THE CITY OF DUBUQUE
Masterpiece on the Mississippi

RACIAL EQUITY TOOLKIT

February 2016

City Council Vision

The city of Dubuque is a progressive, sustainable city with a strong diversified economy and expanding global connections. The Dubuque community is an inclusive community celebrating culture and heritage and has actively preserved our Masterpiece on the Mississippi. Dubuque citizens experience healthy living and retirement through quality, livable neighborhoods with an abundance of fun things to do; and are engaged in the community, achieving goals through partnerships. Dubuque City government is financially sound and is providing services with citizens getting value for their tax dollar.

City Council Mission

The City's Mission is to deliver excellent municipal services that support urban living and a sustainable city plan for the community's future and facilitate access to critical human services which result in financially sound government and citizens getting services and value for their tax dollar.

Guiding Principles of the Management Philosophy

Plan your work and work your plan
Input-oriented
Problem-solvers
Develop Partnerships
Act with a sense of urgency

I. What is Racial Equity?

Ultimately, racial equity is when race is no longer predictive of life outcomes. Early results from the Inclusive Dubuque Equity profile, along with the Voluntary Compliance Agreement between the City and HUD, indicate the ongoing reality of racial and ethnic inequities in Dubuque. This tool lays out a process and set of questions that can be used to guide the development, implementation, and evaluation of policies, initiatives, programs, services, and budget decisions within Dubuque city government in ways that take into consideration the potential equity impacts based on race and ethnicity. To maximize impact, we encourage other Inclusive Dubuque partners to also consider racial equity within their own decision making.

II. What is a Racial Equity Tool?

Racial equity tools are designed to help decision makers think through the ways in which racial equity might be advanced or hindered by particular policies, practices, programs and budgets. The thought process and actions encouraged by the tool can help develop strategies and actions that reduce racial inequities and improve success for all groups.

Too often, we overlook racial equity while developing and implementing policies and programs. When racial equity is not explicitly brought into operations and decision-making, racial inequities are likely to be perpetuated. Racial equity tools provide a structure for institutionalizing the consideration of racial equity.

A racial equity tool:
- Proactively seeks to eliminate racial inequities and advance equity.
- Identifies clear goals, objectives and measurable outcomes.
- Engages community in decision-making processes.
- Identifies who will benefit or be burdened by a given decision, examines potential unintended consequences of a decision, and develops strategies to advance racial equity and mitigate unintended negative consequences.
- Develops mechanisms for successful implementation and evaluation of impact.

Appendix A provides an overview of key definitions. We have found that using a racial equity tool is an important step to operationalizing equity. However, it is not sufficient by itself. We must have a much broader vision of the transformation of government in order to advance racial equity. To transform government, we must normalize conversations about race, operationalize new behaviors and policies, and organize to achieve racial equity. Please see **Appendix A** for definitions that have been critical for helping to expand a shared analysis of racial equity considerations and **Appendix B** for some examples of racial equity tools across government (Seattle and Multnomah County), foundations (Annie E Casey Foundation) and community (Race Forward).

III. Why should government use a Racial Equity Tool?

From the inception of our country, government at the local, regional, state and federal level has played a role in creating and maintaining racial inequity. A wide range of laws and policies were passed, including everything from who could vote, who could be a citizen, who could own property, who was property, where one could live, whose land was whose and more. With the Civil Rights Movement, laws and policies were passed that helped to create positive changes, including making acts of discrimination illegal. However, despite progress in addressing explicit discrimination, racial inequities continue to be deep, pervasive and persistent across the country. Racial inequities exist across all indicators for success, including in education, criminal justice, jobs, housing, public infrastructure and health, regardless of region.

Many current inequities are sustained by historical legacies and structures and systems that repeat patterns of exclusion. Institutions and structures have continued to create and perpetuate inequities, despite the lack of explicit intention.

