



OAKLAND FUND FOR CHILDREN & YOUTH

GRANTEE MANUAL

2019-2020

GRANTEE MANUAL



This manual was developed and is maintained by the City of Oakland, Human Services Department for grantees funded by the Oakland Fund for Children and Youth (OFCY). The purpose is to delineate the roles, expectations and responsibilities of contracting with OFCY. The manual and all forms referenced are found on the OFCY website. The manual will be updated periodically. Grantees are encouraged to check the OFCY website at www.ofcy.org each quarter of the contract year for the most recent versions.

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OFCY OVERVIEW

The Oakland Fund for Children & Youth (OFCY) was established in November 1996, when over three-fourths of Oakland voters expressed a powerful commitment to their children and youth by passing the Kids First! Initiative (Measure K). Oakland voters reauthorized funding for OFCY for another 12 years in July 2009 by passing Measure D. The revised provisions set aside 3% of the city's General Purpose Fund for services to children and youth to fulfill the four goals of Measure D:

1. Support the healthy development of young children,
2. Help children and youth succeed in school and graduate high school,
3. Prevent and reduce violence, crime and gang involvement among children and youth, and
4. Help youth transition to a productive adulthood.

OFCY is guided by a 17 member Planning and Oversight Committee (POC) composed of adults and youth appointed by the Mayor and City Council. The POC oversees the annual grant-making process of the Fund, as well as the completion of a Strategic Plan every three years and the annual evaluation of OFCY. The current OFCY 2019-2022 Strategic Investment Plan can be downloaded from the Oakland Fund for Children and Youth website at www.ofcy.org.

OFCY VISION, MISSION, AND VALUES STATEMENTS

VISION: All children and youth in Oakland will thrive and have the support of the entire community to lead safe, healthy and productive lives.

MISSION: To provide strategic funding to support Oakland's children and youth from birth to 21 years of age to become healthy, happy, educated, engaged, powerful and loved community members.

VALUES:

Social and Economic Equity – We value the vigorous promotion of equality, justice, and accountability and the concerted application of our resources toward those youth in greatest need.

Child and Youth Development – We support efforts to promote the social, emotional, physical, cognitive and spiritual development of children and to instill individual and community pride and leadership.

Community and Collaboration – We embrace the idea that by pooling our resources and working together, we can accomplish great things. We support strengthening families within our communities to make our children and our city strong.

PROCESS FOR DEVELOPING A GRANT AGREEMENT

The following outlines the process for developing and approving a grant agreement (also known as a grant contract) after the City Council has approved the grants recommended.

Grant Agreement Negotiations for OFCY Grantees

Each grantee is assigned an OFCY Program Analyst who then begins grant agreement negotiations. It takes 4-6 weeks for the grant agreement to be finalized within the City government process. The OFCY

Program Analyst is responsible for negotiating the scope of work and budget with the grantee, and for receiving the signed grant agreement, required City of Oakland contract documents and schedules and insurance documents.

To ensure that grantees have a new grant agreement as early in the new fiscal year as possible, negotiations may take place prior to City Council approval. **Please note that funding is not assured until the City Council process is complete.**

The lead or fiscal agency is responsible for completing all contract forms and documents. If modifications to the proposed program are necessary due to reduced funding, the OFCY Program Analyst will set up a time to speak with your organization to discuss the scope of work and budget changes. The Scope of Work and Budget are available on the grantee Cityspan page. All contract forms and schedules are available online at <http://www.ofcy.org> under Grantee Corner.

The program Scope of Work and Budget are available on your Cityspan page.

Helpful Tip:

Do you need more information about the City of Oakland Documents and Forms?

Check out the City of Oakland's contract compliance website for the forms and more information on how to complete the forms: www2.oaklandca.gov

Grant Agreement Negotiations

Contract negotiations are necessary when the award amount is less than the amount requested in the original proposal submitted during the RFP process. The OFCY Program Analyst will work with the grantee to determine the appropriate modifications to the number of participants served and the reduction in the projected units of Units of Service (UOS). The Program Analyst will also review the required contract forms and documents for accuracy.

Once the scope of work, budget forms, and required contract documents and forms are completed, the grant agreement will be routed to the following City departments for approvals:

1. Office of Risk Management
2. Contract and Compliance Department
3. City Attorney
4. Human Services Department Head
5. City Administrator
6. City Clerk

The final grant agreement will be kept on file at OFCY and with the City Clerk, and a copy will be sent to the grantee organization.

iSUPPLIER REGISTRATION

The City of Oakland's Procurement software is called Oracle iSupplier. The iSupplier portal is the internet interface by which suppliers can view their purchase orders, deliveries, invoices, and payment status. This system also allows the City of Oakland to send suppliers electronic notification of bid opportunities for the commodity categories the suppliers have indicated on their supplier profiles. iSupplier portal is a

completely electronic interface. No special software, aside from an up-to-date web browser such as Microsoft's Internet Explorer, is required to access this system.

A link for new suppliers can be found by going to <https://www.oaklandca.gov/services/register-with-isupplier>.

1. Click on the link "Register Here", which will bring you to the proper page.
2. Enter your company details. Field names that have an asterisk ("*") are mandatory fields and must be completed in order to register.
3. Please be sure to use the "iSupplier naming convention" guide to enter your business name.
4. Click [Submit] after completing all fields. Your company's detailed information will be submitted to the City of Oakland for approval.

When approved, you will receive an email confirmation with your iSupplier username and password.

