



August 29, 2019

Mr. Lee Bodner  
President  
New Venture Fund  
1201 Connecticut Ave. NW  
Suite 300  
Washington, DC 20036

In reply, please quote: 2019 JOB 006

Dear Mr. Bodner:

I am pleased to report that The Rockefeller Foundation (the "Foundation") has taken action to provide a project support grant to the New Venture Fund as described in this letter (the "Grant Agreement"), and the grant proposal (the "Proposal"), attached as Addendum 2. In accepting these funds, the New Venture Fund accepts the terms and conditions described in this Grant Agreement.

### Grant Overview

**Grant Number.** 2019 JOB 006

**Amount and Purpose of Grant.** Up to \$400,000 for use by its Oakland Fund for Public Innovation toward the costs of enhancing Oakland's capacity to leverage the Opportunity Zones tax incentive to attract private investments into distressed communities.

**Term.** The 24-month period July 1, 2019 to June 30, 2021.

**Budget.** Use of the grant funds is restricted to line items detailed in the budget approved for the grant (see Addendum 3). Please also refer to "Use of Grant Funds" in the *Other Terms and Conditions* section below for additional restrictions. You may, without seeking Foundation approval, reallocate up to 10 percent of funds from one budget category to another existing budget category. Prior to re-budgeting more than 10 percent of any category or creating a new budget line, a written request must be made to the Foundation. If a revised budget is approved, any subsequent financial reports should be based on the revised budget. Please see *Requesting an Extension or Modification of the Grant* section below for detailed instructions.

### **Rockefeller Foundation Contacts for this Grant.**

- Project-related questions should be addressed to: **Gregory Johnson, Associate Director, Place Based Investments, GJohnson@rockfound.org**, in our New York office.
- All administrative questions should be directed to: **Jennifer Cooper, Grants Manager, JCooper@rockfound.org**, in our New York office.
- Grant reports should be submitted via the Grantee Portal (<https://granteeportal.rockefellerfoundation.org/>). Questions regarding report submissions should





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- be directed to **Officeofgrantsmanagement@rockfound.org**.
- Communications-related questions should be addressed to **media@rockfound.org** or **212-869-8500**.

### Project Deliverables, Reporting Guidelines, and Payment Terms

**Grant Deliverables and Payments.** The Foundation will disburse grant funds to the New Venture Fund upon our receipt of this Grant Agreement signed by an authorized officer of your organization, and upon the satisfactory completion by your organization of all the terms and conditions for this grant, including submission of deliverables and reports as outlined in this section and the attached *Deliverables and Payment Schedule (Addendum 1)*.

It is important that all Deliverables (as defined in Addendum 1), including narrative and financial reports, be submitted in a timely manner; otherwise payment may be delayed on this and other Rockefeller Foundation grants (if any) to your organization. Please indicate the grant number referenced in this Grant Agreement on all submissions. Addendum 1 outlines when deliverables are due and payments are expected to be made. In addition, please send to the Foundation copies of all papers, manuscripts, and other materials produced that are a direct result of the Rockefeller Foundation's grant. All deliverables and reports should be submitted via the Grantee Portal (<https://granteeportal.rockefellerfoundation.org/>).

### Requesting an Extension or Modification of the Grant

To request an extension or modification of this grant, the New Venture Fund must submit:

- A detailed explanation for the need for the change;
- A revised budget and/or a revised milestones and deliverables table, if applicable; and
- An up-to-date narrative report and financial accounting (if requested by the Foundation).

Requests to modify a grant are necessary when the grantee must change the activities to be completed under the grant, add new budget categories, reallocate more than 10 percent of any budget category, or make other substantive changes to the project. Under no circumstances can the purpose of the grant be modified.

All extension and modification requests should be sent to **Jennifer Cooper**, **JCooper@rockfound.org**. If the request is approved, the Foundation will send a notification to your organization and the revised *Deliverables and Payment Schedule* will be updated in the Grantee Portal, if applicable.

### Other Terms and Conditions

**Staffing.** The New Venture Fund hereby agrees to notify the Foundation of any change in key personnel at the Oakland Fund for Public Innovation for this project. The Foundation reserves the right to terminate the grant following any such change.

**Tax Status.** We have made this grant with the understanding that the New Venture Fund is recognized by the U.S. Internal Revenue Service (the IRS) as a publicly-supported charity under Internal Revenue Code (IRC) section 501(c)(3), classified under IRC section 509(a)(1) or (2), and that the New Venture Fund has agreed to act as fiscal sponsor for the Oakland Fund for Public Innovation per their fiscal



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sponsorship agreement dated February 16, 2018; you agree to notify the Foundation promptly if there is any change in that status, the fiscal sponsorship arrangement, or in your organizing documents.

**Use of Grant Funds.** Grant funds may not be used for purposes other than those described in this Grant Agreement; funds not used for the purposes of the grant must be repaid to the Foundation. Any grant funds not used by the termination date of this grant will revert to the Foundation.

While the Foundation is providing support for this project, except as expressly noted in this Grant Agreement, sole responsibility for the supervision, direction and control of the conduct of the project lies with the New Venture Fund.

Grant funds may not be used to pay for costs associated with Foundation staff traveling to or attending any meetings, conferences or other events. If your organization unavoidably incurs any expenses related to Foundation staff travel or attendance, please send an invoice to the Foundation for repayment rather than covering those costs from the grant funds.

**Accounting and Auditing.** For a period of at least four years after the termination of the Grant Agreement, the New Venture Fund shall retain books and records with respect to the use of these funds. The New Venture Fund shall maintain a complete and accurate copy of its working papers file containing a copy of any presentation, progress review, report, invoice or other document furnished to the Foundation by the New Venture Fund in connection with the project, together with any working papers necessary to support its conclusions and analysis relating to the project for at least four years after the termination of the Grant Agreement.

The Foundation may engage internal and/or external independent auditors to audit the expenses incurred and activities carried out in the performance of this grant at any time during the term of the Grant Agreement or for a period of at least four years after the termination of the Grant Agreement. The New Venture Fund will cooperate with the Foundation upon written request in responding to any request by the Foundation's internal and external auditors or regulators with jurisdiction over the Foundation's operations, seeking to verify the New Venture Fund's compliance with the requirements set forth in this Agreement. These audits shall be conducted at the place or places where the accounts of the New Venture Fund are normally kept. All books, accounts, financial records, reports, files and all other papers, things or property belonging to or in use by the New Venture Fund, and necessary to facilitate the audit, shall be made available to the person or persons conducting the audit; and full facilities for verifying transactions with any assets held by depositories, fiscal agents, and custodians shall be afforded to such person or persons. All such books, accounts, records, reports, files, paper, and property of the New Venture Fund shall remain in the possession and custody of the New Venture Fund. Should the audit disclose any instances of noncompliance or indication of fraud, abuse or illegal acts, such findings shall be shared with the New Venture Fund, along with appropriate recommendations and a request for corrective actions. The New Venture Fund hereby binds itself to respond to all questions raised by the auditors in the course of the above-described audit in a timely and satisfactory manner and to reimburse the Foundation for all disallowed expenditures. The New Venture Fund is responsible for ensuring the compliance of its (sub-) grantees and (sub-) contractors with the audit provisions of this Grant Agreement.

**Termination.** In the event that the Foundation or the New Venture Fund decides to terminate this grant before the end of the grant term, the Foundation will require the New Venture Fund to provide an up-to-date financial report showing expenditures to date. If expenditures exceed grant funds paid, the Foundation will make payment in the amount of the excess expended, provided that all Deliverables due to that point or otherwise agreed between the Foundation and the New Venture Fund have been



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submitted to the Foundation. If grant funds paid exceed expenditures, the New Venture Fund will be required to remit the balance on hand to the Foundation.

**Anti-Terrorism.** You hereby confirm that the New Venture Fund complies with all U.S. anti-terrorism laws and regulations, including Executive Order 13224 and the Global Terrorism Sanctions Regulations set forth in 31 CFR Part 594.

**OFAC Compliance.** "OFAC" means the Office of Foreign Assets Control of the U.S. Department of the Treasury, which administers and enforces economic and trade sanctions based on U.S. foreign policy and national security goals against targeted individuals, organizations, and foreign countries and regimes. "OFAC List" means the Specially Designated Nationals and Blocked Persons List and any other lists administered or enforced by OFAC, including but not limited to the Palestinian Legislative Council list and the Part 561 list, in each case as published by OFAC from time to time and available at <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx> or any official successor website.

"OFAC Regulations" means (a) the rules and regulations promulgated by OFAC, as may be published in Chapter 31, Part 500 of the Code of Federal Regulations from time to time, and (b) any Executive orders administering or imposing economic sanctions on individuals, organizations or foreign countries and regimes.

The New Venture Fund shall not, and shall ensure that none of its directors, officers, employees, affiliates, agents, or persons acting on its behalf will, directly or indirectly, use, lend, make payments of, contribute or otherwise make available, all or any part of the Grant funds to fund any activities (i) involving or for the benefit of any person included in any OFAC List or otherwise subject to sanctions under OFAC Regulations, (ii) that could result in any person (including the Foundation) being in breach of OFAC Regulations, becoming included in any OFAC List, or otherwise becoming subject to sanctions under OFAC Regulations, or (iii) that could be considered a "prohibited transaction" (defined by OFAC as trade or financial transactions and other dealings in which U.S. persons may not engage unless authorized by OFAC or expressly exempted by statute).

**Intellectual Property.** Please also note that by signing and returning the enclosed copy of this letter, the New Venture Fund grants to the Foundation a perpetual, worldwide, non-exclusive license to use, reproduce, distribute, display, perform, edit, adapt, create derivative works from and otherwise exploit and sublicense, in all languages and all media now known or hereafter developed, all written work or other materials of any nature created by it under this Grant Agreement, including the Deliverables ("the Work"). The New Venture Fund acknowledges and agrees that no royalties will be paid for such use, total compensation being the grant described in this agreement.

**Warranty/Indemnity.** The New Venture Fund represents, warrants and covenants that the Work is original and that it is the sole creator of the Work, except for any material incorporated into the Work created or owned by third parties, from whom the New Venture Fund has obtained or will obtain, at its expense, all irrevocable, royalty-free, worldwide, transferable and perpetual licenses necessary to incorporate and use such third-party material in the Work. The New Venture Fund further represents, warrants and covenants that the Work does not and will not contain any matter that is obscene or libelous, in violation of any copyright, trademark, proprietary right, or personal right of any third party, or otherwise violate any law. The New Venture Fund further represents, warrants and covenants that the Chief Opportunity Zone Officer (the "COZO") is not required to register as a broker-dealer or investment advisor under applicable federal, state or local regulations or, if any such registration is or becomes





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necessary, that the COZO will be duly registered and remain in good standing during the term of this Grant Agreement. The New Venture Fund will indemnify and hold the Foundation, its licensees and assigns, harmless from any and all claims, liabilities, costs and expenses, including reasonable attorneys' fees, arising as a result of the breach or alleged breach of these representations, warranties and covenants.

**Public Announcement of Grant and Dissemination of Grant-Related Products.** The Rockefeller Foundation encourages its grantees to announce grants; however, you must receive approval, in advance, from the Foundation's Communications Office to use any language that purports to interpret the Foundation's intent in making the grant. Please also note in your communications about the Foundation's grant that although the Foundation is providing financial support for your project, it is not responsible for the project, and it is important that your communications be clear on this point (e.g., stating that the Foundation is providing financial support for your project is accurate; stating that the Foundation is "sponsoring" your project is not).

The Foundation's Communications Office must also approve, in advance, any press release or other media or public communications, written or electronic, you intend to issue concerning the awarding of the grant. The Foundation must also approve, in advance, any use of the Foundation's logo. Grantees are free to disseminate information about their experiences and findings during the course of the project to those who might benefit from this knowledge; in that connection, the Foundation views itself as an active partner that can further enhance and expand communications outreach and expects to be notified in advance regarding media outreach. For further information or assistance related to communications concerning this grant, please contact the Foundation's Communications Office (**e-mail: [media@rockfound.org](mailto:media@rockfound.org); phone: 212-869-8500; fax: 212-852-8441**).

Specifically, with respect to the project funded by this grant, because the Foundation is a significant funder of this effort, the Foundation asks that recognition of its funding be given prominence in communications around the project. The New Venture Fund is asked to discuss the planned communications around these efforts in advance with the Foundation's Communications Office.

The Foundation's web site will include a brief description of this grant. On occasion, the Foundation also posts grantees' publications and other related items on its website. In addition, such information is provided to the Foundation Center and to media and other organizations that provide grantseekers and researchers with information about the interests and activities of private foundations.

**Governing Law.** This agreement is governed by and should be construed in accordance with the laws of the State of New York, USA applicable to agreements made and performed there, without regard to its conflict of laws principles.

**Authority to Sign.** The person signing this Grant Agreement on behalf of the New Venture Fund represents and certifies that she or he has full, express power and authority to do so.

**Entire Agreement.** This agreement constitutes the entire understanding between us with respect to its subject matter and supersedes all prior agreements, discussions or representations between us. Any modification of this agreement must be in writing and signed or sent electronically by the Foundation's Office of Grants Management.

It is a pleasure to report this action to you.



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Sincerely yours,

Erica Guyer  
Deputy General Counsel

Copy to: Iris Kong  
Stacey Wells

The undersigned organization agrees to the terms and conditions set forth in this letter.

NEW VENTURE FUND

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



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**ADDENDUM 1: DELIVERABLES AND PAYMENT SCHEDULE**

Deliverables	Due Date	Payment Amount
<ul style="list-style-type: none"> <li>• Grant Agreement-Countersigned</li> <li>• Banking Information</li> </ul>	N/A	\$200,000
A sample investment prospectus	By January 31, 2020	N/A
<ul style="list-style-type: none"> <li>• Interim Narrative Report covering the period: July 1, 2019 - June 30, 2020</li> <li>• Interim Financial Report covering the period: July 1, 2019 - June 30, 2020</li> </ul> <p><i>(Deliverables in and above this row must be submitted and approved before release of this payment)</i></p>	By August 31, 2020	\$200,000
Recommended approaches from the Chief Opportunity Zone Officer (COZO) addressed to other local economic development authorities across the country aimed at enhancing their peers' capacity to catalyze private investment in their own communities	By September 30, 2020	N/A
<ul style="list-style-type: none"> <li>• Final Narrative Report covering the period: July 1, 2020 - June 30, 2021</li> <li>• Final Financial Report covering the period: July 1, 2020 - June 30, 2021</li> </ul>	By August 31, 2021	N/A

Any modifications to this table which are approved by the Foundation will be reflected in the Grantee Portal.

