

## GUIDANCE FOR REQUIRED DATA TO BE SUBMITTED

This Guidance is presented in five sections:

- A. Proposal Submission Requirements
- B. Assembly Instructions
- C. Guidance to the Program Narrative
- D. City Funding Priorities
- E. Future Contracting Requirements

### A. Proposal Submission Requirements

Copies of the application packet are available at the Community and Economic Development Agency, Housing and Community Division/CDBG Programs, 250 Frank H. Ogawa Plaza, Suite 5313, (across from City Hall) Oakland, California 94612-2034, (510) 238-3716 during the business hours of 8:30 a.m. to 5:00 p.m. Packets will be available at the orientation meetings. The application packet can be viewed and downloaded from the City of Oakland's website at [www.oaklandnet.com/government/hcd/cdbg/packet.html](http://www.oaklandnet.com/government/hcd/cdbg/packet.html). **THE APPLICATION PACKET WILL NOT BE AVAILABLE OR DISTRIBUTED AFTER DECEMBER 15, 2008.**

A separate proposal must be submitted for each District and for each project, activity or site for which CDBG funding is requested. Discrete activities such as service delivery/operating costs and acquisition or construction costs should be submitted in separate proposals. **ONLY ONE PROPOSAL PACKET FOR EACH PROPOSAL SHOULD BE SUBMITTED.**

- Do not include a separate cover letter to the proposal packet.
- Agencies requesting funds for projects that will serve more than one district should do the following:
  - Submit a separate proposal for each district you propose to serve. Each proposal should include only the amount requested and accomplishments expected for each respective district, as well as the location from which the district will be served.
  - If the amount requested for each district is the same, simply prepare a separate budget for the costs for one district and include a photocopy of the Budget Form (Attachment E-5) with the separate proposal for each district. If budgets are different for each district, you must submit a separate Budget Form for each district proposal. Directions are provided with the budget form reiterating this requirement. Unless otherwise authorized by the district, funds can only be used to serve persons or areas in the respective district by which funds are allocated.
  - If the same amount is being requested for each of the two fiscal years, one budget form should be used showing the annual costs for a fiscal year. If different amounts are being requested, either a separate budget form should be prepared for each year or the annual amounts should be shown in separate columns on one budget form, and the fiscal year should be clearly identified on the form(s).
  - If the proposed goals, outcomes and services are the same in each district, prepare one Performance Measures Worksheet (Attachment E-7) indicating the number of clients to be

served in a single district and include a separate photocopy of the form with each separate proposal.

- ❑ A font size of 12 must be used in the narrative and no smaller than a 10 font in forms.
- ❑ Proposals should be single-spaced.
- ❑ Forms may not be scanned or revised or borders extended in order to include additional information.
- ❑ The narrative must not exceed five (5) pages and there must be 1” margins on the top, bottom and both sides of each page.
- ❑ The name of the requesting agency should be in a ½” header on each page, and the page numbers should be in ½” footers on each page.
- ❑ The Cover Sheet, Executive Summary, Narrative, Budget and Performance Measures Worksheet must be submitted on single side sheets and not on two-sided sheets.
- ❑ **Proposal packets should not be placed in binders or bound covers. They should be secured with binder clips rather than stapled.**
- ❑ **Do not separate the proposal sections with dividers.**
- ❑ **Do not submit the RFP sections with instructions/guidelines in the proposal packet.**
- ❑ **Failure to provide all required information will result in a proposal being returned without review or comment.**
- ❑ **All proposals must be submitted by 12:00 noon on Friday, January 16, 2009. There will be no exceptions to this rule.**

**Orientation Meetings: TO BE ELIGIBLE TO SUBMIT AN APPLICATION, PROSPECTIVE APPLICANTS MUST ATTEND ONE OF TWO MANDATORY ORIENTATION MEETINGS AT WHICH THE CDBG APPLICATION PROCESS AND REQUIREMENTS WILL BE REVIEWED AND BE PRESENT FOR THE ENTIRE LENGTH OF THE MEETING.**