Advanced Payment and Scheduled Payments

Advance payment will be issued two to four weeks after the contract is fully executed. The standard advance payment is 20% of the grant amount for year-round programs and 75% for summer programs. Annual reimbursements are divided in five payments including the Advance for year-round programs and two payments for summer programs. The Advance will be deducted in two equal amounts from either the 1st and 2nd quarters or the 3rd and 4th quarter invoiced reimbursements. The OFCY Program Analyst has discretion to deduct the advance in earlier quarters and amounts based on how quickly the grant is being spent down. All payment inquiries should be directed to your program's Program Analyst.

GRANTEE CONTACT INFORMATION

The Grantee must update contact information in the Cityspan Cover Page each time there is a change in staffing. Three key staff need to be identified:

- **Executive Director** - The Executive Director must serve as the Signatory that will sign the grant agreement and approve the quarterly progress reports. If there is a fiscal sponsor, the Executive Director of the fiscal sponsor should be listed.
- **Contract Representative**- This individual must be an employee of the contracting agency/fiscal agency and have the authority to negotiate scopes of work, budgets, and complete contracting documents. This individual will receive all OFCY updates and information and has the responsibility to forward the communication to the appropriate project staff.
- **Program Representative** - This individual is responsible for program implementation and is able to answer any program specific questions. This individual will receive all OFCY updates and information and has the responsibility to forward the communication to the appropriate project staff.

FISCAL/LEAD AGENCY RESPONSIBILITIES

The fiscal or lead agency is the entity signing the grant agreement. This is the agency the City holds legally responsible for all aspects of the grant agreement including project implementation, fiscal management, and communication with OFCY staff regarding the grant and subcontractors. The fiscal/ lead agency is

responsible for review, approval and submission of reports, invoices, scope of work revision requests, and budget revision requests to the City.

In addition, the fiscal/lead agency is responsible for all subcontractors and holds the following responsibilities:

1. Enter into a Memorandum of Understanding (MOU) or letter of agreement with each subcontractor that reflects the requirements in the OFCY grantee agreement signed by the fiscal/lead agency. If a letter or MOU is developed prior to funding as part of the Request for Proposals process, be sure to update it after funding is awarded, and submit the revised MOU to your OFCY Program Analyst. This MOU should include the OFCY deliverables allocated to each subcontractor and a payment schedule.
2. Terminate or modify MOUs or Letters of Agreements with subcontractors.
3. Communicate with OFCY staff regarding the grant and with their subcontractors about required OFCY meetings and activities.
4. Develop and prepare the required OFCY quarterly reports, invoices, and Scope of Work/Budget modification with input and information from subcontractors and submit them in a timely manner to OFCY staff.
5. Require subcontractors to invoice the fiscal/lead agency.
6. Conduct site and program visits of the subcontractor programs no less than once annually. The site visit should include the following checks of fiscal and management controls, and must be documented and kept on file by the fiscal/lead agency:
 - A. Review accounting system (charts of accounts and general ledger at a minimum)
 - B. Review accounting procedures (bank statements, OFCY program budget reports and vendor invoices)
 - C. Review staffing of program to ensure it is adequate to provide services
 - D. Staff retention issues
 - E. Organization of Board (board minutes)
 - F. File Review
 - G. Program observation
7. Arrange for site visits and program observations conducted by OFCY staff for subcontracting agencies, if requested.
8. Distribute OFCY funds in a timely and appropriate manner (within 2 weeks of receiving funds) to subcontractor(s) after an invoice is received.

SUBCONTRACTORS

Subcontractors are described as organizations or individuals/sole proprietors that provide specialized services to target populations to help enhance your programs. Each subcontractor must operate under a signed contract, MOU, or Letter of Agreement (LOA). If a grantee subcontracts out services, it is OFCY's expectation that all subcontractors will remain in the partnership for the duration of the 2019-2022 grant cycle period. Any potential changes in scope of work and budget should be brought to OFCY's attention before implementation. It is the expectation of OFCY that the subcontractor should meet the same contracting requirements of the City of Oakland that are required of lead contracting agency.

When there is a subcontractor in the contract, it is the legal obligation of the lead agency to monitor the subcontractor's progress and to ensure accountability. However, OFCY staff has the right to conduct file reviews of subcontractor agencies and program observations of the subcontractor.

REPORTING AND INVOICING

OFCY grantees are required to complete four quarterly reports as part of their grant agreement with the City of Oakland. This process is to be conducted via the Cityspan database set up specifically for use by OFCY grantees. Appropriate staff of funded organizations will be trained in the use of the database and in how to complete the quarterly reports on the database.

Purpose of Reporting

The purpose of reporting is to:

1. Assess programmatic and basic fiscal compliance with grant requirements;
2. To identify areas of noncompliance and needed improvement;
3. Identify areas of strengths through monitoring;
4. Provide technical assistance for individual grantees as needed, as well as trainings that would benefit grantees across all program strategies.

Narrative Section

The Narrative Section consists of seven sections:

1. Share your program's highlights and successes in this quarter
2. What challenges have been faced this quarter and what has been or will be done to address them?
3. If the program did not meet the projected performance goals (i.e., projected sessions, enrollment, or hours of service), please provide a response to the following questions: 1. What caused the shortfall (i.e., recruitment problems, staffing issues, scheduling, etc.)? 2. What steps have been taken to prevent a shortfall in subsequent quarters? 3. How will the performance be made up in subsequent quarters?
4. Provide updates on any changes concerning staff, scheduling, space, activities, etc.
5. Share any activities and new developments with subcontractors and consultants this quarter
6. Share anecdotal story that highlights an achievement of your program this quarter.
7. Provide additional comments or feedback to OFCY staff and evaluation team.

In addition, you may also include photos or video you would like to share with OFCY.

Stats Section

The Stats Section automatically populates the reporting numbers in the database based on your attendance data input. Staff preparing the report should review the deliverables numbers prior to submission to ensure accuracy. This can be done by comparing the actuals to projected numbers of service.

