

File ID Number	15-2263
Introduction Date	12-2-15
Enactment Number	15-1892
Enactment Date	12/2/15
By	<i>[Signature]</i>



OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

**OAKLAND UNIFIED SCHOOL DISTRICT
Office of the Board of Education**

To: Board of Education
 From: Antwan Wilson, Superintendent
 Subject: **District Submitting Grant Amendment**

ACTION REQUESTED:

Approval and support by the Board of Education of District applicant submitting grant amendment for OUSD schools for fiscal years **2013-2016** to accept same, if granted, in whole or in part, pursuant to the terms and conditions thereof and to submit amendments thereto, for the grant year, if any.

BACKGROUND:

Grant amendment for OUSD schools for the **2013-16** fiscal years were submitted for funding as indicated in the chart below. The Grant Face Sheet and grant amendment documentation are attached.

File I.D.#	Backup Document Included	Type	Recipient	Grant's Purpose	Time Period	Funding Source	Grant Amount
	X	Grant	Oakland Unified School District for the Programs for Exceptional Children Department	Funding for Programs for Exceptional Children Dept. to provide case management, benefits counseling, parent education and advocacy training, career and work-based learning experiences to improve the education and employment outcomes for families with children who are Social Security recipients.	12/1/2013 thru 9/30/2016	Department of Rehabilitation	\$625,041.00

DISCUSSION:

The district created a Grant Face sheet process to:

- Review proposed grant projects at OUSD sites and assess their contribution to sustained student achievement
- Identify OUSD resources required for program success

OUSD received a Grant Face Sheet and a completed grant application for the program listed in the chart by the PEC department.

FISCAL IMPACT:

The total amount of grants will be provided to OUSD schools from the funders.

- Grants valued at: \$625,041.00

RECOMMENDATION:

Approval and support by the Board of Education of District applicant submitting a grant amendment for OUSD schools for fiscal years **2013-2016** to accept same, if granted, in whole or in part, pursuant to the terms and conditions thereof and to submit amendments thereto, for the grant year, if any.


ATTACHMENTS: Standard Agreement Amendment #29133 (4 copies), Board Resolution, Exhibit B-Budget Details and Payment Provisions, CaPROMISE Service Budget Narrative, Exhibit D- Special Terms and Conditions, Exhibits E & F- Additional Provisions

OUSD Grants Management Face Sheet

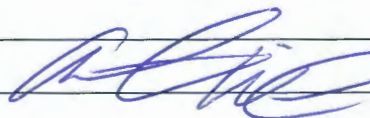
Title of Grant: CaPROMISE	Funding Cycle Dates: Dec. 1, 2013- September 30, 2016
Grant's Fiscal Agent: (contact's name, address, phone number, email) Sheilagh Andujar, Associate Superintendent Programs for Exceptional Children 2850 West Street Oakland, CA 94608 (510) 874-3700 sheilagh.andujar@ousd.k12.ca.us	Grant Amount for Full Funding Cycle: \$625,041
Funding Agency: State of California Department of Rehabilitation (DOR)	Grant Focus: SSI Benefits Counseling & Pre-Employment Training
List all School(s) or Department(s) to be Served: The students served are recruited from a list provided by the Social Security Administration and attend school at various sites across the district.	

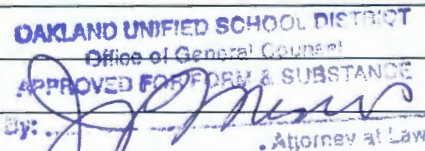
Information Needed	School or Department Response
How will this grant contribute to sustained student achievement or academic standards?	This grant provides resources and personnel support to provide services to child recipients of Supplemental Security Income (SSI) and their families to overcome major barriers to employment via career counseling, self-advocacy training, and access to employment and educational opportunities to increase self-sufficiency and decreased reliance on public benefits.
How will this grant be evaluated for impact upon student achievement? (Customized data design and technical support are provided at 1% of the grant award or at a negotiated fee for a community-based fiscal agent who is not including OUSD's indirect rate of 4.57% in the budget. The 1% or negotiated data fee will be charged according to an Agreement for Grant Administration Related Services payment schedule. This fee should be included in the grant's budget for evaluation.)	This program is a federal funded study to determine the effectiveness of employment skill development, transition planning, self-advocacy and SSI benefits counseling in improving the post-high school outcomes and career trajectory of students who are SSI recipients. The students participating in this study will receive individualized counseling and support related to their high school course of study, monitoring of academic achievement, and development of post-high school education and career goals.
Does the grant require any resources from the school(s) or district? If so, describe.	Office/classroom space for staff, access to student records (AERIES/ DA), teacher assistance and collaboration to connect with students & parents, and to assist students in completing job-readiness activities and assignments.
Are services being supported by an OUSD funded grant or by a contractor paid through an OUSD contract or MOU? (If yes, include the district's indirect rate of 5.17% for all OUSD site services in the grant's budget for administrative support, evaluation data, or indirect services.)	NO
Will the proposed program take students out of the classroom for any portion of the school day? (OUSD reserves the right to limit service access to students during the school day to ensure academic attendance continuity.)	Yes, students may be taken out of school to participate in job shadowing, volunteer/service learning or internship activities, college and community agency visits, job readiness workshops, off-campus employment training, and individual case management meetings.
Who is the contact managing and assuring grant compliance? (Include contact's name, address, phone number, email address.)	Petrina Alexander, Programs for Exceptional Children 1000 Broadway, Suite 398 Oakland, CA 94607 (510)879-1978 office (510)879-2942 fax petrina.alexander@ousd.org

