city as a complex layering of meanings through undertaking a comprehensive survey and mapping of resources. HUL then stresses the importance of participatory planning and vulnerability assessment to understand how to fit heritage values into the wider framework of city development.

## 1.2 RESEARCH METHODOLOGY

The research methodology used to examine this thesis question includes the synthesis of predominantly primary sources and personal experiences by the author. The author spent two full years (May 2013 to May 2015) interning and working alongside the development and finance team at The Reinvestment Fund, Development Partners (TRF DP). Through this experience, the author gained first-hand knowledge through interviews, presentations and meetings with the TRF DP team. To supplement this information, a literature review analyzes the attitudes of the preservation and planning field towards urban redevelopment with the use of the Federal Historic Tax Credit.

In the summer of 2014, the author travelled to Shanghai, China as a part of the Preservation Planning Praxis to develop a cost benefit analysis for the adaptive reuse of Shanghai Lilong housing structures through the use of the Historic Urban Landscape (HUL) approach. The author worked directly with Dr. Ron van Oers of the World Heritage Institute of Training and Research for the Asia and Pacific Regions (WHITRAP) under the auspices of UNESCO on the project. This experience along with an assessment of the available literature and writings on HUL serves as the foundation for this thesis.

As a joint project between TRF DP and TRF Policy Solutions, the research arm of TRF, the author organized an impact assessment survey to document the current experiences of the residents living in the Oilier neighborhood of Baltimore, MD. The survey asked comprehensive questions on quality of life, food access, education, housing situation and impressions of the redevelopment work occurring in their neighborhood. The results are used to assess the TRF DP model of redevelopment and the results of the process.

The information collected from the above stated sources is combined to graphically chart the two development models used by HUL and TRF DP. Then, a comparison and analysis of

the two methods leads to a combined and improved redevelopment model. Finally, the incorporation of an impact assessment study provides information on the social effect in Baltimore, MD resulting from the TRF DP development model. This information is incorporated to further analyze how to improve on both models of development.

### **1.3 LITERATURE REVIEW:**

The following literature review examines past literature from the point of view of the planning profession and the preservation field on methods to create and redevelop housing in urban areas. This review will seek to understand the extent to which each perspective combines preservation and planning objectives to meet the needs of urban cities.

The available literature that interweaves preservation and planning goals in the housing redevelopment field is much less than one might expect. There is a large gap in knowledge among planning and development professionals about the tangible and intangible social, financial and cultural benefits of historic preservation. Planners and developers view the historic built environment as secondary to planning goals such as unit count optimization and social cohesion within mixed income communities. On the other side, preservationists also often fail to make a strong case about the goals and incentives of preservation.

This literature review seeks to find prior examples of similar affordable redevelopment methods in urban development and affordable housing development. The review interweaves literature from four categories of study to create a comprehensive examination of current dialogue. It looks at the recommendations in historic preservation literature on how to approach affordable housing development and recommendations in planning literature on affordable housing models. Then it assesses to what extent each viewpoint includes either historic preservation or planning goals. Then, an assessment of the Historic Urban Landscape (HUL)

approach is undertaken, along with an evaluation of HUL recommendations on how to approach urban development. Finally, an overview of the history of Baltimore, Maryland's redevelopment activities is reviewed, as a historic neighborhood in Baltimore is the primary case study for this thesis. The review will seek to answer questions about how the City of Baltimore has previously approached redevelopment, and information about Baltimore's goals and perspectives.

### **1.3.1 PLANNING LITERATURE:**

Much of the planning literature is split into two viewpoints on how to best implement urban affordable housing policy: supply side and demand side economic theory. The three main approaches that are analyzed are the Low Income Housing Tax Credit (LIHTC), housing vouchers and public housing. Both the LIHTC and voucher programs can be intertwined with the Historic Tax Credit to create opportunities in urban areas and use redevelopment as a tool for provide new housing opportunities. However, much planning literature fails to recognize this link and instead focuses on overhauling existing programs instead of including new tools. The literature also to a varying extent focuses on the community effects of redevelopment and how each method can effectively support positive society growth.

David Listokin, the Co-Director of the Center for Urban Policy Research and Graduate Director at the Rutgers School of Planning and Public Policy, examines the best practices of rehabilitation of affordable housing and to what extent a variety of housing tax credits can support rehab in his 2006 text, *Best Practices for Effecting the Rehabilitation of Affordable Housing: Volume I & II*. His text measures the positive aspects of the Low Income Housing Tax Credit, New Markets Tax Credit and the Historic Tax Credit. Eventually, Lisktokin concludes that the "rehab or adaptive reuse of vacant or underutilized historic buildings as affordable housing

... [is] an important strategy for community revitalization<sup>2</sup>” and that planners may have missed this opportunity. This text ignores all recommendations on the interaction with the community or anti-gentrification methods and omits any pre-development steps such as community meetings or approvals. Its development analysis starts only with city and federal policy as barriers to acquisition methods. Additionally, there is also no reference to quality of life at the neighborhood scale, nor any discussion of social benefits from redevelopment.

Edward Glaeser focuses on federal housing policy and housing consumption trends in his 2008 text, *Rethinking Federal Housing Policy: How to Make Housing Plentiful and Affordable*. He writes about the importance of government regulations, land-use and price controls as barriers to affordable housing. He states that price controls only restrict incentives to attract investment and explores drawbacks of voucher programs and the Low Income Housing Tax Credit (LIHTC) program, and observes that the voucher program and the LIHTC only bring benefits to developers, not poor residents. There is no mention of the FHTC or adaptive reuse through the reuse of vacant historic homes to provide a new supply of housing.

The 2012 article in *Housing Policy Debate*, *Beyond NIMBY and Poverty Deconcentration: Reframing The Outcomes Of Affordable Rental Housing Development* by Corianne Payton Scally and Richard Koenig, compares the results of existing research focused on NIMBY-ism (Not In My Back Yard) concerns around programs that work to de-concentrate the poor. NIMBY-ism is a significant barrier to the development of affordable housing and the efforts to decentralize low-income residents. Current policies do not address local NIMBY concerns and fail to educate

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<sup>2</sup> Listokin, David and Crossney, Kristin et al. *Best Practices for Effecting the Rehabilitation of Affordable Housing: Volume I – Framework and Findings & Volume II – Technical Analysis and Case Studies* (U.S. Department of Housing and Urban Development Office of Policy Development and Research, 2006), 46.

biased fears.<sup>3</sup> In addition, the text recommends that a comprehensive approach is needed to measure whether a broad range of goals can be achieved through affordable housing development.<sup>4</sup>

A more narrow focus on the publications from planning associations and research institutions portray a further disconnect between preservation and planning literature. There is almost no mention of any social or financial benefits of historic preservation within many of the texts. Instead, planning publications focus on assessing prior methods of affordable housing development such as the LIHTC, voucher program and homeownership subsidies.

The American Planning Associations 2003 text, *Regional Approaches to Affordable Housing*, explores policy approaches to affordable housing. It evaluates twenty-three programs in the United States and traces the history of regional housing planning. It looks at private and public sector initiatives to promote affordable housing development and proposes a set of best practices. In Chapter 5: “Regional Housing Trust Funds”, the Vermont Housing and Conservation Board briefly writes that the community is more receptive to historic preservation housing projects and their organization has rehabbed five buildings to “meet historic preservation guidelines.<sup>5</sup>” There is no mention of the Federal Historic Tax Credit program nor any detailed recommendations on how to achieve similar results. The majority of the text includes only top down approaches that support government activities.

Another text, *Housing Matters: Issues in American Housing Policy*, published in 2004 by the Federal National Mortgage Association (Fannie Mae), focuses on the benefits that Fannie

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<sup>3</sup> Scally, Corianne Payton and Koeing, Richard. *Beyond NIMBY and poverty deconcentration: reframing the outcomes of affordable rental housing development* (Housing Policy Debate, Routledge Publishers, 2012), 426.

<sup>4</sup> Scally, Koenig, *Beyond NIMBY and poverty deconcentration: reframing the outcomes of affordable rental housing development*, 426, 444.

<sup>5</sup> Meck, Stuart and Retzlaff, Rebecca and Schwab, James. *Regional Approaches to Affordable Housing* (American Planning Association, 2003), 182.

Mae brings to homeownership and confidence to the mortgage backed security business. Fannie Mae is a government-sponsored enterprise (GSE) dedicated to increasing the availability and affordability of homeownership for low-, moderate- and middle –income Americans. It provides low rate loans and consumer friendly financing. The 2004 text states that Fannie Mae focuses on expanding homeownership through market leadership and is considered the leader of “the market to expand homeownership, as the low-cost provider of the consumer’s favorite mortgage option.” There is no mention of historic preservation initiatives or its benefits in promoting affordable housing.

The 2003 report by Bruce Katz of The Brookings Institute, *Rethinking Local Affordable Housing Strategies: Lessons from 70 Years of Policy and Practice*, aims to use lessons from seven decades of housing policy and practice to help state and local leaders take on the affordable housing problem. It examines three broad approaches to affordable housing: rental assistance, homeownership assistance and regulatory policies. He concludes that housing policies should be tailored to meet local market conditions and thus calls for different programmatic approaches in different neighborhoods within one city. This text stresses the importance on partnerships between organizations to result in effective program implementation. Local housing authorities need to work with nonprofit counseling organizations and fair housing advocates to result in effective housing search assistance. Again, the FHTC or building rehabilitation approaches to community revitalization are not mentioned.

Another text is from The Brookings Institute in 2008 by Nicolas P. Retsinas and Eric S. Belsky, *Revisiting Rental Housing: Policies, Programs, and Priorities*. On page one, this text asserts that the problem with providing affordable housing is a lack of rental housing. “Rental



housing is the neglected child of American life.”<sup>6</sup> It states that the federal government’s housing policies greatly favor homeownership over rental housing. The authors stress the importance of redevelopment and “unlike the federal bulldozer ... these programs engage local community groups in the planning process; a much more concerted effort is made to deal with displaced residents and to achieve a mix of incomes that includes the very lowest up through moderate-income households.”<sup>7</sup> Although this text mentions the importance of revitalization over new construction, there is no mention of the FHTC as a tool for such redevelopment. Here is where the FHTC could be used to close this gap and provide the tools to jump-start such redevelopment activities, especially the case in that the FITC is limited to income-producing properties.

### **1.3.2 HISTORIC PRESERVATION LITERATURE:**

There is vastly more literature available in the preservation field than in planning on the positive values of historic preservation. Most of the historic preservation literature that touches on the topic of this thesis focuses on connecting preservation strategies to planning goals and affordable housing methods. Preservationists try desperately to make connections between the two and about the positive social impacts of preservation. However, the individual texts often fail to include a full discussion of the financial benefits in combination with the social benefits. Both benefits of historic preservation need to make a more prominent appearance in the discussion in order to make a stronger case. It is here where preservationists can make the best case of the inclusion of their objectives with planning goals.

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<sup>6</sup> Restsinas, Nicolas P. and Belsky, Eric S et al. *Revisiting Rental Housing: Policies, Programs, and Priorities* (Brookings Institute Press, 2008), 1.

<sup>7</sup> Restsinas, Belsky, *Revisiting Rental Housing: Policies, Programs, and Priorities*, 2-44.

The field of historic preservation has previously faced a seemingly impossible uphill battle to convince planning professionals of their methods' positive impacts. This view that is skeptical about preservation can be seen in the writings of Edward Glaeser, who points out what he sees as a fundamental flaw in historic preservation about economics. Historic preservation can restrict development and therefore drives up prices, which results in pushing low-income households out these neighborhoods.<sup>8</sup> This view of preservation by the planning and development profession has proven to be extremely difficult to overcome on a widespread basis. As a counter to this viewpoint, Donovan Rypkema, a prominent and passionate preservationist economist has published many articles detailing the positive benefits stemming from preservation objectives. He views preservation as “becom[ing] a fundamental tool for strengthening American communities.”<sup>9</sup> It meets the requirement for a wide range of public goals such as encouraging small business incubation, affordable housing, sustainable development, neighborhood stabilization, job creation, economic development, and others.

The National Trust for Historic Preservation also tries to discredit views such as Glaeser's portraying the benefits of preservation in urban redevelopment for affordable housing. Its text, *Affordable Housing Through Historic Preservation* in 1998, speaks almost exclusively on how preservation goals can be met through the use of the FHTC. Affordable housing, however, is something of an afterthought and the LIHTC program is not mentioned as are other community benefits. There is no in-depth mention of program or the design of interior spaces to meet the resident's needs and instead the text focuses on the exterior and interior material restoration. There is also no discussion of how to put the financing together to make the project feasible.

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<sup>8</sup> Glaeser, Edward A. and Gyourko, Joseph. *Rethinking Federal Housing Policy: How to Make Housing Plentiful and Affordable* (The AEI Press: American Enterprise Institute, 2008), 150.

<sup>9</sup> Mason, Randall and Rypkema, Donovan, *Measuring Economic Impact of Historic Preservation: A Report to the Advisory Counsel on Historic Preservation* (PlaceEconomics, November 2001), 1.

This text fails to make the case for the use of the FHTC in affordable housing redevelopment and little connections are made to any social well being resulting from preservation activities.

The text in 1994 by the National Park Service, *Historic Preservation: A Case Study Guide to Combining the Tax Credits*, dives more deeply into the details of both the FHTC and LIHTC. It explains how the credits for each work and how the money can be collected and used. The text states that historic preservation is a powerful tool for redevelopment and notes that the use of these tools for affordable housing is widely underused. It goes into detail about the restrictions of each and methods to close the gap with other federal programs. However, details about how to qualify for each program and the details of the process are not mentioned. In addition, little mention is given to the community benefits of historic preservation policies.

Another text published by the National Park Service in 1999, titled *Affordable Housing Through Historic Preservation: A Case Study to Combining the Tax Credits*, explores the connection between FHTC and LIHTC through a series of financial case studies. Most of the document is dedicated to understanding the finance of each credit and steps to success for putting the two credits together. In addition, the text explores ways in which these two financing options can be used together with additional subsidies and incentives. The text does an excellent job of outlining the exact numbers and financial methods to use both credits.

David Listokin has written extensively on the benefits of historic preservation policy. In his 1998 text, *The Contributions of Historic Preservation to Housing and Economic Development*, he writes a full historical overview of history of preservation policy. He states in his text that preservation helps bolster community revitalization through housing creation with the FHTC and heritage tourism. However, he warns that historic preservation can be a means to increase gentrification and thwart affordable housing strategies.

In 2001, David Listokin released another text titled *Barriers to Rehabilitation of Affordable Housing*, which addresses the extent to which both Section 106 and the FHTC can be a barrier to affordable-housing rehabilitation. First, Section 106 of the National Historic Preservation Act of 1966 as amended, only applies to federal undertakings, i.e., projects using federal funds or requiring a federal permit or license. This 106 process frequently intersects with affordable housing projects, given the frequent use of federal funding in their development. Second, the FHTC often does not contain incentives aligned with the Low-Income Housing Tax Credit Qualified Allocation Plan (QAP) guidelines and thereby can sometimes stand in opposition to the credit. He states that the answer to the question of whether Section 106 and FHTC is a barrier is highly variable in terms of both projects and location. The significance of the barrier depends on the discretion of local and the State Historic Preservation Office, the economics and specific scope of the project, and the ability and willingness of developers to devise solutions to vexing rehab challenges in a manner that satisfies the State Historic Preservation Officer and/ or the Advisory Council on Historic Preservation. Because the Secretary's Standards can have cost implications, particularly with regard to windows, paint removal or room sizes, smaller projects with a poorer economy of scale and marginal financial specifications are the most likely to suffer or to be abandoned.<sup>10</sup> Therefore, Listokin brings up a core question that needs to be resoundly answered by preservationists on the financial feasibility of historic projects at various scales and for various ownership models.