<p><b>Place: City Hall, Hearing Room 3, One Frank H. Ogawa Plaza, Oakland</b> <b>Date: Monday, December 15, 2008 Time: 10:00 a.m. to 12:00 noon and 2:00 to 4:00 p.m.</b></p>
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**Due Date:** Completed proposals must be received by CEDA no later than **12:00 noon on Friday, January 16, 2009.** To meet this deadline, proposals must arrive and be time-stamped by CEDA by 12:00 noon on the date due. Postmarks will not be accepted and late proposals will not be accepted. Applications should be mailed or hand-delivered to:

**Attention: Mrs. Michele Byrd, Community Development Programs Manager**  
**City of Oakland Community and Economic Development Agency**  
**Housing and Community Development Division/CDBG Programs**  
**250 Frank H. Ogawa Plaza, Suite 5313, Oakland, CA 94612-2034**

**NOTE: ORGANIZATIONS SHOULD NOT INCUR ANY COSTS, PERFORM ANY WORK, PURCHASE ANY GOODS OR SERVICES, NOR MAKE ANY COMMITMENTS OR SIGN ANY CONTRACTS WITH ANY PERSON, ORGANIZATION OR COMPANY RELATED TO THE PROJECT FOR WHICH CDBG FUNDS HAVE BEEN REQUESTED UNTIL THE FUNDS HAVE BEEN APPROPRIATED BY THE CITY COUNCIL AND UNTIL A THIRD-PARTY CONTRACT HAS BEEN EXECUTED WITH THE CITY.**

## **B. Assembly Instructions**

Your proposal should include the following documents submitted in the order indicated below. Only a single set of documents should be submitted for each application. **INCOMPLETE PROPOSALS THAT DO NOT INCLUDE ALL REQUIRED DATA AND DOCUMENTS WILL NOT BE ACCEPTED. FORMS MUST NOT BE REFORMATTED AND WILL NOT BE ACCEPTED IF CHANGED IN ANY WAY.**

1. Proposal Cover Sheet (Attachment E-1) **[ORIGINAL]**
  2. Executive Summary (Attachment (E-2) **[ORIGINAL]**
  3. Proposal Narrative – 5 pages maximum **[ORIGINAL]**
  4. Budget Form (Attachment E-5) **[ORIGINAL]**
  5. Performance Measures Worksheet (Attachment E-7) **[ORIGINAL]**
  6. Articles of Incorporation and Bylaws
  7. Documentation of Good Standing from the State of California **[DATED AT TIME OF SUBMISSION]**
  8. State and Federal Tax Exemption Determination Letters
  9. List of Board of Directors
  10. Board of Directors' authorization to submit request and designation of authorized officials
  11. Organizational chart
  12. Resume of program administrator
  13. Resume of fiscal officer
  14. Financial statement and audit
  15. Conflict of interest questionnaire
  16. Documentation of compliance with national objectives (either Attachment E-12 or E-13)
- City agencies should submit documents Nos. 1, 2, 3, 4, 5, 15 and 16 only.
  - Private agencies which have applied in the past three years or are currently receiving CDBG funds do not need to submit documents Nos. 6, 8, 9, 11, 12 and 13 if they are on file in the CEDA/HCD Division-Programs and they have not been changed since initially submitted. Documents Nos. 1, 2, 3, 4, 5, 7, 10, 14, 15 and 16 must be submitted with each two-funding cycle request. Only one set of the following documents should be submitted even if more than one proposal is submitted: Nos. 7, 10, 14 and 15.
  - Private agencies applying for CDBG funds for the first time should submit all documents. Only one set of the following documents should be submitted even if more than one proposal is submitted: Nos. 6, 7, 8, 9, 10, 11, 12, 13, 14 and 15.