Applicant Obtained Approval Signatures:

Entity	Name/s	Signature/s	Date
Principal			
Department Head	Sheilagh Andujar		11/3/15

Grant Office Obtained Approval Signatures:

Entity	Name/s	Signature/s	Date
Fiscal Officer	Vernon Hal		
Superintendent	Antwan Wilson		



STATE OF CALIFORNIA
STANDARD AGREEMENT AMENDMENT
 STD. 213 A (Rev 6/03)

CHECK HERE IF ADDITIONAL PAGES ARE ATTACHED 27 Pages

AGREEMENT NUMBER 29133	AMENDMENT NUMBER 1
REGISTRATION NUMBER eP 1342941	

- This Agreement is entered into between the State Agency and Contractor named below:
STATE AGENCY'S NAME
Department of Rehabilitation
CONTRACTOR'S NAME
Oakland Unified School District
- The term of this Agreement is **December 1, 2013** through **September 30, 2016**
- The maximum amount of this Agreement after this amendment is: **\$ 625,041.00**
- The parties mutually agree to this amendment as follows. All actions noted below are by this reference made a part of the Agreement and incorporated herein:

The following documents are hereby revised as attached hereto for FY 2013/14 and FY 2015/16; Service Budget and Narrative, Exhibits B – F.

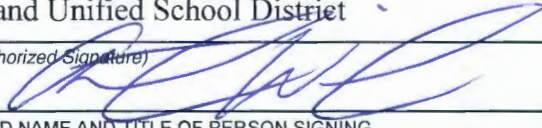

The budget is adjusted to reflect actual expenditures during fiscal year 2013/14 based on enrollment goals of the Local Education Agency (LEA). The unused funds reverted to the CaPromise Fund to be redistributed based on enrollment goals of the 21 existing CaPromise Programs.

FY 13/14 is being decreased by \$201,577.37; FY 14/15 is increased by \$535.00; FY 15/16 is increased by \$150,000.00. The amount of this agreement is changed from \$676,083.00 to \$625,041.00, a decrease of \$51,042.

The effective date of this amendment is December 1, 2013.

All other terms and conditions shall remain the same.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		CALIFORNIA Department of General Services Use Only
CONTRACTOR'S NAME (If other than an individual, state whether a corporation, partnership, etc.) Oakland Unified School District		
BY (Authorized Signature) 	DATE SIGNED (Do not type) 1/6/16	
PRINTED NAME AND TITLE OF PERSON SIGNING Antwan Wilson, Superintendent		
ADDRESS 1000 Broadway, Suite 398, Oakland, CA 94607 1000 Broadway, Suite 450, Oakland, CA 94607 (Billing)		
STATE OF CALIFORNIA		
AGENCY NAME Department of Rehabilitation		<input type="checkbox"/> Exempt per
BY (Authorized Signature) 	DATE SIGNED (Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING Simone Dumas, Chief, Contracts and Procurement Section		
ADDRESS 721 Capitol Mall, 6th Fl., Sacramento, CA 95814		

OAKLAND UNIFIED SCHOOL DISTRICT -

FULL Name of Corporation or Public Agency

WHEREAS, the Board of Directors or Board of Trustees of the above-named corporation or public agency has read the proposed agreement between State of California, Department of Rehabilitation (DOR), and above-named corporation or public agency and said Board of Directors or Board of Trustees acknowledges the benefits and responsibilities to be shared by both parties to said agreement.