Randall Mason in his 2005 text, *Economics and Historic Preservation: A Guide and Review of the Literature*, breaks the preservation debate down into five categories: basic cost studies, economic impact studies, regression analysis, contingent valuation and choice modeling

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<sup>10</sup> Listokin, David and Listokin, Barbara, *Barriers to the Rehabilitation of Affordable Housing – Volume I of II Findings and Analysts* (U.S Department of Housing and Urban Development Office of Policy Development and Research, 2001), 119.

and case studies. Mason accurately describes the dilemma facing the preservation field as being how to portray to the world that their activities affect both monetary and nonmonetary purposes. Historic preservation is extremely tricky to study because of these varying goals and Mason's text concludes that the field is not thoroughly studied, nor is there agreement on answers to basic pragmatic policy questions.<sup>11</sup> Mason also states that further research based on understanding the whole system of built-environment relations – of which historic preservation is a part and not a stand-alone activity – would represent a step forward.

Also in 2005, the Advisory Council on Historic Preservation, in an attempt to alleviate conflicts between preservation and affordable housing in a 106 framework, assembled an Affordable Housing Task Force to reevaluate existing approaches to the intersection of historic preservation and affordable housing. It was a landmark decision by preservationists to bring the value of achieving affordable housing through the use of historic preservation to the forefront of the national discussion and news. The task force sought to address the question of how to balance the pressing national need for an expanded supply of affordable housing with the requirements of historic preservation reviews when federal assistance is included in project funding. The task force presented its Policy Statement on Affordable Housing and Historic Preservation on November 9<sup>th</sup>, 2006, which was officially adopted on February 15<sup>th</sup>, 2007. The U.S. Department of Housing and Urban Development (HUD) promised to take the lead in distributing and implementing the plan soon afterward.<sup>12</sup> The 2006 policy statement focused on implementation strategies and specific recommendation for Section 106 review and FHTC.

These principles are:

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<sup>11</sup> Mason, Randall, *Economics and Historic Preservation: A Guide and Review of the Literature* (The Brookings Institution Metropolitan Policy program, 2005), 1.

<sup>12</sup> Advisory Council on Historic Preservation's Policy Statement, *Affordable Housing and Historic Preservation*, Adopted November 9<sup>th</sup>, 2006.

- I. “Rehabilitating historic properties to provide affordable housing is a sound historic preservation strategy.
- II. Federal agencies and State and local government entities assuming HUD’s environmental review requirements are responsible for ensuring compliance with Section 106.
- III. Review of effects in historic districts should focus on exterior features.
- IV. Consultation should consider the overall preservation goals of the community.
- V. Plans and specifications should adhere to the Secretary’s Standards when possible and practical.
- VI. Section 106 consultation should emphasize consensus building.
- VII. The ACHP encourages streamlining the Section 106 process to respond to local conditions.
- VIII. The need for archeological investigations should be avoided.”<sup>13</sup>

These efforts and recommendations portray another huge effort by preservationists to adjust policy and then to disseminate information to demonstrate its efficacy. The Advisory Council demonstrates a push to modify historic preservation standards to be more amendable to affordable housing needs and requirements. Although this documents is a step in the right direction for preservation, their principles still lack clarity and specificity.

A 2007 paper by Patrice Frey for the Sustainable Preservation Research Retreat titled *Making the Case: Historic Preservation as Sustainable Development* and hosted by the National Trust for Historic Preservation, attempts to connect preservation to sustainable community goals. It mentions two important points about the connection between these two terms. First, preservation provides for ‘cultural enrichment’, which is an important aspect of socially sustainable development. The paper states that preservation provides psychological well-being, social equity, social interaction and a high quality of life. Second, preservation promotes and reinforces traditionally planned communities that include mixed uses, green spaces, walkability and well connected to public transportation. It can also provide equitable access to quality

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<sup>13</sup> Advisory Council on Historic Preservation’s Policy Statement, 2

neighborhoods by supplying affordable housing. She quotes many prominent studies in the field about the positive social and economic benefits of preservation activities.

The 2011 report, *Measuring Economic Impacts of Historic Preservation*, by Randall Mason and Donovan Rypkema, again attempts to identify a number of indicators that can be used to measure the economic impact of historic preservation. The authors believe historic preservation has proven to be an effective tool for a wide range of public goals including small business incubation, affordable housing, sustainable development, neighborhood stabilization, center city revitalization, job creation, promotion of the arts and culture, small town renewal, heritage tourism and economic development. Their conclusion supports these strong bonds but also stresses the need to create more strong connections between historic preservation and economics. The authors call for more research in this area to fully explore and support this connection.

The most recent 2012 publication by The Historic Tax Credit Coalition in collaboration with the National Trust Community Investment Corporation and Rutgers School of Planning and Public Policy, titled *Third Annual Report on the Economic Impact of the Federal Historic Tax Credit*, presents qualitative and quantitative data on the current application of the FHTC in the United States. It focuses on the total resulting economic effects of FHTC projects in five areas: employment, income earned, value added wealth, output and taxes. The conclusion of the study states that the FHTC is a good investment for communities, individual states and the nation. FHTC related activities have increased production and payrolls in nearly every sector of the national economy.<sup>14</sup> Overall, the study creates a very convincing picture of the positive economic benefits of preservation.

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<sup>14</sup> The Historic Tax Credit Coalition, *Third Annual Report on the Economic Impact of the Federal Historic Tax Credit* (National Trust Community Investment Corporation, July 2012), 20.

### 1.3.3 HISTORIC URBAN LANDSCAPE LITERATURE:

The Historic Urban Landscape (HUL) approach is a heritage management methodology based on the recognition and identification of layering and identification of values inherent within a city. It takes into consideration tangible and intangible layers of significance and the need to integrate preservation into other disciplines for analysis and planning. Specifically, the HUL approach strives to bring together planning and preservation agencies and processes to contribute to the overall planning and development of a city. In November of 2011, the United Nations Educational Scientific and Cultural Organization's (UNESCO) General Conference adopted the HUL recommendations as a method for integrating heritage areas into the broader context of the modern urban city.

The HUL approach was written by Dr. Ron van Oers and Francesco Bandarin in their 2011 text, *The Historic Urban Landscape – Managing Heritage in an Urban Century*. It states that today there is growing consensus that the historic city should be viewed as a complex layering of meanings. “The key factor for the conservation of the historic city is the establishment of a balanced, integrated and sustainable management process. This requires a clear vision and innovative policies based on the reflection of values that need to be protected with strong integration into regular planning and development processes. The tools for managing the new HUL approach are:

- (a) “**Civic Engagement Tools** should involve a diverse cross-section of stakeholders, and empower them to identify key values in their urban areas, develop visions that reflect their diversity, set goals, and agree on actions to safeguard their heritage and promote sustainable development.
- (b) **Knowledge and Planning Tools** should help protect the integrity and authenticity of the attributes of urban heritage. They should also allow for the recognition of cultural significance and diversity, and provide for the monitoring and management of change to improve the quality of life and of urban space. These tools would include documentation and mapping of cultural and natural characteristics.



- (c) **Regulatory Systems** should reflect local conditions, and may include legislative and regulatory measures aimed at the conservation and management of the tangible and intangible attributes of the urban heritage, including their social, environmental and cultural values.”
- (d) **Financial Tools:** should be aimed at building capacities and supporting innovative income-generating development, rooted in tradition. In addition to government and global funds from international agencies, financial tools should be effectively employed to foster private investment at the local level.”<sup>15</sup>

The HUL approach is a completely new compilation and recommendation for redevelopment in the preservation field. Although the individual tools recommended above for redevelopment are not new, the comprehensive combining of them is innovative. Because of the recent publication of the Historic Landscape Approach, not much has been written about its methods. Although a relatively untested method, it seeks to answer many of the planning-related problems facing the preservation field. Many of the components listed are not new methods, but the priority and incorporation of historic preservation as a community’s main asset is new. As stated before in the historic preservation portion of the literature review, preservationists have failed to make a solid case for the connection to planning goals. Bridging this gap is exactly what the HUL approach intends to do with its recommendations.

*The Ronse Declaration on HUL in Practice* by the Ename Center in Ronse, Belgium is a result of an international workshop on heritage in the 21<sup>st</sup> century that took place there from February 26-27, 2013. It addresses the need to give more consideration to city heritage areas undergoing change due to rapid urbanization. This Declaration states that there needs to be further research into the dynamic nature of the living city as a whole. A better understanding of the historic urban landscape is needed to better assess the impact of modern urbanization. It states that the HUL approach should become an importance point of reference for the international community for any further discussion when addressing modern urbanization.

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<sup>15</sup> Oers, Ron van and Bandarin, Francesco, *The Historic Urban Landscape – Managing Heritage in an Urban Century* (Wiley-Blackwell, 2011), 4-5.

Another 2013 paper by Gabor Sonkoly, a professor at the University of Budapest, entitled *Historic Urban Landscape – A Conceptual Analysis*, analyzes the new approach. He states that HUL should be understood within the conceptual evolution of the term cultural heritage and that city centers are no longer merely aesthetically attractive or historically significant but as place of social interaction that should be preserved by mobilizing their communities. The HUL approach is important because it involves the demand for conservation, local urban practice, involvement of locals in decision-making, and educative value of historic settings.

Finally, a second text by Ron Von Oers and Ana Pereira Rodgers published in 2012, and titled *Historic Cities as Models of Sustainability*, expands upon the previous HUL document. It states that HUL can put modern conservation activities into a clear and hierarchical structure. It can also facilitate the identification of gaps and prioritize risks based on urgency and availability of resources.<sup>16</sup> Increasingly it appears that national and local authorities are seeking an integration of environmental, social and cultural concerns into the planning, design and implementation phase. The HUL approach is an attempt to refocus urban development into a more inclusive process, taking into account intangible heritage, cultural diversity and local community values. The HUL approach is not only for UNESCO designated heritage sites, but could be applied in any historic city around the world to inform responsible urban development. There is still a need for further refinement and follow up support process with the dissemination of theory and (best) practice to local authorities.

This past summer, a team from the University of Pennsylvania led by Donovan Rypkema visited Shanghai, China and partnered with Ron van Oers at the WHITRAP center at Tongji

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<sup>16</sup> Oers, Ron van and Rodgers, Ana Pereira, *Historic Cities as Models of Sustainability* (Journal of Cultural Heritage Management and Sustainable Development, Vol.2, No. 1, 2012), 8.

University to test the HUL approach in combination with a cost benefit approach. The problem was to decide upon an intervention and adaptive reuse plan for lilong sites in Shanghai. Lilongs are a historically significant but outdated type of low rise housing stock without modern plumbing that still exists in parts of the urban core of Shanghai. They are now slated for demolition and the residents' relocation to make way for new high rise developments. The team used the HUL approach and undertook a cost benefit analysis of the cultural significance of the lilongs to make a case for saving the structures. The project was intended to use another valuation approach besides a financial one to express their significance. This project is significant because it serves as one of the first examples of HUL implementation in practice.

#### **1.3.4 BALTIMORE HISTORY & REDEVELOPMENT**

The final section of this literature review focuses specifically on Baltimore's economy and prior development models. The case study that is the main portion of this thesis is set in Baltimore, MD. The following excerpts explore opinions about the best method to approach redevelopment in the city to create more affordable housing.

Baltimore is the largest city in the state of Maryland with a population of 622,104 residents, as of the 2010 U.S. Census. It contains 295,899 total housing units, of which 18.1% are vacant according to the 2011 3-Year American Community Survey of the U.S. Census. The majority (52.8%) of Baltimore City's residences are one-unit attached housing structures and were built in 1939 or earlier. These statistics support the characterization of the Baltimore city housing stock as mostly attached, historic row houses. The median house cost in 2010 was \$151,700, with 86.8% of all houses being valued below \$300,000.<sup>17</sup>

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<sup>17</sup> United States Census, 2011-2013 American Community Survey.

Baltimore has long been a haven for low-income households due to its low cost of living and median house cost. As Sandra Newman of the The Abell Foundation wrote in her 2005 text *Low-End Rental Housing: The Forgotten Story in Baltimore's Housing Boom*, the fraction of renters with incomes below the city's average renter income grew from about 74% in 1980 to about 80% in 2000. The rental housing market has had a textbook response. Vacancy rates are high, rents are low, and a sizable share of the units are in poor shape.<sup>18</sup> In 2000, roughly half of all households (about 128,000) in the city were renters. Nearly a fifth of Baltimore renters received welfare in 1998 and more than 70% were racial minorities. In addition, the median rent fell from \$400 in 1990 to \$387 in 2000. This analysis paints a grim view of Baltimore's affordable housing need and the city is in desperate need of new strategies to meet it. The poverty rate in Baltimore is 24.0%, and 48.5% of all residents are paying 35% or more of their income on rent each year, which qualifies them as severely burdened households.

Jennifer Vey at The Brookings Institute tried to provide solutions to Baltimore's weakened economy in her 2012 report titled *Building from Strength: Creating Opportunity in Greater Baltimore's Next Economy*. The focus of the report is on job creation and workforce development as a solution to city's unemployment rate. This report talks about how to build up Baltimore's workforce by:

- 1) "Helping young workers gain skills and connections,
- 2) Building a more coordinated workforce delivery system,
- 3) Improving low-income workers' ability to get next economy jobs. It does not reference any social or housing methods to improve the unemployment rate."<sup>19</sup>

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<sup>18</sup> Newman, Sandra J. *Low-End Rental Housing: The Forgotten Story in Baltimore's Housing Boom*, (Abell Foundation, 2005), 5

<sup>19</sup> V Vey, Jennifer S. *Building from Strength: Creating Opportunity in Greater Baltimore's Next Economy* (Brookings Institute, 2012), 4

A 2002 report titled *Vacant-Property Policy and Practice: Baltimore and Philadelphia*, by John Kromer for The Brookings Institute, attempted to make recommendations for improvement for Baltimore's housing economy. He writes that Baltimore should establish a comprehensive vision plan based on four neighborhood characteristics and approaches to development that he identified:

- 1) "Preservation: high property values and well maintained housing stock,
- 2) Stabilization: similar to previous but with scattered evidence of deterioration,
- 3) Reinvestment: moderate real estate values, targeting intervention needed,
- 4) Redevelopment: significant deteriorated housing stock and dense concentrations of vacancy." <sup>20</sup>

Kromer also suggests that Baltimore implement neighborhood plans in partnership with community stakeholders and build on natural and historic resources. He stresses that "older cities must also find the best ways to preserve and enhance those elements of the urban environment that make them special<sup>21</sup>" and utilize state and local historic tax credits to meet this goal. This is one of the first texts that states the value of the historic tax credit as a positive tool for redevelopment.