Local and regional government has the ability to implement policy change at multiple levels and across multiple sectors to drive larger systemic change. Routine use of a racial equity tool explicitly integrates racial equity into governmental operations.

Local and regional governmental jurisdictions that are a part of the Government Alliance on Race and Equity (GARE) have used a racial equity tool. See **Appendix C** for specific examples of practices in other jurisdictions.

IV. When should we use a racial equity tool?

The earlier one uses a racial equity tool, the better. When racial equity is left off the table and not addressed until the last minute, it is less likely to be fruitful. Using a racial equity tool early means that individual decisions can be aligned with organizational racial equity goals and desired outcomes. Using a racial equity tool more than once means that equity is incorporated throughout all phases, from development to implementation and evaluation.

V. The Racial Equity Tool

A racial equity tool is a simple set of questions, in the following steps:
1. What is your proposal and what are the desired results and outcomes?
2. What's the data? What does the data tell us?
3. How have communities been engaged? Are there opportunities to expand engagement?
4. What are your strategies for advancing racial equity?
5. What is your plan for implementation?
6. How will you ensure accountability and evaluate results?

The following sections provide a description of the overall questions. Once you are ready to jump into action, please check out the worksheet that can be found in **Appendix D.** If you are in need of training on implementation of a racial equity tool, please let us know. We know that development of a tool is insufficient. We have to have managers, budget analysts, policy

analysts and front-line staff who are ready to begin using it. That means we need to develop skills. We also need to focus on using the tool with inclusion, making efforts to involve people from diverse racial and ethnic backgrounds.

Step #1 – What is the proposal and the desired results and outcomes?

While it might sound obvious, having a clear description of the proposal and decision at hand is critical. We should also be vigilant in our focus on impact.

The terminology for results and outcomes is informed by our relationship with Results Based Accountability™. This approach to measurement clearly delineates between community conditions / population accountability and organizational programs/performance accountability. Those two levels share a common systematic approach to measurement. This approach emphasizes the importance of beginning with a focus on the desired "end" condition. Ideally, the baseline includes both historic data, as well as a forecast for the future for a particular measure.

- **Outcomes** are at the community level, the conditions we are aiming to impact. It is a condition of desired wellbeing for an individual, group or community often stated in plain language (RBA uses the term "Result").
- **Indicators** are measure that help quantify the achievement of the outcome within a community. Community indicators are the means by which we can measure impact in the community. Community indicators should be disaggregated by race, if possible. Inclusive Dubuque is working to establish community level results as part of the Equity Profile Process.
- **Performance Measures** are measures of how well a program, policy, organization, agency, department, or system is working. Appropriate performance measures allow monitoring of the success of Implementation of actions that have a reasonable chance of influencing indicators and contributing to results. Performance measures respond to three different things:
    a. Quantity: How much did we do?
    b. Quality: How well did we do it?
    c. Is anyone better off?
  Although measuring whether anyone is actually better off as a result of a decision is highly desired, we also know there are inherent measurement challenges. You should think about a mix of types of performance measures so that you are able to assess the status quo and track progress.

We encourage you to be clear about the desired end conditions in the community and to emphasize those areas where you have the most direct influence. When you align community indicators and government strategies and performance measures, you maximize the likelihood for impact. To ultimately impact community conditions, government must partner with other institutions and the community.

Step #2 – What's the data? What does the data tell us?

Too often data might be available, but is not actually used to inform strategies and track results. The enormity of racial inequities can sometimes feel overwhelming. Institutionalizing use of a racial equity tool provides the opportunity to develop thoughtful, realistic strategies and timelines that advance racial equity and help to build long-term commitment and momentum.

In analyzing data, you should think not only about quantitative data, but also qualitative data. Remember that sometimes missing data can speak to the fact that certain communities, issues or inequities have historically been overlooked. Sometimes data sets treat communities as a monolithic group without respect to subpopulations with differing socioeconomic and cultural experience. Using this data could perpetuate historic inequities. Using the knowledge and expertise of a diverse set of voices, along with quantitative data is necessary (see more in Step #3). Focus on obtaining a picture of how different communities are situated in terms of equity and their perspectives on the policy, initiative, program, service or budget decision at issue.