NOW, THEREFORE, BE IT RESOLVED that said Board of Directors or Board of Trustees does hereby authorize the following person/position

Name/Position of Person Authorized to Sign Agreement

Antwan Wilson, Superintendent

of the above-named corporation or public agency on behalf of the corporation or public agency to sign and execute any and all documents required by DOR to effectuate the execution of said Agreement and all amendments. This authorization shall remain in effect until the expiration of the contract and shall automatically expire at that time, unless earlier revoked or extended by the Board of Directors.

CERTIFICATION

I, the Recording Secretary named below, hereby certify that the foregoing resolution was duly and regularly adopted by the Board of Directors or Board of Trustees of above-named corporation or public agency at a meeting of said Board regularly called and convened at which a quorum of said Board of Directors or Board of Trustees was present and voting, and that said resolution was adopted by a vote of the majority of all Directors or Trustees present at said meeting.

IN WITNESS WHEREOF, I have hereunto set my hand as Recording Secretary of said corporation or public agency.

Address Where Board Meeting Held

The Great Room, La Escondida Ed. Center 1050 2nd Ave Oakland, CA 94606

Date of Board Meeting

Signature of Recording Secretary

Date Signed

December 2, 2015

Antwan Wilson
Secretary, Board of Education

1/6/16

**WorkAbility 1 Special Grant 2015-16 FINAL Budget
Oakland USD (088-03)**

WA1 Project Contact Petrina Alexander, WAI Program Coordinator, TSA
 Email petrina.alexander@ousd.k12.ca.us
 Phone (510) 879-1978
 Summer Phone (510) 772-6721
 Fax (510) 879-2942
 LEA Type SELPA

CDE Use Only

CERTIFICATION

I hereby certify that all applicable state and federal rules and regulations will be observed; that to the best of my knowledge, the information contained in this budget is correct and complete; and that the assurances submitted previously are accepted as the basic conditions in the operation of this program for local participation.



Antwan Wilson, Superintendent

1-6-16

Signature of Authorized Agent

Name and Title of Authorized Agent

Date

	Amount for 2015-16	Grant Reporting Period
Total Budget (from 2015-16 Grant Award Letter)	\$311,460.00	7/1/2015 – 6/30/2016

CDE Use Only

Reviewed and Recommended for Approval By

Special Education Division Consultant

Date

Object of Expenditures			Budget Amounts
Line	Account	Classification	Budget Date: 5/15/2015
1	1000	Certificated Salaries	\$ 63,000.00
2	2000	Classified Salaries	\$ 156,298.00
3	3000	Employee Benefits	\$ 62,670.00
4	4000	Books and Supplies	\$ 3,967.00
5	5000	Services and Other Operating Expenses	\$ 9,400.00
6		Total Direct Costs (Subtotal)	\$ 295,335.00
7		Indirect Cost 5.46 %	\$ 16,125.00
8		Total Budget	\$ 311,460.00

Project Description:

The OUSD WorkAbility I Program site has four staff members that work collaboratively with school staff to provide services to 826 students across the district at twenty-two different school sites. Each staff member, designs a service delivery model that best meets the needs of the students at the school site and which teachers can support. Program resources are utilized to offer job-readiness workshops, develop work based learning opportunities and fund work placements for students.

Number of High School Students funded to serve for 2015-16: **620**

Number of High School Students to place in paid employment positions for 2015-16: **155**

Number of Middle School Students funded to serve for 2015-16: **206**

Middle School funds for 2015-16 (already included in Budget Total): **\$70,195.00**

Line	Account	Classification	Budget Amounts	
1	1000	Certificated Salaries	\$63,000.00	
	\$54,000	(HS) <u>Petrina Alexander</u> , OUSD WorkAbility I Program Coordinator, TSA		0.600 FTE @ \$90,000/yr FTE
		Coordinate WAI program district-wide and supervise program staff members to ensure implementation of array of services for high school program participants. Responsibilities include facilitating staff meetings to assist teachers in understanding the mission of WAI and student referral process, support classroom teachers with the integration of pre-employment materials provided, marketing WAI program to parents, students, school site staff, employers, and community agencies. Create annual budget based on program needs and activities, monitor WAI budget expenditures and work with financial officers to ensure grant compliance.		
		Serve WAI program participants at designated high schools, conduct job-readiness workshops, interview students to assess career/employment interests, provide counseling and guidance related to careers and post-secondary education, and develop work opportunities for students with employment partners. Attend mandatory WAI trainings.		
	\$9,000	(MS) <u>Petrina Alexander</u> , OUSD WorkAbility I Program Coordinator, TSA		0.100 FTE @ \$90,000/yr FTE
		Facilitate collaboration with school site teachers and assigned WAI middle school liaison to ensure implementation of WAI middle school array of services. Organize and coordinate WAI activities for middle school students to identify and explore career interests. Create opportunities for career exploration in the community and with local businesses.		
2	2000	Classified Salaries	\$156,298.00	
	\$47,434	(HS) <u>Lillian Johnson</u> , WAI Employment Specialist		1.000 FTE @ \$47,434/yr FTE
		Assists in the coordination and implementation of high school program activities, works directly with program participants at designated high schools to offer an array of services, conducts Get Ready! pre-employment workshops, interviews and provides career assessments to students to determine employment interests, develops work opportunities, places students to work with various employer partners and monitors work performance to meet employer expectations for potential transition to unsubsidized		

