



# Board of Commissioners

## Agenda

15 West Kellogg Blvd.  
Saint Paul, MN 55102  
651-266-9200

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April 13, 2021 - 9 a.m.

Council Chambers - Courthouse Room 300

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Pursuant to Minn. Stat. § 13D.021 and 13D.04 Subd. 3, the Chair of the Ramsey County Board of Commissioners has determined that an in-person meeting is not practical or prudent because of the COVID-19 pandemic and the declared state and local emergencies. Commissioners will participate by telephone or other electronic means. In addition, it may not be feasible to have any commissioner, staff, or members of the public present at the regular meeting location due to the COVID-19 pandemic and the declared emergencies. The meeting broadcast will be available online and linked via [ramseycounty.us/boardmeetings](http://ramseycounty.us/boardmeetings). Members of the public and the media will be able to watch the public meeting live online.

### ROLL CALL

### PLEDGE OF ALLEGIANCE

- 1. Agenda of April 13, 2021 is Presented for Approval.** [2021-180](#)  
Sponsors: County Manager's Office  
Approve the agenda of April 13, 2021.
- 2. Minutes from April 6, 2021 are Presented for Approval** [2021-193](#)  
Sponsors: County Manager's Office  
Approve the April 6, 2021 Minutes.

### PROCLAMATION

- 3. Proclamation: Public Safety Telecommunicators Week** [2021-170](#)  
Sponsors: Safety and Justice
- 4. Proclamation: County Government Month** [2021-208](#)  
Sponsors: Board of Commissioners

### INFORMATION

- 5. COVID Information** [2021-209](#)  
Sponsors: County Manager's Office

**ADMINISTRATIVE ITEMS****6. Participation in Urban Institute's Upward Mobility Cohort [2021-012](#)**

Sponsors: County Manager's Office

1. Ratify the submittal of a grant proposal to the Urban Institute.
2. Accept a grant award of \$125,000 and approve a grant agreement with the Urban Institute for the period of grant execution through May 31, 2022.
3. Authorize the Chair and Chief Clerk to execute the grant agreement.
4. Authorize the County Manager to enter into agreements and amendments to agreements, in accordance with the County's procurement policies and procedures, provided the amounts are within the limits of the grant funding.

**POLICY ITEM****7. Housing and Redevelopment Authority Area of Operation [2021-211](#)**

Sponsors: Community & Economic Development

Request the cities of Saint Paul and North St. Paul to pass a resolution allowing for the expansion of the Ramsey County's Housing and Redevelopment Authority's area of operation in order to create and support housing and redevelopment projects within their communities.

**LEGISLATIVE UPDATE****COUNTY CONNECTIONS****OUTSIDE BOARD AND COMMITTEE REPORTS****BOARD CHAIR UPDATE****ADJOURNMENT**

Following County Board Meeting:

Regional Railroad Authority Meeting - Council Chambers – Courthouse Room 300

10:30 a.m. (estimated) - County Board Virtual Workshop: Committee of the Whole - Strategic Team

Join Zoom webinar:

<https://zoom.us/j/96772242211?pwd=M0graUNzNFR5azYwUnNkdFZ5RmQ5UT09>

Webinar ID: 967 7224 2211 | Passcode:041321 | Phone: 651-372-8299

1:30 p.m. - County Board Virtual Discussion: American Rescue Plan

Join Zoom webinar: <https://zoom.us/j/94763335540?pwd=alQySUcrc09tN0dBNE85ckpYUWRrUT09> |

Webinar ID: 947 6333 5540 | Passcode: 041321 | Phone: 651-372-8299

Advance Notice:

April 20, 2021 County board meeting – Council Chambers

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April 27, 2021 County board meeting – Council Chambers  
May 4, 2021 County board meeting – Council Chambers  
May 11, 2021 County board meeting – Council Chambers



# Board of Commissioners

## Request for Board Action

15 West Kellogg Blvd.  
Saint Paul, MN 55102  
651-266-9200

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**Item Number:** 2021-180

**Meeting Date:** 4/13/2021

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**Sponsor:** County Manager's Office

**Title**

Agenda of April 13, 2021 is Presented for Approval.

**Recommendation**

Approve the agenda of April 13, 2021.



# Board of Commissioners

## Request for Board Action

15 West Kellogg Blvd.  
Saint Paul, MN 55102  
651-266-9200

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**Item Number:** 2021-193

**Meeting Date:** 4/13/2021

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**Sponsor:** County Manager's Office

**Title**

Minutes from April 6, 2021 are Presented for Approval

**Recommendation**

Approve the April 6, 2021 Minutes.

**Attachments**

1. April 6, 2021 Minutes



# Board of Commissioners Minutes

15 West Kellogg Blvd.  
Saint Paul, MN 55102  
651-266-9200

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**April 6, 2021 - 9 a.m.**

**Council Chambers - Courthouse Room 300**

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The Ramsey County Board of Commissioners met virtually in regular session at 9:00 a.m. with the following members present: Frethem, MatasCastillo, McDonough, McGuire, Ortega, Reinhardt, and Chair Carter. Also present were Ryan O'Connor, County Manager, and Sam Clark, Civil Division Director, Ramsey County Attorney's Office.

## **ROLL CALL**

Present: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

## **PLEDGE OF ALLEGIANCE**

1. Agenda of April 6, 2021 is Presented for Approval. [2021-174](#)  
Sponsors: County Manager's Office  
Approve the agenda of April 6, 2021.
2. Minutes from March 23, 2021 are Presented for Approval [2021-175](#)  
Sponsors: County Manager's Office  
Approve the March 23, 2021 Minutes.

## **PRESENTATION**

3. Employee Achievement Awards: Karen Dyson, Workforce Solutions; Mina Hang, Financial Assistance Services [2021-167](#)  
None. For information and discussion only.  
Commissioner Reinhardt presented the employee achievement award to Karen Dyson, employment guidance counselor aid in Workforce Solutions. Commissioner Frethem presented the employee achievement award to Mina Hang, financial worker for Financial Assistance Services. Remarks and discussion can be found on archived video.

## **INFORMATION**

4. COVID Information [2021-177](#)  
Sponsors: County Manager's Office  
Presented by County Manager Ryan O'Connor. Dr. Lynne Ogawa, Medical Director - Public Health, and Laura Anderson, Deputy Incident Commander - Public Health contributed to the discussion. Discussion can be found on archived video. Discussion can be found on archived video.

**ADMINISTRATIVE ITEMS**

6. Joint Powers Agreement with City of Saint Paul for Multi-Jurisdictional Emergency Rental Assistance Tenant Application Program [2021-163](#)

Sponsors: Financial Assistance Services

1. Approve the Joint Powers Agreement with the City of Saint Paul to implement the Multi-Jurisdictional Emergency Rental Assistance Tenant Application Program.
2. Authorize the Chair and Chief Clerk to execute the Joint Powers Agreement.
3. Authorize the County Manager to enter into cooperative and joint solicitations and contracts with the City of Saint Paul as necessary to implement the Multi-Jurisdictional Emergency Rental Assistance Tenant Application Program as outlined in the Joint Powers Agreement.
4. Authorize the County Manager to enter into contracts and agreements, and execute amendments to contracts and agreements as necessary to implement the Multi-Jurisdictional Emergency Rental Assistance Tenant Application Program, in a form approved by the County Attorney's Office and in accordance with the County's procurement policies and procedures, provided the amounts are within the limits of the funding.

Motion by McDonough, seconded by Reinhardt. Motion passed.

Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

Resolution: [B2021-074](#)

7. Terms of Collective Bargaining Agreements with Law Enforcement Labor Services #184 Commanders for the Year 2021. [2021-165](#)

Sponsors: Human Resources

1. Approve the terms of the collective bargaining agreement with Law Enforcement Labor Services #184 for the year 2021.
2. Authorize the Chair and the County Manager, as representatives of the County to approve and sign the agreement incorporating these terms and conditions.

Motion by McDonough, seconded by Reinhardt. Motion passed.

Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

Resolution: [B2021-075](#)

9. Permanent and Temporary Construction Easements with the City of Maplewood at Fish Creek Open Space [2021-166](#)

Sponsors: Parks & Recreation

1. Approve Temporary Construction Easements with the City of Maplewood on the east and west side of Sterling Street for improvements to the Sterling Street Bridge on County property in Fish Creek Open Space.
2. Approve Permanent Easements with the City of Maplewood on the east and west side of Sterling Street for improvements to the Sterling Street Bridge on County property in Fish Creek Open Space.
3. Authorize the Chair and Chief Clerk to execute the easement agreements.

Motion by McDonough, seconded by Reinhardt. Motion passed.

Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

Resolution: [B2021-076](#)

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- 11.** Contract with Sheehy Construction Company for the Metro Square Building Escalator/Staircase - Removal/Installation Project [2021-044](#)
- Sponsors: Property Management
1. Approve the contract with Sheehy Construction Company, 360 Larpenteur Avenue West, Suite 200, Saint Paul, Minnesota, 55113, for the Metro Square Building Escalator/Removal -- Staircase/Installation, for the period of April 7, 2021 through April 6, 2023, in a not to exceed amount of \$948,300.
  2. Authorize the Chair and Chief Clerk to execute the contract.
  3. Authorize the County Manager to approve and execute change orders and amendments to the contract, in accordance with Procurement policies and procedures, provided the amounts are within the approved Property Management Building Improvements Budget.
- Motion by McDonough, seconded by Reinhardt. Motion passed.  
Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt  
Resolution: [B2021-077](#)
- 12.** Project Labor Agreements for Public Works 2021 Construction and Pavement Preservation Projects [2021-164](#)
- Sponsors: Public Works
- Determine that Project Labor Agreements shall not be used on any 2021 construction or pavement preservation projects.
- Motion by McDonough, seconded by Reinhardt. Motion passed.  
Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt  
Resolution: [B2021-078](#)
- 14.** 2021 Designation of Depositories and Delegation to Make Electronic Funds Transfers [2021-158](#)
- Sponsors: Finance
1. Approve the designation of depositories to US Bank, Bremer Bank, Tradition, Minnesota State Board of Investment, and Minnesota Association of Governments Investing for Counties.
  2. Authorize the Chief Financial Officer, or their designees, to make Electronic Funds Transfers.
- Motion by McDonough, seconded by Reinhardt. Motion passed.  
Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt  
Resolution: [B2021-079](#)
- 15.** January 2021 Report of Contracts, Grant and Revenue Agreements, Emergency Purchases, Sole Source, Single Source Purchases and Final Payments [2021-162](#)
- Sponsors: Finance
- Accept the monthly report of contracts, grant and revenue agreements, emergency purchases, sole source and single source purchases and final payments for the month of January 2021.
- Motion by McDonough, seconded by Reinhardt. Motion passed.  
Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt  
Resolution: [B2021-080](#)
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5. Award from the State of Minnesota Department of Human Services for a Preschool Development Grant [2021-161](#)

Sponsors: Health and Wellness Administration

1. Ratify the submittal of a grant application to the Minnesota Department of Human Services (DHS) for a State Fiscal Year 2021-2022 Preschool Development Grant.
2. Accept and approve a grant award from the Minnesota Department of Human Services for a Preschool Development Grant for the period of contract execution date through December 30, 2022 in the amount of \$270,000.
3. Authorize the Chair and Chief Clerk to execute the grant contract.
4. Authorize the County Manager to enter into agreements and contracts, and execute change orders and amendments to agreements and contracts, in accordance with the County's procurement provided the amounts are within the limits of the grant funding.

Discussion can be found on archived video.

Motion by Frethem, seconded by McGuire. Motion passed.

Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

Resolution: [B2021-081](#)

8. 2021 Workforce Innovation and Opportunity Act Unified Local Youth Plan [2021-159](#)

Sponsors: Workforce Solutions

1. Approve the submission of the 2021 Unified Local Youth Plan for the Workforce Innovation and Opportunity Act Youth and Minnesota Youth Program.
2. Authorize the County Manager to apply for and accept youth program funds once funds become available from the Minnesota Department of Employment and Economic Development.
3. Authorize the County Manager to execute the grant agreement.
4. Authorize the County Manager to enter into agreements and amendments to agreements in accordance with the County's procurement policies and procedures, provided the amounts are within the limits of the grant funding.
5. Authorize the County Manager to make temporary cash loans, as needed, from the County General Fund to Workforce Solutions to cover program expenses until Federal and State youth program funds are received, with repayment to be made upon receipt of the funds.