***It is crucial that narrative and financial reports follow the guidelines listed below. Please utilize this checklist before submitting a narrative and financial report. Incomplete reports will not be accepted. All Deliverables should be clearly identified by referencing the language in the table above.***

**Narrative Reports should:**

- ✓ Include an executive summary;
- ✓ Clearly indicate the time period that the report covers;
- ✓ Detail progress made in achieving the agreed upon milestones (if applicable);
- ✓ Indicate lessons learned that may inform your future work;
- ✓ Describe any challenges and how they were addressed;
- ✓ Indicate compliance with the terms of this Grant Agreement; and
- ✓ Be signed by (or submitted electronically by or on behalf of) the principal investigator or another appropriate official of the organization.

**Financial Reports should:**

- ✓ Specify the time period covered by the report;



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- ✓ Be submitted in four columns: the first column should reflect the original budget (as amended, if applicable), the second column should show actual expenditures against the budget categories, the third column should show the balance (budget minus expenditures), and the fourth column should show the percentage of change between columns one and two;
- ✓ Be in U.S. dollars, indicating exchange rates if converting from a different currency (adding columns to show the exchange rates, if necessary);
- ✓ Include a narrative explanation of any variances from the budget in excess of 10 percent;
- ✓ If Rockefeller Foundation funds were applied toward an overall budget, track expenditures from all sources and specify how much of the Rockefeller Foundation grant funds were used toward the overall expenditures, breaking out the use of Rockefeller Foundation funds in a separate column;
- ✓ Include a statement that the grant funds were used solely for the purpose for which the grant was made;
- ✓ Be submitted in Excel if at all possible;
- ✓ If applicable, include a report on unexpended funds in addition to funds subsequently received if a prior financial report shows unexpended funds;
- ✓ Include a revised budget for the remainder of the grant if the report shows a significant balance on hand (and please note that if grant funds remain unpaid, the payment schedule for the remaining funds may be changed based on the new budget); and
- ✓ Be signed by (or submitted electronically by or on behalf of) a financial officer of the institution.

All grant reports and deliverables should be submitted via the Grantee Portal (<https://granteeportal.rockefellerfoundation.org/>). Questions regarding report submissions should be directed to **Officeofgrantsmanagement@rockfound.org**.

All documents listed above under "Deliverables," other than the signed grant agreement, are included in the "Deliverables" for purposes of this Grant Agreement.



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**ADDENDUM 2: PROPOSAL (See next Page)**

## **Chief Opportunity Zones Officer Proposal to The Rockefeller Foundation for The City of Oakland**

**To:** Otis Rolley, Managing Director, The Rockefeller Foundation  
Jonathan Gonzalez, Program Associate, The Rockefeller Foundation

**From:** Jose Corona, Director of Equity & Strategic Partnerships, City of Oakland  
Alexandria McBride, Chief Resilience Officer, City of Oakland  
Marsha Murrington, FUSE Fellow  
Marisa Raya, Special Projects, Economic & Workforce Development, City of Oakland  
Stacey Wells, Executive Director, The Oakland Fund for Public Innovation, a project of New Venture Fund

**Date:** **June 18, 2019**

**Subject:** Proposed Opportunity Zones Strategy for the City of Oakland

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### **Overview**

In partnership with the City of Oakland, the Oakland Fund for Public Innovation, a project of the New Venture Fund, is pleased to submit this document outlining a proposed strategy for Oakland's Opportunity Zones, with a focus on how the City and its partners can maximize the potential for Qualified Opportunity Fund investments into equitable, high impact projects.

Equitable refers to projects that are positioned to grow the local economy and create benefit for current residents and businesses within Opportunity Zones who have been impacted by historically racialized disparities in access to opportunity to thrive. The [2018 Oakland Equity Indicators Report](#) showed Black residents to be the most extremely impacted by racial disparities in most indicators of well-being, with significant degrees of impact for other communities of color as well. To be in alignment with the principal of promoting fairness and justice in all we do, desirable Opportunity Zone projects will need to advance strategies that improve outcomes in our most poorly served communities.

### **Background**

The 2017 Tax Cuts and Jobs Act created a new community development finance incentive in the Internal Revenue Service (IRS) tax code called Opportunity Zones (OZs). The provision allows investors with recognized capital gains to defer, reduce, and eliminate capital gains taxes by investing into Qualified Opportunity Funds (QOFs)



that then invest in qualified projects in OZs over a 10-year period. The law assigned responsibility to governors to designate up to 25 percent of a state’s eligible census tracts – based on a poverty rate of 20 percent, or area median income of less than 80 percent – as OZs. There are 879 opportunity zones in California, and 30 located in the City of Oakland. Nationwide, there are approximately 8,700 OZs.

Mayor Libby Schaaf and her team strategically selected OZs in areas of the city that are primed for economic growth and/or comprehensive neighborhood investment. OZs are situated around West Oakland, the Chinatown Area, East Lake, San Antonio, Fruitvale, International Blvd and Coliseum.

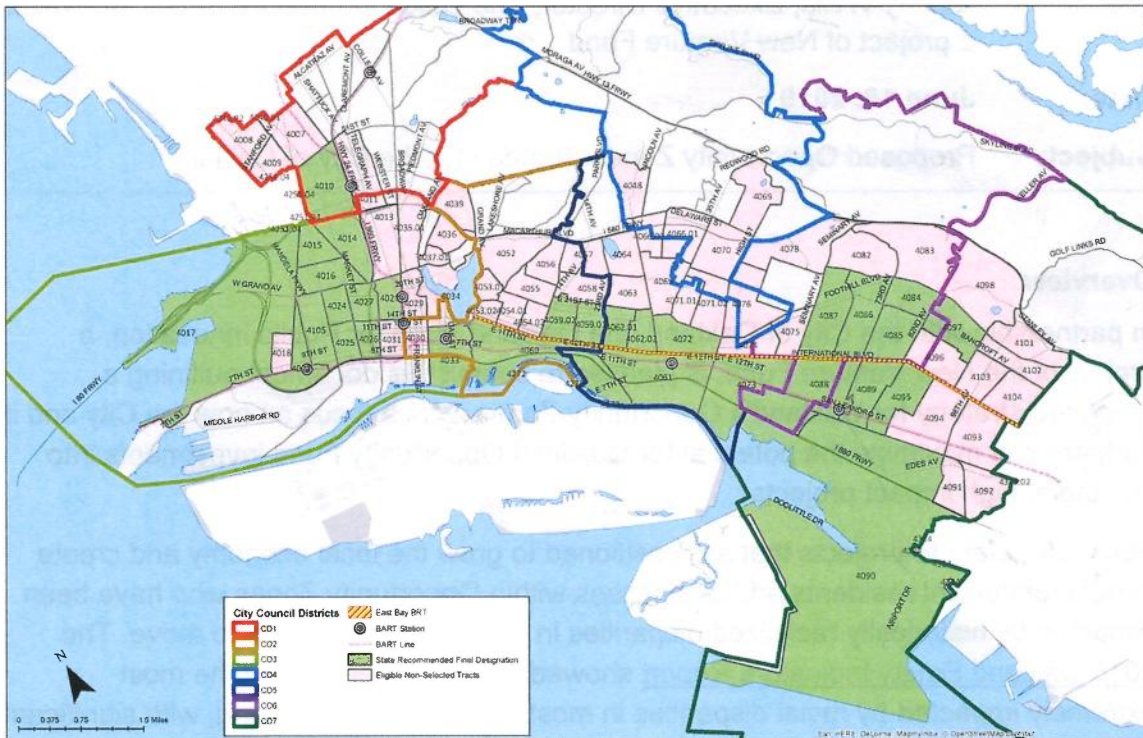


Figure 1 - Oakland's Designated OZs

The City promotes the following values for Opportunity Zone projects:

- Demonstrate community support for existing residents and business owners in Opportunity Zones
- Result in community-wealth building through wages, investment, home or business ownership

- Avoid displacement of existing tenants who are most impacted by racial disparities, businesses, and legacy cultural communities
- Commit to targeted local hire goals for groups with disproportionately high unemployment
- Intentionally integrate, on a Citywide basis, the principle of "fair and just" in all the City does as specified in [City of Oakland Municipal code 2.29.170.1](#)
- Show consistency with the City's adopted policy documents (i.e. West Oakland and Lake Merritt Specific Plans; International Boulevard TOD Plan, Economic Development Strategy, *Belonging In Oakland* Cultural Development Plan, Resilient Oakland Playbook, and addressing relevant disparities documented in the Oakland Equity Indicators Report)

Community Foods Market, a grocery store that just opened in an area that has not had full-service groceries for many years, is one of our model equitable investment projects for Opportunity Zones. The grocery store was funded through both New Market Tax Credits and a Direct Public Offering allowing unaccredited community members to purchase shares. It has a Community Advisory Committee and is part of a larger commercial corridor revitalization effort that is directed by and prioritizes low-income residents.



Figure 2 - Community Foods Market opened in June 2019

Due to rising property values, rising homelessness and a decrease in Oakland's Black population over the last decades, the City is anxious to implement an investment strategy that limits displacement and stabilizes communities. The City has been strengthening renter protections, raising voter-approved funds for affordable housing,

and prioritizing retention strategies and resources for small businesses and cultural organizations led by people of color. According to the most recent American Community Survey data, median incomes are rising across demographic groups; however, our challenge is to connect resources to the lowest income Oaklanders.

The City of Oakland is committed to responsible OZ investment that promotes community priorities without displacing African-Americans and other communities of color impacted by displacement. We have the following priorities for opportunity zone investment, which are consistent with the City's adopted policy documents, including among others, the City of Oakland *Economic Development Strategy* (adopted in 2017) and its 2018 adopted Cultural Plan, *Belonging in Oakland: A Cultural Development Plan*.

- New low and very low affordable and workforce housing production
- Acquisition and rehabilitation of existing affordable housing
- Investments in businesses and organizations owned or led by people of color and women
- New neighborhood-serving businesses, and revitalization of existing commercial districts
- Projects that support Oakland's arts and culture communities. The organizations and spaces that serve these communities are particularly vulnerable to displacement as rents increase, but provide an important sense of belonging. They also contribute to Oakland's creative placemaking, an important catalyst to spark economic development.
- High-density commercial and residential projects at transit hubs (particularly around BRT stations)
- Promoting resilient, green infrastructure to respond to climate and seismic risks

The financial and technical support from Rockefeller Foundation will support the City's development of more responsible and value-aligned projects in Opportunity Zones.

### **Chief Opportunity Zones Officer Roles and Responsibilities**

The Oakland Chief Opportunity Zones Officer is working to position Oakland to bring in responsible investment that promotes community priorities without displacing African-Americans and other communities of color impacted by displacement. The Chief Opportunity Zones Officer largely serves an information clearinghouse role, with a focus on tracking rules and best practices nationally, connecting investors with project sponsors, and engaging communities and monitoring investments and impacts on racial equity outcomes. These roles are outlined in more detail below:



- **Encouraging Investment:** A key function of the Chief Opportunity Zones Officer is to leverage the invaluable role of local knowledge in introducing investors to projects – while also minimizing opportunity costs for investors in identifying projects that may meet their investment criteria – and project sponsors seeking investments. OZ property owners may also be included in this exchange of information. To this end, the Chief Opportunity Zones Officer will actively build an internal Oakland OZs database that tracks potential real estate and operating business projects in OZs, as well as information on existing QOFs and investors interested in setting up QOFs. The Chief Opportunity Zones Officer will build the database by reaching out directly to project sponsors and investors, meeting with local project and community stakeholders, fielding incoming communication, participating in community and professional convenings and events, and engaging with national networks and coalitions. The COZO will also use and evaluate the State of CA's Opportunity Zone Marketplace as a public-facing tool to facilitate investment. In addition to introducing investors to project sponsors, the Chief Opportunity Zones Officer will also identify opportunities to leverage other investment tools and resources for OZ projects. For example, the Strategic Growth Council's Transformational Climate Community Program and AC Transit's Bus Rapid Transit are current investments in areas identified as OZs. First-hand knowledge and experience in the fundamentals of real estate development will enable the COZO to envision the potential of parcels in OZs. Insight into the valuation, financing, acquisition and entitlement processes – as well as tenancing, lease negotiating and familiarity with current market terms – will be important skill sets that the COZO will bring to the table. The COZO will also be responsible for the production of racial impact analysis on proposed projects, that will identify benefits, burdens and proposed harm reduction strategies for African-American residents and other residents of color who have been impacted by displacement in Oakland.
- **Tracking Rules and Best Practices & Local Coordination:** The Chief Opportunity Zones Officer will track the IRS's release of proposed rules and regulations governing OZs, as well as reports and other information being released by national experts in the field. A number of organizations, from think tanks to law firms to investment groups, are publishing OZ guides, listings of active QOFs, emerging OZ strategies, and more that can be useful for project sponsors, investors, and social impact and community partners. The Chief Opportunity Zones Officer will stay

informed of published reports and other OZ conversations in order to share insights with partners across Oakland, as well as to contribute Oakland's experiences to the national discussion. In addition, the Chief Opportunity Zones Officer will work closely with counterparts at the state level, including the statewide OZ Liaison at the Governor's Office of Business and Economic Development, the Department of Finance and the Strategic Growth Council, while also developing relationships with local OZ experts from the accounting, tax, finance, legal, and community development fields to leverage their knowledge for the benefit of economically marginalized communities and partners across all 30 OZs in the city. Finally, the Chief Opportunity Zones Officer will actively track state and city proposals and conversations relating to OZs, such as recent OZ bills in Berkeley, Atlanta and Richmond, which either share an East Bay geography with Oakland or have similar values for OZ investment. The COZO will specifically track policy and regulatory changes to minimize displacement.