WorkAbility 1 Special Grant 2015-16 FINAL Budget
Oakland USD (088-03)

		employment.	
	\$1,875	(HS) <u>Various Classified Support Staff</u> , Classified Staff	75.00 hrs X \$25.00/hr
		After hours extended time as required to complete EOY data entry, follow-up study phone calls and input data electronically.	
	\$35,739	(MS) <u>Victor Littles</u> , Community Relations Assistant II	0.700 FTE @ \$51,056/yr FTE
		Assists in the coordination and implementation of middle school activities that develops student career awareness and future employability. Develops partnerships with community agencies and business to promote the mission of WorkAbility I. Organizes field trips to local businesses, colleges and trainings programs to inform students of higher education opportunities. Performs general office duties, maintains payroll and other confidential employment records.	
	\$ 375	(MS) <u>Victor Littles</u> , Community Relations Assistant II	15.00 hrs X \$25.00/hr
		After hours extended time as required to input data electronically.	
	\$70,875	(HS) Student Wages: 90 students X 75.00 hours X \$10.50 per hour	
3	3000	Employee Benefits	\$62,670.00
	\$4,200	(HS) Workers Compensation benefits for 100 Student Workers	
	\$21,600	(HS) <u>Petrina Alexander</u> , OUSD WorkAbility I Program Coordinator, TSA	Salary: \$54,000
		Certificated	
	\$18,974	(HS) <u>Lillian Johnson</u> , WAI Employment Specialist	Salary: \$47,434
		Classified	
	\$14,296	(MS) <u>Victor Littles</u> , Community Relations Assistant II	Salary: \$35,739
		Classified	
	\$3,600	(MS) <u>Petrina Alexander</u> , OUSD WorkAbility I Program Coordinator, TSA	Salary: \$9,000
		Certificated	
4	4000	Books and Supplies	\$3,967.00
	\$1,500	(HS) Office supplies and consumables to maintain student records, document student activities and data entry.	
	\$1,000	(HS) Instructional materials- interest inventories, posters, career/college reference books, work interview/uniform clothing items for student training and employment, tools/supplies for work simulation activities and special projects.	
	\$ 542	(HS) Bus/Bart tickets for students to travel to work based learning opportunities	
	\$ 500	(MS) Office supplies, printing materials for middle school program activities.	
	\$ 425	(MS) Instructional materials- career/college exploration materials, posters, tools/supplies for special projects and work simulation activities.	
5	5000	Services and Other Operating Expenses	\$9,400.00

WorkAbility 1 Special Grant 2015-16 FINAL Budget
Oakland USD (088-03)

	\$3,000	(HS)	Mileage for WAI staff to travel between school sites, community agency meetings, job develop and monitor students at work.
	\$2,400	(HS)	Travel to required trainings and business meetings for WAI staff.
	\$1,600	(HS)	Bus transportation for community outings and industry tours
	\$ 800	(MS)	Bus transportation for community outings/industry tours
	\$ 600	(MS)	Mileage for staff to travel to various middle school sites, meetings with local community partners and conduct program activities.
	\$ 500	(MS)	Travel expenses for middle school program staff to attend WAI business meeting and trainings.
	\$ 500	(MS)	Admission fees for community outings/industry tours
7		Indirect Cost: 5.46%	\$16,125.00
	Cost of district administrative services and support		
	Total Budget		\$311,460.00

EXHIBIT B
(Subvention Agreement)

BUDGET DETAIL AND PAYMENT PROVISIONS
CaPROMISE

1. INVOICING AND PAYMENT

A. Service Budget Payment of Expenditure

1. This is a cost reimbursement Agreement for subvention services. For services satisfactorily completed, and upon receipt and approval of the invoices, the Department of Rehabilitation (DOR) agrees to reimburse the Contractor for actual expenditures incurred subject to the approved Scope of Work, Service Budget, Budget Narrative, and applicable regulations as attached or referenced hereto and made a part of this Agreement.
2. All expenses shall be reviewed and approved by the DOR Contract Administrator before payment can be made to the Contractor.
3. The Service Budget must set forth in detail the reimbursable items, unit rates and extended total amounts for each line item. The Contractor's Service Budget shall include items directly related to this Agreement to include a Budget Narrative that fully explains why and how the costs are necessary to the Agreement.