Discussion can be found on archived video.

Motion by MatasCastillo, seconded by McDonough. Motion passed.

Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

Resolution: [B2021-082](#)

10. Vadnais-Snail Lakes Regional Park Master Plan Amendment [2021-069](#)

Sponsors: Parks & Recreation

Approve the Vadnais-Snail Lakes Regional Park Master Plan Amendment dated January 15, 2021 for submission to the Metropolitan Council.

Discussion can be found on archived video.

Motion by Frethem, seconded by McDonough. Motion passed.

Aye: Carter, Frethem, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

Resolution: [B2021-083](#)

13. Amendment to the Administrative Code to Reflect Enterprise Risk Management Functions and Establishing Authority for Claims [2021-148](#)

Sponsors: Finance

- 1. Amend the Administrative Code related to the Enterprise Risk Management structure as follows:
  - a. Eliminate the risk management duties assigned to the County Attorney’s Office in Administrative Codes 4.03.31 and 4.03.40
  - b. Create an Enterprise Risk Management Section, Administrative Code 4.46.70, under Finance
  - c. Assign the risk management duties to Finance in Administrative Code 4.46.70
- 2. Adopt a tiered settlement authority structure for self-insured vehicle, general liability/tort claims, litigated and non-litigated claims by:
  - a. Amend Administrative Codes 3.40.21 and 4.03.40 to reflect the joint authority over the claims
  - b. Add the following tiered claims table to Administrative Code 4.46.70 Enterprise Risk Management

<u>Settlement authority level</u>	<u>Authority</u>
\$0-\$15,000	Ramsey County Enterprise Risk Manager and the Ramsey County Attorney’s Office Civil Division
Director	(jointly delegated authority)
\$15,000.01-\$30,000	Ramsey County Manager, Ramsey County Chief Financial Officer and Ramsey County Attorney, or their
Greater than \$30,000	designees (jointly delegated authority) Ramsey County Board via closed meeting

- 3. Direct the Chief Clerk of the county Board to amend the Administrative Code to reflect the approved amendments.

Motion by Frethem, seconded by McDonough. Motion passed.

Aye: Carter, MatasCastillo, McDonough, McGuire, Ortega, and Reinhardt

Nay: Frethem

Resolution: [B2021-084](#)

**LEGISLATIVE UPDATE**

Presented by Commissioner McGuire. Discussion can be found on archived video.

**OUTSIDE BOARD AND COMMITTEE REPORTS**

Discussion can be found on archived video.

**COUNTY CONNECTIONS**

Presented by County Manager, Ryan O'Connor. Discussion can be found on archived video.

**BOARD CHAIR UPDATE**

Presented by Chair Carter. Discussion can be found on archived video.

### **PRESENTATION OF AWARD**

16. Recognition Award to Janet Guthrie, Director of Administrative Services and Chief Clerk to the County Board [2021-176](#)

Sponsors: Board of Commissioners

Presented by Commissioner MatasCastillo to Janet Guthrie, Director of Administrative Services and Chief Clerk to County Board upon her retirement after 21 years with Ramsey County. Remarks and discussion can be found on archived video.

### **ADJOURNMENT**

Chair Carter declared the meeting adjourned at 11:25 a.m.



# Board of Commissioners

## Request for Board Action

15 West Kellogg Blvd.  
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**Item Number:** 2021-170

**Meeting Date:** 4/13/2021

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**Sponsor:** Safety and Justice

**Title**

Proclamation: Public Safety Telecommunicators Week

**Attachments**

1. Proclamation

# Proclamation

WHEREAS, The Ramsey County Emergency Communications Center provides public safety dispatching services for all police and fire departments within Ramsey County; and

WHEREAS, The Ramsey County Emergency Communications Center usage of advanced 9-1-1, Text to 9-1-1, and radio technology ensures the prompt response of police officers, firefighters and medical services within Ramsey County; and

WHEREAS, The highly trained Ramsey County Emergency Communications Center Telecommunicators process over a million calls each year—many of them critical to the protection of life and preservation of property—with integrity, compassion, and professionalism; and

WHEREAS, The safety of peace officers, firefighters, and emergency medical responders depends upon the quality and accuracy of information obtained by Ramsey County Emergency Communications Center personnel from residents who are often under extreme stress; and

WHEREAS, Telecommunicators are the single vital link for our police officers, firefighters and emergency medical responders by monitoring their activities, providing them with up to date information and ensuring their safety; Now, Therefore, Be It

PROCLAIMED, The Ramsey County Board of Commissioners declares April 11-17, 2021 as Public Safety Telecommunicators Week in Ramsey County; and Be It Further

PROCLAIMED, The Ramsey County Board of Commissioners commends the 24 hours a day, 365 days of the year life-saving work and devotion of the employees at the Ramsey County Emergency Communications Center who work to keep our County and residents safe.



Toni Carter, Board Chair, District 4



Nicole Frethem, Commissioner, District 1



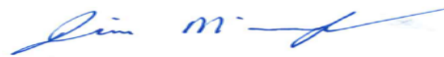
Mary Jo McGuire, Commissioner, District 2



Trista MatasCastillo, Commissioner, District 3



Rafael E. Ortega, Commissioner, District 5



Jim McDonough, Commissioner, District 6



Victoria Reinhardt, Commissioner, District 7



Ryan T. O'Connor, County Manager



# Board of Commissioners

## Request for Board Action

15 West Kellogg Blvd.  
Saint Paul, MN 55102  
651-266-9200

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**Item Number:** 2021-208

**Meeting Date:** 4/13/2021

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**Sponsor:** Board of Commissioners

**Title**

Proclamation: County Government Month

**Attachments**

1. Proclamation

# Proclamation

WHEREAS, The nation’s 3,069 counties serving more than 300 million Americans provide essential services to create healthy, safe and vibrant communities; and

WHEREAS, Counties provide health services, administer justice, keep communities safe, foster economic opportunities and much more; and

WHEREAS, Ramsey County and all counties take pride in the responsibility to protect and enhance the health, wellbeing and safety of residents in efficient and cost-effective ways; and

WHEREAS, Under the leadership of National Association of Counties President Gary Moore is demonstrating how “Counties Matter,” especially in supporting residents and businesses during the coronavirus pandemic; and

WHEREAS, Each year since 1991, the National Association of Counties has encouraged counties across the country to elevate awareness of county responsibilities, programs and services; and

WHEREAS, Ramsey County continues to be a vibrant community where all are valued and thrive, and more so during these times, serving as county of excellence working with you to enhance our quality of life; Now, Therefore Be It

PROCLAIMED, The Ramsey County Board of Commissioners declares April 2021 as County Government Month in Ramsey County; and Be It Further

PROCLAIMED, The Ramsey County Board of Commissioners encourages all county officials, employees, schools and residents to recognize the role of county government in the community.



Toni Carter, Board Chair, District 4



Nicole Frethem, Commissioner, District 1



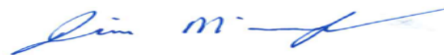
Mary Jo McGuire, Commissioner, District 2



Trista MatasCastillo, Commissioner, District 3



Rafael E. Ortega, Commissioner, District 5



Jim McDonough, Commissioner, District 6



Victoria Reinhardt, Commissioner, District 7



Ryan T. O'Connor, County Manager

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Item Number: 2021-209

Meeting Date: 4/13/2021

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**Sponsor:** County Manager's Office

**Title**  
COVID Information

**Information**

Daily COVID-19 situation update dashboard

<https://www.ramseycounty.us/coviddashboard>

*This COVID-19 dashboard provides information on cases, rates of infection, testing, demographics and other information about COVID-19 in Ramsey County. The dashboard uses data from the Minnesota Department of Health which is reviewed by Saint Paul - Ramsey County Public Health and posted daily.*

COVID-19 vaccine information webpage and email updates

<https://www.ramseycounty.us/COVIDvaccine> <https://www.ramseycounty.us/covid-19-info/covid-19-vaccine>

*Provides current COVID-19 vaccine information, timelines, education and safety resources, and connections to vaccination programs. Users can also subscribe to receive vaccine news updates by email and text message (note: This is a subscription to receive news only; it is not a method to sign up to receive vaccine.)*

COVID-19 vaccine distribution by week

<https://www.ramseycounty.us/covid-19-info/covid-19-vaccine/covid-19-vaccinations-week>

*This webpage provides an updated weekly summary of the number of doses of COVID-19 Saint Paul - Ramsey County Public Health has received, how many doses it has administered, the number of clinics held and other information.*

Weekly COVID-19 email updates

<https://www.ramseycounty.us/covid-19-info/news-data/covid-19-news-updates>

*Every other week, Ramsey County sends an e-newsletter with information on service delivery changes, health updates, upcoming virtual events and community resources.*

Coronavirus Disease 2019 (COVID-19) Information

<https://www.ramseycounty.us/Coronavirus>

*Regular updates and resources related to COVID-19 including changes to county services; health information and translated materials; community and business resources; employment assistance; racial equity and community engagement; and opportunities to help and stay informed.*



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**Item Number:** 2021-012

**Meeting Date:** 4/13/2021

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**Sponsor:** County Manager's Office

**Title**

Participation in Urban Institute's Upward Mobility Cohort

**Recommendation**

1. Ratify the submittal of a grant proposal to the Urban Institute.
2. Accept a grant award of \$125,000 and approve a grant agreement with the Urban Institute for the period of grant execution through May 31, 2022.
3. Authorize the Chair and Chief Clerk to execute the grant agreement.
4. Authorize the County Manager to enter into agreements and amendments to agreements, in accordance with the County's procurement policies and procedures, provided the amounts are within the limits of the grant funding.

**Background and Rationale**

Ramsey County has been offered the opportunity to participate in the Washington, DC-based Urban Institute's Upward Mobility Cohort, an 18-month long project to adopt and apply a set of mobility metrics that will help to better understand and advance upward mobility. "Upward mobility" is usually defined as the ability to access economic opportunities and to move up and out of poverty.

The Urban Institute has developed a more holistic definition of upward mobility from poverty that includes not only economic success, but also power, autonomy, and a sense of belonging in one's community. One primary focus of this project is on reducing racial and ethnic disparities in upward mobility.

The Urban Institute has selected Ramsey County as one of a set of communities to participate in an Upward Mobility Cohort. Each cohort member will receive funding of \$125,000 and tailored technical assistance from the Urban Institute. This grant will largely fund community engagement events and administrative costs. Funds will be used to partner with community organizations on engagement planning and facilitation, compensate the broader community for participation in community engagement events, and pay for associated administrative costs. Technical assistance from Urban Institute will include data analysis, stakeholder engagement, and policy and programmatic advising where needed. Additionally, the cohort will benefit from peer-learning opportunities where county leaders can attend convenings, workshops, and trainings to share knowledge about strategies to promote upward mobility and help develop best practices. As part of this technical assistance, the Urban Institute will:

- Work with county staff and cross-sector leaders to examine how each county's mobility metrics compare to other jurisdictions;
- Analyze county mobility metrics and publicly available administrative data to better understand any racial and ethnic disparities and help target strategies to places and people;
- Support each county in developing a "Mobility Action Plan" that identifies key challenges across policy areas and devise strategies (including policies, programs, and investments) to improve local conditions for mobility and outcomes for residents;
- Work with each county's "mobility coalition" of local leaders and experts, who will guide the development of the Mobility Action Plan; and
- Bring together county cohort members for regular peer-learning opportunities where counties can

share strategies to promote upward mobility and help develop best practices.

The Urban Institute’s “Mobility Metrics” are public indicators that will be used to advise counties in their work to narrow inequities and increase upward mobility. These metrics include measures of income, affordable housing, access to healthcare, political participation, economic inclusion, access to transportation, environmental quality, access to education, and access to good jobs. These metrics will be used to create a “Mobility Action Plan” that will take a comprehensive approach towards boosting opportunities for local mobility as informed by data and community voices.

As an Upward Mobility cohort member, Ramsey County will work closely with community partners and the general public in analyzing and selecting the metrics and developing the Mobility Action Plan. This plan will be informed by aggregated data that is already publicly available. Personal and sensitive data will not be shared outside the County nor requested from any other entity.