The area of Baltimore that is this thesis' main case study is in the Oliver Neighborhood, directly adjacent to Johns Hopkins Medical Center in East Baltimore. This area has long been a place of poverty and crime. In 2001, it became the location of the city's new joint venture with Johns Hopkins Medical Center, the State of Maryland Department of Business and Economic Development and the State of Maryland Housing and Community Development to turn the area into a new medical campus. The partnership formed the entity called East Baltimore Development Initiative to oversee the redevelopment in 2001.

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<sup>20</sup> Kromer, John. *Vacant-Property Policy and Practice: Baltimore and Philadelphia* (Brookings Institute, 2002), 13.

<sup>21</sup> Kromer, *Vacant-Property Policy and Practice: Baltimore and Philadelphia*, 46.

The East Baltimore Development Initiative (EBDI) urban renewal project was originally intended to cover approximately 80 acres in East Baltimore and demolish a majority of the existing fabric. In December 2002, the Mayor and City Council of Baltimore passed an urban renewal ordinance authorizing the acquisition of over 3,000 properties in the area. The EBDI plan consisted of three phases. Phase I is centered on a thirty acre parcel bounded by Broadway, Madison Street, Washington Street and Chase Street. The project was intended for five life sciences buildings, 900 units of housing, 40,000 sq ft of retail and multiple acres of new parks. The ordinance allowed EBDI to acquire 831 properties for this first phase through the power of eminent domain. This already included 563 vacant buildings and lots. By 2007, EBDI had relocated over 396 households to make way for Phase I. In the words of former Mayor Martin O'Malley, the East Baltimore Development Initiative is an opportunity to "rebuild a neighborhood from the ground up."<sup>22</sup> The current plan calls for an aggressive use of condemnation powers and numerous demolitions to continue removing blighted shells.<sup>23</sup> However, in 2008, soon after the crash, EBDI had to scale back its redevelopment plans because of its extremely large relocation costs. The result is widespread vacancy and neglect in the resulting area of Oliver.

This is the atmosphere into which The Reinvestment Fund, Development Partners entered in 2008. TRF DP formed in 2006 and soon after identified the Oliver Neighborhood, adjacent to Johns Hopkins Medical Campus, as a "build from strength" redevelopment opportunity. EBDI brought them on their developer of choice to help complete the redevelopment of the area that EBDI previously could not complete. TRF DP focused their

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<sup>22</sup> Hummel, Phillip A. *East Side Story – The East Baltimore Development Initiative* (University of Maryland Law School, 2007), 20-24.

<sup>23</sup> Hummel, *East Side Story – The East Baltimore Development Initiative*, 25.

efforts on new and rehabilitated homes to attract new residents to increase average home sales values and stimulate market growth.

#### **1.4 CONCLUSION**

In conclusion, preservationists have time and time again distributed literature to support the connection between historic preservation and affordable housing development. Texts ranging from literature reviews to financial case studies and statements by the National Trust of Historic Preservation stress the innumerable benefits that will arise from the combination. Yet, the planning literature fails to listen and incorporate preservation initiatives into their writings and models.

The Historic Urban Landscape model of development, recently adopted by the UNESCO, is a new approach to urban development that incorporates planning methods. Preservationists hope that this new methodology is a way to bridge the gap between planning and preservation and answer lingering questions about this important connection. Randall Mason and Donovan Rypkema state in the conclusion to their 2001 text that the field of preservation needs to create more strong connections between historic preservation and economics. The authors call for more research in this area to fully explore and support this connection. In his 2005 literature review, Randall Mason concludes by stating that developing an understanding of the whole system of built-environment relations – of which historic preservation is a part and not a stand-alone activity – would represent a step forward. The HUL approach, which attempts to explain and map the city as a complex layering of meanings, is a new step forward in inner city development.

An exploration of the HUL approach and TRF DP's development model will offer insights into successful urban redevelopment. This thesis will answer questions about practicality and

the resulting social benefits through each of the two models. The end result is to propose a model of development that effectively incorporates both planning and preservation goals to the fullest extent.



## CHAPTER TWO: WHAT IS THE HISTORIC URBAN LANDSCAPE (HUL)?

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### 2.1 INTRODUCTION TO HISTORIC URBAN LANDSCAPE (HUL)

The Historic Urban Landscape (HUL) approach is intended to become a framework for redevelopment in historic urban areas around the world. It is a method to assess the underlying values of a place before any planning for redevelopment and intervention takes place. It is the intention of this thesis to dissect its recommendations and incorporate them into an established, successful development model. The base motivation for the HUL recommendation is to provide a framework to follow for responsible development in a historic urban area that takes into consideration tangible and intangible layers of meaning such as social, cultural and natural meanings. It should be used as means to work together with local planning and development institutions to create a better, more well informed outcome.

### 2.2 HISTORY AND SIGNIFICANCE

The rate and type of urban change occurring in the 21<sup>st</sup> century was the motivation for the UNESCO Recommendation on the Historic Urban Landscape (HUL), approved in November 2011. It is intended to go beyond its application to World Heritage sites and directed towards all urban places. The HUL approach to integrating historic fabric into urban areas undergoing modern development attempts to reconcile the modern needs of a city and its historic past. It is intended to serve as a framework for urban redevelopment, looking at the city as a layering of social, cultural and economic qualities. It advocates for the use of civic engagement, knowledge & planning, regulatory systems, and financial tools. HUL is a way to assess the urban context that focuses on quality of life and collective memory.

Since 2003, the international heritage community has been participating in discussions about the best approach to understand the meaning, character and values of historic cities. The 2005 Vienna Memorandum was the result of these dialogues and was adopted by the International Conference “World Heritage and Contemporary Architecture – Managing the Historic Urban Landscape” held from May 12<sup>th</sup> to 14<sup>th</sup> in Vienna, Austria under patronage of UNESCO and welcomed by the 29<sup>th</sup> session of the World Heritage Committee.<sup>24</sup> The scope of the Convention was the protection of the world cultural and natural heritage, striving for global collaboration and the need for global discussion of changing economic dynamic and structural changes to UNESCO cities. It focused on the impact of contemporary development on the overall urban landscape of heritage significance. The committee defined the historic urban landscape as comprised of character-defining elements that include land use patterns, spatial organizations, visual relationships, topography and all elements of the technical infrastructure.

The Vienna Memorandum went on to proclaim that the central challenge of contemporary architecture in the historic urban landscape is to respond to development dynamics in order to facilitate growth while still respecting the historical context. The future of historic urban landscape must call for the mutual understanding between policy makers, urban planners, city developer, architects, conservationists, property owners, investors and citizens working together to strive for authenticity and integrity. The members of the committee want architectural commissions to be informed by urbanism and HUL tools for analyses of typologies and morphologies. They aim towards quality management of the historic urban landscape through permanent preservation and improvement of spatial, functional and design-related values.

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<sup>24</sup> “Vienna Memorandum,” United Nations Educational, Scientific and Cultural Organization (last modified October 11<sup>th</sup>, 2005, UNESCO Headquarters), 4.

Between 2005 and 2011, various conferences, international policy and best practices reviews debated the final doctrine of HUL. Finally on November 10<sup>th</sup>, 2011 at its 36<sup>th</sup> session in Paris, UNESCO's General Conference adopted the Recommendation of Historic Urban Landscape as a 'soft law', which Member States can include in their suite of legal instruments and can implement on a voluntary basis.<sup>25</sup> It urges member states to adopt appropriate legislative institutional frameworks and measures in accordance with the principles and norms in the recommendation.

The goal of the Recommendation is to better integrate urban heritage conservation strategies within the larger goals of overall development, in order to support public and private actions. It builds upon four previous UNESCO recommendations concerning heritage preservation and recognizes the importance of integration with modern needs of a city and its population. The historic urban landscape approach is aimed at preserving the quality of the human environment, enhancing the use of urban spaces, while recognizing their dynamic character. The significance of the HUL recommendation is that it is a framework to outline the steps towards incorporating historic elements into modern urbanization.

In 2012, Ron van Oers and Francesco Bandarin published the book, *The Historic Urban Landscape – Managing Heritage in the Urban Century*. It is a comprehensive document framing the urban conservation discussion and expanding on the toolkit for management in the urban environment that came out of the Recommendation of Historic Urban Landscape. In 2015, the second book edited by Ron van Oers and Francesco Bandarin, *Reconnecting the City – The Historic Urban Landscape Approach*, was published as an extension of the first book. It gathers recommendations from leaders in the conservation field, such as Donovan Rypkema and Patrica

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<sup>25</sup> Oers, Ron Van and Bandarin, Francesco, *The Historic Urban Landscape – Managing Heritage in an Urban Century*, 5.

O'Donnell, about how to reconnect the city to its past through architecture and urban interventions. The text also expands on the toolkit that is recommended for use by practitioners through cultural mapping, planning, regulatory systems, research and financing. It is intended to become an agenda for reconnecting the city.

### 2.3 TOOLS

The HUL recommendation and text provides a framework to manage the physical and social transformation of an urban place to ensure that contemporary interventions are harmoniously integrated with heritage in a historic setting, taking regional contexts into account. The toolkit provides a broad set of approaches towards a more integrated preservation approach.<sup>26</sup> The HUL approach depends greatly on the involvement and empowerment of the community and its ability to recognize and understand the qualities of the historic landscape. Therefore,

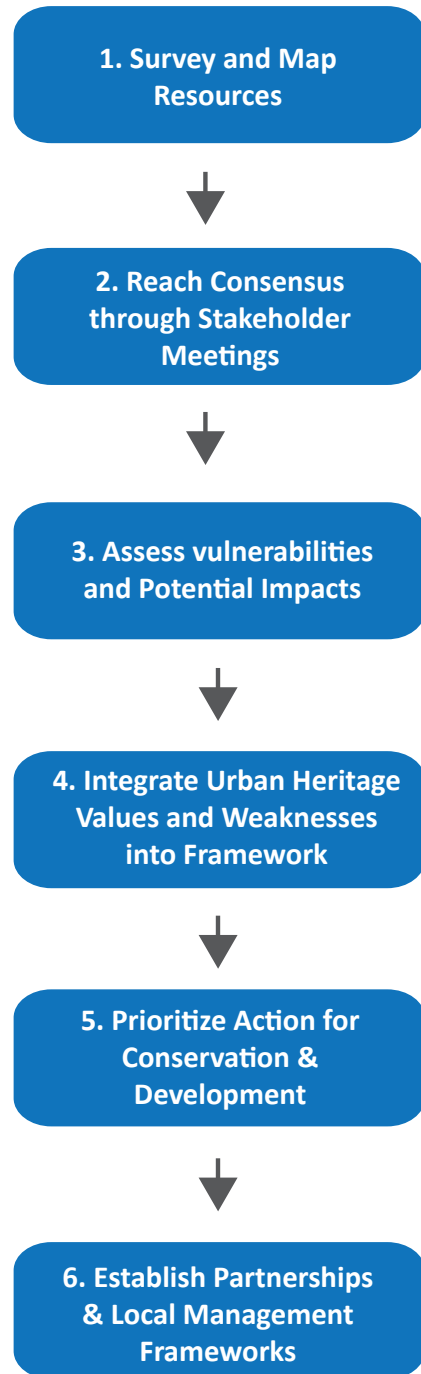


FIGURE 1: HUL Model

<sup>26</sup> O'Donnell, Patricia M and Turner, Michael. *The Historic Urban Landscape: A New UNESCO Tool for a Sustainable Future* (IFLA Cape Town, 2012), 3.

community input and capacity building is stressed as a fundamental instrument.<sup>27</sup>

The first tools are civic engagement and mapping to bring together a variety of stakeholders such as citizens, neighborhood groups, government organizations and non-profits to work together to create a future vision. The HUL approach recommends that the management of an urban space must include voices from different groups to determine what an urban space means to them. It is important that the heritage community understand the city as a layered reality and that different realities can co-exist in the same place.<sup>28</sup> Civic engagement should take the form of an accessible, multi-platform, urban vision process or public forum that encourages open dialogue. Mapping of a space should go beyond traditional mapping techniques and instead explore cultural mapping as a visual way of reading a landscape. These tools should be used equally for preserving the past and planning for the future.<sup>29</sup> They require the engagement of the community, encouraging a shared understanding as the basis for consensus on how to move forward.

The second sets of tools are knowledge and planning instruments to protect the integrity and authenticity of urban heritage. Traditional planning approaches that continue to be effective are joined by new approaches and innovations to address challenges faced by urban places. These tools include documentation of tangible and intangible meaning, planning processes that incorporate heritage values, urban viewscape mapping and green infrastructure applied with heritage values. Understanding tangible and intangible aspects is a key component and recourse in enhancing the livability of urban areas and fostering social cohesion and economic development. The first step is to establish a base map through elevation models,

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<sup>27</sup> Oers, Ron van and Bandarin, Francesco, *Reconnecting the City: The Historic Urban Landscape Approach and Future of Urban Heritage* (Wiley-Blackwell, 2014), 21.

<sup>28</sup> Oers and Bandarin, *Reconnecting the City*, 221

<sup>29</sup> Oers and Bandarin, *Reconnecting the City*, 235

geospatial mapping, aerial surveys, measured drawings, photographs and total station surveys. These are followed by building a detailed inventory of cultural resources and assets to dive into a deeper understanding of a place.

The third set is recommendations for regulatory systems that can shape the growth and change of urban areas. These tools are aimed at preserving and managing the values mapped and identified by the previous recommendations. Regulatory systems encompass a group of tools that exist at the local, regional and national level that can be created or framed to address urban imperatives.<sup>30</sup> These systems can vary widely in content and implementation depending on the location and intent. Examples are within the planning context such as zoning ordinances, conservation easement law, energy codes, overlay districts, form-based code, viewscape controls and protection ordinances. The intent of these programs is to provide a framework to manage complex urban growth and protect iconic city architecture.

The adoption of the HUL practice by UNESCO is a major step in the recognition that not just major landmarks, but urban context and vernacular buildings need to become a central feature of a comprehensive preservation strategy. These buildings are often in private ownership and therefore financial incentives are necessary to bring about change. In addition, governments do not have access to unlimited financial means and need financial resources to maintain buildings under their control. Financial tools are necessary to encourage the investment of capital into heritage assets. Examples of recommended tools are public-private partnerships, revolving loan funds, long-term leases, transfer of development rights, tax credits, grants, micro-loans and property tax deductions.<sup>31</sup> The availability and implementation of financial tools is integral to the success of the HUL approach.

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<sup>30</sup> Oers and Bandarin, *Reconnecting the City*, 270

<sup>31</sup> Oers and Bandarin, *Reconnecting the City*, 288

## **2.4 CONCLUSION**

The next step in the process is the implementation of the Historic Urban Landscape framework and its decisive test, will be capacity of the recommendations to adapt to various circumstances. The ultimate goal is to minimize conflicts between heritage and development, and foster a new quality of urban life. Additionally, the measure of success will be the degree to which HUL can clarify urban heritage objectives and partner with existing planning frameworks to create a more unified future. The goal of this thesis is to develop a specific framework and application for an American urban center that solves specific regional issues and concerns.





purpose of engaging in direct real estate development to benefit low and moderate income people and places.<sup>33</sup> Over the past eight years, TRF DP has focused on partnering with local community groups, such as East Baltimore Development Inc. and the City of Baltimore, to reinvest in the area and bring the Oliver neighborhood back to life by redeveloping vacant rowhomes. The Oliver neighborhood is a nationally and locally registered historic district and as such, TRF DP is able to utilize the State and Federal Historic Tax Credit to close its financial gap and maintain housing affordability. The Oliver neighborhood is a six-block area north of Johns Hopkins Medical Center, east of the Greenmount West neighborhood by Baltimore's Penn Station (FIGURE 2). This area makes a powerful case study through which to examine the benefits of preservation goals and tools in affordable housing redevelopment, and then to examine to what extent the application of the HUL method would further improve upon TRF DP methods.