B. Submission of Invoice(s)

1. Monthly invoices (DR 801B Service Invoice) should be submitted no later than the 20th business day for the preceding month's expenditures, with supporting documentation available upon request. The DOR is committed to issue payments as quickly as possible following the receipt of an accurate and complete invoice of allowable costs as approved by the DOR Contract Administrator.
2. Invoice(s) (DR 801B Service Invoice) shall provide an actual line-item detail of expenditure(s) that supports the approved Service Budget and Budget Narrative. The DR 801B Invoice shall include the Agreement Number and Registration Number, and be submitted in duplicate not more frequently than monthly in arrears to the DOR Contract Administrator or designee (listed in Exhibit A).
3. Federal and State funds are time limited; therefore, invoices (service Invoice DR 801B) must be submitted as soon as possible, but no later than 60 days after the service month. Final submission of all fiscal year-end invoices is due no later than November 1st, to allow for payment and draw down prior to the close out of funds.
4. If budgetary funds revert due to failure to submit timely invoices or failure to submit a properly prepared invoice, related Federal and State funds will no longer be available for use which will require the contractor to submit a claim through the Victims Compensation and Government Claims Board, where approval to pay is not guaranteed.

C. Appropriate Expenditures

Budgets must not contain line items that are or will be reimbursed/paid by another source of funding during the period covered by this Agreement. Unexpended funds for a fiscal year shall not be carried over to another fiscal year. Agreement expenditures reimbursed by DOR must be reported as federal funds in the contractor's accounting records and on the Schedule of Federal Awards under the CFDA # listed for this Agreement and prepared for the Title 2 Code of Federal Regulations, Part 200 (2 CFR 200) Single Audit.

D. Invoice Claim Adjustments

1. Surplus funds from a given line item, within a fiscal year budget may be used to defray allowable costs under the approved budget line items contained **within the same fiscal year**. A claim adjustment is required on the Service Invoice (DOR 801B) with an attached brief narrative explaining each line item impacted and may not exceed up to a cumulative amount of ten percent (10%) of the total annual contract Service Budget for all budget years as long as there is neither an increase nor decrease of the total annual contract Service Budget. A formal amendment is required if it does not meet the above criteria.
2. Staff line item salary ranges and percentage of time are projected estimates and are subject to change based on actual salary and chargeable time costs. Claim adjustments are allowable as long as the annualized total line item costs do not exceed what is allowed in Item 1 above.

E. Budget Contract Amendments

A contract amendment between both parties is required for any budget changes not covered in Section D above. This includes any major category or detailed line item description changes to the approved Service Budget and Budget Narrative as outlined below:

- Adding and deleting a major category budget or detailed line item.
- Line item adjustments that exceed a cumulative amount of 10%.
- Decrease/increase to the total annual budget award or the total Agreement award for all budget years.
- Any word for word changes to the written budget narrative or budget cost detail.
(Note: ALL changes must be made in **bold**.)

F. Travel Reimbursements

If travel is reimbursable, the Contractor agrees that all travel expenses and per diem rates paid to its employees under this Agreement shall be reimbursed at actual costs not to exceed the California Department of Human Resources (CalHR) designated rates for excluded employees. Go to CalHR website at <http://www.calhr.ca.gov/employees/pages/travel-reimbursements.aspx>.

No travel outside the State of California except for bordering California states shall be reimbursed without prior documented written authorization from DOR.

Upon request from the DOR, Contractor will provide sufficient documentation to support travel expenditures such as travel claims, mileage logs, and receipts for lodging, transportation, and meal costs.

2. BUDGET CONTINGENCY CLAUSE

- A. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor or to furnish any other considerations under this Agreement and Contractor shall not be obligated to perform any provisions of this Agreement.
- B. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either cancel this Agreement with no liability occurring to the State, or offer an Agreement amendment to Contractor to reflect the reduced amount.