Although the grant period for this project technically began in January 2021, county staff only recently finalized the terms of the grant agreement with the Urban Institute. Over the last four months, Ramsey County has received technical assistance on preliminary data analysis from the Urban Institute, participated in cohort peer-learning activities, and convened initial meetings with our community partners, in preparation for the launch of this project.

**County Goals** (Check those advanced by Action)

- Well-being
- Prosperity
- Opportunity
- Accountability

**Racial Equity Impact**

Minnesota’s racial inequities in education, wealth, health, and other outcomes are well-documented. Ramsey County is the most diverse county in the seven-county metro area and the one with the lowest median household income. The COVID-19 crisis has only exacerbated the stagnating rates of economic mobility and structural barriers faced by people of color, highlighting the need for local leaders to promote inclusive recovery and equitable access to opportunity. This project will help Ramsey County and its community partners, in partnership with community, select a set of Mobility Metrics and develop a Mobility Action Plan that will directly address these racial disparities. This plan would help the county establish priorities, set targets, catalyze action, change policies and practices, and monitor its progress in improving racial equity in economic mobility over time.

**Community Participation Level and Impact**

The success of this project will depend on close collaboration with community partners and the broader community at large. Ramsey County will work closely with community to analyze the Mobility Metrics and how the County can most effectively and beneficially influence them. The Mobility Action Plan will be the product of intense collective engagement and collaboration. As part of the proposal for this grant, Urban Institute asked Ramsey County to identify and submit letters of support from several partners with expertise in specific areas of upward mobility. Those community partners were the Saint Paul Promise Neighborhood, Community Action Partnership of Ramsey and Washington Counties, Suburban Ramsey Family Collaborative, East Metro Community Centers, and the Equity Action Circle.

- Inform
- Consult
- Involve
- Collaborate
- Empower

**Fiscal Impact**

No matching funds are required. Ramsey County will receive \$125,000 from the Urban Institute over a grant period starting in January 2021 and ending in June 2022.

**County Manager Comments**

County Board approval is required for grant applications and acceptance of grants over \$100,000.

**Last Previous Action**

None.

**Attachments**

1. Urban Institute Upward Mobility Cohort Grant Agreement
2. Turner, et al., "Boosting Upward Mobility Metrics to Inform Local Action" (Report)

**COST REIMBURSEMENT SUBGRANT  
PART I – SCHEDULE**

<p><b>Urban:</b> The Urban Institute 500 L’Enfant Plaza SW Washington, DC 20024</p>	<p><b>Subrecipient:</b> Ramsey County 15 W Kellogg Blvd., 250 Courthouse Saint Paul, MN 55102-1614</p>
<p><b>Urban Contractual Contact:</b> Mario Richardson Senior Manager Telephone: (202) 261-5336 E-mail: MRichardson@urban.org</p>	<p><b>Subrecipient Contractual Contact:</b> Sarah (Cassie) Fitzgerald Senior Policy Analyst Telephone: (512) 796-0568 E-mail: cassie.fitzgerald@co.ramsey.mn.us</p>
<p><b>Urban Technical Contact:</b> Keith Fudge Senior Policy Program Manager Telephone: (202) 261-5412 E-mail: Kfudge@urban.org</p>	<p><b>Subrecipient Technical Contact:</b> Martha Faust Redevelopment Manager Telephone: (651)-358-4341 E-mail: martha.faust@co.ramsey.mn.us</p>
<p><b>Project Information</b> <b>Project Title:</b> Mobility Metrics Beta Test <b>Urban Project Number:</b> 102173</p>	<p><b>Subgrant Information</b> <b>Subgrant No:</b> 102173-0001-RCMN-01 <b>Subgrant Amount:</b> \$125,000 <b>Period of Performance:</b> 01/11/2021 – 06/15/2022</p>

**RECITALS:**

This Subgrant agreement, is entered into by and between The Urban Institute (“Urban”), a non-profit entity organized and existing under the laws of Delaware, having its principal place of business at 500 L’Enfant Plaza SW, Washington, DC 20024, and Ramsey County (“Subrecipient”), a local government entity organized and existing under the laws of Minnesota, having its principal place of business at 15 W Kellogg Blvd., 250 Courthouse, Saint Paul, MN 55102-1614 (hereinafter referred to collectively as the “Parties”).

This Subgrant agreement is made pursuant to funds to Urban by the BILL & MELINDA GATES FOUNDATION.

**DEFINITIONS:**

As used in this document, the words and phrases set forth below shall have the following meanings:

- A. Funder: the Bill & Melinda Gates Foundation.
- B. "Funded Developments" means the products, services, processes, technologies, materials, software, data, other innovations, and intellectual property resulting from the Project (including modifications, improvements, and further developments to Background Technology).
- C. "Background Technology" means any and all products, services, processes, technologies, materials, software, data, or other innovations, and intellectual property created by Subrecipient or a third party prior to or outside of the Subgrant used as part of the Subgrant.
- D. "Essential Background Technology" means Background Technology that is: (a) owned, controlled, or developed by Subrecipient, or in-licensed with the right to sublicense; and (b) either incorporated into a Funded Development or reasonably required to exercise the license to a Funded Development.
- E. "Global Access" means:
  - i. the knowledge and information gained from the Subgrant will be promptly and broadly disseminated; and
  - ii. the Funded Developments will be made available and accessible at an affordable price
    - a) to people most in need within developing countries, or
    - b) in support of the U.S. educational system and public libraries, as applicable to the Subgrant.
- F. "Publication" means publication in a peer-reviewed journal or other method of public dissemination specified in the Project description or otherwise approved by Urban and Funder.

THEREFORE, IN CONSIDERATION OF THE MUTUAL COVENANTS CONTAINED IN THIS SUBGRANT AGREEMENT, THE PARTIES AGREE AS FOLLOWS:

**Article I. PURPOSE OF THE SUBGRANT/SUBGRANT DUTIES**

The purpose of this Subgrant is to fund Subrecipient's assistance to implement a beta test of a newly created framework and set of metrics designed to assess and track prospects

for increasing mobility from poverty in the United States and to inform local decision-making.

**Article II. TYPE OF GRANT**

This is a cost reimbursement Subgrant. The Subrecipient agrees to pursue the programmatic objective(s) specified in Appendix A within the total estimated award amount.

**Article III. PERIOD OF PERFORMANCE**

The period of performance for this subgrant agreement will be in effect from January 11, 2021 through June 15, 2022 unless extended or terminated prior to the end date.

**Article IV. AMOUNT OF SUBGRANT/PAYMENTS**

- A. **Subgrant Amount:** This Subgrant is estimated in the amount of \$125,000.
  
- B. **Financial Report Submission:** To claim payment, Subrecipient shall submit a proper financial report (“Financial Report”) to request payment on a quarterly basis via email as outlined below, as an attached file in Portable Document Format (PDF) to [accountspayable@urban.org](mailto:accountspayable@urban.org), copied to Urban’s Technical Contact, Keith Fudge ([KFudge@urban.org](mailto:KFudge@urban.org)), and Jean-Charles Zurawicki ([JZurawicki@urban.org](mailto:JZurawicki@urban.org)). The subject line should reference the Subgrant number Subrecipient name, and indicate a payment request is attached. To receive payment via ACH credit transfer, Subrecipient should request Urban’s ACH Authorization Form from the Accounts Payable department prior to the submission of any payment requests.
  
- C. **Financial Report:** A proper Financial Report shall be numbered sequentially and shall contain the following information:
  - i. Subrecipient’s name and complete address;
  - ii. Request date;
  - iii. Period covered by the Request;
  - iv. Urban Subgrant number;
  - v. Name, title, phone number, and email address of staff to contact in case follow-up is required (if different from information in letter “i”);
  - vi. Financial accounting of expenditures according to approved Subgrant Budget (Appendix B), for the request period and cumulatively, including the name, title and FTEs/hours for each individual;
  - vii. Total amount requested (both for the billing period and cumulatively);

- viii. Name, title, phone number, and email address of the responsible official  
Signature of responsible official with date, and certification by the following statement: “By signing this request, Subrecipient certifies that it is properly entitled to payment and that all payments requested are for appropriate purposes and in strict accordance with the terms and conditions set forth in the Subgrant.”
  
- D. Subrecipient shall include in its Financial Reports the costs of allowable other direct costs incurred during performance of the Subgrant provided, however, that cash, checks, or other forms or actual payment have been made by the Subrecipient for such costs. The Subrecipient agrees to furnish data and supporting documentation, which Urban or its designee may request on costs expended or accrued under this Subgrant.
  
- E. **Final Financial Report/Payment Request:** A final Financial Report (“Final Financial Report”) shall be submitted no later than forty-five (45) days after the expiration of this Subgrant and must be clearly labeled as a Final Financial Report. If this final request for payment is not received within the stated timeframe, Urban may not process the payment. Payment of the Final Financial Report will terminate any obligation of Urban for any additional payments to the Subrecipient.

#### **Article V. MANAGEMENT OF FUNDS**

- A. **Funding:** from this Subgrant is made available to Urban via Funder.
  
- B. **Expenditure of Funds:** Subgrant funds shall be expended in accordance with the Subgrant budget attached to this document as Appendix B, unless amended by written agreement.
  
- C. **Allocation of Funding:** Subrecipient must seek Urban’s prior approval before making material change, including but not limited to, adding a new budget line item or shifting funds from direct costs to indirect costs.
  
- D. **Indirect Costs:** The Subrecipient has elected not to charge any indirect costs to the Subgrant.
  
- E. **Funding Restrictions:** Subgrant funds must be used exclusively for the purpose of the Subgrant as identified in this Subgrant and Appendix A. Subgrant funds may not be expended for any other purposes without prior approval from Urban. Subrecipient must provide Urban with timely written notice of any material

change in the purpose, structure, character, or operation of the Program Description. The Urban Technical Monitor must approve all such changes in writing prior to implementation.

- F. **Right to Discontinue Funding or Rescind Disbursements:** Urban may, at its sole discretion or as directed by the Funder, discontinue or suspend funding, or rescind disbursements based on any of the following:
- i. the reports or work required herein are not submitted to Urban on a timely basis,
  - ii. reports or work do not comply with the term of this agreement or fail to contain adequate information to allow Urban to determine whether the funds have been used for their intended purpose, or
  - iii. Subgrant funds have not been used for their intended purpose or have been used inconsistently with the terms of this agreement.

**Article VI. REPORT AND REPORT SCHEDULE**

- A. **Progress Report:** The Subrecipient shall submit a narrative progress report (“Progress Report”) in accordance with the schedule below. Each report shall summarize activities and describe progress and challenges associated with meeting the goals outlined in Appendix A. Specific formats may be suggested or prescribed by Urban.

Report	Time Period	Due Date
REPORT 1	01/11/2021-6/30/2021	07/31/2021
REPORT 2	07/01/2021-12/31/2021	01/31/2022

- B. **Final Progress Report:** A final progress report (“Final Progress Report”) shall cover the entire period of the Subgrant and include a summary of progress during the implementation period such as accomplishments, impact, and challenges encountered.

Report	Time Period	Due Date
Final	01/11/2021-06/15/2022	07/15/2022

- C. **Report Distribution:** All reports should be submitted via e-mail to the Urban Technical Contact.
- D. **Intellectual Property Reporting:** During the term of this agreement and for 5 years thereafter, Subrecipient will submit upon request annual intellectual property reports relating to the Funded Developments, Background Technology, and any related agreements as requested by the Funder using the Funder’s templates or forms provided during request.



**Article VII. NOTICES**

**A. Notices:** Any notice, request, document, or other communication submitted by either party to the other under this agreement will be in writing and sent by mail or e-mail, and will be deemed duly given or sent when delivered to such party using the contact information and addresses listed on page one (1) of this Subgrant. Other addresses may be substituted upon written notice.

**Article VIII. ENTIRE AGREEMENT**

**A. Complete and Exclusive:** This Subgrant is the complete and exclusive statement of the agreement between Urban and the Subrecipient, and supersedes all prior agreements, oral or written, with respect to the subject matter hereof. No change or modification of this Subgrant will be enforceable unless in writing and signed by both the Subrecipient and a duly authorized representative of Urban.

**B. Acknowledgment:** Both Parties acknowledge that the following documents attached hereto shall be deemed to form an integral part of this Subgrant:

- I. Part I – Schedule
- II. Part II – General Terms and Conditions
- III. Part III – Appendices:

- Appendix A: Program Description
- Appendix B: Subgrant Budget
- Appendix C: Mandatory Prime Award Provisions

IN WITNESS WHEREOF, the Subrecipient and Urban, each acting through its duly authorized representative, have caused this agreement to be signed on the dates below.