Supporting Documentation Requirement

OFCY requires grantees to upload supporting documentation for the following budget categories: Personnel, Subcontractors, Consultants, and Youth Wages, Stipends & Incentives. If grantees are

requesting reimbursement in any of these categories in the Quarterly Progress Reports - Invoice, they must upload supporting documentation.

Personnel: Provide a payroll journal/ledger or report that shows the reimbursement period, total salary and fringe benefits for each staff person for the program, and the amount allocated to OFCY.

Subcontractors: Provide copies of the subcontractor’s invoices and the checks to show they have been paid. If only part of the expenditure is allocated to OFCY, indicate that amount on the invoice or receipt.

Consultants: Provide copies of the consultant’s invoices and the checks to show they have been paid. If only part of the expenditure is allocated to OFCY, indicate that amount on the invoice or receipt.

Youth Wages, Stipends & Incentives:

- Wages – Provide a payroll journal/ledger or report that shows the reimbursement period, total wages and fringe benefits for each youth participant and the amount allocated to OFCY.
- Stipends – Provide checks for each youth that received a stipend in the invoice period. If only part of the expenditure is allocated to OFCY, indicate that amount.
- Incentives – Provide receipts for all incentives for which you are requesting reimbursement. For gift cards and travel passes, please provide a list of youth participants that received them and its monetary value.

Uploading Supporting Documents in Quarterly Invoice

At the bottom of the Quarterly Progress Report – Invoice in Cityspan, there will be a section called *Supporting Documentation* where grantees will be able to upload a single file. All supporting documentation should be consolidated into one PDF file.

Uploading supporting documentation is required before grantees can submit the invoice. In the unlikely case that there are no requests for reimbursement in any of the categories, grantees can upload a simple document stating “Not Applicable”.

Invoice

The Invoice page includes the approved line item budget, current expenses, and a year-to-date total column. The Invoice can only be accessed after submitting the Stats page for the quarter. In the Invoice, grantees should report actual expenditures for the quarter. Note: The advance payment can be spent in any of the four quarters. The bottom line of the invoice page indicates how much money has been paid to date, not including the current quarter.

The invoice should reflect the same line items as in the budget negotiated in the grant agreement or subsequent modification. If it does not, the grantee should explain why this is the case and request a modification if a line item is 10% above or below the amount originally approved. Budget modifications cannot be made after the end of the third quarter of the grant year (March 31).

Sign Off

Unless otherwise approved, the agency Executive Director is automatically assigned as the Signatory at the beginning of the contract year. To find out who the current signatory is at your organization, select

the User Accounts option on the Cityspan page or contact the Cityspan database hotline at 1-866-469-6884.

Report and Invoice Approval Process

The OFCY Program Analyst will review all parts of the report once submitted. If there are problems or issues with parts of the report, the OFCY Program Analyst will contact the grantee to:

1. Detail the specific issues or problems with the report,
2. Provide advice on how to rectify the issues or problems, or
3. Set a due date for when the issues should be resolved.

Receiving Payment

Checks will be ready 2 to 4 weeks after the date of invoice submission. Grantee will be informed by the Program Analyst when their check is available. Please let your Program Analyst know at the time of notification whether you want your check mailed or held for pick-up.

Checks are available **(M-F, 10AM to 12PM and 2PM to 5PM)** in the OFCY offices.

**OFCY’s office is located at:
150 Frank Ogawa Plaza, Suite 4216
Oakland, CA 94612**

Agency employees must present a valid ID and sign and date a photocopy of the check when picking up a check.

IMPORTANT DATES

Quarterly Reports, Grantee Meetings

There are four quarterly reports due according to the OFCY grant agreement for each grantee. The due dates for the Fiscal Year 2019-2020 grant agreement year are:

Fiscal Year	Quarter	Service Period	Progress Report and Invoice Due Date
FY 2019-2020	Quarter 1	July 1 through September 30, 2019	Friday, October 11, 2019
	Quarter 2	October 1 through December 31, 2019	Friday, January 10, 2020
	Quarter 3	January 1 through March 31, 2020	Friday, April 10, 2020
	Quarter 4	April 1 through June 30, 2020	Friday, July 10, 2020

Mandatory All-Grantee Meetings

All-Grantee Meetings are intended to help build community among Grantees and share initiative-wide information and updates. Appropriate Grantee staff members are required to attend each quarter. Dates and locations of each meeting are posted on Cityspan.

Late Reports

If a grantee is unable to submit a report on time, the grantee must contact their OFCY Program Analyst to request an extension.

If five (5) business days pass after a quarterly report due date without submission by a grantee and without an agreed upon extension, the Agency Director/Executive Director will be emailed informing them of the late report.

If the report is not submitted within five (5) business days from the email sent to the Agency Director/Executive Director or by a new due date agreed upon with the OFCY Program Analyst, an email may be sent to the governing board of the grantee.

ALLOWABLE USES OF FUNDS

The 2019-2022 Request for Proposal (RFP) outlines the allowable and unallowable uses of OFCY funds. This grantee manual further elaborates on the allowable uses of OFCY funds for those organizations approved for funding.

Allowable Uses of Funds

Direct Costs

PERSONNEL: Please list all direct service staff including line staff, supervisory staff that supervises line staff, and support/clerical staff that work directly on the proposed program. Create a separate line item for EACH individual staff working directly on the program including Lead Agency Position, First Name, Last Name, Total Annual Salary/Wages. Please list all direct program staff responsible for the success of the project, even if their salaries or wages are being covered by other matching funds, and not OFCY funds. This will help OFCY better understand the total cost of operating your program. Do not include administrative staff not providing direct supervision of line staff, subcontractors, interns, or volunteers.