### **3.2 HISTORY OF REDEVELOPMENT IN THE OLIVER NEIGHBORHOOD - BALTIMORE, MD**

The Oliver neighborhood has historically been a place of disinvestment and decline over the last few decades, characterized by high crime and abandonment rates. The 2000 U.S. Census data reveals that Oliver was the city's second poorest neighborhood, with a median household income of \$14,900 and with fewer than half of the neighborhood's working-age adults in the labor force.<sup>34</sup> Over the past 30 years, Oliver has experienced economic depression, housing abandonment and racial rioting.<sup>35</sup> Despite these distressed conditions, many residents retain a deep and abiding attachment to their neighborhood and a significant share of residents are

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<sup>33</sup> "Annual Review," (The Reinvestment Fund, 2013), 5.

<sup>34</sup> "East Baltimore Snapshot," (Annie E. Casey Foundation, 2010), 2.

<sup>35</sup> Rashid, Hafiz, " Oliver Neighborhood Hopes East Baltimore Changes Spread," (*The Star*, December 30<sup>th</sup>, 2009).

long-time homeowners. Over the past few decades, several efforts sought to reverse the downward trajectory of the neighborhood, through scattered-site development, but the efforts proved inadequate.

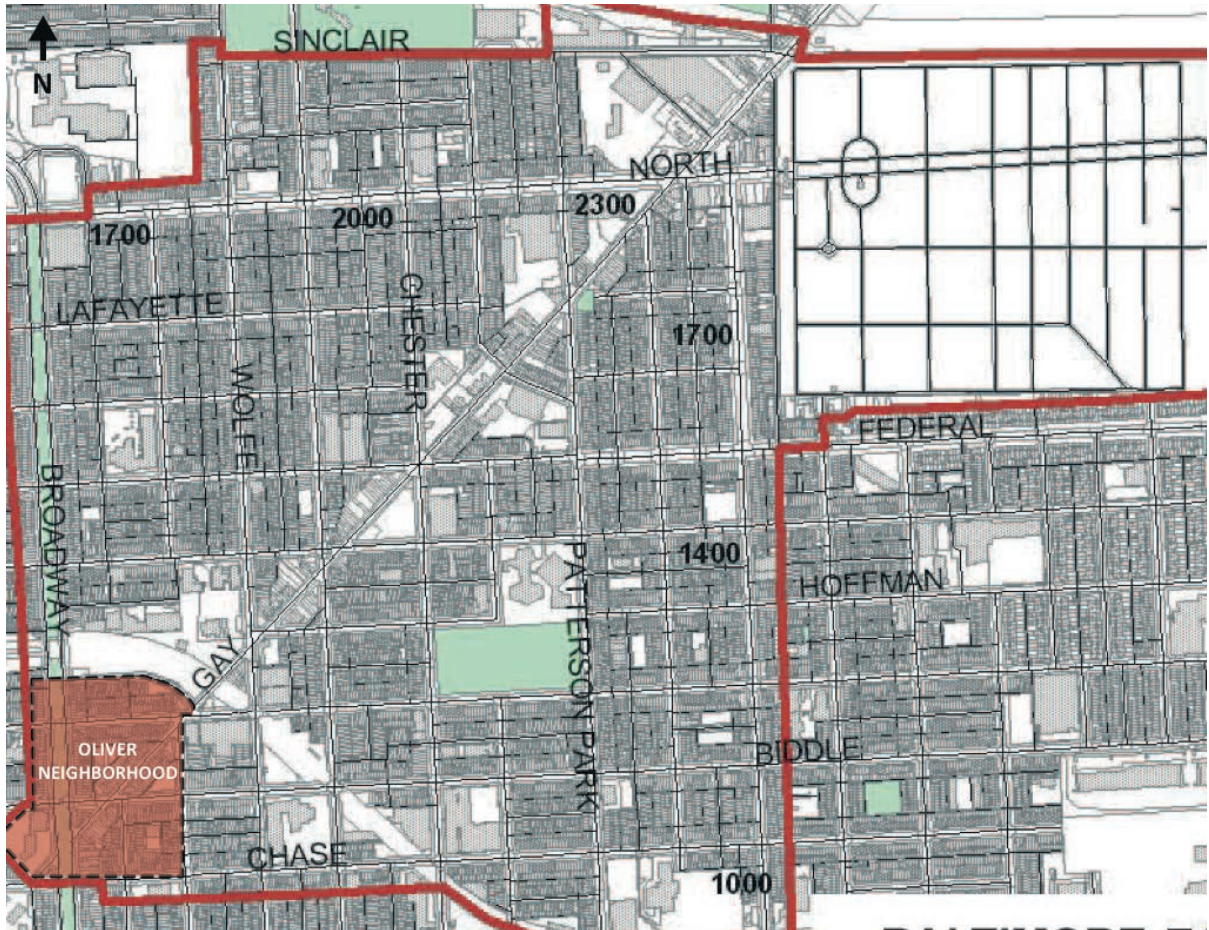


FIGURE 3: MAP OF NATIONALLY DESIGNATED HISTORIC DISTRICT: BROADWAY EAST/ SOUTH CLIFTON PARK, HIGHLIGHTING OLIVER NEIGHBORHOOD, 2002<sup>36</sup>

The Oliver Neighborhood is a locally and nationally registered historic district in the Broadway East/ South Clifton Park district. It is an urban residential area organized by a gridiron pattern that formed in the historic northeast corner of the City of Baltimore prior to 1888. The development of the area is primarily high-density, with a predominance of low-scale two and

<sup>36</sup> Historical & Architectural Preservation/ Historic Districts/ Baltimore East- South Clifton Park,” (City of Baltimore, December 27<sup>th</sup>, 2002).

three-story rowhouses built between 1870 and 1930. The buildings are oriented towards the street with facades lining the public concrete sidewalks and with the rhythmic repetition of steps and stoops contributing to a very unified streetscape.<sup>37</sup> This district depicted above in Figure 3 was nominated to the National Register of Historic Places in 2002. The area the TRF DP operates within is in the lower left corner of the district highlighted in red on the map (Figure 3).

In early 2001, the then Baltimore Mayor Martin O'Malley announced a plan to acquire and demolish hundreds of homes in the Oliver area, relocate several hundred households and create a renewed 88-acre community featuring research facilities, retail development and market-rate housing. The original site plan (FIGURE 4) called for the demolition of the majority of historic rowhomes in the neighborhood. The new construction buildings are illustrated in blue and orange in FIGURE 4 and this map illustrates the widespread demolition planned by the agency. The city leaders planned to use powers of eminent domain to acquire, demolish and rebuild large numbers of severely distressed properties all at once.<sup>38</sup> The East Baltimore Development Initiative (EBDI) was created to oversee the demolition and redevelopment, and by 2010 a total of 701 homeowners and renters were relocated from the Oliver neighborhood. However, in 2011 EBDI found itself unable to redevelop the vacant homes due to high relocation costs and inexperience.<sup>39</sup> The properties sat vacant until TRF DP entered later that year and formed a strategic partnership with EBDI to redevelop the homes.

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<sup>37</sup> Historical & Architectural Preservation/ Historic Districts/ Baltimore East- South Clifton Park," (City of Baltimore, December 27<sup>th</sup>, 2002).

<sup>38</sup> Schachtel, Marsha R.B; Cromwell, Patrice M, and Giloth, Robert P, *The East Baltimore Revitalization Initiative* (The Annie E. Casey Foundation, 2011), 4.

<sup>39</sup> Martha Cross, Personal Interview, September 2014.



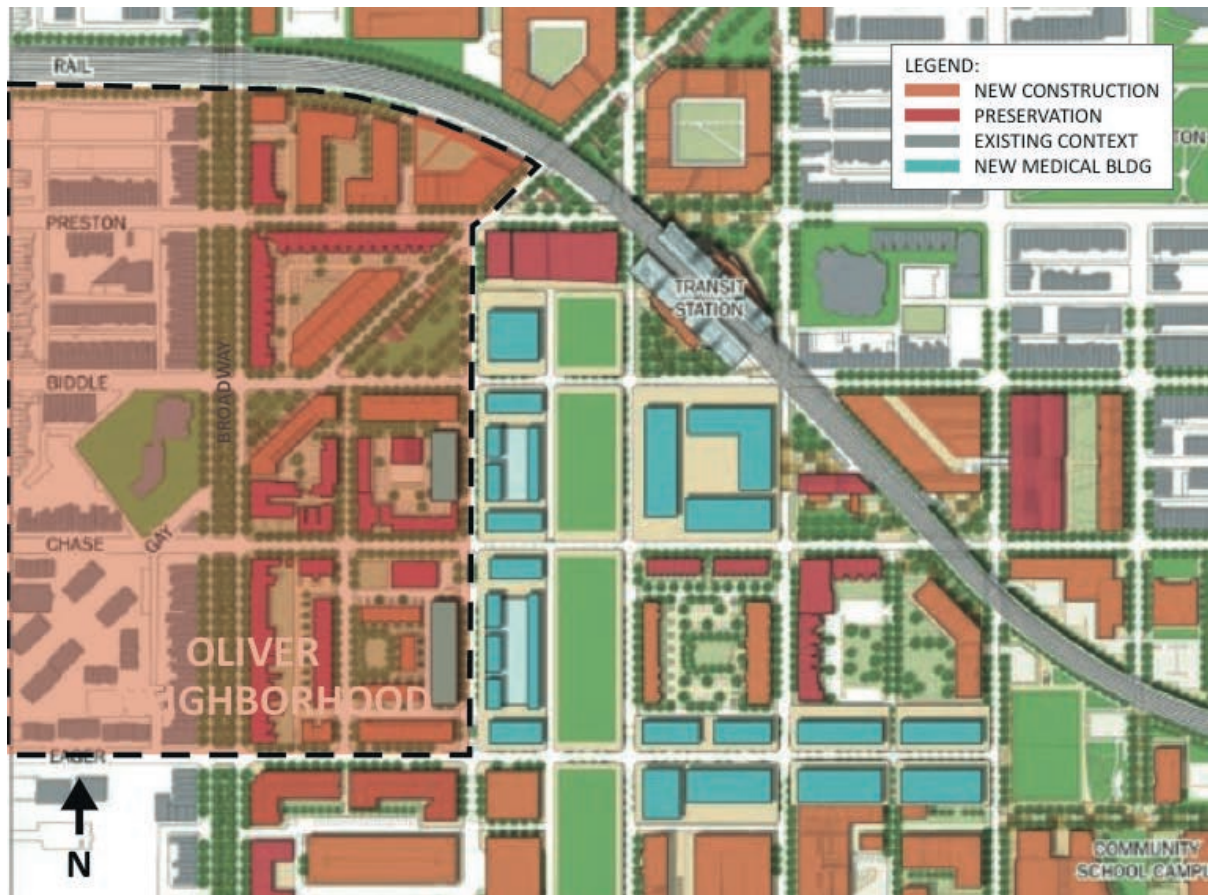


FIGURE 4: EXPANSION MAP CREATED BY EAST BALTIMORE DEVELOPMENT INC. (EBDI) – JOHNS HOPKINS: SITE PLAN FOR EAST BALTIMORE NEIGHBORHOOD EXPANSION, 2009<sup>40</sup>

### 3.3 TRF DP DEVELOPMENT HISTORY & THEORY

It was this atmosphere that TRF DP entered into in 2006. TRF DP started work in the Oliver Neighborhood due to the neighborhood’s direct adjacency to Johns Hopkins Hospital and because it was within two miles of downtown Baltimore and the Amtrak station. TRF DP’s market analysis identified this area as a prime development opportunity and through its “Vacants to Value” program, TRF DP started to acquire homes at a heavily discounted purchase price. The “Vacants to Value” program is a city initiative that makes vacant, city-owned

<sup>40</sup> “Science and Technology Park,” (East Baltimore Development Inc., 2011).

properties easily and cheaply available to developers.<sup>41</sup> TRF DP also began a dialogue with the local churches and community groups to better understand the history and social atmosphere in the area. In 2008, TRF DP executed a Land Disposition Agreement (LDA) with the City of Baltimore to transfer 155 vacant lots and buildings in Oliver to TRF DP for redevelopment. Then, in 2012, TRF DP executed a second LDA with the City to transfer 43 additional properties. Soon after in 2011, TRF DP and EBDI formed a strategic partnership to capitalize, acquire and redevelop an additional 115 East Baltimore properties left vacant after the previous EBDI relocation efforts. Under this arrangement, EBDI manages public funding and site acquisition, while TRF DP is the property owner, developer and property manager.<sup>42</sup>

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<sup>41</sup> "Vacants to Value," Baltimore Housing.

<sup>42</sup> Martha Cross, Personal Interview, September 2014.