3. BUDGET CONTINGENCY CLAUSE FOR FEDERALLY FUNDED AGREEMENTS

- A. It is mutually understood between the parties that this Agreement may have been written for the mutual benefit of both parties before ascertaining the availability of congressional appropriation of funds to avoid program and fiscal delays that would occur if the Agreement were executed after that determination was made.
- B. This Agreement is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the current year and/or any subsequent year for the purpose of this program. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by Congress or to any statute enacted by Congress that may affect the provisions, terms, or funding of this Agreement in any manner.
- C. The parties mutually agree that if Congress does not appropriate sufficient funds for the program, this Agreement shall be amended to reflect any reduction in funds.

4. PROMPT PAYMENT CLAUSE

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with section 927.

5. PRINCIPLES AND STANDARDS FOR DETERMINING ALLOWABLE COSTS, INCLUDING REQUIREMENTS FOR DOCUMENTING PERSONNEL ACTIVITY CHARGEABLE TO THE AGREEMENT

Agreements awarded by the Department shall be subject to actual costs for services rendered under this Agreement. Allowable costs under this Agreement must meet the

following general criteria:

- Be generally recognized and necessary for the operation of the Contractor's organization.
- Be reasonable for the performance of the Agreement, including acceptable sound business practices.
- Be subject to the terms and conditions of the Agreement and approved DOR budgeted line items.
- Not be used for general expenses required to carry out other responsibilities of the Contractor.
- Be properly documented and supported.

Documenting and supporting the distribution of all costs, including the allocation of time chargeable to the Agreement, is required. The Contractor agrees to comply with the OMB cost principle applicable to its organization regarding documentation for the support of personnel activity chargeable to the Agreement.

6. ACCOUNTING SYSTEM REQUIREMENTS

- A. Contractor must maintain an appropriate fund accounting system that accurately accumulates and segregates reasonable, allocable, and allowable costs in compliance with state and federal regulations, and generally accepted accounting principles. The Contractor's financial management system shall provide:
- Accurate, current, and complete disclosure of the financial results of each federally sponsored project.
 - Records that identify adequately the source and application of funds for federally sponsored activities.
 - Written procedures for determining the reasonableness, allocable, and allowable costs in accordance with the provisions of the applicable federal cost principles and the terms and conditions of the Agreement.
 - Accurate fund accounting records that track the revenues received from funders/sources and the expenditures paid to vendors for goods and services, and that are supported by adequate source documentation.
- B. Contractor shall submit to State such reports, accounts, and records as deemed necessary by the State to discharge its obligation under State and Federal laws and regulations.

STATE OF CALIFORNIA
SERVICE BUDGET

DEPARTMENT OF REHABILITATION

0 Amendment

Contractor Name and Address		Contract Number		Federal ID Number		Page X of X			
OAKLAND UNIFIED SCHOOL DISTRICT Administrative Office 1000 Broadway, Suite 398 Oakland, CA 94607		29133		94-6000385		1 of 1			
		Budget Period		Budget Period		Budget Period			
		12/01/2013 - 09/30/2014		10/01/2014 - 09/30/2015		10/01/2015 - 09/30/2016			
		Effective Date (Amendments Only)		Effective Date (Amendments Only)		Effective Date (Amendments Only)			
		12/1/2013		12/1/2013		12/1/2013			
Line No.	PERSONNEL Position Title & Time Base	Amount Budgeted	Actuals	Annual Salary	Annual FTE	Amount Budgeted	Annual Salary	Annual FTE	Amount Budgeted
1	CaPROMISE LEA Site Manager/Coordinator - 1	\$25,073.70	\$6,455.06	\$86,068.00	0.30	\$25,820.40	\$90,000.00	0.30	\$27,000.00
2	1 FTE = 40 hrs/wk, 12 months								
3	Benefits/CaPROMISE LEA Site Mgr/Coord.	\$11,032.00	\$3,195.75	\$37,870.00	0.30	\$11,361.00	\$39,600.00	0.30	\$11,880.00
4	CaPROMISE Career Service Coordinators - 2	\$76,000.00	\$2,168.08	\$47,000.00	2.00	\$94,000.00	\$60,000.00	2.00	\$120,000.00
5	1 FTE = 40 hrs/wk, 12 months								
6	Benefits/CaPROMISE Career Svc Coord.	\$31,920.00	\$558.87	\$7,244.00	2.00	\$14,488.00	\$25,200.00	2.00	\$50,400.00
7	CaPROMISE Office Assistant - 1	\$19,227.60		\$14,000.00	1.00	\$14,000.00	\$44,000.00	1.00	\$44,000.00
8	1 FTE = 40 hrs/wk, 12 months								
9	Benefits/CaPROMISE Program Assistant	\$8,460.14		\$6,160.00	1.00	\$6,160.00	\$18,480.00	1.00	\$18,480.00
10	Job Developer/Coach - 1 (part-time hourly) CaPROMISE Services Group Participant Wages			\$450.00		\$450.00	\$8,000.00		\$8,000.00
11	Benefits-Participant Wages (Workers Comp)			\$1,093.00		\$1,093.00	\$3,150.00		\$3,150.00
12	Subtotal		\$12,377.76			\$177,872.40			\$314,410.00
13	OPERATING EXPENSES								
13	Instructional Materials		\$2,533.17			\$2,000.00			\$1,500.00
14	Office Supplies and Printing		\$1,950.95			\$2,000.00			\$2,700.00
15	Theft Sensitive Items		\$1,634.93			\$8,000.00			\$1,200.00
16	Software		\$245.88			\$2,000.00			\$1,000.00
17	Training					\$300.00			\$1,500.00
18	Travel/Mileage		\$2,758.81			\$6,974.00			\$7,484.00
19	Communications					\$3,000.00			\$3,600.00
20	Background Checks		\$52.00			\$110.00			\$105.00
21	Room/Facility Rental					\$1,000.00			\$7,500.00
22	Study Tour Transportation					\$600.00			\$2,400.00
	Participant Travel/Transportation					\$535.00			\$516.00
23	Enrollment Processing/Enrollment Retention Fee					\$10,400.00			\$10,400.00
24	Operating Subtotal		\$9,175.54			\$36,919.00			\$39,905.00
25	Personnel and Operating Subtotal		\$21,553.30			\$214,791.40			\$354,315.00
26	Indirect Rate Percentage		5.17%			5.17%			5.94%
27	Indirect Cost		\$2,230.33			\$11,104.72			\$21,046.31
	TOTAL (rounded to nearest dollar)		\$23,783.63			\$225,896.12			\$375,361.31