FRINGE AND BENEFITS: This line item represents benefits (health, dental, retirement, etc.) as well as mandatory employment costs such as FICA, Social Security, SDI, and unemployment taxes. Enter in a numerical total for all fringe benefit costs paid by OFCY and by your match. The total fringe amount is only for those personnel receiving benefits from your agency. In the Budget Justification and Calculation, provide a clear response of how your agency is calculating the Fringe and Benefits.

Other Direct Costs

All items listed must directly benefit and support the operation of the proposed program. Direct costs that support the program include:

Equipment/Furniture - Durable goods such as computers and furniture.

Facility Rental - Pro-rated costs of space rental, utilities, building maintenance and other occupancy costs.

Food - Meals, snacks and food for regular programming and special events.

General Office Supplies - Paper, pens, toner, and other reasonable office supply expenses.

Participant Incentives - Monies or other non-cash incentives, such as gift certificates, provided to a program participant as a reward for completing a program or achieving a programmatic milestone. Detail how many participants are projected to receive incentives, amount of incentive, and the reason for receiving the incentive.

Professional Development - Please justify how you intend to use this amount in the narrative text box to support the professional development and training of your direct service staff.

Program Supplies - Art supplies, workbooks, sports equipment, and other reasonable program supply expenses that are required for the proposed program.

Telephone/Internet/Communications - May include mobile phone, telephone, internet and postage. Please be specific on how this cost was calculated and how it relates to the proposed program.

Travel/Transportation - This item includes expenses for field trips and access to programs. The basis for the calculation as well as the purpose for all travel should be provided. Travel expenses for staff are allowed when directly benefiting children and youth. Funds cannot be used for travel to trainings or professional development conferences. Local travel estimates should be based on your organization's current policies, for example, 55.5 cents per mile or for AC Transit or BART. Any non-local travel needs to be carefully itemized and justified.

Youth Wages and Stipends

Youth Wages

This line item is for programs that offer youth an hourly wage or stipend for internships or employment experiences. Please enter a separate line item for each unique hourly wage. Do **NOT** enter a range for wages. Provide a description of what the employment is and how the cost was calculated.

Youth Wages Fringe

Enter the total amount of fringe benefits associated with employing youth including any benefits youth may receive and mandatory employment costs such as FICA, SDI, and UI.

Youth Stipends

Stipends are used to support youth participants enrolled in your program in limited duration work experiences and internships. Please enter a separate line item for each unique stipend profile and stipend amount. Do **NOT** enter a stipend range. Provide a description of what the internship is and how the cost was calculated. Do **NOT** include incentives for program participation in this line item. These should be included in the line item **Participant Incentives** under **Other Direct Costs**.

Administrative/Indirect Costs

Administrative/Indirect costs by applicant designation are:

- **Single Agency:** Up to a total of 15% of total grant request may be requested.
- **Collaborative Applicants:** Up to a total of 15% of total grant request may be requested.
- **Small & Emerging:** Up to a total of 20% of total grant request may be requested.

Administrative/ indirect costs cannot exceed the limits stated above, including subcontractors. Examples of allowable expenses in the administrative/indirect line item include: audit, bookkeeping, payroll/finance, facilities maintenance, fiscal sponsor costs, insurance, rent, storage, utilities, and

allocated personnel costs (Executive Director's time or any other staff who works minimally on the funded program).

Example: Indirect Costs are calculated as a percentage of the total OFCY Funds requested. A Single Agency applicant can use up to 15% of the total grant as Indirect Costs. If the agency applies for a grant requesting \$100,000 from OFCY, the maximum indirect costs that can be used is \$15,000.

Subcontractors

Subcontractors are described as organizations or individuals/sole proprietors that provide specialized services to target populations to help enhance your programs. Each subcontractor must operate under a signed contract, MOU, or Letter of Agreement (LOA). Any potential changes in subcontractors, scopes of work and budgets should be brought to OFCY's attention before implementation. Subcontractors should meet the same contracting requirements of the City of Oakland that are required of lead contracting agency.

When there is a subcontractor in the contract, it is the legal obligation of the lead agency to monitor the subcontractor's progress and to ensure accountability. However, OFCY staff has the right to conduct file reviews of subcontractor agencies and program observations of the subcontractor. For this section, you will list the organization or individual name of each subcontractor or consultant. For each subcontractor, enter a line item budget using the same guidelines as the lead applicant budget

Subcontractors are described as organizations that provide specialized services to target populations to help enhance your programs. It is the legal obligation of the lead agency to monitor the subcontractor's progress and to ensure accountability.

List of Unallowable Costs

Specific costs that are not allowed by Oakland City Charter for Kids First! Funding includes:

- Acquisition of any capital item or real property not for primary and direct use by children and youth; and
- Maintenance, utilities or any similar operating cost of any facility not used primarily and directly by children and youth.

In addition, the policy of OFCY and the City of Oakland's Department of Human Services is to exclude funding support for the following items:

- Alcoholic beverages
- Illegal substances
- Legal or illegal gaming and/or gambling
- Purchase of items or services for personal use
- Travel and accommodation expenses related to trainings and/or conferences outside of the San Francisco Bay Area and/or unrelated to the funded project
- Costs (including fundraising) of organizing fund-raising, including financial campaigns, solicitation of gifts and bequests, and similar expenses incurred to raise capital or to obtain contributions
- Cost of certain influencing activities associated with obtaining grants, grant agreements, cooperative agreements or loans

- Cost of membership in organizations substantially engaged in lobbying
- Advertising costs are allowable only when incurred for the recruitment of personnel for the funded project or to recruit participants for the funded program. Public relations costs are allowable on a limited basis when incurred to communicate with the public and press pertaining to the specific activities of the funded project.