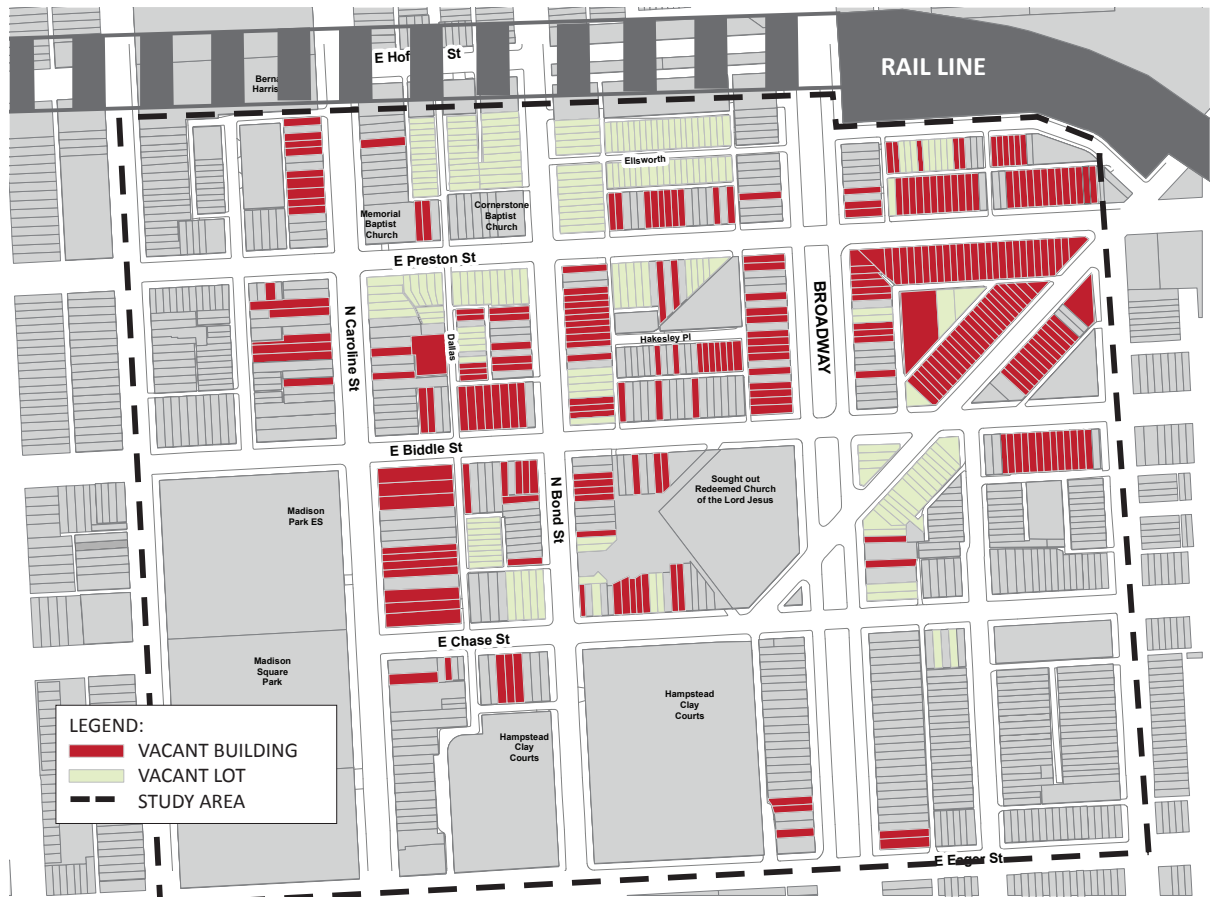


FIGURE 5: TRF DP MAP OF VACANT BUILDINGS AND LOTS BEFORE REDEVELOPMENT, OLIVER NEIGHBORHOOD, 2006<sup>43</sup>

Due to TRF DP investment since 2006, the Oliver neighborhood has been transformed in recent years with the rehabilitation of over 145 single-family row homes. Based on the above outlined site control, TRF DP anticipates rehabilitating approximately 60 units per year through 2014. This process will eliminate 100% of the vacancy in the neighborhood of publically held homes and significantly drop the abandonment rate. Current 2015 projections place the vacancy rate at 8%, dropping from over 51% in 2006.<sup>44</sup> TRF DP also includes developments for strategic demolition and new construction. They work to complete the ‘missing tooth’

<sup>43</sup> The Reinvestment Fund, Development Partners, Graphics Created During Job Term. 2012-2015.

<sup>44</sup> Sean Closkey, Personal Interview, August 2014.

properties to create complete blocks, and replace historic buildings that are damaged beyond repair through new construction of rowhomes. These new homes are all completed with the brick facades and the same window and cornice line as the adjacent homes to continue the sightline and maintain the same look of the neighborhood. TRF DP feels that density and a mix of new and rehabilitated structures are important to the neighborhood's overall health.

TRF DP brings a strong development model that has contributed to the transformation of the Oliver neighborhood. TRF DP's model begins with a reinvestment plan that identifies areas that are distressed but in physical proximity to major city assets. Their model then creates a series of investments that build from the strength of these major city assets. TRF DP has named this approach the 'build from strength' redevelopment model. They work to create new, stable communities by utilizing the stable assets and building high quality, energy efficient buildings. The goal of these effects was to increase the average sales values for the area and stimulate market growth. The Oliver neighborhood became the testing ground for their model of development.

In its early years of development in Baltimore before 2013, TRF DP used the Maryland State Historic Tax Credit for redevelopment. This credit is available through CHAP (Commission for Historical and Architectural Preservation) and gives a 10-year abatement credit to properties that stay within specific guidelines set by the city's historic preservation department and is available to any owner of a locally historically designated property or district. The investor has to re-invest in improvements a minimum of 25% of the full value on the property and receive preliminary and final approval from the city on all work completed. The credit is transferable from owner to owner throughout the life of the project.<sup>45</sup> The process for designating and applying for all alterations to locally designated historic properties is detailed in the most recent

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<sup>45</sup> "Historical & Architectural Preservation/ Tax Incentives," (City of Baltimore, 2010).

Baltimore City Landmarks and Commission Ordinance, published in May 2009 for the Commission for Historical and Architectural Preservation (CHAP).<sup>46</sup> CHAP is an independent unit in the Department of Planning tasked with composing a list of historic districts and a special list comprising of exterior and public interior of historical or architectural significance. Any additions to either list is subject to review by the Planning Commission and City Council. A permit from the Department of Housing and Community Development is required before any alterations of a listed exterior or interior structure. The list of alterations includes: excavation, reconstruction, demolition of any structure, erection, construction, removal of architectural feature or change in color by painting.<sup>47</sup> Both a Certificate of Appropriateness and a Notice to Proceed are required before city issuance of a permit to alter a designated property within a local historic district.

Since 2013 in addition to the Maryland Credit, TRF DP has begun using the Federal Historic Tax Credit to redevelop properties in the eastern portion of the Oliver Neighborhood to the East of Broadway and along Gay Street. The federal tax credit is a 20% tax credit on the hard costs and other qualified expenses of rehabilitation of certified historic income-producing properties located within a historic district. The 20% rehabilitation tax credit applies to any project that the Secretary of the Interior designates a “certified rehabilitation of a certified historic structure.”<sup>48</sup> This is defined by a building or buildings located within a historic district that is certified by the Department of Interior. The 20% credit is available to properties rehabilitated for commercial, industrial, agricultural or rental residential properties. There is a three-part application process where the state and federal levels must approve of the submitted rehabilitation of the subject property. After completion at the end of construction, when TRF DP

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<sup>46</sup> “Baltimore City Landmarks and Commission Ordinance – Article 6,” (City of Baltimore, 2009).

<sup>47</sup> “Baltimore City Landmarks and Commission Ordinance – Article 6,” (City of Baltimore, 2009).

<sup>48</sup> “Tax Incentives for Preserving Historic Properties,” (Technical Preservation Services, National Park Service).



received the federal credit, they can sell it. In most cases, they have sold it to TD Bank who purchases the credits to use on their balance sheet.



FIGURE 6: TRF DP MAP OF CURRENT OWNERSHIP AND VACANCY AFTER REDEVELOPMENT, OLIVER NEIGHBORHOOD, 2014<sup>49</sup>

Another significant aspect of TRF DP’s redevelopment model is creating strong partnerships with the local community. They operate under the theory that the redevelopment agent must have strong community support in order to succeed. The main community groups that TRF DP partners with in Oliver are BUILD (Baltimoreans United in Leadership Development) and the local Memorial Baptist Church. The community-organizing group, BUILD, has worked in

<sup>49</sup> The Reinvestment Fund, Development Partners, Graphics Created During Job Term. 2012-2015.

the Oliver neighborhood to bring about change for over 30 years.<sup>50</sup> Comprised of faith leaders, business owners, corporations, foundations and individuals, BUILD is dedicated to rebuilding the Oliver neighborhood. Started in 2000, BUILD began soliciting donations and buying up vacant homes in the area. They persuaded the city to provide funds and lobbied for the support of national nonprofit organizations.<sup>51</sup> Their involvement attracted the attention of The Reinvestment Fund, Development Partners, who began a partnership with them and other community leaders in 2006. This partnership with BUILD and Memorial Baptist Church is one of the essential reasons that TRF DP has been able to become successful in the Oliver neighborhood. Leaders from both groups sit on the board of TRF DP.

### 3.4 TRF DP DEVELOPMENT MODEL

The TRF DP model illustrates the success of development through long-term, smaller investments in new and existing single-family rowhomes

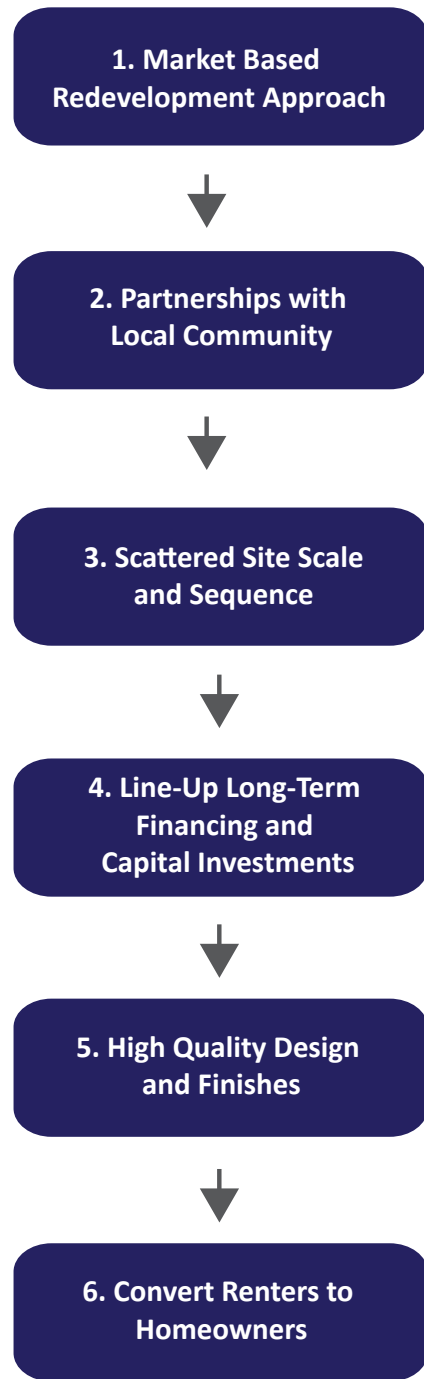


FIGURE 7: TRF DP Model

<sup>50</sup> “BUILD: Rooted in Community, Committed to Change,” (Baltimoreans United in Leadership Development).

<sup>51</sup> Rashid, Hafiz, “ Oliver Neighborhood Hopes East Baltimore Changes Spread,” (*The Star*, December 30<sup>th</sup>, 2009).

throughout a historic neighborhood to create suitable environments for market growth. They start from a top-down redevelopment approach that looks at the market first and then partners with the community and city to acquire properties. The Federal Historic Tax Credit is one of the main sources of funding they use to revitalize areas identified for investment. TRF DP uses the tax credit tool to retain the character of the neighborhood and the quality of the homes. This method requires the properties rehabilitated using the tax credit to be income-producing, and to remain as such for five years. Thus the federal credit, for all its power, inescapable skews TRF DP away from its long-term goal of including homeownership in its development model. In response, TRF DP plans to implement homeowner assistance programs to help renters gain healthy financials and work towards homeownership when the five-year tax credit limitation expires. They view stronger homeownership as the key ingredient to re-positioning neighborhood housing markets. These historic homes are the key to retaining the neighborhood's fabric and connecting its past to its future. TRF DP acknowledges that without the historic credits, they would be unable to preserve some of the most unique features of the neighborhood. Additionally, they recognize that the need to transition renter to homeowners is a fundamental component of their mission to stabilize the neighborhood's economy.<sup>52</sup>

The first step in TRF DP's investment site selection is to conduct a comprehensive market study using data analysis. Most important to this initial assessment is the use of TRF's Market Value Analysis ("MVA") software. The MVA is a tool that was initially created by TRF's Policy Group to assist government officials and private investors to identify and comprehend the various elements of local real estate markets. The following information set is included in this analysis: existing home values, abandonment rates, vacant land, owner-renter mix, median

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<sup>52</sup> Carolyn Placke, Personal Interview, February 2015.

income, private assets and transportation linkage.<sup>53</sup> The MVA analysis objectively describes market conditions and characteristics of the neighborhood based on economic analysis. TRF DP then identifies areas that are distressed but in physical proximity to major city assets. They seek to find areas in which to capitalize on the strength of these nearby major city assets and to create a series of investments that build on this proximity. TRF DP has named this approach the 'build from strength' redevelopment model.

Secondly, TRF DP partners with community members to develop a thorough understanding of the neighborhood. They believe that development cannot achieve success without input from the local owners and community members.<sup>54</sup> In the Oliver community, BUILD has helped TRF DP engage neighbors in identifying their specific needs and aspirations for their community. The strong support of the surrounding community is vital to form necessary connections to support their redevelopment activities. This support enables them to form stronger connections with local government, civic leaders, and to secure necessary community support for the legal and zoning approvals required for development. TRF DP is also working to leverage its strong ties with community organizers to implement healthy financial programs for the residents, with the goal of transitioning renters to owners at the end of the five-year restriction. As of now, this is only in the beginning stages of development and TRF DP is starting to work with their property managers to develop program ideas.

As the third step, TRF DP believes in utilizing a scattered site development approach that is scaled appropriately to the neighborhood's size and economy. A large impact is created through the targeted investment of smaller projects throughout a neighborhood. They identify specific areas that are most likely to respond to capital investment and improvement and then

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<sup>53</sup> Sean Closkey, Personal Interview, October 2014.

<sup>54</sup> Sean Closkey, Personal Interview, October 2014.

create a clear investment sequence to move throughout the area. This sequence is intended to leverage the strength of major neighborhood assets and scale them to market absorption constraints. Instead of focusing on one larger investment, such as a multi-family apartment building, they spread their investments out throughout the neighborhood to create a larger impact.<sup>55</sup>

For the fourth step, TRF DP establishes long and short-term capital financing through a mix of the Maryland State and Federal Historic Tax Credits, long-term bank loans, and federal, state and city grants and loans. An initial low interest rate loan of 3.5% from TD Bank initiated TRF DP's redevelopment abilities as the necessary funding to implement the beginning stages of acquisitions.<sup>56</sup> This investment is held in a specific fund dedicated to act as bridge financing for the various subsidy sources and long-term debt at the start of their projects. Each project under development is comprised of its own unique set of funding and subsidies and is very complicated. The following illustrates the typical funding sources used for each project:

1. TD Bank Low-Interest Rate Loan Draw
2. Federal Historic Tax Credit (FHTC)
3. Federal Department of Treasury - Capital Magnet Fund
4. Maryland Department of Housing and Community Development (DHCD) - Community 5. Legacy Grant
5. East Baltimore Development Inc. (EBDI) Grants
6. TRF DP Deferred Development Fees.”<sup>57</sup>

Each has its own set of requirements for resident occupancy income and repayment terms. For example, a few of the funding sources used are a mix of federal funds such as the Capital Magnet Funds, a grant program administered to institutions developing affordable housing by the Federal CDFI Fund and the Federal Historic Tax Credit, administered by the National Park

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<sup>55</sup> Sean Closkey, Personal Interview, October 2014.

<sup>56</sup> Carolyn Placke, Personal Interview, February 2015.

<sup>57</sup> Carolyn Placke, Personal Interview, March 2015.

Service. Maryland State funds include the MD Strategic Demolition and Smart Growth Impact Fund (SGIF), MD Community Legacy Grant program, the MD Neighborhood Stabilization program and the MD Affordable Housing Trust Revolving Construction Loan program. In addition, TRF DP also takes private grants from organizations such as BUILD, EBDI and private citizens.<sup>58</sup>

The Federal Historic Tax Credit is one of the largest sources of financing they utilize and is instrumental in bridging their investment gap. The investment of the Tax Credit equity enables TRF DP to replenish its acquisition fund and redeploy the capital to acquire additional abandoned properties. TRF DP sells the tax credit to TD Bank for a price ranging from \$0.90 to \$0.96 on the dollar. The main restriction on the Federal Historic Tax Credits state that the property must be an income producing property and remain so for five years. As such, TRF DP retains ownership of the properties and is therefore able to keep the average rent at about 80% average median income levels.