Data Resources:
Federal
- **American FactFinder**: http://factfinder.census.gov/faces/nav/jsf/pages/index.xhtml
- **US Census Quick Facts** http://quickfacts.census.gov/qfd/index.html
- **Health:** http://wonder.cdc.gov
- **Education**: http://www2.ed.gov/rschstat/landing.jhtml?src=ft
- **Housing:** http://www.census.gov/programs-surveys/ahs.html

State:
- **American FactFinder:** http://factfinder.census.gov/faces/nav/jsf/pages/community_facts.xhtml#
- **US Census Quick Facts:** http://quickfacts.census.gov/qfd/states/19000.html
- **State Data Center:** http://www.iowadatacenter.org/

Local
- **American FactFinder:** http://factfinder.census.gov/faces/nav/jsf/pages/community_facts.xhtml?src=bkmk
- **US Census Quick Facts**: http://quickfacts.census.gov/qfd/states/19/19061.html
- **Inclusive Dubuque:** http://inclusivedbq.org/community-equity-profile/

Step #3 – How have communities been engaged? Are there opportunities to expand engagement?

It is not enough to consult data or literature to assume how a proposal might impact a community. Involving communities impacted by a topic, engaging community throughout all phases of a project, and maintaining clear and transparent communication as the policy or program is implemented will help produce more racially equitable results.

It is especially critical to engage communities of color. Due to the historical reality of the role of government in creating and maintaining racial inequities, it is not surprising that communities of color do not always have much trust in government. In addition, there is a likelihood that other barriers exist, such as language, perception of being welcome, and lack of public transportation or childcare. For communities with limited English language skills, appropriate language materials and translation must be provided, as well as meeting times and locations.

Use the City of Dubuque's Community Engagement Toolkit to think through and develop a community engagement plan for your particular proposal.

Step #4 – What are the strategies for advancing racial equity?

Based on your data and stakeholder input, step back and assess the proposal and think about complementary strategies that will help to advance racial equity. Analyze the issue for impacts and align to maximize equity outcomes in the community. Focus on strategies to create greater equity for affected groups and/or to minimize unintended consequences.

We often tend to view policies, programs or practices in isolation. Because racial inequities are perpetuated through systems and structures, it is important to also think about complementary approaches that will provide additional leverage to maximize the impact on racial inequity in the community. Expanding your proposal to integrate policy and program strategies and broad partnerships will help to increase the likelihood of community impact.

Step #5 – What is the plan for implementation?

Now that you know the unintended consequences, benefits and impacts of the proposal and have developed strategies to mitigate unintended consequences or expand impact, it is important to focus on thoughtful implementation.

Step #6 – How will we ensure accountability and evaluate results?

Just as data was critical in analyzing potential impacts of the program or policy, data will be important in seeing whether the program or policy has worked. Developing mechanisms for collecting data and evaluating progress will help measure whether racial equity is being advanced. As you use the racial equity tool, continue to communicate with and involve those impacted, document unresolved issues, track impact over time, and share information learned and unresolved issues with the City Manager and the Human Rights Director.

Accountability entails putting processes, policies and leadership in place to ensure that program plans, evaluation recommendations, and actions leading to the identification and elimination of root causes of inequities are actually implemented.

Racial equity tools should be used on a routine basis. Using a racial equity tool at different phases of a project will allow now opportunities for advancing racial equity to be identified and implemented.

VI. What if we don't have enough time?

The reality of working in government is that there are often unanticipated priorities that are sometimes inserted on a fast track. While it is often tempting to say that there is insufficient time to do a full and complete application of a racial equity tool, it is important to acknowledge that even with a short time-frame, asking a few questions relating to racial equity can have a meaningful impact. We suggest that the following questions should be answered for "quick turn-around" decisions:

- What are the racial equity impacts of this particular decision?
- Who will benefit from or be burdened by the particular decision?
- Are there strategies to mitigate the unintended consequences of this particular example?