Additional information may be included in an Appendix which will be kept in the Housing and Community Development Division/CDBG Programs' files but will not be distributed.

The Housing and Community Development Division-Programs will duplicate and distribute the Proposal Cover Sheet, Executive Summary Form, Proposal Narrative, Budget Form, and Performance Measures Worksheets. All other documents will be reviewed and filed but will not be distributed.

## C. Guidance to the Proposal Narrative:

Applicants must provide information in the format prescribed below. Proposals must also include the completed forms and documents described above in Section B-Assembly Instructions. In completing the Proposal Narrative and other Forms, the City recommends the following:

- ❑ Be as specific as possible. The more detail provided, the better able will reviewers be to evaluate your program fairly.
- ❑ Do not over-promise. Make realistic projections as to what you can reasonably achieve.
- ❑ There are six sections to the required Proposal Narrative presented in an outline format below. In addition to the guidance preceding the required outline, there is a more specific description under each section heading identifying information to be included within each section. It is important to incorporate information responsive to ALL these descriptions. The exception to this admonition would be in relation to programs for which the information sought is not relevant to the service provided. For example, the rehabilitation of a playground may not require collaboration with other agencies. However, applicants should be extremely cautious about omitting responses to information requested.
- ❑ The page limits given for each section are suggested limits. Each applicant may allocate somewhat more or somewhat less space to each section according to the nature of the proposal. **But in no instance may the applicant provide more than five (5) pages of total narrative.**
- ❑ If additional documents such as client intake/application forms, pre-/post-test forms, and program brochures are submitted they must be in addition to the five-page narrative and will not be duplicated for distribution to and review by the District Boards
- ❑ Proposals must meet HUD regulations provided in Attachment D. Review Attachment D-1 and D-2 very carefully to ensure that you can satisfy the HUD regulations. Staff will review the proposals to determine that organizations are eligible for CDBG funding, that proposed activities are eligible for CDBG funding, that proposed costs are CDBG eligible expenditures, and that proposed activities demonstrably benefit low- and moderate-income persons.

### I. Need for Program [1/2 page]

In one-half page describe the need for your proposed program in your community. Provide data that supports the need for your program, as well as the source of the data.

### II. Description of Use of Funds [1-1/2 pages]

In one and one-half pages, provide a description of the services you propose or the activities for which the funds would be used.

- ❑ Indicate how you will identify clients. Provide an estimate as to the number of clients to be served and describe them in terms of age, gender, ethnicity, income-level, and other defining characteristics.
- ❑ Be very specific about who will carry out the activities, the location in which they will be carried out, the period over which the activities will be carried out, and the frequency with which services will be delivered.
- ❑ For service programs, include how you propose to coordinate your services with other

community agencies and leverage their resources.

### **III. Program Monitoring [1/2 page]**

In one-half page, describe how you will monitor progress in implementing the program. Attach copies of all data collection tools that will be used to verify achievement of program goals and objectives. Describe who will be responsible for the monitoring process.

### **IV. Describe the Experience/Capacity of Your Agency [1-1/2 pages]**

In one and one-half pages, organize your response into three sections with the majority of space devoted to programmatic and fiscal capacity.

#### **IV.A. Program Experience/Capacity**

Provide a concise description of your agency's history and success in delivering these services.

#### **IV.B. Financial Capacity**

- Describe your agency's total current operating budget and the major sources and uses of funding.
- Describe the agency's fiscal management, disbursement methods, financial reporting, record keeping, and accounting procedures.
- Indicate the agency's ability to comply with the audit requirements specified on page 9.
- Indicate whether or not your agency pays all payroll taxes and worker's compensation as required by Federal and State law.
- Indicate also if your agency has adequate insurance. The required coverage for general and automobile liability insurance, bonds, and fire insurance is specified in Section E-1 (page 7).

#### **IV.C. Personnel**

Indicate whether your agency has a written personnel policy, affirmative action plan and grievance procedure.