As the fifth component of development success, TRF DP believes that innovative and high design standards can create a sustainable and competitive housing market. The majority of their redevelopment work is in maintaining the historic character of the neighborhood. This is done through historic renovations of historic rowhomes and small-scale new infill construction of vacant lots to maintain the character of the neighborhood. Instead of demolishing ‘gap tooth’ vacant units, TRF DP focuses on filling in the blocks and maintaining a consistent street wall. It also focuses on creating housing products with signature open interior floor plans with granite countertops, stainless steel appliances, first floor hardwood floors and double height living spaces. All of their new units also meet Energy Star standards for energy efficiency. These homes are typically at least 30% more efficient than a typical home.

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<sup>58</sup> Carolyn Placke, Personal Interview, March 2015.

The last step in the TRF DP process is to reach the goal of converting the homes in the Oliver neighborhood from renter occupied to owner occupied. TRF DP is planning to implement programs aimed to assist current renters in improving their credit so they can qualify for a loan, teaching financially good habits and teaching occupants how to maintain their home. Homeownership is essential to creating stabilized neighborhoods and TRF DP is working towards this goal. The Federal Historic Tax Credit program comes with a five-year limitation on ownership. During this time period, TRF DP plans to implement the homeowner assistance programs and convert its renters to homeowners when the tax credit limitation expires. The limitation on the hold period of the properties also means that TRF DP can control when the units come onto the market as for sale properties. Therefore limiting its exposure to an oversaturation of units on the market that would suppress prices.

TRF DP's focus on quality and design has successfully allowed it to create a market area and housing products that combine historic rehabilitations with new construction, and renters with homeowners. They believe that a mixed-income neighborhood is essential to creating a sustainable and successful neighborhood. Creating such distinctive homes also enables TRF DP to effectively compete for the limited number of families currently in the rental and for sale market.<sup>59</sup>

### **3.4 CONCLUSION**

TRF DP emphasizes the importance of community and physical character in its development model. It seeks to connect these aspects with a solid understanding of the real estate market and high quality design to create the best possible product for the community and market. The emphasis on maintaining a large rental portfolio in the area is the most important

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<sup>59</sup> Martha Cross, Personal Interview, February 2015.

aspect of the model because it allows for the use of the State and Federal Historic Tax Credit and eliminates vacancy throughout the Oliver Neighborhood. The rental production in the Oliver Neighborhood comprises of nearly 80% of TRF DP's total housing production. This approach is intended to stabilize the market and establish long-term conditions for homeownership potential.

The TRF DP model also includes community members and leaders in a meaningful way throughout the development process and afterwards. Similar to the HUL model, they strongly believe that the early and ongoing inclusion of the community is the best method to reach success. This contributes to a thorough understanding of the neighborhood and ensures that the final product is in the best interest of the current neighborhood.



#### 4.1 INTRODUCTION



FIGURE 8: IMAGE OF SURVEY PARTICIPANTS AT MEMORIAL BAPTIST CHURCH IN THE OLIVER NEIGHBORHOOD, SEPTEMBER 2014

A joint project between TRF DP and TRF Policy Solutions began in the summer of 2014 to measure the impact of TRF DP's work in Baltimore, MD. The project became an assessment project to survey to the current residents of the neighborhood to gauge their reaction to the ongoing development. Sean Closkey, President of TRF DP, and Ira Goldstein, President of TRF Policy Solutions, collaborated to design a project that would document and analyze the redevelopment work occurring by TRF DP in the Oliver neighborhood of Baltimore, MD. The project's goal is to examine the long-term social and economic effects of TRF DP's housing investments in the Oliver neighborhood. The important implications from the decision to employ such an idea is to learn from the past and apply it to future decisions.

The survey was also intended to be a method to test the theory of HUL in the field at the TRF DP study area. Specific questions were designed to ask about the preservation efforts in the neighborhood and whether the residents appreciate the historic elements of the neighborhood such as the continuous rowhouse street wall, brick facades and dense housing layout. The survey specifically avoids using the term 'historic preservation' and other politically charged words to circumvent any preexisting prejudices. This approach is consistent with the HUL approach, which recommends that the development model prioritize actions for preservation and development. The impact assessment survey is a method to assess these actions midway through the development process. Then the model can be altered to address any resident opinions that may have changed.

The author of this thesis took the lead to design the community survey with Policy Solutions, using input from BUILD community leaders, church leaders and employees of TRF. The survey was then conducted on September 20<sup>th</sup>, 2014 at the Memorial Baptist Church Cook-Out to gather responses from the Oliver community about the recent redevelopment work in their neighborhood and the need for more services and programs. It will be used to help communicate the successes and challenges in the neighborhood to policymakers and TRF DP stakeholders.

The author worked to write the survey with the Policy Solutions team and to organize its deployment in Baltimore, MD. The author was given access to all results and data derived from the impact assessment survey. As a result of the authors' involvement, a section included in the survey is dedicated to asking questions about the historic preservation work in the neighborhood. It includes questions about the most important aspects of the neighborhood to preserve and historical connections. The impact assessment study is still an ongoing project between the Development Partners and Policy Solutions departments at TRF. The following

information is derived from the first iteration of the community survey and the nineteen respondents who filled it out.

#### **4.2 SEPTEMBER IMPACT ASSESSMENT SURVEY EVENT**

The survey occurred on September 20<sup>th</sup>, 2014 at the Memorial Baptist Church's annual Cookout on Preston Street in Baltimore, MD. The Pastor, Reverend Keene is on the board of TRF DP and is heavily invested in the redevelopment occurring in the neighborhood. He allowed TRF DP to set up a booth in the middle of the cookout and use a room inside the Church for the survey. We were able to speak to numerous people throughout the day and nineteen residents filled out the survey. Figure 9 illustrates the home location of 15 out of the 19 respondents who responded. The other four grew up in the Oliver neighborhood but currently live outside of the study area.

The main fault with the survey was its length and number of unstructured or open-ended response questions. During the event, we were only able to survey twenty people because word spread that the survey took twenty minutes or more to fill out. In the future, the survey needs to be edited to a ten-minute version that includes more structured questions that do not require a written response. Further research in this area needs to be conducted to develop a better method of resident survey.



FIGURE 9: MAP OF 15 SURVEY RESPONDENTS CURRENT HOUSEHOLD LOCATION – OLIVER STUDY AREA IS OUTLINED IN RED, SEPTEMBER 2014

#### 4.3 HISTORIC PRESERVATION - IMPACT ASSESSMENT SURVEY INDICATORS

The survey is divided up into twenty questions, with four or five sub questions each, asking about education, household size, community involvement, healthcare, food access, travel methods, employment and individual likes and dislikes about the neighborhood. Seven questions are dedicated to asking about historic preservation and the most important aspects of the neighborhood to preserve. The intent behind this section is to gauge to what extent the residents perceive historic preservation playing a role in preserving the sense of place in Oliver while not directly using the term, historic preservation. This term can carry with it negative

connotations and residents may be biased against it so it was avoided. Historic preservation principles are integral to the redevelopment work by TRF DP and are attributed to the success of the redevelopment work by leaders within TRF. The full survey is included as an Appendix at the end of this document.

The questions dedicated to preservation and built into the survey are as follows:

17. Is the Oliver neighborhood changing? \_\_\_\_\_

*If yes, what are 3 of the biggest changes you have noticed:*

18. Which do you feel are the most important to preserve in the Oliver neighborhood?

(Rank on 1-4 )

1 = Not a Priority	2 = Low Priority	3 = High Priority	4 = Essential for community
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Street lighting	_____	Residential rowhouses	_____
Sidewalks	_____	Height limit (5 Stories)	_____
Historic architecture	_____	Building Density	_____
Parks	_____	Street trees	_____
Community spaces	_____	Walkability	_____
Mix of building uses	_____		

Should the historic character and architecture of the neighborhood be preserved(circle)? NO | YES | UNSURE

Is there something else about the neighborhood's character or "feel" that you value that we haven't included here?

\_\_\_\_\_

\_\_\_\_\_

Do you have a personal connection to the history of the Oliver neighborhood? (please describe)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

FIGURE 10: OLIVER COMMUNITY SURVEY EXCERPT FOCUSING ON PRESERVATION, SEPTEMBER 2014



Line items for historic preservation were also built into other questions in the survey. In questions 15 and 16, the respondent is asked to compare their current home or apartment with their previous neighborhood or ideal neighborhood in Baltimore on a worse to better scale. The author added historic architecture to the list of choices included with recreation opportunities, open space, access to services, closeness to work, neighborhood quality, connection to neighbors, connection to neighborhood, building quality, safety, affordability, utilities, quality of schools and responsiveness to landlord problems. After the initial survey event, the community members identified this section as being the most complicated and confusing. Therefore, most of the respondents skipped or incorrectly filled out this section.

Overall, the survey questions attempt to procure responses to understand how local residents feel about the neighborhood. The remaining portions of the survey were built on obtaining quality of life indicators as defined by the TRF Policy Solutions team in their 2014 “Philadelphia Community Sustainability Initiative” project<sup>60</sup>. This project was created by TRF Policy Solutions specifically for the Philadelphia City Council to create a data driven method for public spending based on seven different measurements of neighborhood health and quality of life. An interview with Josh Freely, the Chief Policy Analyst of Policy Solutions about this project, described quality of life indicators as “universal elements that when present create places where people, over the entire spectrum of family income levels, want to live, work and raise families.”<sup>61</sup> Policy Solutions identified areas of the city that would serve as benchmarks on the various quality of life indicators: amenities, commerce, education, housing demand, housing stability, prosperity and safety. These indicators were used as the basis in which to build

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<sup>60</sup> “Philadelphia Community Sustainability Initiative”, (TRF Policy Solutions, 2013), 2.

<sup>61</sup> “Philadelphia Community Sustainability Initiative”, (TRF Policy Solutions, 2013), 7.

questions for the TRF DP community survey that helped identify perceptions by the local residents towards the neighborhood.

#### **4.4 SUMMARY OF DATA COLLECTION FINDINGS**

Overall, the participants in the initial stage of the survey felt that TRF DP is succeeding in retaining the character of Oliver and improving the quality of life. The majority of the people ranked their previous and ideal neighborhood the same as Oliver in terms of historic architecture. Therefore, it would appear that TRF DP is successful keeping the character and architecture distinctive to the Baltimore city region. In the open-ended questions, everyone who filled out the survey stated that they felt the Oliver neighborhood is changing. The overwhelming number of people said that new homes or houses were the number one biggest change that they have noticed in Oliver. This number one choice was expressed in several ways in the responses: improved housing, physical change, rehab of homes, less vacant homes, old empty homes rehabbed, remodeling of old homes and new homes coming to the area. Other positive answers were environment, more families, and physical. The second biggest changes listed were more homeowners, less drugs, less bars, improved housing, drug free, new homeownership, safety, cleaner and better stores.

Question 18 is the section of the survey dedicated to asking the residents whether they appreciate and enjoy the historic preservation efforts in the neighborhood. This question first asked the respondents to rank elements in the neighborhood that they feel are the most important to preserve. The two factors that respondents ranked as essential for community are residential rowhomes and walkability. The next three highest ranked factors are street lighting, sidewalks and community spaces. The next portion of question asked the respondents to fill in an answer if they felt we did not include an aspect of the neighborhood that is important to

them. Three filled in this section stating that they wanted to see more activities for kids and better quality schools. Another response said “a main commercial shopping area would be great for the community by keeping monies and interest in the local neighborhood.” Another respondent expressed dissatisfaction with the contemporary homes built in the area and wanted all of the new homes kept within the historic rowhome look for exterior design. Overall, the participants are extremely happy with the elements that are characteristics of an older neighborhood: density, walkability and sidewalks. However, the Oliver neighborhood is still lacking in amenities and community programs that contribute to a better sense of community.

The last question in the historic preservation section of the survey asked respondents to describe any personal connections that they have in the neighborhood. Almost everyone filled out this section and stated that they were proud to be a part of the neighborhoods history. Six people said that they have lived here since childhood and are excited to see the positive changes in the area. One said she has lived here for 40 years and another said his family has owned homes on Biddle Street since 1913. All of them said they love seeing the area restored to its former glory.

#### **4.5 IMPLICATIONS FOR FUTURE DEVELOPMENT**

The goal of the impact assessment survey is to gather input from current residents about the recent transformation of the Oliver area and assess what other amenities and changes the residents find important. A secondary goal is to assess to what degree do the residents find the preservation of the historic aspects of the neighborhood important. Then the data will be used to inform future development and program decisions.

This project builds upon the HUL approach by integrating quality benchmarks into the development process. The HUL approach advocates for prioritizing conservation actions and



evaluating potential impacts. The survey can become part of a broader process by which the development entity can pause and reflect on the redevelopment efforts and effect on the residents. In this sense, the impact assessment survey is one method to bring together the goals of both TRF DP and HUL models. It is a technique to capture resident feedback during the redevelopment process and can be compared with pre-development views to gauge to what extent they changed. Since TRF DP uses a long-term development implementation process, moving forward they can use the results from the survey to alter their future development plans to meet resident needs. The survey should be used as an additional tool to engage the community, but it is not as powerful as the larger community outreach efforts by TRF DP that includes the community in every stage of development.

The main amenity that the residents specified as missing from the Oliver neighborhood was a community center and better grocery options. Almost all of the participants stated they travelled outside the neighborhood to buy groceries and the majority stated they wanted to see a community center for the youth. Additionally, it was mentioned that there is a lack of commercial activity and mixed-use development in the area. Moving forward, TRF DP should focus on attracting and providing spaces for retail and commercial businesses to move to the neighborhood.

The principal takeaway from the survey is that the residents are overall content with the redevelopment and people moving back into the area. Many stated that they have a personal connection to the neighborhood and felt a great sense of pride to see it transformed. They love the newly renovated homes and character that they bring back to the area. From the responses recorded and the author's experience speaking with residents in the area, it appeared that the community is extremely happy with the preservation and redevelopment efforts.

The survey is an ongoing project between Policy Solutions and Development Partners. The first iteration of the survey implemented this past September did not gather the expected or needed number of responses. The response rate was low and therefore TRF is exploring other means to further gather responses. The two TRF teams are currently working to integrate the survey into a upcoming reassessment of affordability, which is a state-mandated reexamination process to confirm that the residents living in TRF DP's homes meet the required income limits. The survey will be implemented by TRF DP's property management team and become a required portion of the reassessment. Then TRF can gather a more focused number of responses from specifically their residents.

## CHAPTER FIVE: COMBINING THE DEVELOPMENT MODELS

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### 5.1. INTRODUCTION – JUMP FROM THEORY TO PRACTICE

Both the TRF DP and HUL models stress the importance of managing place and local character through saving the physical fabric of the city. Both place great importance on community building and involving local voices early in the development process to ensure success. They differ in their description of the final outcome, with TRF DP focusing on creating a healthy real estate market through homeownership and HUL focused on preserving the intangible components of the built environment. However, both of these goals can be achieved through overlapping community and financial measures to create a better place overall to lengthen the life of a building and improve the quality of life for residents.