- **Community Engagement and Impact:** The Chief Opportunity Zones Officer will work closely at the community level to ensure neighborhood organizations, leaders, and residents are consulted and informed about OZs and how they can get involved as potential partners, project sponsors, or investors. Activities include community workshops with local developers, nonprofits, and others to provide an overview of OZs and "workshop" potential projects. The Chief Opportunity Zones Officer will invite local professional legal and accounting experts (referenced above) to these events to share their insights and offer technical assistance. The Chief Opportunity Zones Officer will also meet with individual community organizations, community development corporations, and others to review OZ rules and projects. In addition to engaging communities directly, the Chief Opportunity Zones Officer will develop a set of reasonable and trackable metrics for measuring impact of QOF investments, such as anticipated number of jobs created, affordable housing units developed, small business access to capital and expansion, racial equity outcomes, etc. The COZO will also manage two VISTAs, to be recruited with a preference for East and West Oakland residents, to expand and deepen community engagement. VISTAS will reach out to OZ residents, businesses, and affordable housing developers to gain a shared understanding of potential OZ projects, concerns, and the City's anti-displacement policies and activities, for potential referral and follow-up by

the COZO and City staff. VISTAS will also help to track and monitor OZ projects in Oakland.

- Internal coordination:** The COZO will be integrated into a cross-departmental team focused on OZ development and will coordinate across multiple City departments, including Economic and Workforce Development, Housing and Community Development, Planning and Building, Transportation and the Department of Race and Equity, as well as the Office of Resilience in the City Administrator Division. As the City of Oakland point person for OZs, The COZO will also support and guide projects with significant alignment with our previously stated OZ values.

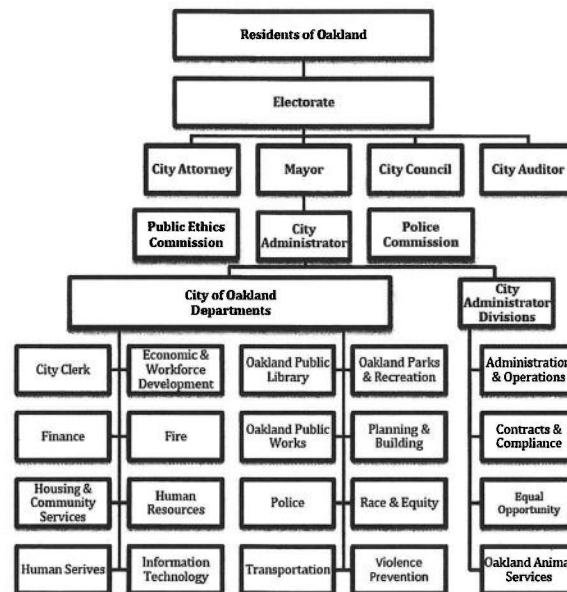


Figure 3 - City of Oakland Organizational Chart

### OZ Investment Strategy

The proposed OZ investment strategy has been developed with the following goals in mind:

- Position OZ investments to create benefits for local residents and businesses, build wealth in communities, and foster new and innovative approaches to create meaningful access to community development opportunity for those most impacted by racial disparities.
- Maximize investments in Oakland OZs beginning in 2019 when investors can realize the tax provision's full slate of benefits.



## **Goal #1: Creative Approaches to Community Wealth Building; Inclusive Growth; and Impact Investing**

Wealth, in the form of savings and investments, is a building block for prosperity. However, most households of color have lost more than half their wealth over the past 30 years. Oakland's OZ Investment strategy is to ensure OZ investments benefit local residents and resident-led businesses and to explore models for using the OZ provisions to facilitate wealth building within communities. This includes homeownership opportunities, business ownership, employee or cooperative ownership, job creation or improvement, land trusts and co-investment in OZ assets. There's also opportunity to support existing businesses in acquiring better leases and purchasing commercial real estate, or facilitate homeownership as part of an exit strategy. A guiding principle for Oakland's OZ strategy is to facilitate investments that benefit community members, while avoiding involuntary displacement of current residents and businesses. The Chief Opportunity Zones Officer will work with project sponsors, investors, and community groups to encourage community engagement around projects and clear goals for community impact and benefits. Projects that include this type of collaboration and transparency will be prioritized in discussion with Qualified Opportunity Funds (QOFs) and other investors.

One of the challenges with the OZ provisions is the inability of OZ residents without capital gains to build wealth through the tax code. A goal of the Oakland's OZ approach is to explore models that allow community members who may not have recognized capital gains to still participate in QOFs and/or OZ projects. For operating businesses, this will translate to promoting local, community-based businesses, especially MWBEs as recipients of QOF investments. While the equity in this example goes to the QOF, the business owner builds wealth by benefiting from the new investment and growth. This strategy also builds the wealth of the existing residents and businesses and keeps the community involved in making decisions about changes to their community.

The Chief Opportunity Zones Officer will work with local community members, as well as experts in the field, to explore other community wealth building models. There are several approaches currently being explored. The City of Oakland has several tools, like the Inclusive Outreach and Engagement Guide (Appendix IV) to inform City Staff and stakeholders of equitable practices for engagement. The COZO and two VISTA Volunteers, supported by Rockefeller Foundation funding, will utilize these tools to build strong and sustainable relationships and partnerships that are inclusive of people of diverse races, cultures, gender

identities, sexual orientation and socio-economic status. The VISTA Volunteers will also build upon the ongoing engagement with community through programs and initiatives like the Transformational Climate Communities plan in East Oakland, and the Healthy Development Guidelines.

Finally, OZs create a unique opportunity to experiment with new impact investing models through partnerships with foundations, government agencies, pension funds, and other types of impact investors. We are exploring (with local foundations) the creation of a fund that would allow community co-investment to invest in projects that build community wealth, as with the Community Foods Market model described above.

### **Goal #2: Maximize Investments in 2019**

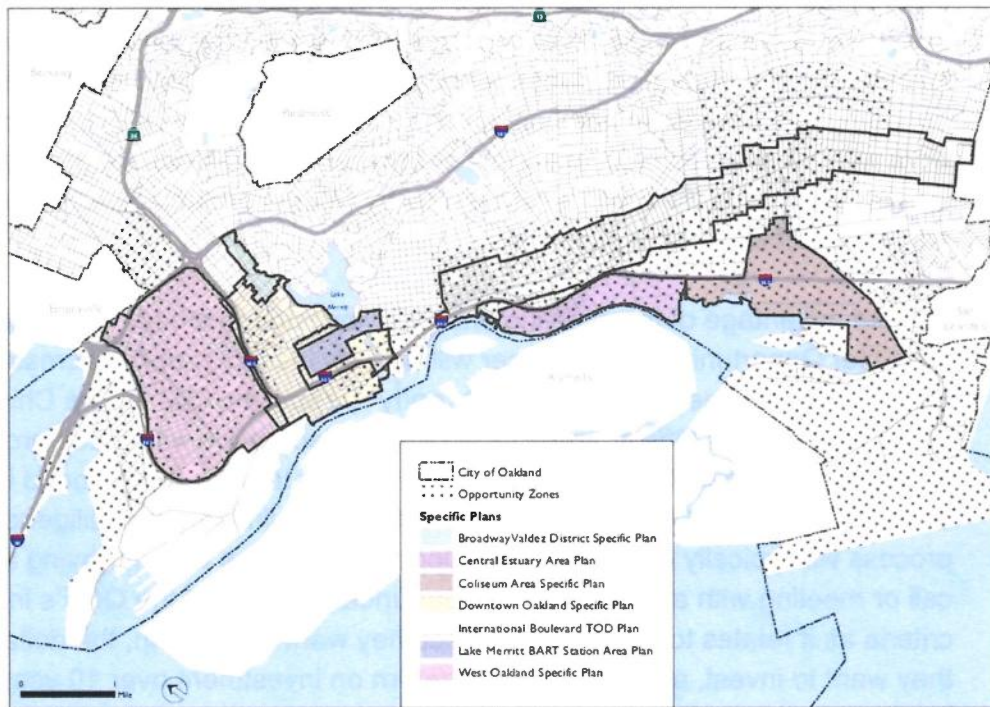
Under the tax law, in order for investors to take full advantage of all three OZ capital gains benefits – deferral, reduction, and exemption – they must make investments into QOFs by the end of 2019. As a result, QOFs are actively building pipelines of projects across the US. The challenge for investors is that the IRS has yet to finalize OZ regulations and there remain unanswered questions about allowable investments. At this stage, the consensus among investors is that the safest investments are real-estate related, as opposed to operating businesses. In addition, given uncertainty in how QOF investments can work with other types of investments or tax credits, investors are generally looking at projects that can generate healthy returns on their own, without additional subsidy or tax incentives.

To take advantage of this timeline and QOF investment criteria and preferences, the Chief Opportunity Zones Officer will actively identify projects across the City's 30 OZs that are deemed "investment-ready" by specific QOFs. The Chief Opportunity Zones Officer will work in close collaboration with these project sponsors to connect them with QOFs that appear to be in a position to invest based on the Chief Opportunity Zones Officer's preliminary due diligence. The process will typically entail the Chief Opportunity Zones Officer having an initial call or meeting with a QOF to get a clear understanding of the QOF's investment criteria as it relates to the type of project they want to invest in, the dollar amount they want to invest, and the expected return on investment over 10 years.

The City has city-wide and neighborhood-specific policies in place to incentivize value-aligned investments in Opportunity Zones. For example, transit-oriented commercial development (near BART Stations) have reduced parking requirements, and new development in the Central Estuary Area, the Coliseum

Area and other neighborhoods will have a streamlined environmental review since an Environmental impact Report was prepared as part of applicable specific plans. Figure 3 provides an overlay of Specific Plans and Opportunity Zones, and Appendix II provides more information about the incentives being offered across neighborhoods.

Finally, the Chief Opportunity Zones Officer is attempting to create a culture within Oakland where project sponsors are willing to share their individual leads with QOFs and other investors to the benefit of all potential projects across the thirty (30) OZs. The most value-aligned investments will result in community-wealth building through wages, investment, home or business ownership, targeted local hiring for groups with disproportionately high unemployment, and consistency with the City's adopted policy documents, all while avoiding displacement of existing tenants who are the most impacted by racial disparities, businesses, and legacy cultural communities.



### Opportunity Zones and Specific Plans

Planning and Building Department  
June 11, 2019

Figure 4 - Opportunity Zones and Specific Plans

**Conclusion**

Oakland is well positioned to be a leading city for attracting OZ investments while intentionally integrating "fair and just" principles to achieve equitable opportunities for all (as outlined in Section 2.29.170 of Oakland's Municipal Code). The Opportunity Zone designation also heightens the need for ongoing enhancement, effective communication and enforcement and establishment of performance measurement of Oakland's housing regulations, which are the primarily guardrails limiting investment-related residential displacement. Recent strengthening of those regulations, around substantial rehabilitation and conversion of single-room occupancy hotels, along with the designation of additional resources for tenant education and protection, is timely and has been recognized as a model for other cities.

Oakland plans to continue this leadership with the appointment of a COZO to lead OZ efforts City-wide and define the City's OZ strategy. The City also considers OZs as a catalyst for further development and investment in the area from this point forward. As such, the City's Economic and Workforce Development Department is committed to continuing this work after the grant ends in two years.

**Appendices:**

Appendix I – Project Budget

Appendix II – Development Incentives by Neighborhood

Appendix III - Oakland Opportunity Zone Investment Prospectus

Appendix IV – Inclusive Outreach and Engagement Guide

Appendix V – City of Oakland Racial Equity Impact Analysis

## **About the City of Oakland**

The City of Oakland is committed to the delivery of effective, courteous and responsive services. Citizens and employees shall be treated with fairness, dignity and respect. Civic and employee pride are accomplished through the pursuit of excellence by a work force that values and reflects the diversity of the Oakland community.

Incorporated in 1852, Oakland is the eighth largest city in California, with a population of about 410,000 and a wealth of resources and opportunities. Located on the east side of the San Francisco Bay, Oakland is bordered by 19 miles of coastline to the west and rolling hills to the east, which provide unparalleled vistas of the Bay and the Pacific Ocean.

## **About the Oakland Fund for Public Innovation**

The Oakland Fund for Public Innovation is a fiscally sponsored project of the New Venture Fund that reaches across Oakland, engaging private partners to innovate, test and scale ideas that enhance the city. The Fund strives to improve the prosperity, safety and quality of life for all Oaklanders with projects that:

- Build a more trustworthy and responsive government
- Allow Oaklanders to stay rooted and thrive in our city
- Create a more vibrant and connected Oakland for all who live, work and play here.

This approach is outlined in the Resilient Oakland playbook, a strategy document developed to help the City of Oakland tackle systemic and structural challenges. The Oakland Fund sponsors projects seeking innovative solutions in a collaborative environment, engaging public and private resources and delivering measurable results.

## **About the New Venture Fund**

The New Venture Fund, a 501(c)(3) established in 2006, conducts public interest projects and provides professional insight and services to institutions and individuals seeking to foster change through strategic philanthropy. NVF helps donors and social entrepreneurs launch new projects quickly and effectively, collaborate efficiently, and develop high-impact grant-making programs. To date, NVF has run over 270 projects across a range of issue areas, both domestically and abroad. In 2013, the New Venture Fund managed over \$100 million in funding for more than 100 projects on issues such as global health and development, conservation, voter registration, education, public policy, disaster recovery, and music and the arts.

## APPENDIX I –Project Budget

	Year One	Year Two	Project Total
<b>Revenue</b>			
Rockefeller Funding	\$ 200,000	\$ 200,000	\$ 400,000
Other Sources	\$ 25,000	\$ 25,000	\$ 50,000
<b>Total Revenue</b>	<b>\$ 225,000</b>	<b>\$ 225,000</b>	<b>\$ 450,000</b>
<b>Expenses</b>			
COZO Salary*	\$ 130,000	\$ 130,000	\$ 260,000
COZO Benefits and Payroll Taxes*	\$ 60,668	\$ 60,668	\$ 121,336
Consulting & Community Engagement	\$ 4,000	\$ 4,000	\$ 8,000
VISTA Living Stipend Supplement	\$ 12,000	\$ 12,000	\$ 24,000
OFPI Management Fee**	\$ 15,750	\$ 20,250	\$ 36,000
<b>Total Expenses</b>	<b>\$ 222,418</b>	<b>\$ 226,918</b>	<b>\$ 449,336</b>

\*The most conservative budgeting scenario allows for a max salary of \$130,000 with full benefits, including medical/RX, dental and vision, a health reimbursement account, life and AD&D insurance and retirement match.