### **V. Describe Staff Capacity [1/2 page]**

In one-half page, list the staff, consultants, tutors, and volunteer positions, as applicable, that will be involved in carrying out the proposed program. Where known, describe the experience and expertise of the individuals who will be responsible for program implementation.

### **VI. Description of Facilities Where Activities will be Carried Out [1/2 page]**

In one-half page, describe the site where the program will be implemented. How will clients get to the facility? What efforts will your agency and partners make to promote your program and reach isolated individuals? Describe how the facility complies with Americans with Disabilities Act (ADA) requirements relating to accessibility.

## **D. City Funding Priorities**

### **Mayor and City Council Priority Objectives**

In accordance with the City of Oakland's policies, the priority objectives of the Mayor and City Council must be a primary consideration in the allocation of CDBG funds. Applicants are strongly encouraged to plan programs that will meet at least one of the following priority objectives and should identify in the proposal narrative which objective(s) will be met:

1. Crime reduction through citywide community policing and other strategies.
2. Attract, help start, retain and expand environmentally sound and sustainable development businesses which support the long-range comprehensive and sustainable economic development plan of the City and its neighborhoods.
3. Combat blight and improve the physical appearance, livability and integrity of the City's neighborhoods and improve housing opportunities including 10,000 new people living in the downtown area.
4. Adopt a balanced operating plan and all funds budget based on performance measures, community input and Council goals and objectives, without the use of one-time revenue or cost savings. One time cost savings will be used for reserves and special projects only.
5. Improve responsiveness to customers and reduce direct governmental costs through continued implementation of the strategic management system, restructuring, re-engineering and the increased use of technology and partnership with unions.
6. Provide quality programs, prevention services and enhance the coordination of education (including training, mentoring and entrepreneurial opportunities) for diverting youth from violence, crime, delinquency, gang involvement, and drug use.
7. Identify, plan and solve urban environmental and social issues that impact the health and quality of life in Oakland including pedestrian safety, sidewalk repair, lighting, brownfields and toxic industry in residential areas.
8. Improve the efficiency and overall effectiveness of the City bidding and contracting process while maintaining apprentice, job training and strong Hire Oakland and MBE/WBE/LBE/SBE programs and policies.
9. Create and coordinate opportunities for training, employment and job retention for Oakland residents to meet the needs of industries targeted in the Comprehensive Economic Development plan of the City while working to alleviate the ill effects of the Welfare Reform Act of 1996.
10. Improve school safety by increasing collaboration between Oakland Unified School District, Police Services Agency and Parks and Recreation and Cultural Services.
11. Celebrate arts and culture to express the creativity and diversity of Oakland.

## **E. Future Contracting Requirements**

Private agencies selected for funding will be required to enter into a contract with the City. At that time, agencies will be required to meet the following requirements. Applicants should state in their proposals whether or not they can comply with these requirements.

### **I. Insurance/Bond/Worker's Compensation**

- ❑ The City normally requires general liability insurance coverage with bodily injury limits of \$1,000,000 for bodily injury and \$1,000,000 for property damage or \$2,000,000 single combined limit for bodily injury and property damage; and automobile liability insurance coverage with a minimum \$1,000,000 combined single limit for bodily injury and property damage.
- ❑ Professional liability/errors and omissions insurance is required.
- ❑ Fire insurance at least equal to the amount of the grant must be procured for capital improvement projects and acquisition of property.
- ❑ Workers' compensation as required by State law must be paid.
- ❑ Construction contractors are required to procure builders risk/course of construction insurance as well as fidelity, performance and payment bond coverage equal to at least 50% of the grant award.

### **II. Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

The Office of Management and Budget (OMB) Circular A-133 Supplement, Part 3, Section I requires the City to ensure that sub-grantees or contractors receiving awards greater than \$100,000 are not suspended or debarred from participation in Federal award programs. Agencies that are recommended to be awarded a CDBG funded contract will be required to certify that to the best of their knowledge and belief they and their principals are not affected.