The TRF DP development model is a proven method of development to change the landscape and real estate market of a small neighborhood. Its impact is demonstrated in the Oliver Neighborhood of Baltimore, MD where TRF DP concentrates its efforts to illustrate the effectiveness of strategic rehabilitation over widespread demolition and new construction. The HUL approach is a relatively new sequence of urban moves that draws from previous planning recommendations to focus on mapping and preserving important aspects of the built environment during redevelopment. The TRF DP model focuses on outcomes, while HUL is focused on processes and is a framework.

Taken together, both models of development to varying degrees place importance on aspects that are integral to an overall responsible development approach. By combining these two models, an outcome can be created that is stronger than the pieces. HUL will contribute to a stronger pre-development and mapping phase while TRF DP illustrates very strong financial and construction phases. The following chapter discusses the strengths and weaknesses of both

models to highlight and identify area where each can inform the other. This procedure results in a stronger overall development model that will ultimately improve the outcome in the community and built environment.

## **5.2 STRENGTHS AND WEAKNESSES OF HUL**

The HUL development model starts from a bottom-up approach to development. It begins by mobilizing the community and depending on them to provide genuine feedback and input in the stakeholder involvement process. Traditional and new planning tools are then merged to document the many layers of meanings present in a historic space in the second step. Finally, a third set of recommendations aims to protect the previously identified meanings through public sector regulation and private sector financial investment. The HUL approach stresses the importance of involving the community early in the process and depends on its viewpoint to identify important public spaces and intangible aspects of the built environment.

Preservation is not an objective process but extremely subjective and the HUL approach highlights that aspect. The core value of HUL is that historic urban areas are comprised of tangible and intangible layers of meaning focusing on quality of life and collective meaning. Some of these layers are measurable and some are not. HUL attempts to illustrate the best way to map these indefinable aspects and then incorporate them into modern development. It is one of the first demonstrations by UNESCO that highlights the importance of embracing urban city center development instead of stopping it.

### **STRENGTHS**

The greatest positive with the HUL model is the method developed to identify the integrity and authenticity of the physical space in an urban place. HUL prioritizes actions for

conservation and development early in the development process. The key to a well-designed urban place is its ability to draw a diverse set of people, be active at different times of the day and represent various meanings to a diverse group of people. The HUL approach works diligently to create a detailed non-traditional inventory of cultural resources and assets to dive into a deeper understanding of a place. This process highlights these aspects so that the invaluable and intangible aspects of place are not lost during redevelopment.

HUL integrates local residents into the development and mapping process in the early stages of pre-development. Focusing on learning about a place before demolition and redevelopment is integral to maintain the spirit of the place after construction ends. The HUL approach stresses the importance of listening and understanding inhabitant's views on the built environment. Oftentimes, many developers become locked in battles with the local residents over what the locals see as an unwanted development project being forced upon them without their consideration. Such a battle can result in months of delays for the developer and project. HUL takes great strides to avoid this outcome and uses the community to understand the place before any action is taken to develop a development plan.

Another positive of the HUL approach is its assessment of vulnerabilities and potential impacts of development in the city center. HUL focuses on scenario planning and understanding the future impacts resulting from redevelopment of a city's physical assets. The desired outcome is to produce a place that enhances the livability of an urban area, fostering social cohesion and economic development.

## **WEAKNESSES**

The HUL model places a great deal of emphasis on a community engagement process reaching stakeholder consensus in the beginning stages of development. However, often the

community is unwilling to engage in the process because of distrust of the party organizing the process, fear of unwanted government regulation, lack of interest or anger at a history of neglect. Moreover, consensus can change through what is learned in the subsequent steps of the development and outreach process. A project can become stuck in this stage, as reaching a consensus among stakeholders can be a daunting and endless task.

HUL also emphasizes improving the place over the people. HUL is one of the first development models from the historic preservation field to include front and center the importance of the people living in a place. Community involvement and investment is integral to the success of any development project. However, the ultimate goal of HUL is to save the place, not help the current residents stay in the area in the face of outside development pressures and gentrification trends. A weakness of HUL is its failure to incorporate best practices to help these current residents stay in their neighborhoods.

The third set of recommendations in HUL does not adequately address the private sector. It focuses on developing regulatory systems and development incentives in the public sector. HUL does not reference the importance of aligning incentives for private investment. The model also misses the real estate development cycle. It is not tied to the real estate economics or the ups and downs of real estate cycles. The assessment of market conditions, proximity to amenities and necessities, such as educational institutions, jobs and transportation, can ultimately decide the success of a development project. The timing of the real estate market is another factor to determine the financial success of a project. All of these factors need to be considered upfront in any real estate development project's infancy.

The HUL approach is too light on the financial benefits of preservation and redevelopment. It needs to focus on aligning incentives and returns. HUL spends too much time assessing the urban landscape and not enough on the practical tools that can be used to

implement and manage development and change. The financial tools section of HUL is placed at the very end of the model, where in reality, financial needs are the foremost driver of any project. In order to attract an investor or developer, public or private, the numbers need to work.

Overall, the HUL approach needs to strengthen its implementation recommendations for development. HUL excels in providing a framework for the important pre-development steps that are important for completion success, but does not provide adequate construction or application tools. By tying the HUL model to an existing, successful development model in a historic place, the incorporation of these missing elements can merge to improve the overall recommendations and process.

### **5.3 STRENGTHS AND WEAKNESSES OF TRF DP**

The TRF DP development model views development from the opposite end of the spectrum than HUL. It is a more non-traditional approach to redevelopment and begins by looking at market data to find inconsistencies between supply and demand and well-located parcels close to employment hubs and transportation as well as partnering with local community groups. TRF DP is a mission-based developer seeking to provide a new supply of affordable and market rate units to an underserved population. They focus equally on addressing the people in a community and on saving the place. TRF DP works in a historic area of Baltimore that is in desperate need of intervention, providing a new, upgraded affordable housing supply and private investment.

This development model is extremely practical and focuses on results and financial benefits through a community-centric model. It focuses on creating a better place for low and moderate-income residents. In pursuit of this goal, they have identified a historic neighborhood

and appropriate funding sources including tax incentives for the redevelopment of historic homes as vital to support their activities.

## **STRENGTHS**

TRF DP makes it a priority to form strong partnerships with the community and government. Both groups are given equal footing and stake in the development of the neighborhood through this process. Leaders in the community sit on the TRF DP board and are given input to the direction of the company. TRF DP partners early with local churches and community leaders to ensure their support. This is important to facilitate any zoning variances and city approvals needed for pre-development.

TRF DP also focuses on integrating local residents into the pre-development and tangible mapping process. TRF DP partners with the community in the beginning stages of development and uses their help to physically map the vacancy of conditions of a neighborhood. They listen to the community to understand their needs and concerns. In the Oliver neighborhood, they partnered early with BUILD and local church groups to ensure their support early in the process.

Leveraging financial tools based on the positive aspects of the place is one of the strongest tools utilized by TRF DP. They use the Federal and State Historic Tax Credit to close their financial gap in the redevelopment of the historic rowhomes in Baltimore, MD and maintains them as rental properties for at least five years. The use of this tax credit serves two goals of providing financial incentives and saving the character of the neighborhood. This aspect is also important to garnish community support where the individual residents feel a personal connection to the physical buildings.



The TRP DP model also incorporates new construction and strategic demolition into the overall neighborhood development model. Both of these tools are necessary to fill in the missing gaps in the blocks of the neighborhood and demolish structures that are beyond repair. TRF DP is not focused on solely saving historic buildings, but supporting the entire community through a larger and long-term investment strategy.

## **WEAKNESSES**

One negative in the TRF DP model is the property management of the rental portfolio after development is completed. Property management is integral to keeping a property well maintained and protecting the future of the income stream. In addition, TRF DP plans to convert the rental units to owner occupied units after the five-year Federal Historic Tax Credit limitation is over. The units need to remain in good condition to minimize future maintenance costs and attract a future buyer. Currently, there is a weakness in supervision of the property management office, which needs to be corrected to ensure future success.

TRF DP does not yet provide adequate community development programs and assistance programs for their renters to transition to future homeownership after the completion of development. Part of TRF DP's long-term neighborhood plan is to eventually transition the rental units to owner occupied units. The ideal situation will be to help the current residents who occupy the rental units transition to being the property's owner. TRF DP needs to focus on developing programs through their property management office and partnering with the local community groups to encourage their residents to improve their financial and credit histories.

TRF DP also needs a more comprehensive intangible mapping process to engage residents in the beginning of their planning stages to identify important landmarks and places.

TRF DP does an excellent job of interfacing with the community and including them in the pre-development process to hear their input for the future of their community. However, TRF DP has no formal process for mapping the neighborhood's intangible public spaces and landmarks that are important to the community. More emphasis on this during pre-development will ensure that the spirit of the place remains after redevelopment is concluded.

#### **5.4 THE COMBINED DEVELOPMENT MODEL**

Both the TRF DP and HUL models of development approach the process of urban development through similar tools and methods. Although one is the practical application of affordable housing development and the other recommendations from historic preservation professionals, they both overlap with the use of similar methods to reach the same end goal: to create a better neighborhood for residents through identifying and managing the tangible and intangible historic elements of a physical place. The combination of both models forms a stronger intervention standard with which to use for future urban development.

The answer to how to design a great public space and a successful neighborhood is in its intangible meanings. Why do some places fail and others thrive? Saving the history and meaning of a place can provide the key component to creating social cohesion and enhancing livability. The HUL approach understands this element and strongly incorporates it into the front end of their model. TRF DP sees the financial benefits from reusing historic buildings and as contributing factors to a more diverse, beautiful place with a high quality of life. Each model can incorporate lessons from the other that will strengthen the result of their intervention recommendations.

TRF DP should include a mapping protocol that documents the utility of spaces and key character of intangible components. Then, they can better decide upfront what is important to

keep and what can be demolished. A series of mapping similar to the HUL model will build on the communities' collective memory and identify what is important to them in their neighborhood.

HUL should include more tools that will encourage investment and growth from the private sector without major public sector incentives. For example, TRF DP uses market data, location and design to gain an edge in the private sector market. They also are experts in using a wide mix of funding sources to finance urban development. The addition of these funding and implementation tools would bridge the gap between theory and practice within the HUL model.

The following development chart illustrates a combination of the TRF DP and HUL methods of redevelopment. The strengths of each are joined to create a comprehensive final model that responsibly approaches urban redevelopment that is not place-specific. These steps are also not completely linear and may circle back on each other throughout the process. The goal of this combined model is to reinforce the elements needed for success to save and then manage the physical place and create a better environment for the people.

## **1. Identify Sites: Market Based Approach**

1. The first step stems from the TRF DP model of development. TRF firstly uses the MVA tool in Policy Map to identify sites based on adjacency to employment, amenities, transportation nodes and downtown areas. This "Build from Strength" model ensures that the chosen development location is easily accessible and a desirable place to live. The site also needs to be located within a federally designated historic district to capture additional funding sources.

## 2. Partner with Local Community

2. The next step is to form strong bonds with the local community to leverage their support. The developer should identify existing, strong community organizing bodies, such as local churches and nonprofits, which can act as liaisons between them and the local residents. This step is also important to speed up the pre-development process as local support becomes essential when applying for zoning variances or permits with the local government.

## 3. Build the Right Team

3. The development team is the most important aspect of a real estate development project. Development spans a wide variety of areas and a team with varied backgrounds can assist in navigating successfully through this process. For example, the TRF DP development team employs financiers, planners, architects and community organizers. TRF DP also employs a shared community organizer with BUILD and works with historic consultants. These varied viewpoints are important to understand and assess the range of meanings imbedded within a place.

#### **4. Survey and Map Historic Resources**

4. The majority of the HUL process contains recommendations to survey the tangible and intangible aspects of a place. These details are crucial to understanding the aspects of a neighborhood most important to preserve. Stakeholder meetings are important to incorporate into this process to assess which characteristics are important to the current residents. Then, a developer can create a list of important places to save and prioritize these qualities.

#### **5. Establish a Development Model/ Approach**

5. The development approach needs to be place specific and tailored to needs of a neighborhood. TRF DP is pursuing a scattered site development plan because of the availability of vacant city-owned homes, however concentrated investment is another option. The previous step will inform this decision and approach. Both steps 4 and 5 need to work together to build a redevelopment plan that will stay true to the place.

#### **6. Line up Long-Term Financing and Identify Funding Streams**

6. The next step is to line up long-term financing and lock in funding streams. This is the portion of the development process where the Federal Historic Tax Credit (FHTC) is the most important. It is a tool to provide gap financing for the development of historic properties with a

long-term implementation strategy. Properties using the FHTC are imposed with a five-year limitation as income producing or rental properties and the original developer must retain ownership of the property. This limitation on ownership creates the need for property management of the rental properties. The TRF DP model is creating renter assistance programs to aid in the transition of renters to homeowners to create a more stable neighborhood. A mix of other state and city funding can supplement this tax credit to fund the overall development, however these funding streams are very place specific.

## **7. High Quality Design and Implementation**

7. The TRF DP model is very focused on creating high-quality designs for affordable housing. Implementation and execution of the urban intervention is integral to the success of the final product. Furthermore, good property management is important to the upkeep of the properties. Part of the long-term FHTC plan is to hold the rental properties for five years until the tax credit limitation expires. The properties must be kept up to a high standard to create an easier transition to owner occupied homes at the end of the restriction.

## **8. Launch Programs to Convert Renters to Homeowners**

8. The final step in the development process is to convert renters to homeowners. Programs need to be employed for renters at the start of their lease to provide opportunities for residents to improve their credit history and financial standing. Community groups and the

property management can work together with the renters to teach responsible financial management skills. Then at the end of the five-year FHTC limitation, the rental occupied homes can be converted into owner-occupied homes. Homeownership is integral to building an economically stable neighborhood.

## **5.5 CONCLUSION**

The above combined development model seeks to provide a method of responsible urban intervention that respects the people and character of a place. It bridges the gap between theory and recommendations to real-world practice and implementation. The model attempts to be non-place specific within the United States of America, where the Federal Historic Tax Credit can be employed. It combines the best aspects of the TRF DP and HUL model into one comprehensive urban redevelopment model aimed at creating the best place possible for residents.

## CHAPTER SIX: RECOMMENDATIONS FOR FUTURE RESEARCH

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### **6.1 IMPLEMENT A LARGER SURVEY EFFORT OR EXPLORE BEST PRACTICES OF COMMUNITY SURVEYS**

The idea of a joint TRF DP – Policy Solutions community survey is an excellent idea to gather feedback from the community after the redevelopment process. Many viewpoints and ideas of the historic residents as well as the new residents may change after construction begins in the neighborhood. Such a survey and impact assessment is important to gauge the success of the project within the community and discover elements missing from the development. The TRF DP plan is to pursue a long-term hold strategy in the Oliver neighborhood and employing yearly check-ins are important.