**CaPROMISE PROJECT
SERVICE BUDGET NARRATIVE**

Fiscal Year 2013/14:

The budget is adjusted to reflect actual expenditures during fiscal year 2013/14 based on enrollment goals of the Local Education Agency (LEA). The unused funds reverted to the CaPromise Fund to be redistributed based on enrollment goals of the 21 existing CaPromise Programs.

1. PERSONNEL

The following personnel will complete the activities summarized below. These positions are also included on the Service Budget.

Benefits

Benefits include payroll taxes, workers compensation, health and welfare and all other required employee benefits, and the benefit rate will be between 42–44% of the designated staff member's salary.

CaPROMISE LEA Site Manager/Coordinator

- a. Directs and oversees the activities of the CaPROMISE project.
- b. Directs the activities of the program.
- c. Oversees program activities and ensures that all requirements of the CaPROMISE project are met.
- d. Hires and supervises project staff.
- e. Works with staff to develop, plan, and implement the CaPROMISE project.
- f. Develops linkages with other community agencies and resources to provide support and services to CaPROMISE participants.
- g. Monitors all budget and purchasing.
- h. Collaborates with staff on CaPROMISE research study.

CaPROMISE Career Services Coordinator

Coordinates project activities and goals as described in the CaPROMISE program contract Scope of Work and assists CaPROMISE participants as appropriate, with the following:

1. Case Management Services.
 - a. Provide case management services for project participants and their families.

- b. Plan and coordinate services to assist participants in navigating through services, supports, and benefits available from the larger service delivery system.
- c. Identify, locate, and arrange for needed services and supports for project participants and their families.
- d. Coordinate services provided directly by CaPROMISE with other services that are available in the larger services delivery system.
- e. Provide transition planning to assist the participant in setting post-school goals and to facilitate their transition to an appropriate post-school setting such as: postsecondary education, training, or competitive employment in an integrated setting.
- f. Coordinate transition planning with local education agency and as appropriate with parents/family, and/or other agencies participating in this project.

2. Benefits Counseling/Financial Capability Services

Provide ongoing training for project participants and their families on SSA work incentives, eligibility requirements of various programs, earnings rules, asset accumulation, and financial literacy and planning.

3. Career and Work-Based Learning Experiences

- a. Assist in providing project participants at least one paid work experience in an integrated setting before leaving high school.
- b. Provide other skill development opportunities in an integrated setting such as volunteering or participating in internships, community services, and on-the-job training experiences, including experiences designed to improve workplace basic skills.

4. Parent Training and Information

Provide information and training to the family of project participants including:

- a. The parents' role in supporting and advocating for their children's education and employment goals, including the importance of high expectations for their children's participation in education and competitive employment.
- b. Provide resources for improving the education and employment outcomes of the parents and the economic self-sufficiency of the family to include acquisition of basic education, literacy, and job-readiness skills, and job training and employment services.