**FOR URBAN:**

**FOR SUBRECIPIENT:**

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Date)

## PART II - GENERAL TERMS AND CONDITIONS

### Article I. RELATIONSHIP BETWEEN THE PARTIES

- A. **Independent Parties:** For purposes hereof, Subrecipient is an independent contractor, and shall not be deemed to be an employee or agent of Urban or the Funder.
- B. **Proprietary Information:** Subrecipient acknowledges that, in performing this Subgrant, Urban may be required to make available to Subrecipient certain information deemed to be Proprietary and Confidential information (“Proprietary Information”). Subrecipient may also gain access to certain information, which may be considered Proprietary Information by the Funder. Such information includes without limitation, information related to patents, research, development, computer software, designs or processes, pricing, customer lists, and technical and business information, and know-how of Urban and the Funder. Subrecipient agrees to safeguard and hold in strictest confidence all Proprietary Information.

Urban hereto agrees not to disclose such Proprietary Information to unauthorized parties. The receiving party shall not use Proprietary Information from the other for any purpose other than that as required for the performance of this Subgrant. Each party shall designate in writing one or more individuals as the only person(s) authorized to receive Proprietary Information exchanged between the Parties pursuant to this Subgrant. Except as required in the performance of this Subgrant, neither this Subgrant nor the furnishing of any information hereunder by Urban shall grant Subrecipient, by implication or otherwise, any license under any invention, patent, trademark or copyright.

The restrictions set forth in the foregoing provisions of this article shall not apply to information: (a) which was at the time of the receipt otherwise lawfully known to the recipient independently of the disclosing party; (b) which was at the time of receipt lawfully within the public knowledge; (c) which subsequently is lawfully developed independently by the recipient; (d) which subsequently is lawfully acquired from a third party without coordinating restriction on use; or (e) which is otherwise classified or regulated by state or federal law or regulation, including but not limited to the Minnesota Government Data Practices Act, Minnesota Statutes chapter 13.

In furtherance of the information in which the restrictions set forth above shall not apply as included at subsection (e), the parties agree that the Subrecipient

(Ramsey County) does not agree to any term in the Subgrant Agreement that is in conflict with the Minnesota Government Data Practices Act, Minnesota Statutes chapter 13. The Subrecipient (Ramsey County) will keep all confidential, proprietary, private, trade secret, etc. data pursuant to the Minnesota Government Data Practices Act (Minnesota Statutes chapter 13). The Subrecipient (Ramsey County) must comply with the Minnesota Government Data Practices Act, Minnesota Statutes chapter 13, as it applies to all data created, collected, received, stored, used, maintained, or disseminated by the Subrecipient (Ramsey County) under the Subgrant Agreement.

Subrecipient shall return all Proprietary Information to Urban upon Urban's request or upon termination of this Subgrant, whichever occurs first. This article shall survive termination of this Subgrant.

- C. **Privity:** This Subgrant is funded in whole or in part with funds from the Funder. Neither the Funder nor any of its departments, agencies, or employees or will be a party to this grant. No privity of contract between the Funder and Subrecipient is established by this Subgrant. All communications regarding this Subgrant must be directed to Urban and not to the Funder.
- D. **Organizational Conflict of Interest:**
- i. The Subrecipient represents that, to the best of its knowledge and belief, there are no relevant facts or circumstances which could give rise to an organizational conflict of interest, or that the Subrecipient has disclosed all such relevant information.
  - ii. The Subrecipient agrees that if an actual or potential organizational conflict of interest is discovered after award, the Subrecipient will make a full disclosure in writing to Urban. This disclosure will include a description of activities that the Subrecipient has taken or proposes to take, after consultation with Urban, to avoid, mitigate, or neutralize the actual or potential conflict.
  - iii. Remedies – Urban may terminate this Subgrant for convenience, in whole or in part, if it deems such termination necessary to avoid an organizational conflict of interest. If the Subrecipient was aware of a potential organizational conflict of interest prior to award or discovered an actual or potential conflict after award and did not disclose or misrepresented relevant information to Urban, Urban may terminate the Subgrant for default.
  - iv. The Subrecipient further agrees to insert provisions that will conform substantially to the language of this clause, including this subparagraph (d), in any lower-tier award or consultant agreement arising out of this Subgrant.

- E. **Non-liability:** Urban and the Funder cannot assume any liability for accidents, illnesses, losses, claims or liability of any kind arising out of any work performed by Subrecipient supported by this Subgrant or for unauthorized use of patented or copyrighted materials by Subrecipient. In addition, Urban and the Funder do not assume any liability for any third-party claims for damages arising out of this Subgrant. The Subrecipient is advised to take such steps as may be deemed necessary to insure or protect itself, its employees and its property.
- F. **Indemnification:** Subrecipient shall defend, indemnify and hold Urban, Urban’s subsidiaries, affiliates, directors, officers, agents and employees, and each of them, and Urban’s Funder harmless against any injury, death, suit, claim or other loss (“Loss”), including expenses and actual attorneys’ fees, arising from or in connection with this Subgrant or the breach thereof, except to the extent that such loss was caused by the negligence and willful misconduct of the Urban.
- Urban shall indemnify and hold Subrecipient harmless to the extent that such Loss was caused by the negligence and willful misconduct of Urban.
- G. **Notification of Claims:** Subrecipient shall promptly notify Urban of the assertion, filing or service of any lawsuit, claim, demand, action, liability or other matter that is or may be covered by this indemnity, and shall immediately take such action as may be necessary or appropriate to protect the interests of Urban, its officers, directors, employees and agents. Urban shall at all times have the right to direct the defense of, and to accept or reject any offer to compromise or settle, any lawsuit, claim, demand or liability asserted against Subrecipient or any of its officers, directors, employees or agents. The duties and obligations of Subrecipient created hereby shall not be affected or limited in any way by Urban.
- H. **Non-Solicitation of Employees:** During the term of this agreement, and for one year thereafter, neither party shall knowingly solicit for hire any technical or professional employee of the other party who has been directly involved with the work performed under this Subgrant. However, this shall not be construed to restrict, limit, or encumber an employee’s rights granted by law.

## Article II. STANDARDS OF CONDUCT

- A. **Ethics:** Subrecipient shall adhere to the highest standards of ethical competence and integrity in performance of this agreement, having due regard for the nature and purpose of Urban as an organization, and ensure that employees assigned to perform any obligation under this agreement conduct themselves in a consistent manner.
  
- B. **Compliance with the Law:** Subrecipient represents and warrants that it is, and shall continue to be, in compliance with all applicable laws, ordinances, rules, regulations, and lawful orders of public authorities of any jurisdiction, including, without limitation, any anti-bribery statutes.
  
- C. **Debarment and Suspension:** In accepting this agreement, Subrecipient certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any US Federal department or agency. Any change in the debarred or suspended status of the Subrecipient during the life of this agreement must be reported immediately to Urban. Subrecipient agrees to incorporate the Debarment and Suspension certification into any lower-tier award that they may enter into as part of this agreement.
  
- D. **No Gifts or Benefits; No Improper Payments:** Subrecipient represents and warrants that it has not offered or paid any direct or indirect gifts, favors, or benefits arising from this agreement to any employee or representative of Urban or their relatives. Subrecipient agrees and represents that, in connection with its performance hereunder; it has not and will not make any payments or gifts or any offers or promises of payment or gifts of any kind, directly or indirectly, to any official of any government, government agent, government instrumentality or to any political candidate. This agreement will become null and void if the Subrecipient makes any such offer, promise, payment or gift in connection with performance of this agreement.
  
- E. **Anti-Lobbying:** No Subgrant funds are to be shared with or used to pay fees or wages for the services of fundraising firms and no portion of the Subgrant may be used for any attempt to influence legislation within the meaning of Internal Revenue Code Section 501(h) or the local law governing nonprofit entities

applicable to Subrecipient, to influence the outcome of any specific election, or to carry on directly or indirectly any voter registration drive.

Specifically, the Subrecipient agrees not to use any portion of the Subgrant or any income derived from the Subgrant for the following:

- To carry on propaganda or otherwise attempt to influence legislation within the meaning of Section 4945(d)(1) of the Code;
- To influence the outcome of any specific public election or to carry on, directly or indirectly, any voter registration drive within the meaning of Section 4945(d)(2) of the Code. Activities shall be conducted consistent with the private foundation lobbying rules and exceptions under Internal Revenue Code Section 4945 and related regulations; or
- To promote or engage in criminal acts of violence, terrorism, hate crimes, the destruction of any state, or discrimination on the basis of race, national origin, religion, military and veteran status, disability, sex, age, or sexual orientation, or support of any entity that engages in these activities.

F. **Equal Employment Opportunity:** All contracts to be performed in the United States, or to be performed with employees who were recruited in the United States, shall contain a provision requiring compliance with E.O. 11246, "Equal Employment Opportunity", as amended by E.O. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and as supplemented by regulations at 41 CFR Chapter 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," to the extent required by the foregoing.

G. **Discrimination Prohibited:** Subrecipient and any authorized lower-tier subrecipients and contractors shall not discriminate against any employee or applicant for employment, to be employed in the performance of this Subgrant, with respect to the hire, tenure, term, conditions, or privileges of employment because of his/her race, color, religion, sexual identity, sexual orientation, disability, national origin, ancestry, or status as a veteran. The Subrecipient and its lower-tier subrecipients and contractors, if any, shall also comply with all applicable federal provisions, statutes and regulations relating to

nondiscrimination and equal employment opportunity including all relevant sections of the American with Disabilities Act of 1990.

- H. **No Retaliation:** Subrecipient shall not discharge, demote, suspend, threaten, harass, retaliate against, or otherwise discriminate against, any of its employees in the terms and conditions of such employee's employment as a reprisal for such employee's disclosing to Urban, or other proper authority, information relating to violation of this article, including, without limitation, any substantial violation of law relating to the performance of this agreement.
  
- I. **Human Subjects Research:** The Subrecipient is responsible for the protection of the rights and welfare of any human subjects involved in research, development and related activities supported by this Subgrant. The Subrecipient, and any lower-tier subrecipients or contractors shall also comply with all applicable federal provisions, statutes and regulations relating to the protection and privacy of human subjects, and the law and regulations of individual states and any related requirements outlined in Appendix C, if applicable. Such requirements include, but are not limited to conducting the research in compliance with the ethical standards and the criteria for approval and conduct of research set forth in United States Department of Health and Human Services policy for the protection of human research subjects (45 C.F.R. Part 46 and related guidance, as amended from time to time). Subrecipient shall also obtain and maintain institutional review board (IRB) approval, either by an internal IRB or through a contracted agency and obtain informed consent of participating research subjects. Subrecipient must notify Urban immediately of any breach of personally identifiable information (PII) or any other violation related to the requirements stated herein and shall assume all financial responsibilities related to any such violations.

The requirements herein apply to all subawards and contracts at any tier issued by the Subrecipient in its conduct of the work supported under the Subgrant.

- J. **Anti-Terrorism:** Subrecipient acknowledges that U.S. Executive Order 13224 and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. Subrecipient is responsible to comply with this Executive Order and any applicable U.S. law.

- K. **Anti-Trafficking in Persons Directive:** Subrecipient acknowledges that, Urban is opposed to human trafficking, prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to engage in trafficking in persons or to promote, support, or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked.

### **Article III. WORK PRODUCT AND ACKNOWLEDGMENTS**

#### **A. Intellectual Property:**

- i. The work of Subrecipient under this Subgrant includes the products, services, processes, technologies, materials, software, data, other innovations, and intellectual property resulting from the Project (including modifications, improvements, and further developments to Background Technology (“Funded Developments”) shall be owned by the Subrecipient. Accordingly, Subrecipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under this Subgrant.
- ii. Subrecipient represents and warrants that that the material produced under this Subgrant will be original and not infringe upon any copyright or any other right of any other person and has not previously been published.