\*\*The management fee covers fiscal sponsorship services that include financial management, compliance oversight, grant management, contract management, and other aspects of administrative support of the project's charitable activities.

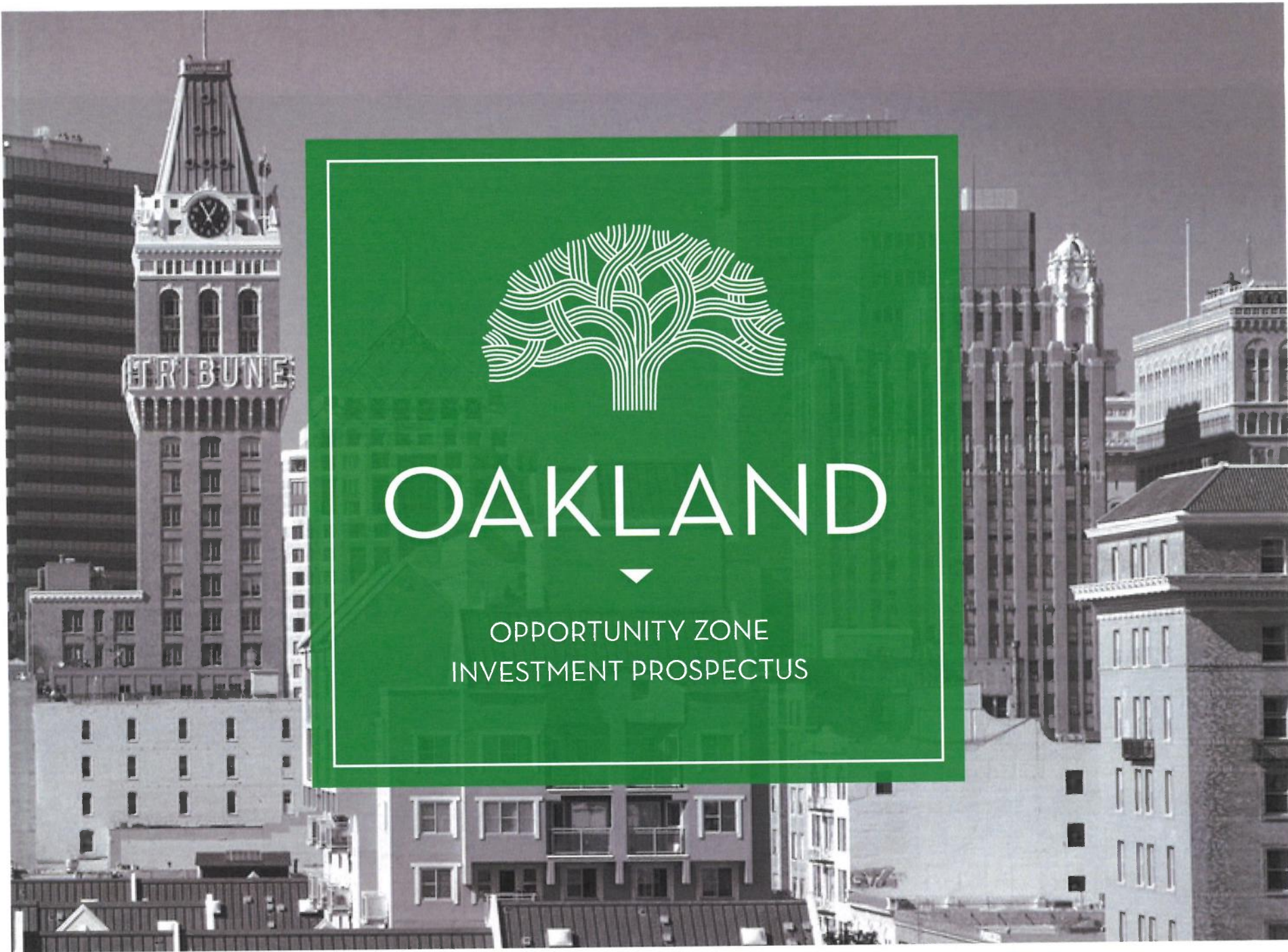


**APPENDIX II – Development Incentives by Neighborhood**

	<b>Development Incentives</b>
City Wide	<ul style="list-style-type: none"> <li>• Universally applied Standard Conditions of Approval for CEQA streamlining</li> <li>• Planned Unit Development (PUD) Density Bonus</li> <li>• Density bonus for affordable housing projects</li> <li>• Zoning concessions for affordable housing projects</li> <li>• Flexible zoning regulations to allow small-scale infill residential development in detached residential zones in the form of Secondary Units</li> <li>• Lower impact fees for retail development</li> <li>• Lower impact fees in parts of the City that have not had as much development</li> <li>• If build percentage of affordable units on site to meet State Density Bonus requirements, do not have to pay Affordable Housing Impact Fees</li> <li>• Affordable Units do not pay Capital Improvement Impact Fees</li> <li>• Affordable Units are not required to provide public art or pay the in-lieu art fee</li> <li>• No parking requirements for development projects in Central Business District Zones in downtown Oakland</li> <li>• Reduced parking requirements for affordable units Citywide</li> <li>• S-15 Transit-Oriented Development Commercial Zones (near BART Stations) have reduced parking requirements and other incentives</li> <li>• Reduced parking requirements near major transit areas with Demand Management Measures</li> <li>• Can replace a nonresidential activity with any other nonresidential activity without requiring additional parking or loading</li> <li>• Recently reduced the parking for industrial uses</li> <li>• Recently reduced the number of required loading berths at residential and commercial activities</li> </ul>

	<b>Development Incentives</b>
Lake Merritt Station Area Plan	<ul style="list-style-type: none"> <li>• Streamlined environmental review for new development, since an Environmental Impact Report was prepared which studied the potential environmental impacts of a 25-year development program in the Plan Area</li> <li>• Reduced open space requirements for new affordable housing and senior housing developments</li> <li>• No parking requirements for new development</li> </ul>
International Boulevard Transit Oriented Development Plan	<ul style="list-style-type: none"> <li>• Improved accessibility along the International Boulevard corridor with Bus Rapid Transit Project (AC Transit)</li> <li>• City created development prototypes</li> <li>• Stakeholders identified desired types of development</li> </ul>
Broadway Valdez District Specific Plan	<ul style="list-style-type: none"> <li>• Streamlined environmental review for new development, since an Environmental Impact Report was prepared which studied the potential environmental impacts of a 25-year development program in the Plan Area</li> <li>• Incentivizes retail development by allowing additional residential densities</li> <li>• Reduced parking and open space requirements for affordable housing and senior housing developments</li> <li>• Reduced parking requirements compared to other parts of the City (except for downtown)</li> <li>• Potentially Designated Historic Properties or CEQA Historic Resource, no parking for conversion of use, if incorporated into larger project the historic portion is exempt from parking and open space requirements.</li> <li>• Open Space in-lieu fee option instead of building open space.</li> </ul>

	<b>Development Incentives</b>
West Oakland Specific Plan	<ul style="list-style-type: none"> <li>• Streamlined environmental review for new development, since an Environmental Impact Report was prepared which studied the potential environmental impacts of a 25-year development program in the Plan Area</li> <li>• Rezoning in detached residential zones to further incentivize small-scale infill residential development</li> <li>• Reduced lot widths and square footages as well as reduced setbacks in Mixed Use Residential Zones (RM Zones)</li> <li>• <b>CIX-1B West Oakland Plan Area Commercial Industrial Mix - 1B Industrial Zone (Low Intensity Business).</b> The CIX-1B Zone is intended to support industrial areas in the West Oakland Specific Plan Area that are appropriate for a broad range of new custom and light manufacturing, light industrial, warehouse, research and development, and service commercial uses.</li> <li>• <b>CIX-1C West Oakland Plan Area Commercial Industrial Mix - 1C Industrial Zone (High Intensity Business).</b> The CIX-1C Zone is intended to support industrial areas in the West Oakland Specific Plan Area that are appropriate for a broad range of higher intensity commercial, retail, office, and advanced manufacturing-type users. This zone is applied to areas with strong locational advantages that make possible the attraction of high intensity commercial and light industrial land uses and development types.</li> <li>• <b>CIX-1D West Oakland Plan Area Commercial Industrial Mix - 1D Industrial Zone (Retail Commercial Mix).</b> The CIX-1D Zone is intended to create, preserve, and enhance industrial areas in the West Oakland Specific Plan Area that are appropriate for a broad range of large-scale retail and commercial uses. This district is applied to areas with a prominent street location.</li> </ul>




# OAKLAND



OPPORTUNITY ZONE  
INVESTMENT PROSPECTUS



A photograph of the Oakland skyline at dusk. The sky is a deep purple and blue. In the foreground, a rowing team is on the water, their oars dipping. In the background, several construction cranes are visible against the city skyline.

Welcome to

# OAKLAND

Oakland's **diversified economy** has gained national attention as a great place to do business. The City has become a **major destination and employment center** in its own right.

Significant investment has flowed into **Downtown Oakland**, but other areas have not experienced the same level of investment. The City wants to leverage **Opportunity Funds** to advance **equitable economic development** in our **30 Opportunity Zones**.

Adopted Specific Plans for parts of **East and West Oakland** will help guide investment in many Opportunity Zone tracts and add a level of predictability for developers.

# Opportunities in OAKLAND

SOURCE 2013-17 AMERICAN COMMUNITY SURVEY 5-YEAR ESTIMATES

AREA	WHITE	BLACK	ASIAN	LATINO	POVERTY RATE	PER CAP INCOME	RENTERS	BA OR HIGHER	SOME COLLEGE	NO HS DEGREE	UNDER 18 Y/O	OVER 65 Y/O
<b>O-ZONES</b>	14%	29%	13%	39%	29%	\$21,057	74%	23%	27%	30%	24%	9%
<b>OAKLAND</b>	27%	24%	16%	27%	19%	\$35,847	60%	41%	24%	19%	20%	13%
<b>COUNTY</b>	32%	11%	29%	23%	11%	\$39,925	47%	45%	25%	12%	21%	13%
<b>METRO</b>	40%	7%	25%	22%	10%	\$47,011	46%	47%	25%	11%	20%	14%
<b>CALIFORNIA</b>	38%	6%	14%	39%	15%	\$31,773	45%	33%	29%	18%	23%	13%
<b>US</b>	61%	12%	5%	18%	15%	\$30,088	36%	31%	29%	13%	23%	15%



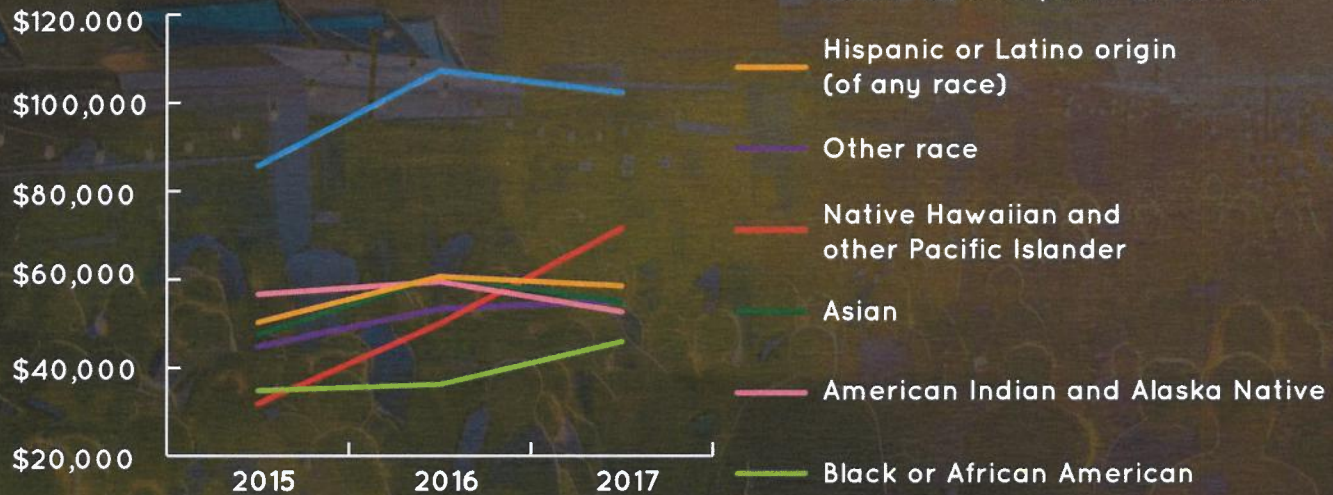


# OAKLAND'S GOAL FOR OZ PROJECTS

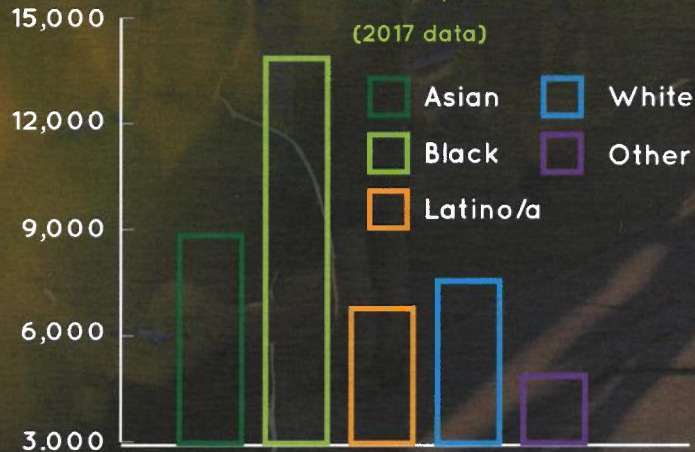
Oakland's location, dynamic culture, and relative affordability have drawn historic investment levels in the last five years.