VII. How can we address barriers to successful implementation?

You may have heard the phrase, "every system is exquisitely designed to get the outcomes it gets." For us to get to racially equitable outcomes, we need to work at the institutional and structural levels. As part of institutions and systems, it is often a challenge to re-design systems, let alone our own individual jobs. One of the biggest challenges is often a skills gap. Others may be a lack of support from leadership or a desire for perfection. Strategies to address these barriers include training and support, working in teams, continually learning, setting expectations, and maintaining accountability. It is also helpful to recognize the complexity of the issues, and the numerous pros, cons, and trade-offs that must be considered during decision-making.

APPENDICES

Appendix A: Glossary

Bias: Pre-judgement toward one group and its members relative to another group.

Community indicator: The means by which we can measure socio-economic conditions in the community. All community indicators should be disaggregated by race, if possible.

Contracting Equity: Investments in contracting, consulting and procurement should benefit the communities in the jurisdiction serves, proportionate to the demographics.

Equity Result: The condition we aim to achieve in the community.

Explicit Bias: Biases that people are aware of and that operate consciously. They are expressed directly.

Implicit Bias: Biases people are usually unaware of and that operate at the subconscious level. Implicit bias is usually expressed indirectly.

Individual Racism: Pre-judgment, bias or discrimination based on race by an individual.

Institutional Racism: Policies, practices and procedures that work better for White people than for People of Color, often unintentionally.

Performance Measure: Performance measures are at the jurisdiction, department or program level. Appropriate performance measures allow monitoring of the success of implementation of actions that have a reasonable chance of influencing indicators and contribution to results. Performance measures respond to three different levels: 1) Quantity – how much did we do?, 2) Quality – how well did we do it?, and 3) Is anyone better off? A mix of these types of performance measures is contained within the recommendations.

Racial Equity: Race can no longer be used to predict life outcomes and outcomes for all groups are improved.

Racial Inequity: Race can be used to predict life outcomes, e.g., disproportionality in education (high school graduation rates), jobs (unemployment rate), criminal justice (arrest and incarceration rates), etc.

Structural Racism: A history and current reality of institutional racism across all institutions, combining to create a system that negatively impacts communities of color.

Workforce Equity: The workforce of the jurisdiction reflects the diversity of its residents, including across the breadth (functions and departments) and depth (hierarchy) of the organization.

Appendix B: Examples of Racial Equity Tools

Annie E. Casey Foundation Racial Equity Impact Analysis
http://www.aecf.org/m/resourcedoc/aecf-racialequityimpactanalysis-2006.pdf

Race Forward's Racial Equity Impact Assessment Toolkit
https://www.raceforward.org/practice/tools/racial-equity-impact-assessment-toolkit

Seattle's Racial Equity ToolKit
http://www.seattle.gov/Documents/Departments/RSJI/RacialEquityToolkit_FINAL_August2012.pdf

King County's Equity Impact Assessment
http://www.kingcounty.gov/elected/executive/equity-social-justice/tools-resources.aspx

Multnomah County's Equity and Empowerment Lens
https://multco.us/diversity-equity/equity-and-empowerment-lens/equity-and-empowerment-lens-first-version

Appendix C: Examples of the application of a racial equity tool

The Seattle Race and Social Justice Initiative (RSJI) is a citywide effort to end institutionalized racism and race-based disparities in City government. The Initiative was launched in 2004. RSJI includes training to all City employees, annual work plans, and change teams in every city department. RSJI first started using its Racial Equity Tool during the budget process in 2007. The following year, in recognition of the fact that the budget process was just the "tip of the ice berg," use of the tool was expanded to be used in policy and program decisions. In 2009, Seattle City Council included the use of a racial equity tool in budget, program and policy decisions, including review of existing programs and policies, in a resolution (Resolution 31164) affirming the city's Race and Social Justice Initiative. In 2015, newly elected Mayor Ed Murray issued an Executive Order directing expanded use of the Racial Equity Tool, and requiring measurable outcomes and greater accountability.

