

Municipal Issuer Racial Equity & Inclusion Engagement Framework



Statement of Purpose:

The purpose of the Municipal Issuer Racial Equity and Inclusion Engagement Framework is to open a constructive and voluntary dialogue with municipal issuers on critical issues surrounding racial equity and inclusion. We view racial equity and inclusion as an area where municipal issuers can differentiate themselves from their peers and seize an opportunity to both engage and strengthen ties with the communities they serve. The Framework put forth supports increased engagement and disclosure that can help stakeholders make more informed investment decisions.

1. General Questions

We recommend that issuers publicly disclose their responses to these questions so that investors and other stakeholders can assess them. Do not provide any information in response to these questions that would constitute material non-public information with regard to any issuance.

- 1. a. As a municipal issuer, are you willing and able to engage with investors on issues regarding racial equity and inclusion on an ongoing basis?
 - Yes
 - No

Please also indicate the willingness and ability to engage on an ongoing basis on the following key themes regarding racial equity and inclusion:

- Government services and community engagement
- Law enforcement
- Community development and city planning
- Municipality demographics and reporting
- Board, senior management and employee representation and/or programmatic support (specifically for municipal enterprise entities)

With a long-term goal to build a broad partnership that includes municipal issuers, asset managers and underwriters to improve transparency on this important topic. Voluntary questions for consideration along key racial equity and inclusion themes can also be found below.

2. Government Services & Community Engagement

- 2. a. Does your municipality have any personnel, departments, or initiatives responsible for promoting diversity & inclusion in policies, programs, and/or community engagement as a key function within their role?
 - Yes
 - No

IF YES, PLEASE LIST.

2. b. Does your municipality offer social services or programs focused on racial equity & inclusion across the following areas?

PLEASE SELECT ALL THAT APPLY:

- Education and vocational training
- Economic development
- Employment promotion
- Food security
- Healthcare and dependent care services
- Housing or shelter
- Immigration or refugee services
- Legal counseling
- Recidivism
- Vendor / Supplier procurement / Professional services
- Voter participation and access

SPECIFY THE METRICS THAT YOU USE TO MEASURE YOURSELF ON THESE ISSUES.

2. c. Does your municipality have a process in place to ensure that services are distributed/provided equitably within your community?

- Yes
- No

ADD COMMENTS

2. d. Does your municipality offer education and training to its municipal government personnel (including law enforcement, and if applicable, public prosecutors and judges) on any of the following topics?

PLEASE SELECT ALL THAT APPLY:

- Applying a racial justice lens for policy and program development
- Behavioral health crisis (i.e. mental health, homelessness, substance use)
- Community engagement and/or outreach
- Cultural responsiveness and/or inclusive communication
- Racial profiling and/or stereotyping
- Unconscious and/or implicit bias and systems analysis

IDENTIFY WHO RECEIVES THESE TRAININGS.

3. Law Enforcement

3. a. Does your municipality partner with any independent credentialing organizations to provide oversight and review for law enforcement personnel training and misconduct allegations?

- Yes, Personnel training
- Yes, Misconduct allegations
- Yes, Both Personnel training and Misconduct allegations
- No

IF YES, PLEASE LIST THE NAME OF THE ORGANIZATION(S).

3. b. Does your municipality have a mechanism to track the following personnel information, where permissible?

PLEASE SELECT ALL THAT APPLY, AND IF APPLICABLE, PROVIDE THE NUMBER OF INSTANCES IN THE PAST CALENDAR YEAR.

- Civil judgments against law enforcement officers for improper use of force
- Criminal convictions of law enforcement officers for on-duty conduct
- Number of police misconduct cases filed against law enforcement officers
- Terminations or de-certifications of law enforcement officers

IF YES, PLEASE LIST THE NAME OF THE ORGANIZATION(S).

3. c. Does your municipality outline policies & procedures on any of the following topics?