Our goal is to use the Opportunity Zone designation to **reduce racial wealth disparities through investment** that lifts up our long-standing residents and businesses.

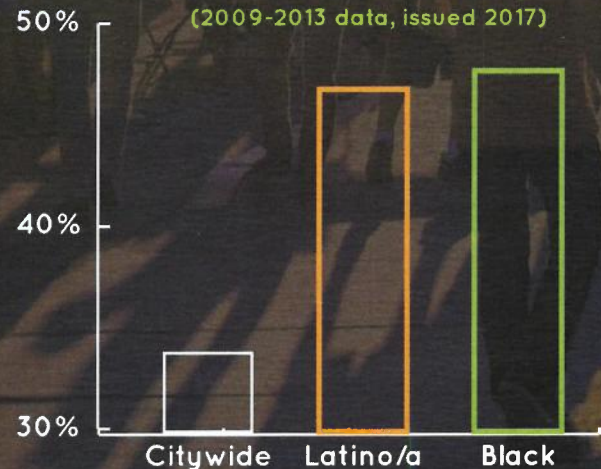
Household median income



# of households with income below \$30k



Household asset poverty rate (2009-2013 data, issued 2017)





The background of the entire page is a photograph of the Oakland City Hall building at dusk. The building is a grand, multi-story structure with a prominent clock tower at the top. The sky is a deep blue, and the building's windows are illuminated from within, creating a warm glow. The title text is overlaid on the upper left portion of the image.

# OAKLAND'S PRIORITIES FOR OZ INVESTMENT

01

## HOUSING

New affordable and workforce housing production

02

## REHAB

Acquisition and rehabilitation of existing affordable housing

03

## EQUITY

Investment in businesses and organizations owned or led by people of color and women

04

## REVITALIZE

New neighborhood-serving businesses and revitalization of existing commercial districts

05

## CULTURE

Projects that support and preserve Oakland's arts and culture communities

06

## SUSTAINABLE

High-density commercial and residential projects at transit hubs



# OAKLAND'S VALUES FOR OZ PROJECTS



## COMMUNITY

Investments that demonstrate community support



## WEALTH

Results in community-wealth building



## SECURE

Avoid displacement of existing tenants, businesses, and cultural communities



## JOB

Commit to targeted local hire goals



## POLICY

Consistent with the City's adopted policy documents (i.e., Specific Plan, ED Strategy, Cultural Plans etc.)



*Why*  
**OAKLAND?**



Why

**OAKLAND?**

*Celebrated Diversity*

*Hundreds of festivals and events celebrate culture and history through music, dance, theater, food & community expression.*





Why

# OAKLAND?

## Arts & Culture

---

*Oakland cultivates a thriving arts and culture scene which supports a dynamic urban lifestyle that attracts & retains talent.*





Why

# OAKLAND?

## *Recreation*

*Great climate encourages use of abundant recreational opportunities on the "Sunny Side of the Bay."*



Why

# OAKLAND? Dining

*Sizzling restaurant scene is no longer a local secret, having been chronicled in national and international publications.*

Photo courtesy of Farmhouse Kitchen Thai Cuisine





Why

# OAKLAND?

## *Green Space*

---

*Oakland boasts one of the highest percentages of parks and open space per capita in the nation as well as green hills, forests, creeks, an estuary, and two lakes.*



# Why OAKLAND?



*Convenient access to where workforce talent lives. 1.1 million workers live within a 15-mile radius.*

*Easy access to Bay Area universities, hospitals, ports, and airports.*

HIGHER  
EDUCATION

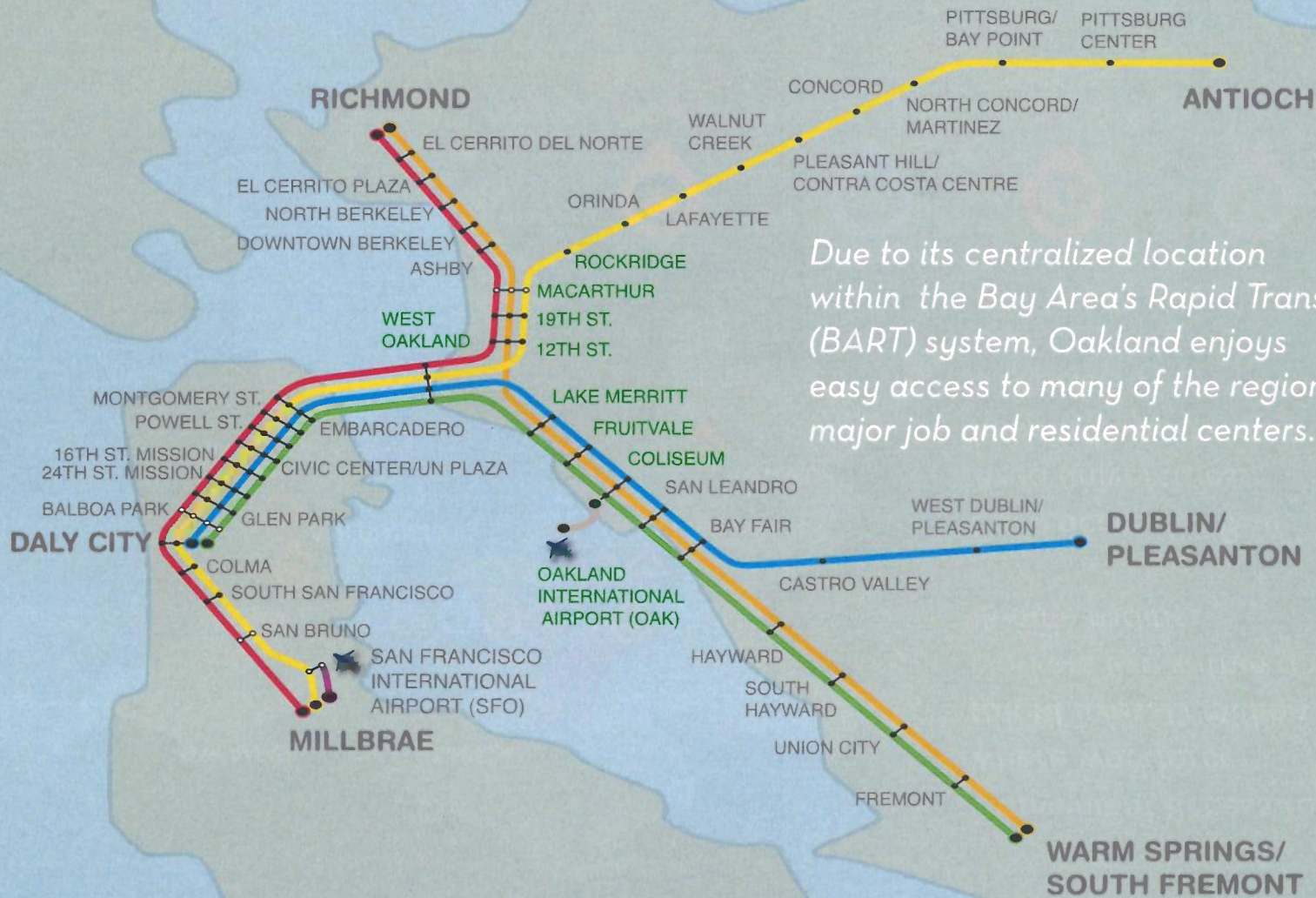
PORT

MEDICAL  
FACILITY

AIRPORT



# Why OAKLAND?



*Due to its centralized location within the Bay Area's Rapid Transit (BART) system, Oakland enjoys easy access to many of the region's major job and residential centers.*

OAKLAND BART STATIONS SHOWN IN GREEN



# Why OAKLAND?

Oakland's population is growing - the city has seen an 8.8% population increase from 2010. Income per capita has increased by 21% from 2010.





Why

# OAKLAND?

Major catalyst projects underway or planned outside of Downtown core.



## Oak Knoll

Master planned community consisting of **918 residences** nestled in the Oakland Hills



## Howard Terminal Stadium

**34,000-capacity** ballpark district to be built along Oakland's Jack London Square waterfront



## Brooklyn Basin

64-acre mixed-use neighborhood with **3,200 residences** that will transform the Oakland Estuary waterfront



# Why OAKLAND?

*Proven returns as demonstrated by recent sales transactions.*

PROPERTY	TRANSACTION PRICE	YEAR PURCHASED	TRANSACTION PRICE	YEAR SOLD	% CHANGE
LATHAM SQUARE	\$12M	2014	\$62M	2018	516.7%
1221 BROADWAY	\$110M	2012	\$255.34M	2018	232.1%
1330 BROADWAY	\$80M	2015	\$173M	2018	216.3%
180 GRAND AVE	\$64.2M	2014	\$119.25M	2017	185.7%
505 14TH ST	\$30.15M	2015	\$72.7M	2017	241.1%
UPTOWN STATION	\$24M	2014	\$180M	2017	750%
1440 BROADWAY	\$15.75M	2015	\$25.35M	2016	161%
2001 BROADWAY	\$9.8M	2013	\$19.5M	2016	199%
TRIBUNE TOWER	\$8M	2012	\$20.4M	2016	255%
1500 BROADWAY	\$7.4M	2013	\$36.6	2016	494.6%



Why

# OAKLAND?

## HEADQUARTERED IN OAKLAND

UNIVERSITY  
OF  
CALIFORNIA

revolution  
FOODS

THE CLOROX COMPANY



BLUE BOTTLE  
COFFEE

pet food express

UCSF Benioff Children's Hospital  
Oakland

Ask

KAISER PERMANENTE

pandora

AB&I  
FOUNDRY

## CORPORATE PRESENCE IN OAKLAND

Southwest

Sutter Health  
We Plus You

Matson

METTLER TOLEDO

Dreyer's

FedEx  
Express

SECURITAS

ALAMEDA  
HEALTH SYSTEM  
FOUNDATION

ups

## COMING TO OAKLAND IN 2019/2020

blue of california

Square

LendUp

credit karma

DECATHLON

Oakland's Opportunity Zones are home to thousands of *small businesses*, including neighborhood-serving retail, restaurants, manufacturers, and startups.



Why

# OAKLAND?

Strong demand demonstrated by some of the nation's lowest vacancy rates.

## INDUSTRIAL

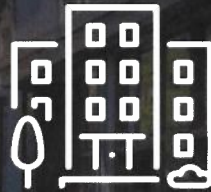


**37.7M**  
square feet

**3.8%**  
vacancy

**\$13.48**  
rent/ sq ft

## OFFICE



**15.8M**  
square feet

**9%**  
vacancy

**\$46.54**  
rent/ sq ft

## RETAIL



**2.3M**  
square feet

**2.6%**  
vacancy

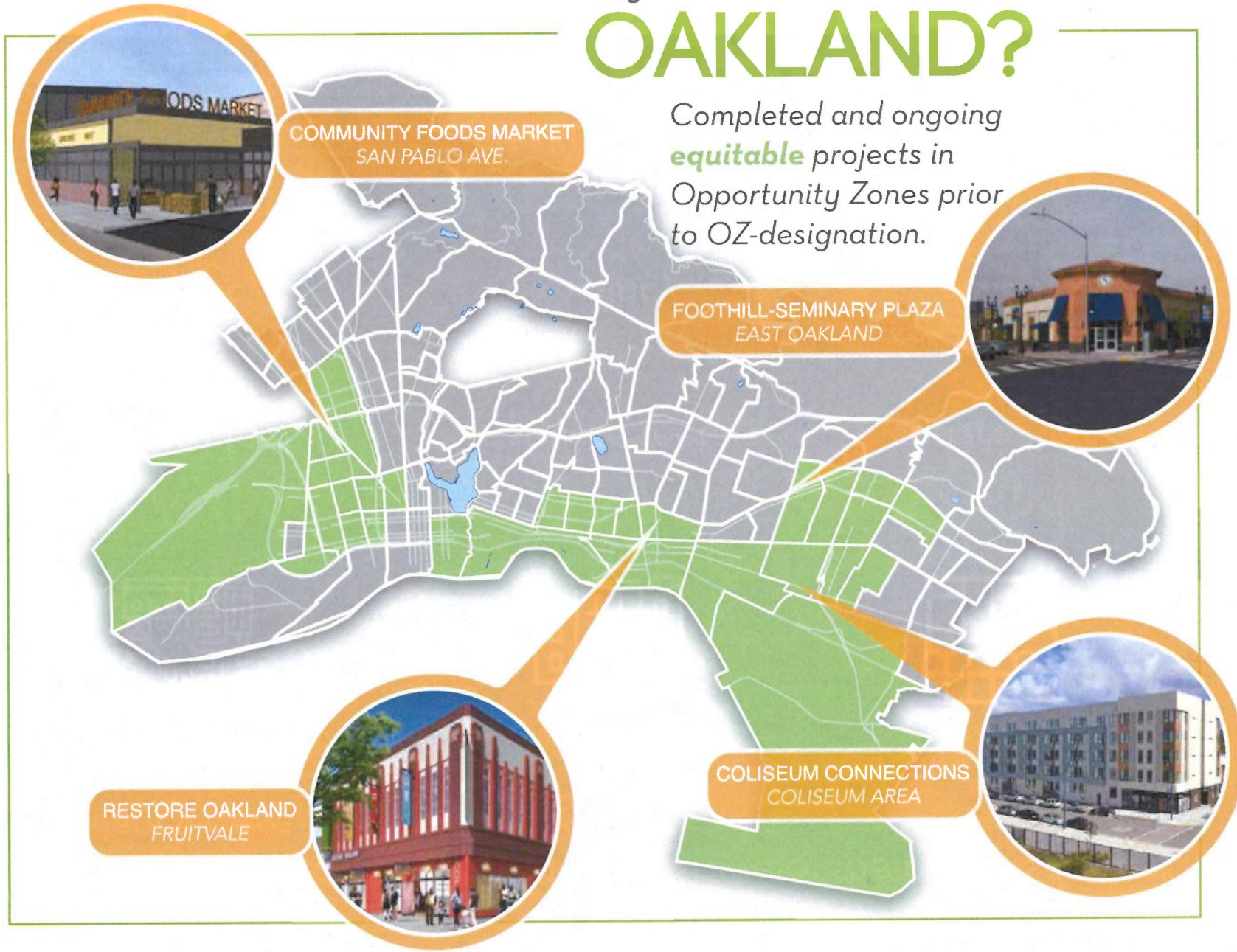
**\$26.21**  
rent/ sq ft



Why

# OAKLAND?

Completed and ongoing **equitable** projects in Opportunity Zones prior to OZ-designation.