### **III. Oakland Living Wage Ordinance**

Unless specific exemptions apply or a waiver is granted, service contractors who receive contracts for \$25,000 or more in any twelve month period, and recipients of City financial assistance of \$100,000 or more in any twelve month period or more shall provide payment of a minimum level of compensation to employees who perform services under or related to the contract, project or program of \$10.83 per hour with health benefits, or \$12.45 per hour if no health benefits are offered. This rate is adjusted annually by April 1. Employees shall be entitled to at least twelve compensated days off per year for sick leave, vacation or personal necessity at the employee's request and at least ten uncompensated days off per year for sick leave. Paid holidays, consistent with established employer policy, may be counted toward provision of the required twelve compensated days off.

### **IV. Campaign Contribution**

The Oakland Campaign Reform act prohibits contractors doing business or seeking to do business with the City of Oakland from making campaign contributions to Oakland candidates between commencement of negotiations and either 180 days after completion of, or termination of, contract negotiations. Agencies that are awarded CDBG funding will be required to sign an Acknowledgement of Campaign Contribution Limits Form before entering into a contract with the City.

## **V. Affirmative Action and Equal Employment Opportunity**

- Section 3 of the Housing and Urban Development Act of 1968 by the Housing and Community Development Act of 1992, Section 3, as amended, requires that economic opportunities generated by certain HUD financial assistance of housing (including public and Indian housing) and community development programs shall, to the greatest extent feasible, be given to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to businesses that provide economic opportunities for these persons.
- Equal Employment Practices: Contractors shall not discriminate or permit discrimination against any person or group of persons in any manner prohibited by federal, state or local laws.
  - Contractor and Contractor's subcontractors, if any, shall not discriminate against any employee or applicant for employment because of gender, sexual preference, race, creed, color, national origin, Acquired-Immune Deficiency Syndrome (AIDS), AIDS-Related Complex (ARC) or disability. This nondiscrimination policy shall include, but not be limited to, the following: employment, upgrading, failure to promote, demotion or transfer, recruitment advertising, layoffs, termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.
  - Contractor and Contractor's subcontractors shall state in all solicitations or advertisements for employees placed by or on behalf of Contractor that all qualified applicants will receive consideration for employment without regard to gender, sexual preference, race, creed, color, national origin, Acquired-Immune Deficiency Syndrome (AIDS), AIDS-Related Complex (ARC) or disability.
  - If applicable, Contractor will send to each labor union or representative of workers with whom Contractor has a collective bargaining agreement or contract or understanding, a notice advising the labor union or workers' representative of Contractor's commitments under this nondiscrimination clause and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

## **VI. Local Business and Local Employment Policies**

### **□ Local and Small Local Business Enterprise(L/SLBE) Program**

Contractors who are awarded funds, for both construction and service projects, are required to have 20% L/SLBE participation. Mentor-Protégé relationships between non-local and local certified firms are strongly encouraged.

### **□ Local Employment Program (LEP)**

Contractors and developers who are awarded funds for construction projects must meet a local resident participation goal of 50% workforce hours and 50% new hires on a craft-by-craft basis.

❑ **L/SLBE Certification for Non Profit and For Profit**

For Profit and Not For Profit organizations with a substantial business presence in the Oakland geographic region are eligible to apply for certification and may earn preference points, bid discounts, and additional credit toward meeting the 20% local participation requirement.

**VII. Job Training Performance Standards**

A job training program is any City funded program that “creates or coordinates opportunities for training, employment and job retention of Oakland residents”. Activities that fall under this reporting system include (but may not be limited to) job readiness training, basic education, vocational skills training, subsidized work experience, unsubsidized job placement, on-the-job training, and placement follow-up services. Any program that is funded by the City for the specific purpose of enhancing the employability or employment status of its targeted clients must comply with the Job Training Performance Standards report procedures.