#### **B. Publications:**

- i. All publicity, publications, and notices produced or released regarding this Subgrant shall acknowledge Urban and the Funder. Subrecipient will allow Urban to review and approve the text of any proposed general publicity, to include any acknowledgement language, concerning Urban, Funder and this Subgrant prior to its release.
- ii. The Subrecipient agrees to furnish Urban’s Technical Contact with copies of any such news releases, papers or other Funded Development within ten (10) days after such release.
- iii. Use of logo. With the exception of approvals granted pursuant to the section B.i. above, the Subrecipient shall not use Urban or Funder name, brand, logo, or marks without prior approval from Urban. Subrecipient, Urban or Funder shall not defame the other in any public communication.



**Article IV. STOP WORK, TERMINATION AND DISPUTES**

- A. **STOP WORK:** Urban may at any time, by written order to the Subrecipient require the Subrecipient to stop all, or any part, of the work called for by a Work Order issued under this agreement for a period of 90 days after the order is delivered to the Subrecipient, and for any further period to which the parties may agree. The order shall be specifically identified as a stop-work order issued under this clause. Upon receipt of the order, the Subrecipient shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage. Within a period of 90 days after a stop work order is delivered to the Subrecipient, or within any extension of that period to which the Parties shall have agreed, Urban shall either:
- i. Cancel the stop-work order; or
  - ii. Terminate the work covered by the order as provided in the Termination clause of this agreement.
- B. **TERMINATION:** This Subgrant may be terminated, in whole or in part in the following situations:
- i. By Urban, if the Subrecipient materially fails to comply with terms and conditions of this Subgrant. Subrecipient shall immediately cease to incur further costs upon notification by Urban.
  - ii. By mutual agreement of the Parties, in which case the two Parties shall agree upon the termination conditions, including the effective date, the return of any unspent funds, and, in the case of partial termination, the portion to be terminated.
  - iii. By Urban, if the Funder determines that continuation of all or part of the funding for this Subgrant should be suspended or terminated. Subrecipient shall cease to incur further costs upon notification by Urban.
- C. **Disputes, Claims and Appeals:** Urban and Subrecipient shall work together in good faith in an attempt to resolve any dispute arising under this Subgrant.

Any dispute between the Parties as to matters arising pursuant to this Subgrant that cannot be settled amicably within fifteen (15) days after receipt by one party of the other party's request for such amicable settlement shall be submitted to and resolved by the American Arbitration Association (AAA) in accordance with its Commercial Arbitration Rules and at its office located in the District of Columbia. The resolution of the AAA shall be binding on the parties and either party may enter any judgment or award rendered by the AAA in any court of competent jurisdiction. Both Parties shall be subject to the personal jurisdiction of the courts

located in the District of Columbia and waive the right to assert lack of personal jurisdiction in any legal procedure.

- D. **Force Majeure:** Any delay or failure of the Subrecipient to fulfill the required obligations shall be excused if and to the extent caused by acts of God, fire, storm, lockout, strike, terrorist act, flood, sabotage, embargo, war (whether declared or not), riot, or other causes beyond the reasonable control of the Subrecipient.

If the Subrecipient asserts Force Majeure as an excuse for failure to perform their obligations, then the Subrecipient must:

- i. notify Urban of the likelihood or actual occurrence of an event described in this clause;
- ii. prove that reasonable steps were undertaken to minimize delay or damages caused by foreseeable events; and
- iii. fulfill all non-excused obligations.

Upon review of Subrecipient's notice, Urban shall determine whether the term of the Subgrant shall be extended for a reasonable time period to complete activities interrupted by the delays.

#### **Article V. RECORD RETENTION AND FILE MANAGEMENT**

- A. The Subrecipient agrees to maintain complete and accurate records of receipts and expenditures and make its books and records available to Urban at reasonable times upon its request. Subrecipient will maintain books, accounts, and records that, with a sufficient detail, accurately and clearly reflect its transactions and the disposition of funds. No "off the books" or unrecorded funds or accounts shall be created or maintained for any purpose. Furthermore, Subrecipient will maintain records of expenditures charged against the Subgrant that are adequate to identify the use of the funds in compliance with the purposes and restrictions specified in this agreement.
- B. **Record Retention:** Subrecipient shall retain all records related to this Subgrant for at least four (4) years after expiration of the Subgrant term. Subrecipient shall agree promptly to furnish Urban and/or Funder with copies of such documents upon Urban's request and to make books and records available for inspection at reasonable times.
- C. **Audit:** At Urban or Funder expense, either may audit or have audited Subgrant-related books and records, and Subrecipient shall provide all necessary assistance in connection therewith.

- D. **Site Visits:** Urban may, at its expense, monitor and conduct an evaluation of operations under the Subgrant, which may include visits by representatives of Urban or its Funder to observe the Subrecipient’s program, procedures and operations, and discussions of the program with Urban or Funder personnel.

**Article VI. MISCELLANEOUS**

- A. **Governing Law:** This Subgrant shall be governed by the laws of the District of Columbia and, where applicable by virtue of preemption, under the laws of the United States of America. Each party, unless prohibited by law, hereby consents to personal jurisdiction and venue in the courts of the District of Columbia or in any federal court located in the District of Columbia if any suit is brought under the terms of or relating to this Subgrant.
- B. **Insurance:** Subrecipient shall maintain at its own expense adequate insurance as is reasonable and customary for similar organizations in any and all forms necessary to protect both Subrecipient and Urban against all liabilities, losses, damages, claims, settlements, expenses, and legal fees arising out or resulting from performance of this Subgrant.

Subrecipient will comply with any and all applicable state laws regarding auto liability and worker's compensation insurance, to the extent applicable to the Subrecipient. Although Urban may request evidence of certain minimum insurance coverage from Subrecipient, nothing contained herein shall abridge, diminish, or affect Subrecipient’s responsibility for the consequences of any accidents, occurrences, damages, losses, and associated cost arising out of or resulting from performance of this Subgrant.

Subrecipient shall ensure that approved subrecipients or subcontractors obtain and maintain appropriate insurance against liability for injury to persons or damage to property arising from activities relating to the Subgrant.

- C. **Incorporation of the Prime Award:** Subrecipient assumes toward Urban some of the obligations and responsibilities that Urban assumes towards the Funder in the Prime Award grant agreement as they relate to the Program Description. Applicable provisions of the prime award grant agreement are incorporated herein by reference in Appendix C (Mandatory Prime Award Provisions).
- D. **Assignment/Subawards:** Unless described in the application and funded by this Subgrant, the Subrecipient shall not assign this Subgrant nor any rights or obligations herein, nor subcontract or subgrant any funds under this Subgrant without the prior written consent of Urban’s Contractual Contact. This provision

does not apply to the purchase of supplies, material, equipment or general support services.

Subrecipient shall incorporate the applicable provisions of this Subgrant in any approved lower-tier subagreements.

- E. **Delays:** Whenever the Subrecipient knows, or reasonably should know, that any actual or potential condition is delaying, or threatens to delay, the timely performance of work under this Subgrant, the Subrecipient will, within 30 days, notify Urban, in writing, providing all relevant information with respect to the delay.
- F. **Severability:** If any covenant or other provision of this agreement is invalid, illegal or incapable of being enforced by reason of any rule of law, administrative order, judicial decision or public policy, all other conditions and provisions shall remain in full force and effect. No covenant shall be deemed dependent upon any other covenant or provisions unless so expressed in this agreement.
- G. **Waiver:** No failure of a party to exercise any right or to insist upon strict compliance by the other party with any obligation and no custom or practice of the Parties at variance with this agreement shall constitute a waiver of the right of a party to demand exact compliance. Waiver by one party of any particular default by the other party shall not affect or impair a party's rights in respect to any subsequent default of the same or of a different nature, nor shall any delay or omission of a party to exercise any rights arising from such default affect or impair the rights of that party as to such default or any subsequent default.
- H. **Order of Precedence:** Any inconsistency or conflict in the terms and conditions specified in this Subgrant shall be resolved according to the following order of precedence:
  - I. Part I - Schedule
  - II. Part II - General Terms and Conditions
  - III. Part III - Appendices in the following order of precedence:
    - Appendix C – Mandatory Prime Award Provisions
    - Appendix A – Program Description
    - Appendix B – Subgrant Budget

## PART III – APPENDICES

### APPENDIX A - PROGRAM DESCRIPTION

#### I. Background

With support from the Bill and Melinda Gates Foundation, the Urban Institute conducted a RFI/P two-stage competitive process to select a group of 8 counties to compose an Upward Mobility Cohort. These Subrecipients will receive funding, tailored technical assistance from Urban experts, and peer learning opportunities within the cohort to help county leaders use the mobility metrics to inform decision making and develop a Mobility Action Plan. This plan will reflect a comprehensive approach to upward mobility and will identify key challenges across policy areas that inhibit local mobility. The plan will also highlight strategies to improve local conditions for mobility and outcomes for residents, as informed by data and community voices.

#### II. Subrecipient Activities/Tasks

This engagement will require frequent communication and consistent partnership between Urban and a team of county staff led by a senior team member. To that end, the Subrecipient will be expected to perform the following tasks:

- **Assign senior leadership.** Subrecipient will assign a senior county staff member as primary point of contact and assemble a team of county staff with the relevant skills and expertise to collaborate with the Urban technical assistance team to conduct the activities described below. The county team is expected to have established support with the elected county leader(s) and to keep elected leadership updated on project progress.
- **Participate in tailored technical assistance provided by Urban** throughout the Subgrant term, (virtually and in-person, as conditions permit) to include participation in regular meetings (typically biweekly) and completing agreed-upon work in between meetings.
- **Data analysis.** With support from Urban, Subrecipient will work with cross-sector leaders to examine more deeply how the Subrecipient’s mobility metrics compare with other jurisdictions, and to analyze administrative data to better understand any disparities and to create strategies to help target those specific places and people identified.
- **Stakeholder engagement.** With support from Urban, Subrecipient will convene a cross-sector “mobility coalition” of local leaders and experts—or partner with an existing local coalition focused on mobility—who will guide development of the county-specific Mobility Action Plan. This assistance will

take the form of advising on identifying stakeholders and groups for outreach and contributing to planning and presenting at mobility coalition meetings.

- **Policy and programmatic advising.** With support from Urban, Subrecipient will develop a Mobility Action Plan that will demonstrate community priorities for promoting upward mobility as informed by the mobility metrics and local data. The plan will engage with all 25 metrics while highlighting particular challenges and policy areas. The plan will recommend evidence-informed policies and programs that have been shown to improve mobility outcomes in other communities. These strategies will cut across sectors and may include new proposed investments and revisions to existing policies and programs. Urban will provide the Subrecipient with advisory support on effective strategies identified by Urban researchers. Urban will also help Subrecipient to consider approaches to implement these strategies, including through research on potential public and private funding streams.
- **Original data collection (subset of sites).** If Subrecipient is selected to receive technical support for original data collection, you will be expected to work collaboratively with Urban to collect representative local data on the metrics for which there is no national data source (overall health, belongingness, social capital, and exposure to trauma).
- **Peer-learning opportunities.** Subrecipient will participate in convening's, workshops, dialogues, and trainings (virtual and in-person, as conditions permit) to share knowledge across the cohort about strategies to promote upward mobility and help develop best practices. Subrecipient will also gain insights from experts from other organizations working on economic and social mobility who will participate in convening's and events. These sessions will offer a forum for the sites to both learn from others in the cohort and share their own efforts.
- **Elevation of local efforts.** Through the technical assistance engagement, Subrecipient will have the opportunity to share their work through Urban's channels and contribute to the field.
- **Implementation of Mobility Action Plan.** At the end of the technical assistance period, the Subrecipient should be prepared to implement its Mobility Action Plan.

### III. Milestones

The following milestones will be used to ensure that the partnership is meeting established goals and timelines. Urban recognizes that technical assistance processes will vary to match community needs and so will aim to be flexible and collaborative in addressing deviations from milestones.