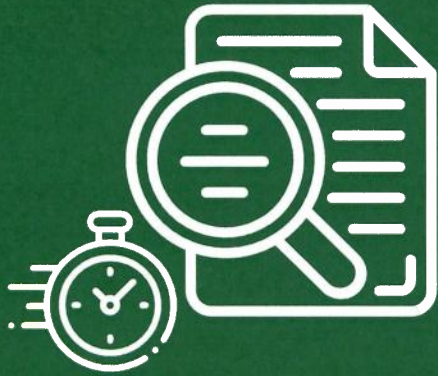
COMMUNITY FOODS MARKET  
SAN PABLO AVE.

FOOTHILL-SEMINARY PLAZA  
EAST OAKLAND

RESTORE OAKLAND  
FRUITVALE

COLISEUM CONNECTIONS  
COLISEUM AREA

# INVESTMENTS ALIGNED WITH OAKLAND'S VISION RECEIVE



## Priority Review

Permit review and processing  
priority for approvals



## Concierge Services

Single staff point-of-contact to support  
development review and permit process



# ADDITIONAL WORKFORCE INCENTIVES FOR TARGETED LOCAL HIRING RECEIVE



Hiring and  
Recruitment Design



On-the-Job  
Training Funds



Targeted Training  
Programs to Support  
Industry Growth:

- Healthcare
- Tech
- Transportation & Logistics
- Construction

WITH OAKLAND'S VISION RECEIVE  
INVESTMENTS ALIGNED



# CITYWIDE GUARDRAILS FOR COMMUNITY BENEFITS



## Oakland's Healthy Development Guidelines

Reporting requirements on community engagement when applying for development review for projects over a certain size



## Rehab Cost Protection

Substantial rehabilitation rules protect tenants and limit costs that can be passed on



## Development Impact Fees

Affordable housing, transportation and Capital Projects impact fees, different by zone (Affordable Housing Fees waived for affordable housing projects)



## No Single-room Occupancy Building Conversion



## Rent Protection for Current Tenants



## Short-Term Residential Rentals have a 30-Day Minimum



WEST

# OAKLAND

*Literal heart of the Bay Area and the regional transportation system, a 7-minute BART ride to downtown San Francisco or downtown Oakland, plus biking distance to downtown Oakland.*

**34**

median age

**15,000**

# employees

**1,900**

acres

**25,000**

population

**\$41,870**

HH income



# WEST OAKLAND

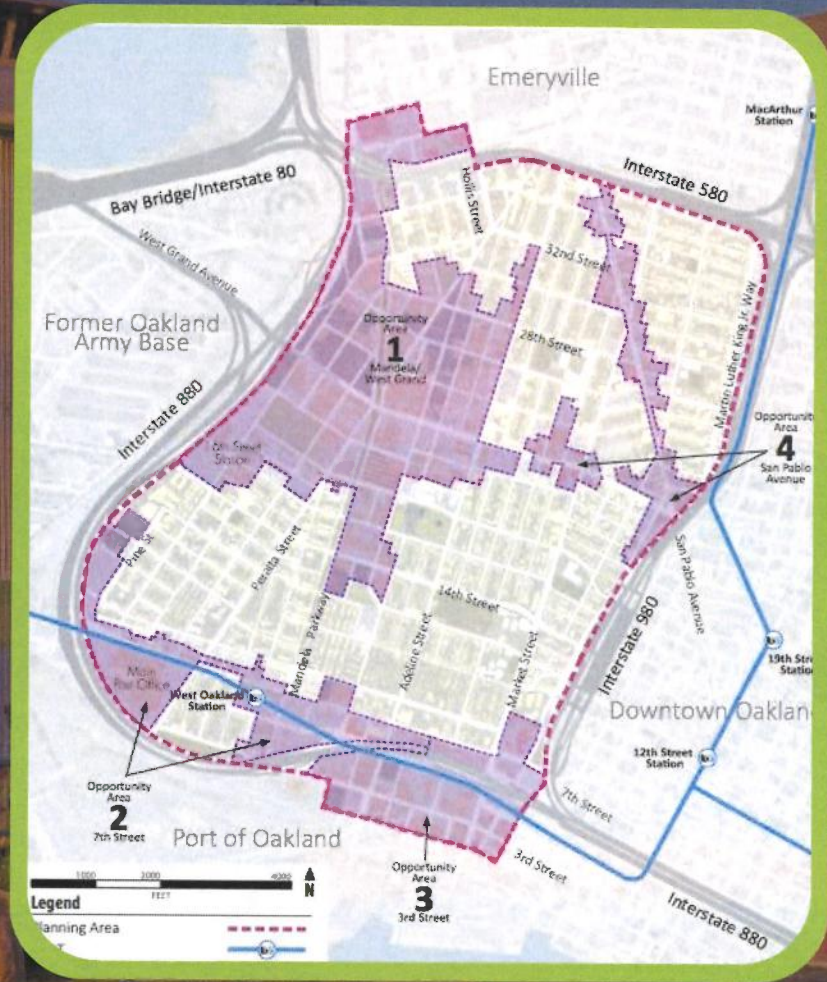
West Oakland Specific Plan provides vision for four opportunity areas

**1** Mandela/West Grand  
354 gross acres including public right-of-way

**2** 7th Street  
98 gross acres

**3** 3rd Street  
Howard Terminal, not in an Opportunity Zone

**4** San Pablo Avenue  
52 gross acres







# WEST OAKLAND


## Opportunity Areas

### MANDELA PARKWAY & WEST GRAND AVE



 Major business and employment center; zoned to increase job density.

 Excellent freeway connectivity, access to the Oakland Global Logistics Center, Port of Oakland and adjacent Oakland/ Emeryville shopping centers.

 Invest in a growing mix of businesses to generate high employment at varying skill and educational levels (light industry, tech, clean tech, biotech or R&D).



High density development and restoration of the "Harlem of the West" through growth in local businesses, arts and culture.



Across from BART transit station and all Transbay bus lines; arrival of new businesses including The Crucible, FiveKeys, ZooLabs, 7th West.



Support the growth of new neighborhood-serving commercial activities. West Oakland BART transit village project proposes 800+ housing units with arts and makerspace.



### 7TH STREET CORRIDOR

### SAN PABLO AVE



One of Oakland's major Black arts, music and commerce district.

Significant East Bay traffic and transit corridor; historic "Main St." character connecting Downtown Oakland and Emeryville. Historic California Hotel, Blackbird Universe Recording Studios, New Community Foods Market grocery store/cafe.



Prioritize local businesses and housing that is affordable to low-to-moderate income residents in partnership with active community leadership.





# CENTRAL/LAKE MERRITT OAKLAND

A regional draw for shopping and restaurants via BART. Connects Downtown to International Boulevard, the Eastlake neighborhood and Brooklyn Basin. Cultural and recreational assets include Lake Merritt, Oakland Museum of CA, portions of Chinatown's commercial core and a reimagined Kaiser Convention Center.

46  
median age

18,000  
# employees

315  
acres

12,000  
population

\$27,000  
HH income



# CENTRAL/LAKE MERRITT OAKLAND

Downtown Oakland Specific Plan and nearby adopted Specific Plans

1 Lake Merritt Station Area

2 Upper Chinatown

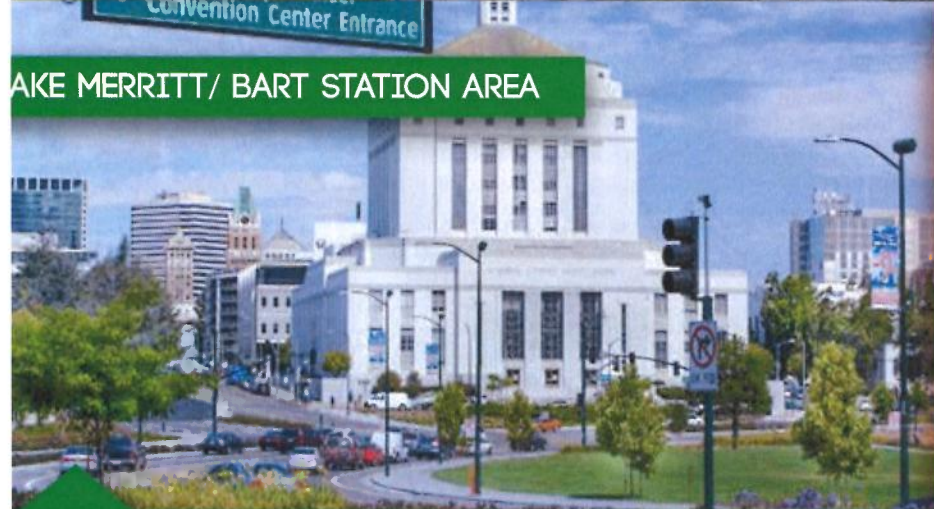





# CENTRAL/LAKE MERRITT OAKLAND


# Opportunity Areas

## LAKE MERRITT/ BART STATION AREA



 Build on the existing residential and burgeoning retail areas along East 12th Street and International Boulevard.

 Regional access via the Lake Merritt BART transit station; adjacent to Eastlake neighborhoods and near Brooklyn Basin.

 Increase mixed-income and mixed-use development on Laney College parking lots and other underutilized space with community uses, housing and retail, addressing college-related demand for housing, retail and night-time draw.



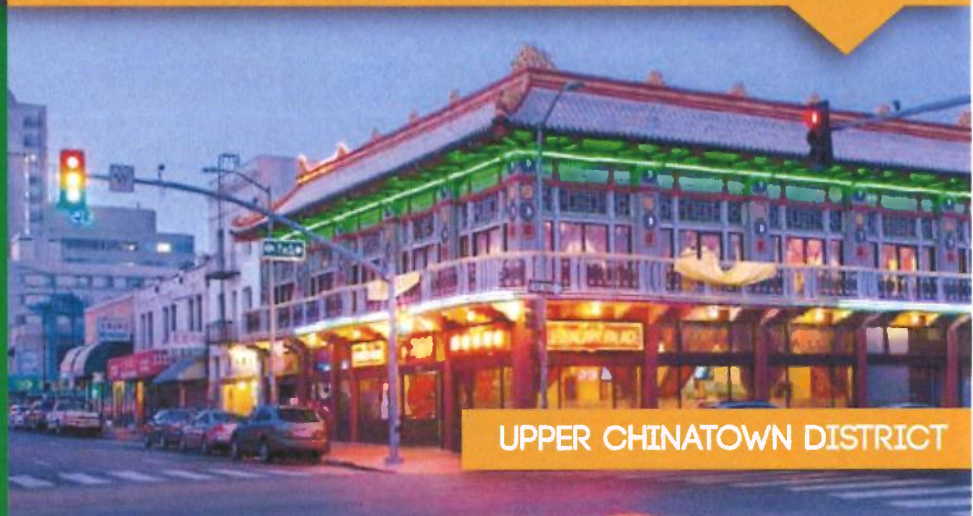
Mix of current heights with select high-density housing opportunities and accompanying retail restaurants and commercial and public uses for recreation, education and cultural enrichment.



Neighborhood center for community gatherings. International Boulevard Bus Rapid Transit line under construction.



Invest in new commercial and housing development in one of the West Coast's largest Chinatown communities.



## UPPER CHINATOWN DISTRICT



EAST

# OAKLAND

*Catalytic placemaking and placekeeping investments in a diverse retail and industrial corridor served by a new Bus Rapid Transit line.*

**36**

median age

**33,748**

# employees

**4,288**

acres

**127,751**

population

**\$53,099**

HH income



# EAST OAKLAND

AC Transit Bus Rapid Transit plan in East Oakland. Plan shows route through major East Oakland neighborhoods.

- 1 International Boulevard
- 2 Fruitvale Neighborhood
- 3 High Street to 82nd Avenue






EAST


# OAKLAND


# Opportunity Areas

## INTERNATIONAL BOULEVARD



 10 years of community engagement - East Oakland as series of sustainable affordable neighborhoods.

 Primarily commercial corridor with some defined business districts; adjacent to residential and industrial areas. Bus Rapid Transit line under construction to be completed in December 2019.

 Invest in vacant land and building opportunity sites around BRT stops.



Maintain and grow a thriving business district, lead with arts and culture, increase affordable housing for families.

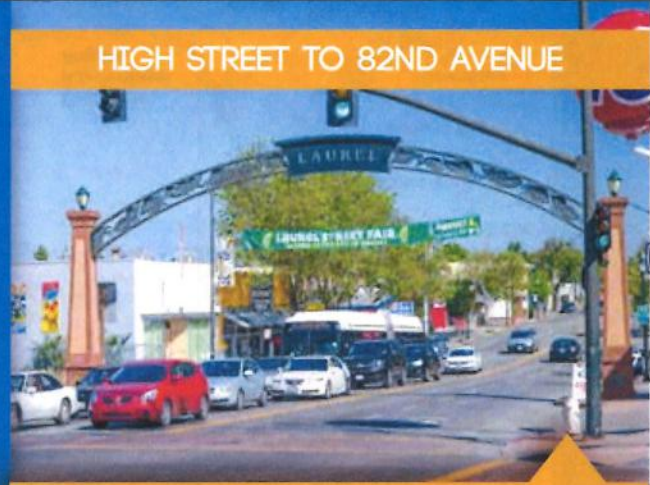


Well-known Latino neighborhood includes major financial institutions, Fruitvale Transit Village and over 350 small businesses in a property-based Business Improvement District.



Invest in a thriving Latino business district, through restoration of major commercial properties and increasing housing for Oakland families.

## HIGH STREET TO 82ND AVENUE



Invest and expand in neighborhood commercial hubs including Havenscourt/ Seminary, Coliseum, Elmhurst, and Black Cultural Zones.



9 BRT stations, revitalized Rainbow recreation center, General Electric 24 acres to start EIR for development, EOYDC youth services facility, multiple housing complexes, live/work lofts.