OFCY MATCHING FUND REQUIREMENTS

Matching Funds refers to all program funding above the OFCY award that is necessary to provide the services at the proposed levels. Grantees must show funding that equals at least 25% of the OFCY grant award as a program match. This minimum 25% match of OFCY program funding must be a cash match and must support the costs of the OFCY funded program. This projected match amount is shown in the Projected Match column in the Scope of Work – Budget.

Grantees may not use one OFCY grant as a match for another. For example, if a grantee has a \$150,000 grant from OFCY directly and subcontracting agreements on another OFCY grant for \$30,000, the subcontracting agreement dollars may not be used as a match for the direct grant. Further, a collaborative may not use an OFCY grant received by one of its partners or subcontracting agreements as a match.

Cityspan Match Report

At the end of Quarter 3, grantees must complete the Match Report as part of their Quarter 3 Progress Report. For grantees only operating and reporting summer programming, the Match report will be due as part of the Quarter 1 Progress Report.

In this Match Report, grantees are responsible for accounting for **ALL (100%)** of matching funds in the Projected Match column in the Scope of Work – Budget. For each source of funding, grantees will be required to enter the Source, Amount, and Type of Funding. The Type of Funding field will be a drop-down list consisting of Philanthropic Grants, Government Grants and Contracts, Corporate Donations, Individual/Private Donations and Program Fees.

Submission of Hardcopy Supporting Documentation

Additionally, grantees are required to upload support documentation into Cityspan Match Report accounting for at least 25% of the OFCY grant award in the Cityspan Match Report. Acceptable match documentation for uploading into Cityspan include:

Philanthropic Grants

- Copies of award letters from foundations or private donors on donor’s organizational letterhead.
- Copies of checks, bank statements or payment schedules with grant identified.

Government Grants and Contracts

- Copies of government grant or contract agreements with funding amount and date term.
- Copies of checks, bank statements or payment schedules with the government grant or contract agreement identified.

Corporate Donations

- Copy of letter documenting the donation on donor's organizational letterhead
- Copies of accompanying checks, bank statements or payment schedules
- NOTE: If you received funding from a philanthropy setup by a corporation, please label it as a Philanthropic Grant instead of a Corporate Donation. For example, a grant you proposed and received from Salesforce Foundation, the philanthropic arm of Salesforce.com, should be designated as a Philanthropic Grant.

Individual/Private Donations

- Submit a ledger or financial report from your accounting software showing a list of donations received with dates
- Proof of deposit per each donation. This could include copies of checks, bank deposit slips or bank statements.

Program Fees

- Submit a ledger or financial report from your accounting software showing a list of program fees collected with dates
- Proof of deposit per each program fee collected. This could include copies of checks, bank deposit slips or bank statements.

SCOPE OF WORK MODIFICATIONS

The grantee should do their best to implement the program as originally proposed in the grant agreement. However, there are times when the deliverables and/or the budget need to be adjusted to reflect the actualities of implementing a program. This is particularly true for grantees who are implementing an entirely new program. It is preferable to make deliverable or budget changes during negotiations prior to the beginning of a new grant agreement year.

All Scope of Work modifications requests must be submitted through Cityspan. This system will track both the grantee modification requests and the Grant Manager's determination.

Two Budget modifications and two Activities modifications are permitted each contract year. Budget modifications are only necessary if there is more than a 10% difference in a line item from what was approved. All modification requests must be submitted two weeks prior to the end of the third quarter through Cityspan and must be finalized in Cityspan by March 31st. No modifications are permitted after the third quarter.

1. Click on the Modifications tab below the Progress Reports. Only users with access to Contract Management will have access to the Modifications tab.
2. Click on Add a Modification and then the Modification link that appears.
3. Select the Type of Modification from the drop-down list. Note: Only one type of modification can be submitted at a time. Once you submit a request, there will be an option to add another modification request immediately.
 - Activities
 - Budget
 - Demographics

4. Enter in Modification Detail. Generally describe what you are proposing to modify and the reason for the modification. Line by line justifications can be made in the required worksheets.
5. You must upload the appropriate OFCY worksheet for the type of modification you are requesting. The workbooks are available to be downloaded in the Modifications tab. Please read the Instructions tab completely before proceeding to fill out the workbook.
 - Scope of Work –Activities Modification Workbook
 - Scope of Work –Budget Modification Workbook
 - Scope of Work –Demographics Modification Workbook
6. You may upload as many supporting documents as you need but the first upload should always be the required OFCY workbook.
7. When you submit the modification request, Cityspan will email the assigned OFCY Grant Manager that you have submitted a modification request with a date/time stamp. You will also see a link appear called Status which is read-only. This is where the Grant Manager will either Approve or Deny the request. The Grant Manager will review and decide on the Status of your request within five business days. Cityspan will send a notification email to you with the Grant Manager determination.
8. If approved, the Grant Manager will unlock the appropriate Scope of Work form (Activities, Budget, or Demographics) so that you can make the approved changes in the actual Cityspan system. Please make the approved modifications within five business days of email notification and resubmit the Scope of Work form. Please do not make any changes that were not approved.

No changes in Projections or budget are permitted after the last day of the third quarter (March 31, 2019).

NON-COMPLIANCE

Process for Dealing with Underperforming or Failing Grantees

In the case of grantees that have not met their deliverables, OFCY staff will follow these guidelines in making efforts to improve the outcomes of the grantee’s work.