Multnomah County's Equity and Empowerment Lens is used to improve planning, decision-making, and resource allocation leading to more racially equitable policies and programs. At its core, it is a set of principles, reflective questions, and processes that focuses at the individual, institutional, and systemic levels by:

- Deconstructing what is not working around racial equity;
- Reconstructing and supporting what is working;
- Shifting the way we make decisions and think about this work; and
- Healing and transforming our structures, our environments, and ourselves.

Numerous departments have made commitments to utilizing the Lens, including a health department administrative policy and within strategic plans of specific departments. Tools within the Lens are used both to provide analysis and to train employers and partners on how Multnomah County conducts equity analysis.

Madison Wisconsin is in the process of implementing a racial equity tool, including both a short version and a more in-depth analysis.

Agency/org.	Project	Tool(s) used	Purpose & outcomes (if applicable)
Clerk's Office	2015-2016 work plan	Equity & Empowerment Lens (Mult. Co.)	Adopted new mission, vision, work plan and evaluation plan with racial equity goals
Streets Division	Analysis of neighborhood trash pickup	RESJI analysis (comprehensive)	Recommendations to adjust large item pickup schedule based on neighborhood & seasonal needs
Madison Out of School Time (MOST) Coalition	Strategic planning	RESJI analysis (fast-track)	Adopted strategic directions, including target populations, informed by racial equity analysis
Public Health Madison &	Dog breeding & licensing	RESJI analysis (comprehensive)	Accepted recommendation to table initial legislation & develop better policy through more

Dane County	ordinance		inclusive outreach; updated policy adopted
Fire Department	Planning for new fire station	RESJI analysis (comprehensive)	Recommendations for advancing racial equity and inclusive community engagement; development scheduled for 2016-17
Metro Transit	Succession planning for management hires	RESJI equitable hiring checklist	First woman of color promoted to Metro management position in over 20 years
Human Resources Department	2015 & 2016 work plans	RESJI analysis (fast-track & comprehensive)	2015 plan reflects staff input; 2016 work plan to include stakeholder input (est. 10/15)
Human Resources Department	City hiring process	RESJI analysis (comprehensive)	Human Resources 2015 racial equity report: http://racialequityalliance.org/2015/08/14/the-city-of-madisons-2015-human-resources-equity-report-advancing-racial-equity-in-the-city-workforce/
Economic Development Division	Public Market District project	RESJI analysis (comprehensive)	10 recommendations proposed to Local Food Committee for incorporation into larger plan
Public Health Madison & Dane County	Strategic planning	RESJI analysis (fast-track)	Incorporation of staff & stakeholder input, racial equity priorities, to guide goals & objectives (est. 11/15)
Planning, Community & Econ. Devel. Dept.	Judge Doyle Square development (public/private, TIF-funded)	RESJI analysis (fast-track); ongoing consultation	Highlight opportunities for advancement of racial equity; identify potential impacts & unintended consequences; document public-private development for lessons learned and best practices
Parks Division	Planning for accessible playground	TBD	Ensure full consideration of decisions as informed by community stakeholders, with a focus on communities of color and traditionally marginalized communities, including people with disabilities.
Fire Department	Updates to promotional processes	TBD	Offer fair and equitable opportunities for advancement (specifically Apparatus Engineer promotions)

Appendix D – Racial Equity Worksheet

Title of the issue or opportunity:

_____

Description of the issue or opportunity:

_____

_____

Department: _____

Contact Person: _____

- ☐ Policy or Ordinance
- ☐ Initiative or Plan
- ☐ Program
- ☐ Service
- ☐ Budget Issue

Step #1 – What is the proposal and the desired results and outcomes?