Food businesses, business incubation and development on underutilized properties including vacant lots, retail space and industrial buildings..



## FRUITVALE



# COLISEUM

*One of the largest development opportunities on the West Coast, planned for mixed-use residential, retail, hotel, and a science and technology district.*

**29**

median age

**18,768**

# employees

**800**

acres

**33,557**

population

**\$44,420**

HH income



# COLISEUM

1

## Sub-Area A

High density, mixed-use transit district with retail, residential, entertainment, technology and office uses

2

## Sub-Area B

A waterfront district envisioned to be a core location for future science and technology uses, as well as light industrial businesses

3

## Sub-Area C

Retail, office and flexible technology and industrial uses that want to co-locate with Sub-Area B

4

## Sub-Area D

Hotels, retail and logistic businesses that benefit from proximity to Oakland International Airport

5

## Sub-Area E

A waterfront district supporting utilities, habitat and open space recreation; office and warehouse project also in pipeline





# COLISEUM

# Opportunity Areas

## COLISEUM & ORACLE ARENA



Higher density office, industrial and residential development with a focus on sustainability and protecting the urban environment. Entitled up to 8 million square feet of new commercial and office space, up to 5,700 housing units and 875 new hotel rooms. New parks, trails and restored natural habitat.

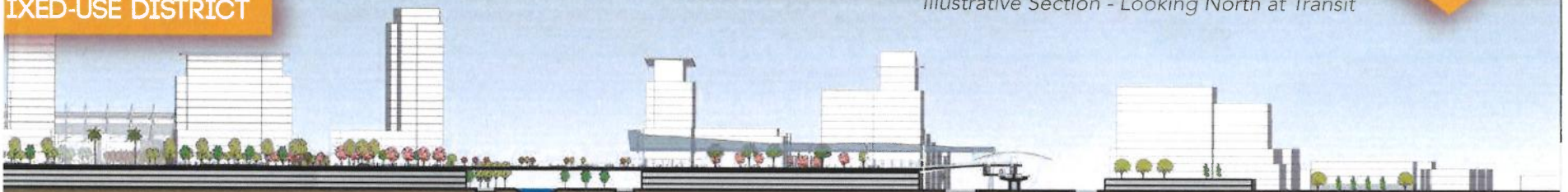


One of California's largest underdeveloped inner-urban, transit-served areas, with access to multiple transit options and freeways, proximity to Oakland International Airport.



Transform the underutilized land around the Oakland-Alameda County Coliseum and Arena into a world-class entertainment and science & technology district with retail, entertainment, arts, culture, live and work uses.

## FIXED-USE DISTRICT



*Illustrative Section - Looking North at Transit*

## SCIENCE & TECH DISTRICT



*Illustrative Section - Looking North at Transit at Elevated Podium Concourse*



1800 SAN PABLO AVE

Two prime sites  
for high density  
commercial in  
the heart of  
thriving Uptown  
Oakland.

# OAKLAND?

Why

1911 TELEGRAPH AVE







# THANK YOU!

For more information, please contact:

**Marisa Raya**

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City of Oakland

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# City of Oakland Department of Race and Equity

## INCLUSIVE PUBLIC ENGAGEMENT PLANNING GUIDE

Use this guide to identify the need for, purpose and level of public engagement for a given issue.

To engage City leadership and key community as needed to finalize a complete plan, program or policy; or to complete a Race and Equity Impact Analysis, including specific strategies for inclusive engagement.

---

The following four steps are recommended before initiating the planning process and filling in the worksheet:

Step	Description
1	Identify appropriate staff/team to complete the Outreach Plan
2	Review Inclusive Engagement Best Practices and the Public Engagement Matrix. (Appendix I and II)
3	Collect demographic data related to the geographic or policy/program area you will be working on.
4	Identify the future condition impacted by the project, policy/program you will improve for Oakland residents (check all that apply): <ul style="list-style-type: none"><li><input type="checkbox"/> Housing</li><li><input type="checkbox"/> Jobs</li><li><input type="checkbox"/> Public Safety/ Criminal Justice</li><li><input type="checkbox"/> Access to Key Services</li><li><input type="checkbox"/> Other:</li></ul>

### 1. What is the overall scope and goals of the action under consideration?

**2. What is/are the proposed race and equity outcome(s) or results for the process?** What disparities could be impacted favorably and for which group(s)? Who will be better off and in what way? What baseline data is available, what else do you need?

### **3. What is the timeline for completion of this process?**

Deadline for project completion: (Include process for any legal requirements (e.g. SEPA), political commitments, and staff goals.)

**4. Why should the public get involved in this process/project from their perspective?** (It is useful to be able to articulate what participants will gain from taking part in your process.)

**5. What is the specific public process purpose?** (check all that apply)

**Inform** (Educate the public about the rationale for the project or decision; how it fits with City goals and policies; issues being considered, areas of choice or where public input is needed.)

**Consult** (Gather information and ask for advice from citizens to better inform the City's work on the project.)

**Collaborate** (Create a partnership with the public to work along with the City in developing and implementing the planning process or project.)

**Shared Decision-making** (Decision-makers delegate decision-making power to stakeholders or give them a formal role in making final decisions to be acted upon.)

**6. What are the City's objectives in involving the public in this process/project?** (mark all that apply)

**To help with policy making:**

- Use it to define the problems, to find solutions, or both
- Establish the complexity of an issue
- Develop innovative policy options
- Test out ideas
- Collaborative problem solving to find the most effective solutions
- Identify and understand the risks
- Find the most cost-efficient solutions to problems
- Find the most equitable solutions to problem(s)

**To help relations with community:**

- Ensure community gets heard on the policy-making process
- Sharing with community the pros and cons of policy options
- Informing the community about steps actions, changes to or new services
- Building relationships with and listening to specific under-represented communities
- Strengthening relationships between constituencies
- Developing alternative methods for public engagement for racial/ethnic communities
- Partnering with community organizations
- Maintaining and deepening relationships within a community.

**Please describe:**



**7. What are the constraints to public influence?**

- Previous City commitments
- Funding limitations (amount; how it can be used)
- Legal constraints (laws that constrain scope and/or solutions)
- Other:

**Describe any legally mandated public involvement (e.g. SEPA):**

**8. Who are the decision-makers? (check all that apply)**

- Mayoral priority
- Council priority (name(s), if applicable) \_\_\_\_\_
- Other level of government: \_\_\_\_\_
- Appointed officials: \_\_\_\_\_
- Other Decision-makers: \_\_\_\_\_

**9. Who are the stakeholders in the process? (Include all who are affected: client, sponsor, and influencers, end users, “bystanders,” media, others affected by the process/action. Pay attention to identifying those who typically don’t participate or have a voice, but who are affected like people of color, immigrants, low income households, elderly, youth, etc. – check all that apply)**

- Underserved Racial/Ethnic Groups, i.e.: people of color identified by demographic data.
- Community Based Organizations (advocacy groups, non-profit agencies):
- Private Sector (business community, development community):
- City Department(s):
- Other Public Agencies:
- Other (those also directly affected by the outcome):

**10. Project lead check in with Department leadership, communications staff, other key department staff for advice/approval of draft racial equity outcomes, scope and purpose of outreach, stakeholder identification, etc.**

**11. What public involvement tools/activities are appropriate for the project?**

Describe engagement tools/activities: (Refer to the Public Engagement Matrix to determine types of appropriate engagement. e.g. survey, public meeting, etc.):

**12. How will you incorporate inclusive engagement practices into activities?**

(See Appendixes I and II for more details)

- Identify, and prioritize relationships in/with under-represented communities, trusted community members and respected community leaders** – Activity deepens existing relationships or establishes new relationships.
- Consult with under-represented community members during process design** – Activity informed by community expertise.
- Start early with alternative methods for engagement** – Approach provides multiple ways for contributing input and feedback and direct communication with under-represented communities.
- Maintain contact with the community** – Activity builds-in communication with the community, or establishes an on-going relationship.
- Remove barriers and create a welcoming atmosphere** – Activity takes language issues into account and removes barriers to participation like location accessibility, time, transportation, childcare, language interpretation and ASL and power dynamics. Strives to have activities that reflect the culture of the community.
- Partner with diverse organizations and agencies** – Activity provides opportunity to collaborate with organizations of color and draws upon leadership from communities of color.

**13. Interests/concerns to be investigated with stakeholders during consultation, collaboration and engagement processes.**

*What changes do they see as needed, if any, and what do they prefer not be changed?*

*What barriers to equitable outcomes do they experience related to the issue?*

*How would they be affected by the risks? (Are they harmed?)*



*What ideas to address the risk of harm do they have?*

*How can they benefit from the policy/project/plan?*

*What ideas for improvement do they have?*

*Other issues?*

**14. Is there a requirement for an advisory group or community partnership?**

No – Continue to #15.

Yes - How will this be accomplished? (What is the purpose of the group? Is the group already outlined or codified? Will you use or build on an existing group or need to create a new advisory group? Specify resources needed, timelines, racial, ethnic and language diversity in the group, accessibility, etc.)

**15. What are the basic communication strategies and issues for the project?**

What are the key messages that need to be shared about the project?

What is the strategy for communicating with the media? (Include strategies for working with Ethnic media outlets)

How will social media be employed, if at all? (**Note about social media:** Data suggest that there are differences in the use/preference of social media sites by age, race and ethnicity. About eight-in-ten Latino, black and white adults who are online use at least one of five social media sites – Facebook, Instagram, Pinterest, LinkedIn and Twitter. Do your research before deciding on a social media site for a community.)

What are the translation and interpretation needs of the project?

How would the deaf and hard of hearing and low vision and blind will receive information?

How about people who cannot read and write?

What are the best communications strategies for non-English speaking residents, under represented ethnic/racial, or disAbility groups?

**16. What resources and responsibilities are needed to carry out the public involvement activities?**

Staff Responsibilities and roles, project manager, public involvement lead, other staff or consultants:

Community responsibilities and roles (if applicable):

Funding needs – communications, public events, consultant services:

**17. What is the public involvement schedule?**

Develop a timeline and month-by-month calendar of tasks and activities for public involvement. Show how these are connected to project timeline and milestones. In developing these schedules, work back from deadlines to determine what types of involvement is possible given timeframe and deadlines for the project.

Key Dates:

**18. What are the reporting mechanisms?** Include products that document and report on the outcomes of the public involvement and the timing of those products (mark all that apply).

- Media/communications pieces (press packet, news release)
- Progress report(s)
- Final report
- Formal recommendations
- Briefings and presentations for decision-making bodies (involve community)

Describe:

**19. Project Lead circle back with department leadership and communications staff on proposed public involvement strategy/tools, resource needs and responsibilities, and coordination with other projects.**

**20. Finalize and Share Plan with team and partners.**



## **EVALUATING PUBLIC ENGAGEMENT**

An evaluation should be completed to document the effectiveness of the public involvement process and its level of inclusion. The following criteria provide a guide to assessing this effectiveness with input from the community, staff, other City and agency.

### **Criteria:**

#### **Public's role is identified in scoping the project**

1. Reflects maximum possible influence that can be exerted by the public on the outcome/decisions
2. Fully reflects the diversity of the community
3. Is coordinated with key milestones and phases of the planning project/process
4. Is feasible in terms of time and resources
5. Stakeholders are fully identified, including their interests

#### **Public involvement plan is developed for the entire project**

1. Public Involvement plan clearly identifies public's role
2. Public involvement plan includes strategies for inclusive engagement and incorporates alternative approaches for engagement
3. Public Involvement plan is clearly communicated to all stakeholders, including decision-makers, public and private interest groups and staff
4. Public Involvement plan includes specific activities, information, staff resources, and relationship to project milestones, and time line
5. Public Involvement plan includes mechanisms for ongoing communication and feedback with general public and stakeholders throughout the project

#### **Public involvement results are clear and have been incorporated into the project when:**

1. Both the process of public involvement and the results are documented (what the public said and how their input, advice or work was used)
2. The diversity of the involvement was documented (e.g. number of people of color participating)
3. Results of public involvement are communicated broadly to people who were involved, to the broader public, and to decision-makers

#### **The public involvement process is successful when:**

1. All stakeholders (community participants and their constituencies, affected agencies, decision-makers) are satisfied that the process has been fair, accessible and has been effective in appropriately involving the public, including under-represented communities
2. The process was inclusive and reflective of the community
3. Decision-makers can make decisions based on/informed by the public involvement results and staff recommendations/proposals

**Appendix I**  
**Department of Race and Equity**  
**Inclusive Outreach and Engagement Best Practices**

Inclusive outreach and civic engagement, in the context of advancing racial equity, is a way of looking at and understanding the obstacles to participation that some individuals and communities face so we can design activities that engage them as equal partners in this process. It is also an internal process to explore our outreach and engagement policies, practices and procedures to figure out how a department can support community efforts to overcome obstacles, eliminate barriers to participation and to build trusting civic relationships to pursue social justice and racial equity to the benefit of all Oakland residents.

**Best Practices**

- Identify, and prioritize relationships in/with under-represented communities, trusted community members and respected community leaders** – Activities deepen existing relationships or establishes new relationships with key communities. Your work should focus on identifying trusted advocates within these communities as well as organizations with a demonstrable track record serving these communities and setting a process/ working procedure to capture contacts, keep the information up to date and how these new relationships will be sustained. It is also helpful to discuss how this information will be shared with department staff. If your department is not currently connected with community.
  
- Consult with under-represented community members during process design** – Activities are informed by community expertise. You can improve Oakland’s resident’s wellbeing by ensuring that services meet their needs and aspirations and creating policies that remove barriers or mitigate harm. Your work should focus on creating ways to collect, analyze and use evidence to shape service priorities and delivery by making sure community input is built into the design process. It also means moving beyond a solely data driven approach to needs assessment, to one that is complemented by the views of those in the communities (y) most impacted by your planned actions.
  
- Start early with alternative methods for engagement** – Approach provides multiple ways for contributing input and feedback and direct communication with under-represented communities. Informal engagement events can help you reach out to busy community members in a way that enables them to contribute and have an enjoyable experience. Your work focuses on coordinated engagement processes and events with partners where appropriate, enable information sharing, collaboration and communications supported through a wider range of community agencies or trusted community advocates that help you to build trust between the city and the local community, improve relationships and create a culture of collaboration between the City of Oakland and the community when appropriate.