1. Notify grantees of the deficiencies and ask them to explain the cause, define solutions, and state steps taken to-date to address the shortfall.
2. Keep in contact with the grantee and provide support and identify supporting resources as needed, and confer with the external evaluator on grantee progress if necessary.
3. Perform site visits as necessary.
4. If problems persist, arrange a face-to-face meeting with the grantee and partners. The goal of the meeting will be to clarify roles and responsibilities, improve communications, devise solutions, and develop a plan of action to address ongoing problems.
5. Follow-up with grantees to provide support as needed. Check in with grantee on their implementation of the action plan.
6. If problems persist, a possible plan of action may include a reduction in funding or Grant agreement termination.

7. The OFCY grant agreement includes a clause where either party (the City or the grantee) can terminate the Grant agreement within 30 days of notifying the other party.
8. In the case of Grant agreement termination, a letter to the grantee's governing board (Board of Directors, City Council, or Board of Supervisors) may be written detailing the issues and the date of termination. It will include an option for the governing board to negotiate a plan of action if they so desire.

CITYSPAN

OFCY and its grantees use the Cityspan web-based data management system for grant management and reporting. This includes the enrollment of children and youth participation in services and capture of key demographic information; projections and actual achievement of activities and program benchmarks; and program data, including site location and staff contact information. Cityspan is an online system that has been customized to meet the needs of OFCY and its' grantees. All OFCY grantees are required to use Cityspan for data management and invoicing. It is required that all OFCY grantees participate in a Cityspan training to ensure accuracy when entering client data and information and to report quarterly progress to OFCY.

The OFCY Cityspan database allows the City of Oakland to support the valuable work that Grantee provides to clients who receive a comprehensive array of services funded by OFCY.

The database benefits both Grantee and The City of Oakland by:

- Eliminating redundancy in data collection and reporting.
- Reducing time and paperwork required for Grantee to submit invoices, progress reports, and evaluation data to The City of Oakland.
- Improving the quality of program analysis through the use of a limited set of core data elements shared across funded programs.
- Making available free database technical support to Grantee during all regular business hours.

The database also ensures that high quality information about service delivery is available to demonstrate the impact of OFCY implementation for the clients that are served. The database helps fulfill the goals of evaluation, making it possible to:

- Identify and analyze the effectiveness of existing practices and strategies to support continuous quality improvement in OFCY funded programs.
- Longitudinally track and analyze data to identify best practices, service patterns, gaps, and participant outcomes in relation to their level of service participation.
- Demonstrate how the intensity of services provided to clients, and the overlapping of services from multiple funded programs, leads to improved client outcomes.

The protocol for data security established for OFCY Grantees is set up to ensure that grantee agency data can be shared only if the identity of the individual client is protected, or as required by City, State, or Federal rules, regulations, or laws.

Data Collection Procedure

1. Grantee data will be collected via an online database administered by Cityspan. Personally identifiable client data will only be visible to the grantee that enters that data, to Cityspan, and to designated OFCY evaluator(s).
2. Grantee will be required to collect some individual level data such as client program participation. Identifying information – specifically, client first and last name and date of birth – will be collected in the Cityspan database.
3. Access to the online database is password protected. An authentication protocol prevents access to the database without a secure ID and password issued by Cityspan. Each grantee will determine which members of its agency have access to the database and what level of access they will have.
4. Electronic procedures will be implemented that terminate an electronic session after a predetermined time of inactivity, pursuant to HIPPA or CMIA standards, whichever is stricter. All accounts on the OFCY database will automatically log out if left idle for a designated period.

Data Matching Procedure

In order to support the evaluation of OFCY programs and the progress of individual clients, the evaluator may match Grantee data with data provided by the Oakland Unified School District (OUSD). There are two principles to the data matching procedure:

1. OUSD will not have access to Grantee’s data from the Cityspan database. The only exceptions are OFCY Grantees in the School-based after school strategy who are jointly funded by OFCY and OUSD and are using the hybrid OFCY/OUSD Cityspan system.
2. The evaluator will not use individually identifiable information for anyone during program analysis.

Steps Involved in Data Matching Process:

- Grantee will enter names and dates of birth directly into the Cityspan database for each client.
- Cityspan will generate a unique “Cityspan ID” for each client.
- Cityspan sends the evaluator participant service data, Cityspan ID and identifying information.
- The evaluator matches participants to other data source records such as OUSD, using first name, last name, date of birth, ethnicity and gender – without OFCY service data.
- The evaluator strips the matched data records of any identifying information, keeping only the Cityspan ID intact before conducting data analysis of program impact.

Prohibition on Data Sharing

Absolutely no sharing of Grantee program data in the Cityspan OFCY database is allowed other than that specified in this grantee manual. However, if data is ordered by any City, State, or Federal agency/body, pursuant to applicable rules, regulations or laws, such data shall be provided.

Procedure for Obtaining Prior Written Consent from Clients

An Authorization to Release Confidential Information (“Consent Form”) must be signed by each client before client data is collected and input or transferred into the Cityspan database. Grantee is responsible for discussion of confidentiality protocols with clients and parent/guardians and ensuring that they are informed about their rights.

In every case the original signed Consent Form will be kept by the Grantee and a copy will be provided to the client as well as the parent/guardian (if applicable). Authorization may be withdrawn at any time.

Grantee is expected to explain the Authorization process in a language understood by the client. If parent/guardian of the client does not speak the languages spoken by the Grantee staff, or cannot adequately read in the languages in which the Consent Form is available then it is the responsibility of the Grantee to provide an interpreter, or to read the form to the client or parent/guardian, and to sufficiently explain any difficult wording. Grantee shall respond fully, appropriately, and in a timely manner to the questions and concerns of the client and/or parent/guardian related to the forms or the confidentiality policy and procedures.

If the parent/guardians' ability to adequately understand and make decisions about their child's and their own participation in services is uncertain (e.g., due to age, cognitive impairment, extreme stress, or other factors), and a legally authorized representative is not available, the Grantee shall not release or disclose confidential information.