1. Describe the policy, program, practice or budget decision (for the sake of brevity, we refer to this as a "proposal" in the remainder of these steps)

2. What are the intended results (in the community) and outcomes (within your own organization)?

3. Which racial equity opportunity area does this proposal have an ability to impact in the community?
   - ☐ Economic Wellbeing/Workforce
   - ☐ Housing
   - ☐ Education
   - ☐ Health
   - ☐ Transportation
   - ☐ Safe Neighborhoods
   - ☐ Arts & Culture

   Briefly describe anticipated impacts:

4. Which racial equity opportunity area(s) does this proposal have an ability to impact in the organization?
   - ☐ City Workforce Recruitment and Retention
   - ☐ Contracting/Subcontracting/Purchasing

☐ Council Goal Setting and Budgeting Process
☐ Department Service Delivery
☐ Department Program Planning
☐ Department Project Selection
☐ Community Engagement and Partnerships

Briefly describe anticipated impacts:

Step #2 – What's the data? What does the data tell us?

1. Will the proposal have impacts in specific geographic areas (neighborhoods, areas, or regions)? What are the racial demographics of those living in the area?

2. What does the data, including quantitative and qualitative data, tell you about: i) existing racial inequities, ii) which racial and ethnic groups will be affected by this action, and iii) how each group will be affected? Design your community engagement plan with these in mind.

3. What does the data say about root causes or factors influencing racial inequities? (*Examples: bias in process, lack of access or barriers, lack of racially inclusive engagement*)

4. Are there data gaps? What additional data would be helpful in analyzing the proposal? How can you obtain better data?

Step #3 – How have communities been engaged? Are there opportunities to expand engagement?

Use the Community Engagement Toolkit to develop a community engagement plan, keeping the following questions in mind.

1. Who are the most affected community members who are concerned with or have experience related to this proposal? How have you involved these community members in the development of this proposal?

2. What has your engagement process told you about the burdens or benefits for different groups?

Group	Benefit	Burden

3. What has your engagement process told you about the factors that produce or perpetuate racial inequity related to this proposal?

Step #4 – What are the strategies for advancing racial equity?

1. Given what you have learned from research and stakeholder involvement, how will the proposal increase or decrease racial equity?

2. What benefits or burdens might results and for whom?

3. What are potential unintended consequences (i.e., burden falls disproportionately on low-income and/or communities of color)? What are the ways in which your proposal could be modified to enhance positive impacts or reduce negative impacts?

4. Are there complementary strategies that you can implement? What are ways in which existing partnerships could be strengthened to maximize impact in the community? How will you partner with stakeholders for long-term positive change?

5. Are the impacts aligned with your community outcomes defined in Step #1?

6. Describe any strategies you will use to advance opportunity or minimize harm. For each strategy, include a timeline and how you will measure and track your progress.

   Program Strategies:

   Policy Strategies:

   Partnership Strategies:

Step #5 – What is the plan for implementation?

1. Describe your plan for implementation.

2. Is your plan:
   - Realistic?
   - Adequately funded?
   - Adequately resourced with personnel?
   - Adequately resources with mechanisms to ensure successful implementation and enforcement?
   - Adequately resourced to ensure on-going data collection, public reporting, and community engagement?

        o   If the answer to any of these questions is no, what resources or actions are needed?

Step #6 – How will we ensure accountability and evaluate results?

1. What issues remain unresolved? What resources/partnerships do you still need to make changes?

2. How will you share your analysis and finalize your plan or proposal with community stakeholders? (*note: this should be accounted for in your community engagement plan*)

3. How will you share information learned from this analysis with your departments?

4. How will impacts be documented and evaluated? What is your plan for documenting anticipated results and outcomes? Do you have a plan to make course corrections, if needed?

5. How will you continue to partner and deepen relationships with communities to make sure your work to advance racial equity is working and sustainable for the long-haul?