	<b>Milestone</b>	<b>Date</b>
1.	Finalize core project team and establish designated point of contact between Urban and the county	February 28, 2021
2.	Participate in technical assistance calls and learning opportunities to refine strategic priorities	April 30, 2021
3.	Launch of local Mobility Coalition	June 30, 2021
4.	Outline of Mobility Action Plan	October 31, 2021
5.	Draft of Mobility Action Plan	January 31, 2022
6.	Final Mobility Action Plan	May 31, 2022

**APPENDIX B - SUBGRANT BUDGET**

**Year 1 Budget Period:** January-December, 2021

SALARY/WAGES				
Name	Title	FTE or # of hours	Annual salary or hourly rate	Amount
Cassie Fitzgerald	Project Coordinator	0.25 FTE	\$80,000	\$20,000
SALARY/WAGES SUBTOTAL				\$ 20,000
FRINGE BENEFITS				\$ 8,000
SUBCONTRACTS/CONSULTANTS				\$ 40,000
Community engagement: outreach, events and individual compensation				\$ 12,500
<b>TOTAL</b>				<b>\$ 80,500</b>

**Year 2 Budget Period:** January-June, 2022

SALARY/WAGES				
Name	Title	FTE or # of hours	Annual salary or hourly rate	Amount
TBA	Project coordinator	0.30 FTE	\$80,000	\$12,000
SALARY/WAGES SUBTOTAL				\$ 12,000
FRINGE BENEFITS				\$ 5,000
SUBCONTRACTS/CONSULTANTS				\$ 20,000
Community engagement: outreach, events and individual compensation				\$ 7,500
<b>TOTAL</b>				<b>\$ 44,500</b>

**BUDGET SUMMARY**

**Budget Period: January 2021-June 2022**

SALARY/WAGES	\$ 32,000
FRINGE BENEFITS	\$ 13,000
SUBCONTRACTS/CONSULTANTS	\$ 60,000
Community engagement: outreach, events and individual compensat	\$ 20,000
<b>TOTAL</b>	<b>\$ 125,000</b>



## APPENDIX C - MANDATORY PRIME AWARD PROVISIONS

The following Prime Award conditions are hereby incorporated in this Subgrant.

- Communication:** All communications with and submissions of publications to the Funder shall be handled via Urban.
- A. **Charitable Purpose:** Subrecipient agrees to use the funds only for the purposes described in this Subgrant Agreement, and to so designate the funds in Subrecipient's records. The Subrecipient further agrees to use the funds for exclusively charitable scientific, and/or education purposes as defined from the time to time by Internal Revenue Code within the meaning of Section 501(C)(3) and equivalent provisions of applicable law, and not to use the funds in violation of the provisions of the Internal Revenue Code governing subrecipients of private foundations.
- B. **Global Access Commitment:** Subrecipient agrees to conduct and manage the Project and the Funded Developments in a manner that ensures Global Access. Parties Global Access commitments will survive the term of this Agreement.
- C. **Humanitarian License:** Subject to applicable laws and for the purpose of achieving Global Access, Subrecipient grants Urban and Funder a nonexclusive, perpetual, irrevocable, worldwide, royalty-free, fully paid up, sublicensable license to make, use, sell, offer to sell, import, distribute, copy, create derivative works, publicly perform, and display Funded Developments and Essential Background Technology.  
Subrecipient confirms that they have retained sufficient rights in the Funded Developments and Essential Background Technology to grant this license. Subrecipient must ensure this license survives the assignment or transfer of Funded Developments or Essential Background Technology. On request, Subrecipient must promptly make available the Funded Developments and Essential Background Technology to Urban and/or Funder for use solely under this license. If Subrecipient demonstrates to the satisfaction of Urban and or/ Funder that Global Access can best be achieved without this license, Urban and/or Funder and Subrecipient will make good faith efforts to modify or terminate this license, as appropriate.
- D. **Publication:** Consistent with Your Global Access commitments, if the Program Description specifies Publication or Publication is otherwise requested by Urban or the Funder, Subrecipient will seek prompt Publication of any Funded

Developments consisting of data and results. Publication may be delayed for a reasonable period for the sole purpose of seeking patent protection, provided the patent application is drafted, filed, and managed in a manner that best furthers Global Access. If Subrecipient seeks Publication in a peer-reviewed journal, such Publication shall be under "open access" terms and conditions.

Nothing in this section shall be construed as requiring Publication in contravention of any applicable ethical, legal, or regulatory requirements. Subrecipient will mark any Funded Development subject to this clause with the appropriate notice or attribution, including author, date and copyright (e.g., © 20<> <Name>).

- E. **Intellectual Property Reporting:** During the term of this agreement and for 5 years after, Subrecipient will submit upon request annual intellectual property reports relating to the Funded Developments, Background Technology, and any related agreements using the BILL & MELINDA GATES FOUNDATION templates or forms, which the Funder may modify from time to time.
  
- F. **Internal or Third Party Audit:** If during the term of this agreement Subrecipient is audited by your internal audit department or by a third party, Subrecipient will provide the audit report to Urban upon request, including the management letter and a detailed plan for remedying any deficiencies observed ("Remediation Plan"). The Remediation Plan must include (a) details of actions Subrecipient will take to correct any deficiencies observed, and (b) target dates for successful completion of the actions to correct the deficiencies.



# Boosting Upward Mobility

METRICS TO INFORM LOCAL ACTION

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Margery Austin Turner | Gregory Acs | Steven Brown | Claudia D. Solari | Keith Fudge



Local leaders can create and bolster conditions that substantially boost upward mobility and narrow racial and ethnic inequities for children, youth, and adults. To build public will and achieve meaningful progress, communities need actionable metrics they can use to assess current conditions and monitor their progress. Based on the deliberations of a scholarly working group, this report provides a concise set of evidence-based metrics to monitor progress in the short to intermediate term on key local drivers of mobility from poverty. These metrics can help communities establish priorities, set targets, catalyze action, change policies and practices, and monitor their progress over time. The metrics will be refined through both ongoing scholarship and on-the-ground testing.

# Mobility from Poverty

The promise that anyone, with talent and hard work, can advance their position in society is etched deeply into the idea of America and the opportunities it offers.<sup>1</sup> But recent decades have cast doubt on that promise as rates of economic mobility in the United States have stagnated. The poorest adults are unlikely to rise to the middle of the income distribution, much less to the top (Acs and Zimmerman 2008; Bradbury 2016). And children growing up in families living in poverty are far more likely to experience poverty as adults than are children raised in households not living in poverty (Acs, Elliott, and Kalish 2016; Ratcliffe and McKernan 2010; Wagmiller and Adelman 2009).

To better understand this challenge and to explore potential solutions, the US Partnership on Mobility from Poverty was launched by the Bill and Melinda Gates Foundation and hosted by the Urban Institute. The Partnership, which completed its work in spring 2018, gathered insights from research, practice, and people who have experienced poverty to answer the urgent question of what it would take to dramatically increase mobility from poverty in the US. As part of its work, the Partnership developed an expansive definition of mobility from poverty that goes beyond economic success. The Partnership argued that economic success alone “does not fully capture people’s experiences with poverty” (Ellwood and Patel 2018, 2). Mobility from poverty also requires autonomy and power—the ability to exercise control over one’s personal circumstances and to influence policies and practices that affect one’s life—and a sense of belonging—being valued by one’s community (Acs et al. 2018).

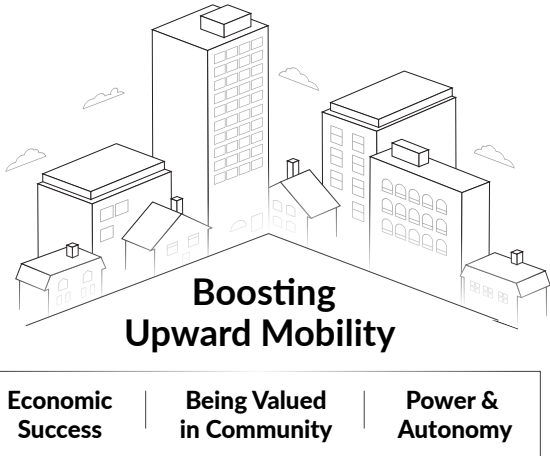
More specifically, the Partnership contends that the three dimensions “are mutually reinforcing, and progress in one domain can lead to improvements in others. For example, someone who finds a higher-paying job may experience a growing sense of autonomy and feel he or she has attained higher social status.... On the other hand, failure to make progress in one dimension

could undermine progress in others. For example, a job providing little more than a paycheck with little control over how and when work is done may reduce someone’s sense of control [and] create difficulties with participating in family and community life” (Acs et al. 2018, 18).

“Poverty is not just about a lack of money. It’s about a lack of power.”

—John A. Powell, director of the Haas Institute for a Fair and Inclusive Society and member of the US Partnership on Mobility from Poverty

Building on this holistic definition, the Partnership offered a strategic framework and a series of concrete proposals for substantially boosting mobility from poverty. Their proposals include ambitious, evidence-based policies, programs, and initiatives that would change prevailing narratives about poverty and the people who experience poverty; create access to good jobs; ensure that the zip code where a person lives does not determine their destiny; provide support to individuals and families that empowers them; and transform the use of data to drive local, state, and federal action (Ellwood and Patel 2018).



# The Power of Metrics

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Increasingly, communities across the country aspire to create the conditions that boost the long-term mobility of their residents, especially those experiencing poverty. Creating the conditions that boost mobility from poverty demands political will and sustained commitment to action, and metrics can play an important role in both motivating and shaping local action. They can provide an essential tool for organizing, advocacy, and implementation. They can help local leaders raise the visibility of critical barriers to mobility from poverty, bring key stakeholders to a common table, help people with

communities need metrics that assess current conditions and monitor their short- and medium-term progress across the full range of driving factors.

Many of these factors are structural, meaning they reflect community conditions rather than the characteristics or circumstances of individual residents. For example, high levels of violence in the communities where families experiencing poverty live inflict lasting damage to children's physical and mental health, undermining their ability to succeed in school, community, and work. In

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## Promoting Mobility in Charlotte, NC

Comparing one community's metrics to those of other places can motivate cross-sector partnerships and galvanize action. One example specific to promoting mobility is Charlotte, NC. When Chetty, Hendren, Klein, and Saez released their groundbreaking 2014 study on communities that promote upward mobility, Charlotte ranked last among the 50 largest US cities, and Mecklenburg ranked 99th out of the 100 largest counties. This led the city and county to develop a large-scale partnership called "Leading on Opportunity" that focuses leaders across sectors on strategies to increase mobility.

widely differing perspectives agree on objective data, enable local leaders to set priorities for policy change and investment, and support accountability across sectors and actors.

Policies that increase mobility from poverty often do not bear fruit immediately; rather, they pay off over decades, through the course of people's lives or even through their children's lives. Therefore, measuring success requires patient attention to long-term trends. But local leaders need more than long-term metrics of mobility from poverty. Relying solely on measures of long-term outcomes does not provide sufficient transparency and accountability or the ability to learn and adapt in a timely manner.

Moreover, no single factor determines people's mobility over the long term. Focusing on only one or two outcomes can leave critical drivers unattended, and progress achieved through one driver can be undermined by the neglect of others. To make meaningful progress,

contrast, communities with abundant living-wage jobs support residents' economic success as well as their autonomy and sense of belonging.

People of color in particular face longstanding structural barriers that perpetuate inequities and block upward mobility. To tackle these barriers and narrow equity gaps, local leaders need metrics that reveal differences in conditions and trends for people of different races and ethnicities and for different neighborhoods.

Local leaders need metrics that reflect these structural conditions in order to assess how well their city or county supports mobility from poverty for its residents, as opposed to tracking individuals' advancement over time.

Strategies will vary, of course, in light of local circumstances. But two examples illustrate how metrics can help communities take action and achieve collective goals that would not otherwise have seemed possible.

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### **Promoting Mobility in Louisville, KY**

In 2010, political, civic, and philanthropic leaders of **Greater Louisville** established a public-private partnership called 55,000 Degrees with the explicit goal of adding 40,000 bachelor's degrees and 15,000 associate's degrees by 2020. This ambitious target emerged from analysis highlighting the central role of education in attracting new jobs and improving quality of life for residents. The partnership established a dashboard to monitor progress on a short list of community indicators, high-school indicators, college transition indicators, and postsecondary indicators. By 2019, the city had increased the number of degrees by 39,000, short of their original goal but still a substantial accomplishment.<sup>2</sup> Among the factors contributing to their progress, they credit the value of multiple stakeholders working together toward a common goal, crossing sectors and breaking down silos between institutions, and how data collected and shared improved the way they were able to work collectively. As they transition to the next phase of work, they acknowledge key lessons learned, including that need to tackle barriers to college success that start far earlier than high school and the courage required for policy and practice reforms that will close equity gaps.