PLEASE SELECT ALL THAT APPLY AND IDENTIFY WHICH ONES ARE PUBLICLY DISCLOSED.

- Body cameras
- Co-responder programs, encouraging collaboration between mental health and social work personnel and law enforcement
- Community policing programs
- Consent and probable cause before searches
- De-escalation tactics (including appropriate use of equipment)
- De-prioritizing arrests and fines of non-violent crimes, including Consumption of Alcohol on Streets, Marijuana Possession, Disorderly Conduct, Trespassing, Loitering, Disturbing the Peace (including Loud Music), Spitting, Jaywalking, Bicycling on the Sidewalk, Prostitution
- Guidelines for requesting and scope for warrants
- Hiring officers of color
- Mass demonstrations
- Mediation and conflict management
- Retraining
- Use of force and/or related maneuvers

- 3. d.** Does your municipality have a data collection system to review stops, arrests, use of force, and misconduct allegations to identify and prevent potential discrimination?

IF YES, PLEASE SHARE THE NUMBER OF INCIDENTS FOR THE PAST CALENDAR YEAR.

Yes

No

Number of stops

Number of arrests

Number of use of force incidents

Number of misconduct allegations

- 3. e.** What percentage of your municipality's annual revenue comes from law enforcement and police fines?

PLEASE PROVIDE INFORMATION RELEVANT FOR THE PAST CALENDAR YEAR.

4. Community Development & City Planning

- 4. a.** Does your municipality conduct racial and socioeconomic impact studies to assess the effects of city planning, rezoning, and development projects on communities?

Yes

No

IF YES, PLEASE PROVIDE SOME EXAMPLES.

- 4. b.** Does your municipality leverage community development programs and/or policies to address racial discrimination in the following areas? *Please select all that apply and provide % of municipal budget allocation, where applicable.*

% – Affordable housing (i.e. grants, tax credits incentives, inclusionary housing/zoning)

% – Educational opportunity (i.e. achievement gaps, resources, school capacity and/or overcrowding)

% – Home ownership (i.e. shared equity co-ops, community land trusts, resident-owned communities)

% – Public works (i.e. accessibility and affordability of public facilities, transportation infrastructure and services, public spaces/services)

% – Residential displacement and/or eviction diversion

% – Small businesses and/or entrepreneurship

ADD COMMENTS

5. Municipality Demographics & Reporting

5. a. Does your municipality collect self-reported demographic data or EEO-1 disclosure in the race/ethnicity of your personnel (i.e. municipal government officials, including law enforcement personnel) by management status or salary grade?

- Yes
- No

IF YES, PLEASE PROVIDE DATA ACROSS THE FOLLOWING CATEGORIES, AS A PERCENTAGE OF TOTAL MUNICIPAL PERSONNEL BY MANAGEMENT AND NON-MANAGEMENT.

| Category | Management (%) | Non-Management (%) |
|--|-----------------------|---------------------------|
| American Indian or Alaska Native | | |
| Asian or Asian American | | |
| Black or African American | | |
| Hispanic, Latinx, or of Spanish Origin | | |
| Native Hawaiian or Pacific Islander | | |
| Two or More Races | | |
| White | | |
| Other | | |

6. For Municipal Enterprise Entities: Board, Senior Management and Employee Representation and/or Programmatic Support

6. a. What actions are you taking to ensure gender and racial/ethnic diversity throughout the organization, specifically at board, management levels and in technical positions (if applicable)?

ADD COMMENTS

6. b. What hiring and promotional practices do you have in place to ensure that your employee demographics reflect the population that you are serving?

ADD COMMENTS

7. Additional Information

7. a. Please use this section to share any additional diversity, equity, and inclusion policies and/or procedures that you would like to highlight e.g. other forms of equity your organization most focused on, steps to mitigate risks in the coming years, (inequity by gender, race/ethnicity, disability status, veteran status, age, sexual orientation)?

ADD COMMENTS