TRF DP is working towards integrating the survey into their property management organization. The survey will become part of the state mandated reassessment process for affordability. Therefore, the survey can specifically target the TRF DP residents. Gathering a larger pool of responses is important to understanding the overall impact of the development operations. The survey can also be integrated into the initial application process for rental applicants. Questions should be added to measure why the residents want to move to the Oliver neighborhood and why they find it attractive. By putting more systems in place, the survey can reach more people and become a standard operating procedure.

### **6.2 DEVELOP SPECIFIC PROGRAM PROTOCOL TO HELP CONVERT RENTERS TO HOMEOWNERS**

One of the most important aspects of the TRF DP model is the push to convert renters to homeowners in an effort to stabilize the neighborhood. This is the most important step in the development process to create a lasting impact on the quality of life of the residents. A specific



plan of implementation and program designs would be the most effective tool moving forward. Also, the further evaluation of TRF DP efforts to transition renters to homeowners is necessary. Currently, TRF DP does not have efficient programs in place to support a transition of the renters living in their homes to owning the properties as homeowners. They should work with the community organizers in the area to implement such programs and expand on what state programs may already be in place.

The Federal Historic Tax Credit program creates a problem for many developers in the form of its five-year hold on the rehabilitated property. TRF DP is attempting to use this hold period to their advantage and implement programs to support the community and turn renters into homeowners. This step is vital to building a healthy neighborhood and improving the quality of life for the current residents. This step is a possible method to bypass gentrification and the displacement of residents. More study in this area is necessary to develop programming to address this gap in the development process. TRF's emerging initiatives to convert renters to homeowners are laudable, though barely in the formative stage. They bear close watching and are likely a subject for future research.

### **6.3 EXPAND PRODUCT TYPE TO INCLUDE MIXED USE AND RETAIL**

The focus on this thesis was on residential development in the Oliver neighborhood. Moving forward, TRF DP and future versions on the combined development model should include mixed-use and retail development. These amenities are important to improve the quality of life and attract new residents to the area. This process will include re-zonings of properties within residential zones and attracting tenants through subsidies. Many of the participants in the TRF DP impact assessment survey stated that they would like to see these types of amenities come to the Oliver neighborhood and that they travel outside the area for

grocery shopping. A economic reassessment of the area to evaluate whether it can support a local grocery store or small restaurant would be the next step in bringing these amenities to the area.

## CHAPTER SEVEN: CONCLUSION

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### 7.1 CONCLUSION

The combination of the HUL and TRF DP models creates a community-centric approach to urban development that respects the people and built environment equally. Both are important to achieving continuing success and creating a stabilized neighborhood. The HUL approach excels at mapping and recording the intangibles throughout the built environment and recommending urban approaches to preserve the built environment. The TRF DP model is a proven successful method to decrease the vacancy rate in a neighborhood and bring residents back to the place through the use of Federal Historic Tax Credits and community engagement. The combination of these two models results in a stronger, more complete model or suggestion of urban intervention.

The most important aspect of the combined development model is the focus on transforming renters to homeowners through the use of the Federal Historic Tax Credit. This method turns a negative into a positive by giving meaning to the five-year ownership limitation of the FHTC. It is a brilliant method to transform neighborhoods into economically stable environments and provide for the current residents at the same time. The TRF DP model and HUL approach can equally provide a positive future for the buildings and people of historic neighborhoods.

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**APPENDIX A: TRF NEIGHBORHOOD IMPACT ASSESSMENT SURVEY, SEPTEMBER 2015**



**THE REINVESTMENT FUND**  
Capital at the point of impact.

This survey about TRF Development Partners Neighborhood Development Project should take about 20 minutes or less.  
Thank you for your input!

1. How many children currently live in your home or apartment: \_\_\_\_\_

How many children currently attend elementary or middle school: \_\_\_\_\_

Elementary and middle schools  
your children have attended or  
are currently attending

Name (s): \_\_\_\_\_  
\_\_\_\_\_

Address (please provide street and ZIP code):  
\_\_\_\_\_  
\_\_\_\_\_

2. How many children attend high school: \_\_\_\_\_

High schools your children have attended or  
are currently attending

Name (s): \_\_\_\_\_  
\_\_\_\_\_

Address (please provide street and ZIP code):  
\_\_\_\_\_  
\_\_\_\_\_

3. How many children attend pre-kindergarten or other daily child care services? : \_\_\_\_\_

Names of all centers your children are currently attending	_____	Addresses (please include at least street name and ZIP code)	_____
	_____		_____
	_____		_____

How many children attend after school programs, recreation facilities or other youth-based programs? : \_\_\_\_\_

Names of all facilities, organizations or programs your children are currently attending	_____	Addresses (please include at least street name and ZIP code)	_____
	_____		_____
	_____		_____
	_____		_____

4. How many children attend college or other post-high school education options: \_\_\_\_\_

Higher education institutions your children have attended or are currently attending

College, University or Trade School  
Name (s): \_\_\_\_\_

Address (please provide street and ZIP code):  
\_\_\_\_\_  
\_\_\_\_\_

---

5. Do you participate in local community organizations or groups?  
*If YES, names of groups:*

What is the primary mission of this organization	What is your role at this organization?
_____	_____
_____	_____
_____	_____

How does this group interact with TRF or TRF Development Partners, if at all?  
\_\_\_\_\_  
\_\_\_\_\_

How could the relationship with TRF or TRF Development Partners be improved?  
\_\_\_\_\_  
\_\_\_\_\_

---

6. What is your favorite thing about the Oliver neighborhood?  
*Describe*

\_\_\_\_\_

\_\_\_\_\_

What are the top (3) things you would want to see more of in Oliver?

#1 \_\_\_\_\_

#2 \_\_\_\_\_

#3 \_\_\_\_\_

What would need to happen for those changes to come to the Oliver neighborhood?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

7. What is your favorite thing about your apartment or home?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

8. Please share 1-2 concerns or issues you experience in each of the following parts of your life:

Personal (for example, finding employment or caring for a sick family member)	Home/Apartment (for example, home repair needs)	Neighborhood (for example, availability of housing for seniors)
_____	_____	_____
_____	_____	_____
_____	_____	_____

9. Where do you receive health care services?

Primary (family) healthcare center:

Name (s): \_\_\_\_\_  
 \_\_\_\_\_  
 Address (please provide street and ZIP code): \_\_\_\_\_  
 \_\_\_\_\_

Emergency healthcare center:

Name (s): \_\_\_\_\_  
 \_\_\_\_\_  
 Address (please provide street and ZIP code): \_\_\_\_\_  
 \_\_\_\_\_

---

10. Where do you go for most of your grocery shopping? \_\_\_\_\_

Store location (city, neighborhood, street or ZIP code): \_\_\_\_\_

How often do you shop there per week? \_\_\_\_\_

Where do you shop for groceries the second most often? \_\_\_\_\_

Store location (city, neighborhood, street or ZIP code): \_\_\_\_\_

Where do you shop for groceries the third most often? \_\_\_\_\_

Store location (city, neighborhood, street or ZIP code): \_\_\_\_\_

---

11. Do you shop at small corner stores near your residence for groceries?

<p><i>If yes</i>, how many times per week do you shop for food at corner stores located near your residence?</p> <p>_____</p>	<p>What would you like to see improved upon at nearby corner stores?</p> <p>___ customer service                      ___ quality of packaged goods</p> <p>___ fresh produce                         ___ WIC, EBT, Access accepted</p> <p>___ fresh meat (if sold)                 ___ other (please describe)</p> <p>_____</p>
---	---

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12. Are you currently employed?

*If no*, how long has it been since you were last employed? \_\_\_\_\_

If you have been looking for employment, please describe a the largest barriers or other limitations you have experienced:

\_\_\_\_\_

\_\_\_\_\_

*If YES or NO*, please list the name and address of your most recent, **FORMER** employer: \_\_\_\_\_

If you do not feel comfortable listing the complete address, please provide the zip code and street intersection of your former employer) \_\_\_\_\_

How long ago did you work there? \_\_\_\_\_

*If yes*, please list the name and address of your current employer? \_\_\_\_\_

If you do not feel comfortable listing the complete address, please provide the zip code and street intersection of your former employer) \_\_\_\_\_

Do you have a second job?

If yes, please list the name and address of your current secondary employer \_\_\_\_\_  
 If you do not feel comfortable listing the complete address, please provide  
 the zip code and street intersection of your former employer) \_\_\_\_\_

13. What form of transportation do you use most often for the following activities?

Getting to work:	Non-work travel:	Getting children to school or child care:	Getting to the grocery store:	Getting to health care services:
<input type="checkbox"/> walk	<input type="checkbox"/> walk	<input type="checkbox"/> walk	<input type="checkbox"/> walk	<input type="checkbox"/> walk
<input type="checkbox"/> take the bus	<input type="checkbox"/> take the bus	<input type="checkbox"/> take the bus	<input type="checkbox"/> take the bus	<input type="checkbox"/> take the bus
<input type="checkbox"/> carpool	<input type="checkbox"/> carpool	<input type="checkbox"/> carpool	<input type="checkbox"/> carpool	<input type="checkbox"/> carpool
<input type="checkbox"/> own my car	<input type="checkbox"/> own my car	<input type="checkbox"/> own my car	<input type="checkbox"/> own my car	<input type="checkbox"/> own my car
<input type="checkbox"/> bike	<input type="checkbox"/> bike	<input type="checkbox"/> bike	<input type="checkbox"/> bike	<input type="checkbox"/> bike
<input type="checkbox"/> taxi	<input type="checkbox"/> taxi	<input type="checkbox"/> taxi	<input type="checkbox"/> taxi	<input type="checkbox"/> taxi

How long is your average work commute (in minutes or hours)? \_\_\_\_\_

14. Please estimate how much you spend on the following things each week (circle one):

Groceries for food prepared in the home:	<\$25	Eating out:	<\$25
	\$25-\$50		\$25-\$50
	\$50-\$100		\$50-\$100
	\$150-\$200		\$150-\$200
	\$200-\$250		\$200-\$250
	>\$250		>\$250
Private education or child care expenses:	<\$100	Transportation:	<\$25
	\$100-\$150		\$25-\$50
	\$200-\$250		\$50-\$100
	\$250-\$300		\$150-\$200
	\$300-\$350		\$200-\$250
	>\$350		>\$250

15. Where did you live before your current home or apartment (please provide full address and neighborhood name)?  
 If you have always lived in your current home, how long you have lived there?

\_\_\_\_\_

How long did you live there: \_\_\_\_\_

Did you rent or own? (circle one)

RENT / OWN

Now compare your previous home or apartment with you current one. For example, "Closeness to work: 4" means that your previous home or apartment was "better" or closer to work than your current home or apartment.

Your last home or apartment was:

1 = Much worse    | 2 = Worse    | 3 = The same    | 4 = Better    | 5 = Much better

than you current home or apartment for the following:

Recreation opportunities and open space	_____	Building quality	_____
Access to essential services (food, healthcare, education, child care)	_____	Safety	_____

Closeness or easy commute to work	_____	Affordability	_____
Neighborhood quality	_____	Utilities (heating/cooling costs)	_____
Connection to neighbors	_____	Responsiveness to landlord problems	_____
Connection to neighborhood, religious or civic organizations	_____	Quality of local schools	_____
Historic architecture	_____		

16. How long have you lived in your current home or apartment: \_\_\_\_\_

Do you rent or own? (circle one)

RENT / OWN

If you could live any neighborhood in the city of Baltimore, or place outside of Baltimore city, which one would it be?

\_\_\_\_\_

Now compare your current home or apartment with your ideal Baltimore neighborhood or place outside of Baltimore City. For example, "Affordability: 2" means that your ideal neighborhood is "worse" or less affordable than your current home or apartment.

A home or apartment in your ideal Baltimore neighborhood, or place outside of Baltimore would be:

1 = Much worse    | 2 = Worse    | 3 = The same    | 4 = Better    | 5 = Much better

than you current home or apartment for the following:

Recreation opportunities and open space	_____	Building quality	_____
Access to essential services (food, healthcare, education, child care)	_____	Safety	_____
Closeness or easy commute to work	_____	Affordability	_____
Neighborhood quality	_____	Utilities (heating/cooling costs)	_____
Connection to neighbors	_____	Responsiveness to landlord problems	_____
Connection to neighborhood, religious or civic organizations	_____	Quality of local schools	_____
Historic architecture	_____		

17. Is the Oliver neighborhood changing? \_\_\_\_\_

If yes, what are 3 of the biggest changes you have noticed:

#1 \_\_\_\_\_

#2 \_\_\_\_\_

#3 \_\_\_\_\_

What or who is responsible for those changes?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

18. Which do you feel are the most important to preserve in the Oliver neighborhood?

(Rank on 1-4)

1 = Not a Priority    | 2 = Low Priority    | 3 = High Priority    | 4 = Essential for community

Street lighting	_____	Residential rowhouses	_____
Sidewalks	_____	Height limit (5 Stories)	_____
Historic architecture	_____	Building Density	_____
Parks	_____	Street trees	_____
Community spaces	_____	Walkability	_____
Mix of building uses	_____		

Should the historic character and architecture of the neighborhood be preserved(circle)?    NO    |    YES    |    UNSURE

Is there something else about the neighborhood's character or "feel" that you value that we haven't included here?

\_\_\_\_\_  
\_\_\_\_\_

Do you have a personal connection to the history of the Oliver neighborhood? (please describe)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

For TRF Development Partners tenants or homeowners

19. How did you hear about this housing opportunity with TRF Development Partners?

\_\_\_\_\_  
\_\_\_\_\_

What made you pursue this housing opportunity with TRF Development Partners over other options?

\_\_\_\_\_  
\_\_\_\_\_

How long would you like to stay in the Oliver neighborhood, in your current home or apartment?

\_\_\_\_\_  
\_\_\_\_\_

Would you recommend living in a Development Partners home or apartment unit to others?

\_\_\_\_\_  
\_\_\_\_\_

20. Thank you for your time. Would you like to receive information on the results of this survey?

YES    NO

How would you like to be contacted to receive these results?

## INDEX

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- Advisory Council on Historic Preservation, 13
- Baltimore Commission for Historical and Architectural Preservation (CHAP), 38, 39
- Baltimore Mayor Martin O'Malley, 21, 34
- BUILD, 40, 41, 43, 63
- 'Build From Strength,' 43, 66
- Dr. Ron van Oers, 3, 16, 17, 18, 26, 28,
- East Baltimore Development Initiative (EBDI), 21, 22, 32, 34, 35, 36, 44, 45
- Federal Historic Tax Credit, 1, 5, 7, 8, 10, 11, 12, 15, 39, 44, 46, 64, 68, 69, 71, 73
- Johns Hopkins, 2, 21, 22, 31, 32, 35
- Oliver Neighborhood, 2, 21, 22, 32, 35, 37, 40, 48, 71
- Maryland State Historic Tax Credit, 38, 39, 49
- Market-Value Assessment (MVA), 42, 66
- Memorial Baptist Church, 41, 48, 49, 50
- Pastor Reverend Keene, 50
- "Philadelphia Community Sustainability Initiative" Project, 53
- Policy Solutions, 3, 48, 49, 53, 56, 70
- Section 106, 11, 12, 13
- UNESCO, 2, 15, 22, 25, 26, 27
- Vacants to Value, 35, 36
- Vienna Memorandum, 25