### **Promoting Mobility in Kansas City, MO**

Bloomberg Philanthropy's What Works Cities program awarded Kansas City gold certification for their successful efforts to use data to improve policy and program decisionmaking.<sup>3</sup> KCStat provides the backbone for the city's performance metrics and accountability system, tracking progress across seven city-wide goals.<sup>4</sup> The mayor and city manager moderate a monthly meeting where staff present current performance data as the basis for a rigorous discussion about actions needed to achieve specific objectives under each goal. For example, in 2018 the city set a target of 5 percent or less of children with elevated lead levels. Thanks to increased collaboration across city departments and a new rental inspection ordinance, as of 2020 KCStat indicates the city is achieving this goal. The data presented during monthly meetings are also published on a regularly updated dashboard, which provides additional transparency and allows residents to track progress against specific objectives.

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# Mobility Metrics Working Group

In early 2019, the Urban Institute formed a Working Group composed of distinguished scholars representing relevant disciplines to develop a concise but comprehensive set of evidence-based metrics to track progress on mobility. Specifically, the Working Group was charged in an internal charter to

*develop a concise set of practical metrics of mobility that have wide credibility for application by policymakers, practitioners, and researchers. These metrics will reflect a clear theory of change that connects longer-term mobility outcomes to measures that can be tracked in the short- and medium-term. The metrics chosen will embody the comprehensive definition of economic and social mobility developed by the US Partnership on Mobility from Poverty.*

The Working Group consisted of 11 scholars with expertise in economics, sociology, political science, and psychology and with diverse perspectives with respect to race, geography, policy domains, and political ideology. Urban Institute senior vice president Margery Turner chaired the Working Group with support from a team of Urban Institute staff.

The Working Group systematically reviewed various factors that influence mobility from poverty for adults, families, and children. They applied rigorous criteria to reach consensus on metrics that are supported by strong evidence of predictive relationships to mobility and that can be influenced by local and state policies. The members convened for three full-day working sessions over nine months and provided structured input between meetings to achieve consensus on the most current evidence about key drivers of mobility, about how best to reflect the Partnership’s holistic definition of mobility from poverty, and about the best available metrics for monitoring short- to medium-term progress by city or county. For full details on the Working Group’s criteria and evidence, see Turner et al. (2020).

In conjunction with the deliberations of the Working Group, the Urban Institute held a robust series of discussion sessions and webinars with policymakers, researchers, and practitioners. “Stakeholder vetting labs” were conducted in San Francisco, New Orleans, Chicago, and Cleveland in partnership with local organizations. And webinars reached a wide audience of stakeholders, including representatives from city and county governments and from community foundations. These sessions explored the relevance and value of a preliminary set of metrics to local changemakers. They generated important insights about how the metrics could be applied to inform local advocacy, planning, action, and accountability. These insights were incorporated into the final set of metrics and will inform future work to support communities in applying the metrics locally.



## Mobility Metrics Working Group Members

- |   |   |
|---|---|
| <b>Dr. Fenaba R. Addo</b><br>University of Wisconsin-Madison    | <b>Dr. Manuel Pastor</b><br>University of Southern California     |
| <b>Dr. Crystal Hall</b><br>University of Washington             | <b>Dr. H. Luke Shaefer</b><br>University of Michigan              |
| <b>Dr. David Harding</b><br>University of California, Berkeley  | <b>Dr. Michael R. Strain</b><br>American Enterprise Institute     |
| <b>Dr. Nathaniel Hendren</b><br>Harvard University              | <b>Dr. Jessica Trounstein</b><br>University of California, Merced |
| <b>Dr. Rucker Johnson</b><br>University of California, Berkeley | <b>Margery Austin Turner (Chair)</b><br>Urban Institute           |
| <b>Dr. Hazel Rose Markus</b><br>Stanford University             |   |

# Framework for Boosting Mobility .....

Because local conditions so profoundly shape opportunities for people to achieve mobility from poverty, the Working Group focused on developing a framework for local action: three interconnected dimensions of mobility, three key drivers, and 25 evidence-based predictors of mobility from poverty.

The framework begins with the **three-part definition of mobility from poverty** advanced by the Partnership. Specifically, meaningful and sustainable mobility from poverty encompasses three dimensions:

## **Economic success**

Rising income and assets are widely recognized as essential to mobility from poverty.

## **Power and autonomy**

Mobility also requires control over one's life, the ability to make choices, and the collective capacity to influence larger policies and actions that affect one's future.

## **Being Valued in Community**

Feeling the respect, dignity, and sense of belonging that come from contributing to one's community is an essential element of mobility from poverty.

This constitutes a normative definition of mobility from poverty in which the three dimensions are interconnected and mutually reinforcing. To date, most research and systematic measurement have focused on economic success. Less scholarship has focused on rigorously measuring people's power and autonomy and their sense of being valued in community, and far less is known about how to advance these outcomes. Moreover, further scholarship is required to build knowledge about how the three dimensions relate to each other over the short and long term.

Mobility from poverty is often viewed as a matter of individual ability and effort. But people experiencing poverty face multiple barriers that impede their efforts to achieve economic success, power and autonomy,

and belonging. For people of color, structural barriers include long-standing patterns of racism, discrimination, and disinvestment that block access to safe and healthy environments, quality education, and family-sustaining work, as well as present-day forces of economic dislocation and exclusion that undermine people's best efforts to advance and opportunities for their children to thrive.

**Three key drivers** propel individuals and families up and out of poverty over the course of their lives. All three contribute to a person's economic success, their power and autonomy, and their sense of belonging and value to community:

## **Strong and healthy families**

A secure and stable home environment provides the essential foundation for children's healthy development and for the educational and economic success of children, adolescents, and adults, along with an accompanying sense of accomplishment and empowerment.

## **Supportive communities**

Safe and inclusive communities play a central role in shaping families' well-being, their social networks and supports, and their children's chances to thrive and succeed.

## **Opportunities to learn and earn**

Education, from pre-K through postsecondary as well as adult education and workforce development, provides a crucial avenue to economic and social mobility, and for most people in the US today, work constitutes the most important means of economic security and advancement.

Both scholars and practitioners recognize the importance of these three drivers. And they align with the US Partnership's focus on strategies that provide support that empowers individuals and families, ensure that zip code does not determine a person's destiny, and expand access to family-sustaining jobs.

For each of the three mobility drivers, the Working Group identified key predictors that collectively are strongly associated with long-term economic success, power and autonomy, and belonging and that can be influenced by state and local policies. (See Turner et al. 2020 for details about the alternatives considered by the Working Group and the research evidence upon which the selection of predictors was based.) Ongoing scholarship is needed to systematically quantify the magnitude of each predictor’s impact on long-term outcomes (within and across generations), to fully understand the causal mechanisms through which predictors affect outcomes, to explore how these mechanisms may differ for different groups of people or in different community contexts, and to assess the effectiveness of policy levers through which communities can influence these predictors.

Local efforts to boost mobility from poverty must recognize that people move into and out of homes, neighborhoods, cities, and counties. Individuals and families experiencing poverty sometimes choose to move when they achieve economic success, and they can sometimes be displaced because of changes in local policy and market conditions. Local strategies aimed at boosting mobility from poverty should focus on actions that improve outcomes and options for all residents experiencing poverty (newcomers as well as long-term members of the community) rather than actions that replace those residents with more affluent people.

For each predictor, the Working Group selected a metric that can be used to compare and monitor a community’s performance over time. See Turner et al. (2020) for details about the criteria used to select metrics and the strengths and weaknesses of those selected.

Disparities between racial and ethnic groups and between neighborhoods within a city or county are critical to understanding and addressing barriers to mobility. Therefore, the Working Group prioritized metrics that can help pinpoint disparities that warrant priority for intervention.

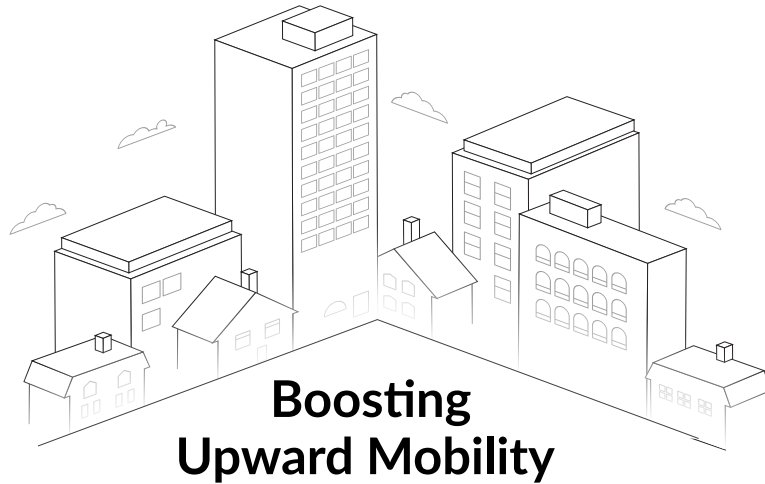
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#### Criteria for Recommending Metrics

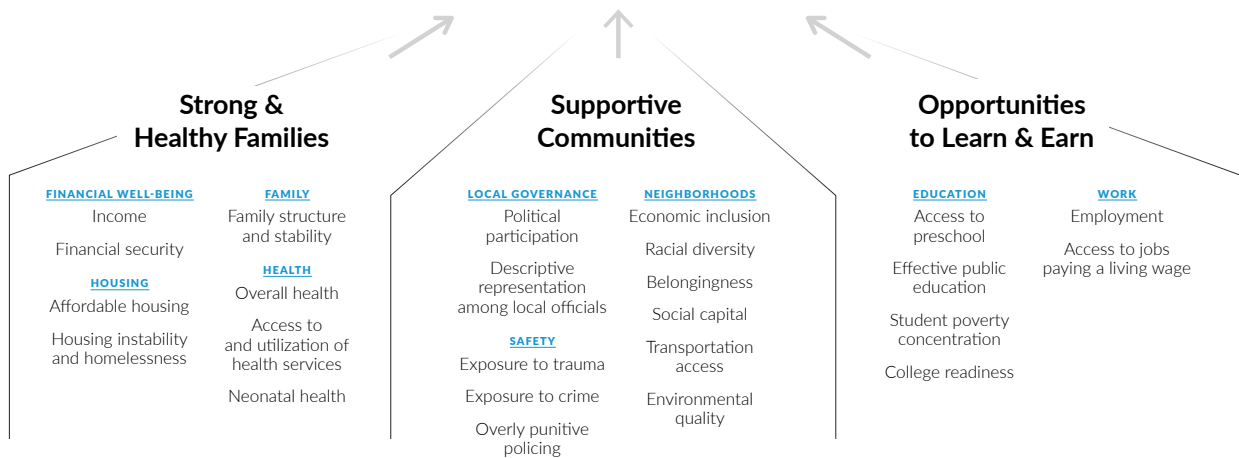
- Valid measures of the predictors
  - Repeated at regular intervals
  - Available for cities and counties nationwide
  - Consistently collected and calculated
  - Available for important subgroups and subareas
  - Not overly sensitive to residential moves in and out of jurisdictions
- 

The optimal data for measuring key predictors are not always available for the relevant geographic units; at the needed frequency, recency, and reliability; or with sufficient coverage of demographic groups, and they are not always properly adjusted for changes over time in jurisdictions’ demographic compositions. To the greatest extent possible, the Working Group selected well-established metrics that can be constructed from national data sources or from widely available state and local administrative data. But for some predictors, new data collection will be required to produce useful metrics because potentially powerful predictors are not currently reflected in widely available data sources.

These metrics are not perfect. But together, they provide valuable information about how well conditions in a community support residents’ upward mobility. Over time, as data sources improve and as new research identifies more precisely the linkage between various predictors and mobility from poverty, they can be refined to more effectively guide policy.