**Maintain contact with the community** – External activities build-in communication with the community, or establish an on-going relationship. Internal activities create a process to maintain internal stake holders informed on issues as they arise and a clear decision making process to resolve conflicts that may arise. If your project is large and involves several city departments and communities, you should consider creating a formal communications plan. A good communication plan includes a conflict management strategy which is designed to make issues between stakeholders more manageable. Know your audience, practice good communications skills and do what it is sustainable to maintain good relationships with your stakeholders. Ask the community members or organization how they prefer to be contacted. If they welcome emails, send them email updates as appropriate. Establish yourself as a resource and always give them notice if your organization is going to be doing anything public that is in any way, relevant to them – issuing a press release, report, testifying, publishing an op-ed, hosting an event, etc.

**Remove barriers and create a welcoming atmosphere** – Activities take language and cultural practices into account and remove barriers to participation like location accessibility, time, transportation, childcare, literacy, language interpretation, ASL and power dynamics. Strive to have activities that reflect the culture of the community.

**Partner with diverse organizations and agencies** – Activity provides opportunity to collaborate with organizations of color and draws upon leadership from communities of color.

## Appendix II

### PUBLIC ENGAGEMENT MATRIX

Type of Engagement	Goal of Participation	Tools/Activities	Inclusive Engagement Techniques	Indicators/Evaluation
<b>INFORM</b> <small>(required for all types of engagement)</small>	<p>Educate the public about the rationale for the project or decision; how it fits with City goals and policies; issues being considered, areas of choice or where public input is needed.</p> <p><b>Message to the Public:</b> Will keep everyone informed.</p>	<ul style="list-style-type: none"> <li>- Fact Sheets</li> <li>- Brochures</li> <li>- Websites and social media</li> <li>- Open Houses</li> <li>- Exhibits/displays (in public areas)</li> <li>- Newsletters (mailed/online)</li> <li>- Newspaper articles and radio ads</li> </ul>	<p>Translation of all key documents and webpage sections</p> <p>Interpretation at events</p> <p>Alternative methods of outreach</p> <p>Collect identity profile info from participants</p>	<p>Attendance</p> <p>Website/social media hits</p> <p>Public comment/feedback</p> <p>Circulation of print material</p> <p>News article comments</p> <p>Radio -compare the number of calls and website hits during the advertising period to a similar time where no advertising occurred.</p>
<b>CONSULT</b>	<p>Gather information and ask for advice from citizens to better inform the City's work on the project.</p> <p><b>Message to the Public:</b> Will keep everyone informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.</p>	<ul style="list-style-type: none"> <li>- Focus groups</li> <li>- Surveys, interviews, and questionnaires</li> <li>- Public Meetings</li> <li>- Door-to-door</li> <li>- Workshops and working sessions</li> <li>- Deliberative polling</li> <li>- Internet (interactive techniques)</li> </ul>	<p>Translation of all key documents and webpage sections</p> <p>Interpretation at events</p> <p>Provision of Childcare</p> <p>Culturally appropriate food</p> <p>Individual meetings with community leaders</p> <p>Seek opportunities for contact at regular community events/locations rather than separate "town meeting"</p> <p>Collect identity profile info from participants</p>	<p>Quality of information from focus groups, surveys, interviews, questionnaires – online and door to door</p> <p>Attendance and participation at workshops and in polls</p> <p>Internet /social media response/comments</p>
Type of Engagement	Goal of Participation	Tools/Activities	Inclusive Engagement Techniques	Indicators/Evaluation
<b>COLLABORATE</b>	<p>Create a partnership with the public (key stakeholder groups) to work along with the City in identifying problems, generating solutions, getting reactions to recommendations and proposed direction.</p> <p><b>Message to the Public:</b> Will work with the public to ensure that their concerns and issues are directly reflected in the alternatives developed and show how public input influenced the decision.</p>	<ul style="list-style-type: none"> <li>- Citizen Advisory Committee/ Liaison Groups /trusted advocates</li> <li>- Visioning</li> <li>- Consensus building</li> <li>- Participatory decision-making</li> <li>- Charrettes</li> </ul>	<p>Translation of all key documents</p> <p>Interpretation at events</p> <p>Provision of Childcare</p> <p>Culturally appropriate food</p> <p>Individual meetings with community leaders on their "turf" on their time.</p> <p>Collect identity profile info from participants</p>	<p>Veracity of Committee/Liaison Group processes</p> <p>Clarity of shared vision</p> <p>Level of consensus outcomes</p> <p>Adherence to participatory decision making models</p> <p>Participation in Charrettes</p>
<b>SHARED DECISION-MAKING</b>	<p>Decision-makers delegate decision-making power to stakeholders or give them a formal role in making final recommendations to be acted upon.</p> <p><b>Message to the Public:</b> Will implement what the public decides.</p>	<ul style="list-style-type: none"> <li>- Citizen juries</li> <li>- Ballots</li> <li>- Delegated decisions to specific representative citizen body or to voters</li> </ul>	<p>Translation of all key documents</p> <p>Interpretation at events</p> <p>Provision of Childcare</p> <p>Culturally appropriate food</p> <p>Individual meetings with community leaders on their "turf"</p> <p>Collect identity profile info from participants</p>	<p>Measure collective impact:</p> <p>Track progress toward a shared goal using a short list of community indicators.</p> <p>Assess progress and improve program based on community feedback</p> <p>Quality of shared information from focus groups, surveys, interviews, questionnaires – online and door to door</p>



## City of Oakland Racial Equity Impact Analysis

### Introduction

The establishment of the Department of Race and Equity the City of Oakland kicked off an effort to explicitly imbed racial equity in its decisions and policies. Unlike the blatantly discriminatory policies of the past, most policies today are not designed to intentionally exclude or to create additional barriers for people of color. But unfortunately, many policies still have real consequences that adversely affect how people of color experience and are impacted by systems. These policies seemed to be “face neutral” or “race silent” but their repeated application lead to outcomes that, over time, cause disparities that are predictable by race.

For this conditions to change, City staff and policymakers must grow the capacity to assess and design explicitly for racial equity. **Racial Equity Impact Analysis** is a template to guide this process of change. By applying an equity focus and analysis to key deliberations, City government can work with community to create conditions where everyone has access to the opportunities necessary to meet their essential needs, advance their well-being and achieve their full potential.

This work is building on ongoing efforts. Communities of color have advocated for generations for the City of Oakland to meet its obligations regarding equity. Community studies and recommendations like the [“Roadmap Toward Equity: Housing Solutions for Oakland, California by Policy Link](#), and [Race, Inequality, and the Desegregation of the Bay Area, Urban Habitat, 2016](#), and others, document the case for a City of Oakland response to racial inequity.

The City of Oakland’s commitment to taking intentional steps to further racial equity is essential to building and maintaining meaningful relationships with underserved communities. We can work with community to create a city where everyone has access to the opportunities necessary to meet their essential needs, advance their well-being, and achieve their full potential.

### Race and Equity Working Assumptions

- Race matters - almost every indicator of well-being shows troubling disparities in outcomes by race
- Disparities are often created and maintained inadvertently through policies and practices that contain barriers to opportunity
- It’s possible - and only possible, to close equity gaps by using strategies determined through an intentional focus on race
- If opportunities in all key areas of well-being are equitable, then equitable results will follow
- Given the right message, analysis, and tools, people will work toward racial equity

*(Credit to the RACE MATTERS Toolkit and the Annie E. Casey Foundation for researching and crafting this assumptions language)*

## Racial Equity Focused Results

This approach has the built-in advantage of driving concrete, data driven, outcome oriented problem solving actions. It educates about racial disparities, informs about root causes, engages impacted community and ultimately provides a set of specific recommendations to work with and a framework to evaluate impacts of decisions on equity.

The Department of Race and Equity has led the work to adapt a result based racial equity analysis approach to be applied to emerging and revisions of existing policies, practices and procedures to advance equity. While this does not serve as an immediate cure-all, embracing an explicit equity approach will help Oakland move toward the vision of equity and away from practices that are likely to perpetuate the status quo or worsen inequities to:

- Explicitly **address issues of social and economic injustice, and structural racism**
- Use data to identify groups impacted by racial disparities and racial equity outcomes
- Disrupt racial bias and assumptions embedded in policies, procedures and systems
- Build in decision-making prompts that evoke consideration of equity and inclusion of community
- Foster focused engagement of underserved stakeholders
- Systemically analyze potential impacts of City action or inaction on groups impacted by disparities
- Increase institution's capacity for, and commitment to results based accountability

### Who should use it?

A **Racial Equity Impact Analysis** can be used at all and multiple levels of the organization and policy process, and in fact, doing so, will increase effectiveness.

**City staff:** The routine use of a racial equity impact analysis by staff provides the opportunity to integrate racial equity across the breadth, (meaning all governmental functions), and depth, (meaning across hierarchy) of the City. It serves to elevate equity to the same status as project feasibility and budget supported by well-developed analysis.

**Elected officials/City Leadership:** Decision makers can use a racial equity focus to set priorities and bring greater consistency between values and practice. When leadership integrates racial equity into their work, it will be reflected in the priorities of the City budget, in direction provided to management, and in the questions asked of staff. Leadership can arrive at more equitable solutions by asking racial equity impact analysis questions from the worksheet when issues are being presented for consideration.

**Community, Advisory Bodies, Consultants:** Others doing equity process with the City may also use a **Racial Equity Impact Analysis** to drive towards a more equitable representation and more impactful work products. They could also use the worksheet questions to frame conversations with the City and encourage greater accountability.



## Racial Equity Analysis Worksheet

**Department and Lead:**

**Title and Description of plan, policy initiative, program, budget issue:**

**1. Racial Equity Outcome(s)** desired – Be specific about what are the desired racial equity conditions your department wants to see for Oakland residents.

**2. Gather information/data about impacts** (allow information scoping to be informed by engaging community)

**What does the data tell us? *Identify known racial inequities that could be impacted by this effort ~***

- What racial/ethnic groups or other identity groups are most impacted by disparities?
- Will the proposal have impacts in the specific geographic areas (neighborhoods, areas or regions)? What are the racial demographics of those living in that area?

***Identify any relevant Equity Indicator(s) or disparities that your activity might impact?***

**3. Identify and engage your stake holders** (*gather demographic data to identify racial/ethnic groups living, working and or socializing in the area impacted by the policy /proposal- see Inclusive Engagement Guide as a resource*)

- Who are the stake holders who may be affected by this policy? How can we best reach them and engage them?
- How can we maximize engagement and impact of underserved stakeholders?
- Who is missing and how can we engage them?
- What are the root causes of the disparities identified from the impacted communities' perspective?
- What are the needs or opportunities to address these inequities from the impacted communities' perspective?
- How will we meaningfully consider the perspectives of underserved stakeholders during final decision making?

**4. Identify Equity Gaps**

- What is the history of the racial/ethnic group(s) in Oakland? How has past public policy impacted disparities in their current conditions? How might those disparities factor into their ability to benefit from this proposal?
- What adverse impacts or unintended consequences could result from this policy if enacted as envisioned/written?
- How would different racial /Ethnic groups in Oakland would be impacted, benefits and burdens if this policy if were enacted as envisioned/written?
- What additional barriers might prevent individuals in certain racial/ethnic groups from benefitting fully if this policy were implemented as written?

**5. Fill in Equity Gaps**

- What steps could be taken to prevent or minimize adverse impacts or unintended consequences?
- What steps could we take to address historical harm or other barriers that could prevent various racial/ethnic groups from accessing the policy fully?
- What partnerships and/or funding will be necessary for this effort?
- Are there further ways to maximize racial equitable outcomes?

**6. Implementation**

- Based on this analysis, what are the recommendations for the most equitable policy option(s)?
- Does the policy and any equity-enhancing measures related to this policy have adequate funding? If not, how might this be addressed?
- Are mechanisms in place ensuring successful implementation and enforcement?
- Are there provisions to ensure ongoing collection of data disaggregated by race/ethnicity?
- If no, on any of the above questions, what are the steps needed to move forward?

**7. Evaluation and Accountability**

- What are the measures determining underserved groups are better off?
- What are the mechanism we will utilize to measure for racial equitable outcomes? (*Note: all measurement data needs to be disaggregated by race and any other relevant demographic to track impact on equity*)

How much did we do?	How well did we do it?
# People served	% common quality measures
# Activities (by type of activity)	% Activity- specific measures
<p style="text-align: center;"><b><u>Is anyone better off?</u></b></p> <p style="text-align: center;"># or % Skills/knowledge</p> <p style="text-align: center;"># or % Attitude/opinion</p> <p style="text-align: center;"># or % Behavior</p> <p style="text-align: center;"># or % Circumstance</p>	

- What is the mechanism for course correction if racial equity outcomes are not achieved?
- How will the community be informed of progress toward achieving racial equitable outcomes?





August 29, 2019  
 Mr. Lee Bodner - 2019 JOB 006  
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**ADDENDUM 3: BUDGET**

**APPENDIX I –Project Budget**

		<b>Year One</b>	<b>Year Two</b>	<b>Project Total</b>
<b>Revenue</b>				
	Rockefeller Funding	\$ 200,000	\$ 200,000	\$ 400,000
	Other Sources	\$ 25,000	\$ 25,000	\$ 50,000
	<b>Total Revenue</b>	<b>\$ 225,000</b>	<b>\$ 225,000</b>	<b>\$ 450,000</b>
<b>Expenses</b>				
	COZO Salary*	\$ 130,000	\$ 130,000	\$ 260,000
	COZO Benefits and Payroll Taxes*	\$ 60,668	\$ 60,668	\$ 121,336
	Consulting & Community Engagement	\$ 4,000	\$ 4,000	\$ 8,000
	VISTA Living Stipend Supplement	\$ 12,000	\$ 12,000	\$ 24,000
	OFPI Management Fee**	\$ 15,750	\$ 20,250	\$ 36,000
	<b>Total Expenses</b>	<b>\$ 222,418</b>	<b>\$ 226,918</b>	<b>\$ 449,336</b>