The authorization may be revoked at any time by the client or parent/guardian. To revoke the authorization, the client or parent/guardian should revoke the authorization in writing and submit it to the Grantee, who will then inform Cityspan as soon as is practicable. Actions taken by Cityspan or The City of Oakland prior to the revocation of the authorization may not be revoked. All confidential information on clients who have revoked their authorization will have identifying information removed from the Cityspan database in a timely manner.

Refusal to authorize sharing of confidential client information shall not preclude the client's receipt of Grantee's services. However, these clients will not be counted toward the achievement of Scope of Work projected benchmarks for unduplicated participants served and service hours (Units of Service).

Limitation on Disclosure of Confidential Information

Only aggregated data or non-personally identifiable individual data will be shared with the City of Oakland. De-identified information may be shared which neither identifies nor provides a reasonable basis to identify an individual. De-identified data may include the removal of specified identifiers of the individual and of the individual's relatives, household members, and employers, and is adequate only if Cityspan has no actual knowledge that the remaining information could be used to identify the individual.

City of Oakland and its auditors, including the City Auditor, will have access only to aggregated data or individual data stripped of personally identifying information. The City and its auditors, including the City Auditor will not have access to personally identifying information, including names and birth dates of a particular client being served by a Grantee. The City and its auditors, including the City Auditor will have access to anonymized data on a particular client or aggregate data about a program if that program is serving a small number of clients who could be identified simply by race, gender or age. The City of Oakland will not use its contractual relationship with Cityspan to compel Cityspan to deliver personally identifiable information.

Each Grantee will be responsible for carefully monitoring the data collection and reporting of confidential Client information maintained in the Cityspan database. The original, signed copy of the Client's Consent

Form- and any other information regarding the Client collected at any point in time on paper, printed from electronic files, or stored electronically- will be placed in a personal paper or electronic file folder, and stored in a location accessible only to Grantee staff who can document a direct, specific, and time-limited need for the confidential information to which they request access.

Cityspan Responsibilities:

- Cityspan shall keep all confidential information in the strictest confidence.
- Cityspan will provide for the protection of confidential information with the most advanced security technology available, and will meet all applicable rules, regulations, and laws, including but not limited to, those set out in HIPAA and CMIA, and all other California and federal privacy regulations.
- Cityspan shall maintain a database that is compliant with HIPAA, CMIA, and shall follow all HIPAA and CMIA privacy requirements in the handling of personally identifiable information.
- Cityspan will report its data compilations in such a manner so as not to permit the release of personally identifiable information to persons other than those identified in this MOU.
- Cityspan will not disclose any personally identifiable information to any requesting person or entity aside from the evaluator, without prior written authorization from the Grantee, with the exception of any directive or order for information from any City, State or Federal agency/body pursuant to applicable rules, regulations or laws.
- Cityspan shall keep all data in a space physically and electronically secure from unauthorized access. Information and data shall be stored and processed in a way such that unauthorized persons cannot retrieve or alter the information by using a computer, remote terminal, or other means.
- Cityspan shall instruct all staff with access to confidential information about the requirements for handling confidential information.
- Cityspan shall provide all staff having access to confidential information with statements of organizational policies and procedures for the protection of human subjects and data confidentiality.
- Cityspan agrees to return or destroy any Protected Health Information it receives from any Grantee inputting data into the online database as requested by Grantee or City, or as required by HIPAA or CMIA.
- Cityspan will comply with requirements for managing student education records as set forth in the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99).
- Cityspan will provide technical support to all Grantees using the OFCY Cityspan database. Toward this end, Cityspan will operate a Help Desk by phone during all regular business hours, Monday through Friday excluding holidays from 9:00 a.m. to 5:00 p.m.

Grantee Responsibilities:

- Grantee is responsible for maintaining password security to its own agency database user accounts. Each Grantee will have the ability to create user accounts and passwords that allow individuals to access the personally identifiable information entered into the database by their own agency.

- If a database user account assigned to a Grantee requires additions, amendments, or deletions, then the Grantee is responsible for contacting Cityspan during normal business hours to make those changes.
- Grantee will obtain a signed Consent Form from individuals (or from their parent or guardian if they are a minor) to input their personal information into the database and to participate in OFCY evaluation. Grantee will follow the procedure outlined above.
- Grantee will enter relevant information into the database and participate in the OFCY evaluation as a condition of funding.

Cityspan Training for Grantees

OFCY will provide trainings throughout each fiscal year. The training is mandatory for all new grantees. Registration for in-person trainings can be found at <http://www.ofcy.org/cityspan>. Additional resources such as a recorded webinar and the Cityspan User Manual are also available on the webpage. Please contact OFCY Program Analyst Scott Kim at sskim@oaklandca.gov or 238-2209 for any questions regarding Cityspan trainings.

Helpful Tip: For technical issues with the database, the Cityspan help desk is available to take phone calls Monday through Friday from 8 am to 5 pm. The toll free number is 1-866-469-6884.

OUTSIDE EVALUATION

To collect and analyze the evaluation data required by City of Oakland Legislation, grantees are required to participate in the OFCY's data management and evaluation systems. Grantees are required to cooperate and collaborate with OFCY evaluation consultants. Every grantee will work with the OFCY external evaluator to follow evaluation data collection requirements as follows:

1. Grantee program staff will input client demographic and program services into Cityspan on a regular basis;
2. Grantees will participate in all evaluation activities prescribed by the OFCY outside evaluator, including but not limited to site visits; client, staff, educator and parent surveys; pre- and post-tests for certain participants; assessments; and interviews;
3. Grantees will send an appropriate representative to working group meetings conducted by the outside evaluator, if required;
4. Grantees will communicate in a timely fashion with the OFCY outside evaluator concerning any evaluation data collection issues that arise and resolve issues expeditiously.