**VIII. Audit Requirements**

Federal Requirements:

- ❑ Subrecipients that expend \$500,000 or more in total Federal financial assistance in a year must obtain an independent audit in accordance with the Single Audit Act of 1984 and OMB Circular A-133 as reference at 23CFR84.26 and 85.26.
  - If a subrecipient has expended more than \$500,000 in a year under only one Federal program, it may elect to have a program-specific audit conducted in lieu of a single audit (which includes both the entity’s financial statement and the Federal funds it has expended).
- ❑ Subrecipients that expend less than \$500,000 per year in Federal financial assistance are exempt from Federal audit requirements but must maintain records for review by HUD, the City, or the Government Accountability Office, and may be subject to separate state or local laws prescribing additional audit requirements.
- ❑ The costs of audits for Federal assistance program are only chargeable to programs in receipt of \$500,000 or more of Federal funding.

City Requirements:

- ❑ The City shall have the right to audit contracts and all books, documents and records relating thereto.
- ❑ Contractors shall maintain all books, documents and records related to contracts during the contract period and for four (4) years after date of final payment.
- ❑ The books, documents and records related to contracts shall be made available to the City within ten (10) days after a written request is made.
- ❑ If annual funding of \$100,000 or more is received by Contractor or an affiliate of Contractor

from the City, whether in a single contract or as a cumulative amount:

- Contractor will engage a CPA to conduct an audit or audits and will require CPA to furnish the City Auditor's Office with copies of the audit(s), any management letters and Contractor's responses to management letters.
  - Contractor will engage a professional qualified to analyze the Contractor's internal control structures, and to furnish the City Auditor with a copy of the analysis.
  - Contractor shall submit to the City its annual fiscal year financial audit no later than six (6) months after the end of the Contractor's fiscal year.
- Contractor shall cooperate with all monitoring and evaluation activities conducted by the City relative to the contract.
  - Unless Federal or State restrictions apply, the costs of audits are allowable charges for the portion of the audit applicable to the program funded and may be set aside in the budget.
  - Agencies are encouraged to procure their audits from small, local and minority and women-owned Oakland audit firms.

## **IX. ACCESSIBILITY REQUIREMENTS**

The Americans With Disabilities Act of 1990 protects qualified applicants and employees with disabilities from discrimination in hiring, promotion, discharge, pay, job training, fringe benefits, etc. The law also requires that covered entities provide qualified applicants and employees with disabilities with reasonable accommodations that do not impose undue hardship. Sections 503 and 504 of the Rehabilitation Act of 1973 prohibits discrimination on the basis of handicap in any program or activity which receives Federal financial assistance. The facilities of applicants for CDBG funds must be accessible or provisions must have been made at the time of application to provide services from an accessible location. Accessibility includes: entrances, bathrooms, drinking fountains, telephones, parking spaces and any other service provision available to clients without disabilities.

## **X. EQUAL BENEFITS ORDINANCE**

The Equal Benefits Ordinance, Municipal Code, Chapter 2.32 requires contractors on city contracts of \$25,000 or more to provide employee benefits to their employees with domestic partners equivalent to those provided to their employees with spouses. The ordinance covers all benefits that an employer offers its employees and their spouses, which include but are not limited to, health benefits, bereavement leave, family leave, retirement benefits, travel and other benefits. Contractors and vendors that do not have employees or do not provide employees with spousal benefits are not required to change their benefits policies.

## **XI. NUCLEAR FREE ZONE DISCLOSURE**

Contractors are required to attest that their business entity and none of their subsidiaries, affiliates or agents engage in nuclear weapons work or anticipate entering into such work for the

duration of their contracts with the City of Oakland.

Community and Economic Development Agency - Housing and Community Development Division/CDBG Programs  
December 2008  
ATTACHMENT E-3.REQUIRED DATA GUIDANCE