# Boosting Upward Mobility



Predictors		Metrics
<b>Driver: Strong and Healthy Families</b>		
<b>Financial well-being</b>	Income	Household income at 20th, 50th, and 80th percentiles
	Financial security	Share of households with debt in collections
<b>Housing</b>	Affordable housing	Ratio of affordable and available housing units to households with low- and very low-income levels
	Housing instability and homelessness	Number of public-school children who are ever homeless during the school year
<b>Family</b>	Family structure and stability	Share of children in various family living arrangements
<b>Health</b>	Overall health	Share of adults who rate their own and their children's health as good or excellent <sup>a</sup>
	Access to and utilization of health services	Health Professional Shortage Area ranking for primary care providers
	Neonatal health	Share of low-weight births
<b>Driver: Supportive Communities</b>		
<b>Local governance</b>	Political participation	Share of the voting-eligible population who turn out to vote
	Descriptive representation among local officials	Ratio of the share of local elected officials of a racial or ethnic group to the share of residents of the same racial or ethnic group
<b>Neighborhoods</b>	Economic inclusion	Share of residents experiencing poverty living in high-poverty neighborhoods
	Racial diversity	Neighborhood exposure index, or share of a person's neighbors who are people of other races and ethnicities
	Belongingness	Inclusion of Other in the Self scale <sup>a</sup>
	Social capital	Selected questions from the Social Capital Community Benchmark Survey <sup>a</sup>
	Transportation access	Transit trips index and low transportation cost index
	Environmental quality	Air quality index
<b>Safety</b>	Exposure to trauma	Adverse Childhood Experiences scale <sup>a</sup>
	Exposure to crime	Rates of reported violent crime and property crime
	Overly punitive policing	Rate of juvenile justice arrests
<b>Driver: Opportunities to Learn and Earn</b>		
<b>Education</b>	Access to preschool	Share of children enrolled in nursery school or preschool
	Effective public education	Average per-grade change in English Language Arts achievement, between third and eighth grades
	Student poverty concentration	Share of students attending high-poverty schools, by student race or ethnicity
	College readiness	Share of 19- and 20-year-olds with a high-school degree
<b>Work</b>	Employment	Employment-to-population ratio for adults ages 25 to 54
	Access to jobs paying a living wage	Ratio of pay on the average job to the cost of living

<sup>a</sup> Metric for the predictor requires new data collection at the local level.

# Using Metrics to Boost Mobility from Poverty .....

Communities can use these metrics to catalyze and guide actions to increase mobility from poverty among residents. Civic and community leaders, policymakers, and on-the-ground practitioners can

**compare** their community's metrics to peer communities to assess the extent of the local mobility challenge and build public support for tackling it;

**prioritize** those metrics where the community's focused attention and action will have the greatest impact;

**highlight interconnections** among predictors from multiple policy domains to recruit partners and identify the roles different local (and state) actors can play;

**set targets** for improving local mobility metrics and narrowing racial and ethnic disparities as part of a strategy for meaningful changes in local (and state) investments, policies, and practices; and

**monitor** the metrics over time to assess their community's progress and hold local stakeholders accountable.

Local leaders have the capacity to “move the needle” on all the metrics if they make mobility from poverty a priority. Specific solutions will of course vary depending upon local context, institutional capacities, and political constraints. The focus here on local strategies is not intended to suggest that all barriers to mobility from poverty can be overcome locally. Federal policies such as the earned income tax credit and economic policies that expand employment play essential roles. But locally controlled policies and investments can create conditions that boost rather than block residents' upward mobility. For example, communities can

**expand affordable housing** by reforming zoning and building regulations so the private sector can build more housing at lower costs, establishing housing trust funds and using the proceeds to help finance

affordable housing production and preservation, enacting rent stabilization or property tax abatements that moderate housing costs for current residents, and maximizing the effectiveness of federal housing subsidies that are managed locally;

**increase people's sense of belonging** by using human-centered design principles for programs delivering services to people experiencing poverty; prioritizing equity roles in government and inclusivity in resident engagement processes; and training government staff to engage with service recipients in ways that respect their dignity, counter stereotypes and stigma, and foster inclusion rather than exclusion;

**reduce overly punitive policing** by investing in community-driven safety interventions that do not rely on policing, reducing the intensity of enforcement and sanctioning for low-level offenses, minimizing the use of stop and frisk, reforming school discipline policies to reduce the possibility that students are arrested, and eliminating or reducing fees and fines;

**increase political participation** by scheduling local elections during state or national elections to raise turnout, improving the information on ballots, electing district-level representatives instead of city-wide ones to strengthen representativeness, and improving access to political participation and understanding about local policies and elected officials; and

**increase access to living-wage jobs** by recognizing and rewarding “high-road” employers, implementing workforce development strategies to help residents build skills and qualify for higher-paying jobs, raising the local minimum wage or passing living-wage ordinances that apply to firms doing business with local government, and taking actions to reduce the cost of living for lower-income residents.

Rigorous research demonstrates that programs and policies being implemented across the US can “move the needle” on mobility from poverty. For example, the Nurse-Family Partnership home-visiting program and the Educare early childhood learning program boost outcomes of both young children and their parents. The positive youth development program, YouthBuild, provides older teens and young adults with career training that helps them get and keep jobs, while the City University of New York’s Accelerated Study in Associate Programs helps young adults complete community college degree programs quickly and qualify for careers. Neighborhood mobility programs like Moving to Opportunity and its present-day successors enable families to live in safe, well-resourced neighborhoods that support their children’s life chances. And conditional cash transfer programs such as Family Rewards have

provided flexible cash resources that adults and families use to chart their course out of poverty (Bogle et al. 2020). These examples demonstrate the potential of interventions that attend to all three dimensions of mobility from poverty: economic success, autonomy and power, and belonging and being valued.

Communities that use these metrics to develop and monitor local strategies are likely to be more successful than those not guided by metrics or guided by a plethora of metrics unsupported by evidence. Local policymakers and practitioners who have learned about the mobility metrics through vetting labs and webinars have expressed enthusiasm for applying them locally, engaging with community members about their interpretation and implications for action, developing locally relevant implementation strategies, and capitalizing on the metrics to drive collaborative action.

## Next Steps

Much remains to be learned about the mobility metrics, how well they capture the range of factors that influence long-term mobility, and how communities can effectively apply them to catalyze action and drive change. We welcome informed debate about the framework introduced here and anticipate that over the coming years, ongoing scholarship will strengthen the selection of key predictors and metrics. Further, a next phase of the work will “beta test” the mobility metrics with a small

number of cities and counties across the US. This on-the-ground experience will yield additional insights about how the metrics can be strengthened, how they can help build public will, and what institutional infrastructure is needed to effectively implement them and integrate them into local government decisionmaking so they help drive the changes necessary to boost mobility from poverty over the long haul.

## Notes

<sup>1</sup> Lawrence R. Samuel, “The Psychology of the American Dream: Why Do We Believe So Fervently in the American Dream?” *Psychology Today* (blog), October 7, 2016, <https://www.psychologytoday.com/us/blog/psychology-yesterday/201610/the-psychology-the-american-dream>.

<sup>2</sup> Mary Gwen Wheeler, “A Look Back and a Look Ahead: Lessons Learned from an Education Movement,” *55,000 Degrees*, accessed January 27, 2020, <http://www.55000degrees.org/a-look-back-and-a-look-ahead-lessons-learned-from-an-education-movement/>.

<sup>3</sup> “Kansas City, Louisville, and Washington DC, Level UP,” What Works Cities Certification, accessed January 27, 2020, <https://medium.com/what-works-cities-certification/kansas-city-louisville-and-washington-dc-level-up-cef847c62a6f>.

<sup>4</sup> “Citywide Business Plan Progress Report,” City of Kansas City, Missouri, accessed January 27, 2020, <https://dashboards.mysidewalk.com/kcstat/dashboardpage-1532609256752-8373288548-943858>.

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## Acknowledgments

This report was funded by the Bill and Melinda Gates Foundation. We are grateful to them and to all our funders, who make it possible for Urban to advance its mission.

The views expressed are those of the authors and should not be attributed to the Urban Institute, its trustees, or its funders. Funders do not determine research findings or the insights and recommendations of Urban experts. Further information on the Urban Institute's funding principles is available at [urban.org/fundingprinciples](https://urban.org/fundingprinciples). Copyright © June 2020 Urban Institute. Permission is granted for reproduction of this file, with attribution to the Urban Institute.



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**Item Number:** 2021-211

**Meeting Date:** 4/13/2021

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**Sponsor:** Community & Economic Development

**Title**

Housing and Redevelopment Authority Area of Operation

**Recommendation**

Request the cities of Saint Paul and North St. Paul to pass a resolution allowing for the expansion of the Ramsey County's Housing and Redevelopment Authority's area of operation in order to create and support housing and redevelopment projects within their communities.

**Background and Rationale**

On March 23, Ramsey County released its Economic Inclusion and Competitiveness Plan, which was developed with strong input from residents and community stakeholders over the past 18 months. The plan laid out a variety of recommendations to ensure long-term economic growth, equity and inclusion in Ramsey County.

One of the recommendations is to explore the activation of a Housing and Redevelopment Authority (HRA) property tax levy to address the longstanding housing crisis that has been exacerbated due to the COVID-19 pandemic and the subsequent economic downturn.

Many Ramsey County residents live in poverty and struggle to find or afford stable housing. The current market is not building or preserving enough affordable housing to meet the needs of these residents, including seniors, low-wage workers and others who make less than \$25,000 annually. This challenge is anticipated to grow, placing further strain on the housing market and county services for all households.

- Of Ramsey County's 209,000 households, 65,000 pay more than 30% of their income on housing.
- 33,395 people in Ramsey County are currently in mixed-income housing, while 77,330 people are in poverty.
- There is currently a shortage of 15,000+ homes that are affordable for Ramsey County households making between \$30,000-\$50,000 per year and 50,000+ homes that are affordable for households making less than \$30,000 per year.
- If all new construction in Ramsey County was dedicated to affordable housing, it would take 20-50 years to meet the current need and would still require subsidies.

A countywide HRA levy in Ramsey County could raise up to \$11.6 million a year to fund affordable housing and redevelopment projects. The proposed HRA levy would increase annual taxes on a median value residential property by about \$45. Funds collected through the levy would support the preservation and creation of affordable housing developments. This would be done by offering gap financing and land acquisition funds as well as allocating resources to increase the competitiveness of Ramsey County housing projects applying for state grants.

The housing shortage is anticipated to grow across Ramsey County, and proactive measures - not reactive - must be taken countywide to improve our local quality of life. Affordable housing is a smart investment of taxpayer dollars and a long-term solution addressing the root cause of homelessness. Additionally, a regional

approach to building housing infrastructure is better aligned with how residents live, work and play in Ramsey County. Housing investment transcends municipal boundaries and functions as critical infrastructure that supports the needs of our residents, workforce and business community.

Both the cities of Saint Paul and North St. Paul have had an active HRA levy authority on or before 1971, and therefore must adopt a resolution authorizing the Ramsey County HRA to exercise the county’s HRA powers within each city at the same time that each city is exercising its own power (pursuant to Minnesota Statutes § 469.012, subd. 3).

This Board Action seeks support from the cities of Saint Paul and North St. Paul to pass a resolution expanding the County HRA’s area of operation creating a county-wide levy fund that will create and support housing and redevelopment projects within their communities. Ramsey County is committed to an equitable distribution of funds across our County and will commit to work closely with city partners to ensure a robust array of programming.

**County Goals** (Check those advanced by Action)

- Well-being
- Prosperity
- Opportunity
- Accountability

**Racial Equity Impact**

Activating the HRA levy was a specific Recommended Action within the Economic Competitiveness and Inclusion Plan. Most Black, Latinx, Asian, and Indigenous cost-burdened four-person households are earning less than \$51,700, which equates to 50% of the area median income (AMI). Black, Latinx, Asian, and Indigenous renters are more likely to be cost-burdened than white renters. Ramsey County’s biggest need is affordable rental units at 30% AMI, plus a need for more rental units with two or more bedrooms<sup>5</sup>. Additionally, the Economic Competitiveness and Inclusion Plan recommends that Ramsey County consider investing in opportunities along the full housing continuum including building generational wealth in communities that have experienced historic wealth extraction.

**Community Participation Level and Impact**

Click or tap here to enter text.

- Inform
- Consult
- Involve
- Collaborate
- Empower

**Fiscal Impact**

An HRA levy in Ramsey County could raise up to \$11.6 million a year to fund affordable housing and redevelopment projects. The proposed HRA levy would increase annual taxes on a median value residential property by about \$45.

**County Manager Comments**

Ramsey County is the only metropolitan county that does not levy from affordable housing and redevelopment projects through its Housing and Redevelopment Authority. A countywide levy would allow greater effectiveness in deploying HRA funds and ensure all current and future residents equitable access to HRA programs, projects and initiatives.

**Last Previous Action**

None.

**Attachments**

1.None