EVALUATION CONSENT

OFCY grantees are required to have enrolled clients (or their parent, guardian, or other legally authorized representative if a minor) sign a Release of Information Form giving consent to being evaluated by the

City and the designated evaluation consultant. This includes school-based programs sharing information with and from Oakland Unified School District.

To facilitate this process, OFCY has created a Parent Consent form (for children under the age of 18) and an Older Youth and Adult Consent form (for youth clients 18 years and older) for your clients. The forms for Parent Consent and Older Youth and Adult Consent and the Consent Administration Protocol guidelines may be found on OFCY's website at <https://www.ofcy.org/grantee/grant-policies/>.

All programs funded by OFCY are responsible for administering evaluation consent at client intake.

For youth under 18 years of age, the administrator will work with the client to obtain parent or guardian consent for the minor to participate in evaluation activities, and possibly have their likeness photographed or videotaped.

The administrator will provide the form in English or the client's primary language for limited English-proficient clients. Consent will be conducted in private to preserve the confidentiality of the client's decision. The administrator will be responsible for communicating and explaining the following points orally to ensure that clients understanding how their personal information may be used. All parent and client consent forms opting out of the evaluation will be stored securely by the agency in the client document folder on site.

If your agency has intake forms for client participation and would like to modify those forms to include parent or older youth consent for evaluation, you may insert the text from OFCY's consent forms into your enrollment forms to reduce client overall paperwork. Contact your OFCY Program Analyst for further questions.

SITE VISITS AND FILE REVIEW

Every grantee shall have a formal Site Visit at least once during the three-year funding cycle.

When there is a subcontractor in the contract, it is the legal obligation of the lead agency to monitor the subcontractor's progress and to ensure accountability. However, OFCY staff has the right to conduct file reviews of subcontractor agencies and program observations of the subcontractor.

Setting up a Site Visit

Grantee will be provided with the date of site visit by email to the Executive Director/Agency Director that informs them of the:

1. Date and time of the site visit.
2. Identified staff members and representatives for the agency (i.e. outside bookkeeper and accountant, etc.) who need to be present and the amount of time they will be required to meet with OFCY staff.
3. Program Observation time and date that will also be set up at the time of site visit appointment (OFCY staff will observe the funded program in action).

Day of Site Visit

The site visit will last up to four (4) hours (including both the file review and program observation). The following is an approximate schedule:

1. One hour with the Agency Program Director and Manager.
2. Thirty minutes file review.
3. One-hour program observation.

Program Observation

OFCY staff will observe the OFCY funded program to be sure attendance and the correct target population is served. In addition, that the curriculum (if applicable) is being followed. This applies generally to group and event activities but may also include staff meetings or other observations when practical. See the Program Observation section of the Site Visit Questionnaire tool for more information on what aspects of the program is being evaluated.

OFCY also reserves the right to attend and observe a program unannounced on other occasions as well.

File Review

No less than once during the three-year grant cycle, OFCY Program Analysts will conduct a file review of OFCY participants for each grantee providing clinical and non-clinical case management, mental health, intensive outreach and group activities. This file review will coincide with the grantee site visit. The purpose of the file review is to confirm the programs are serving the correct population, ensure quality control of files (documentation and completeness), and confirm data are being properly inputted into the Cityspan database. Programs are required to store attendance and financial records no less than five (5) years.

The Program Director will generate a list of participants from the Cityspan database and then the OFCY Program Analyst will randomly select at least ten participants from the list for the visit. The Program Director, if they chose, will remove or block out the names of participants before allowing the OFCY Program Analyst to view the files. If there are issues with the ten selected, an additional sample may be requested by the OFCY Program Analyst.

The files will be checked to ensure that your program's eligibility requirements are met. Those documents **may** include:

1. For employment programs, copies of work permits (for the grantee under the age of 16),
2. For employment programs paying the grantee, copies of social security cards and photo identification will be on file.
3. SIGNED Consent/Release of Information Form (either by parent for those under 18 or by participants for those over 18) on file for those participants who are listed as consenting to be in the evaluation in the database.
4. The consent form(s) have been written as OPT-OUT – so that parents or youth who do NOT want to participate in evaluation or have their photo/video taken would need to opt-out of

the process. Until we receive confirmation of opting out, the youth would be included in part of the evaluation.

Site Visit Report

1. A Grantee Site Visit Report will be prepared by the OFCY Program Analyst.
2. Report may have corrective actions with completion due date.
3. Compliance with the corrective actions will be part of the OFCY Program Analysts review of future quarterly reports. Due dates are included in the quarterly report section of the Cityspan database.
4. Not responding or reporting on corrective actions by the due dates listed in the Site Visit report can be a reason to not renew funds for the next funding year.

MEDIA AND PUBLICATIONS

Any publicity or marketing materials generated by the grantee for the OFCY-funded project must adhere to the following guidelines.

Any publicity or marketing materials generated by Grantee for the project will make reference to the contribution of the City of Oakland's Oakland Fund for Children and Youth (OFCY) in making the project possible. The words "**Oakland Fund for Children and Youth**" will be explicitly stated in all pieces of publicity, including but not limited to flyers, press releases, websites, posters, brochures, public service announcements, interviews and newspaper articles. The OFCY logo must be clearly placed on all pieces of publicity and marketing material, including but not limited to flyers, press releases, websites, posters, brochures, public service announcements, interviews and newspaper articles. City staff will be available whenever possible at the request of Grantee to assist Grantee in generating publicity for the OFCY-funded project.