5. Other Services and Supports

- a. Youth Development Activities may include:
 - i. training in job-seeking skills, life skills, independent living skills, self-advocacy, self-determination, and conflict resolution.
 - ii. exposure to personal leadership development and mentoring opportunities.
 - iii. exposure to post-school supports through structured arrangements with postsecondary education programs and adult service agencies.
- b. Career Development/Preparatory Activities may include:
 - i. career assessments to help identify career preferences, interests, and skills.
 - ii. career counseling and exploration, including structured exposure to postsecondary education and other life-long learning opportunities.
 - iii. exposure to career opportunities that ultimately lead to a living wage.
 - iv. information about educational requirements, entry requirements, and income and benefits potential.

6. Other duties as assigned may include:
 - a. Provide training sessions to education and agency staff; through making monthly presentations to potential PROMISE participants; and by working directly with most PROMISE participants and their parents to resolve SSA benefit problems, understand SSA information, develop IRWEs and PASS plans, and submit pay stubs to SSA.
 - b. Develop informational materials on CaPROMISE and distribute these to CaPROMISE eligible students and their parents/guardians.
 - c. Network and partner with other agencies and organizations to obtain correct information and to refer CaPROMISE Project students for additional information and services to assist their transition from school to work.
 - d. Collect data and share information.
 - e. Provide an array of individually-tailored support services to both the CaPROMISE project student and his/her family for such as, but not limited to: employment, transportation, health care, and child care.
 - f. Act as an advocate for CaPROMISE participants.
 - g. Attend all related project meetings and trainings.
 - h. Complete research on practical issues related to participant needs.
 - i. Assist with CaPROMISE Project related documentation.

CaPROMISE Office Assistant

- a. Processes time card and generates reports for billing Service Budget staff time allocation records
- b. Assists with filings, phone calls, mailings, purchasing supplies, getting bids, preparing letters and other documents
- c. Prepares/ develops program outreach materials, recruitment packets, and resource materials
- d. Schedules and prepares for meetings
- e. **Assists with coordinating community events for students and families with local agencies,**
- f. **Serves as a liaison to OUSD Human Resources Department to get CaPROMISE Services Group Participants hired and processed for work experience opportunities, and manage payroll.**

Job Developer/Coach (hourly contracted employee)

The Job Developer will assist job ready CaPROMISE service group participants to obtain employment in the community by identifying specific job openings that are appropriate, assisting in placement in the job, orienting to the job and identifying specific ongoing support and resource needs. Activities include:

Employment Development

- **Contact employers and build networks to develop and/or identify job opportunities**
- **Job site consultation to identify or modify barriers and determine reasonable accommodations**
- **Negotiate job carving or other job accommodations**
- **Maintain an organized system of current job openings**
- **Assist to become knowledgeable regarding the conditions of their employment, such as:**
 - **Job description**
 - **Name of immediate supervisor**
 - **Responsibilities of the employee**

- Wage payment practices
- Conflict resolution procedures
- Health and safety practices
- A limited amount of contact with the CaPROMISE services group participant and/or their employer to ensure job satisfaction.

Non-Supported Employment Job Coaching

Upon identifying job sites of interest for the CaPROMISE services group participant, and if support is needed, the Job Developer and/or job coach may provide job coaching. This may include the following:

- Job orientation
- Job destination/transportation training
- Teaching job tasks
- Supervision at the worksite
- Coworker/supervisor consultation
- Assistance with integrating into the work environment or with changes in the work environment

CaPROMISE Services Group Participant Wages

Wages paid to a participant in the CaPROMISE services group for a paid work experience by the contractor (Oakland Unified School District) at minimum wage or prevailing wage commensurate to the type of work performed. The contractor will be the employer of record and will cover Worker's compensation/FICA. The paid work experience will include the start and end date, type of work experience, number of total work hours per week for the duration, and hourly cost (wage and Worker's Compensation/FICA).

CaPROMISE Services Group Participant Workers Compensation Benefits

Benefit Costs associated with wages paid for student workers by contractor.

2. OPERATING EXPENSES

All operating expenses to implement the CaPROMISE Project are described here.

Instructional Materials

The CaPROMISE Project will purchase instructional materials and duplicate materials related to the following curriculum topics: benefits planning, post-secondary education/training, vocational exploration, employment, self-sufficiency, self-determination, and other topics related to successful transition from school to work. The actual cost of these materials will be invoiced against the contract. Items may include, but are not limited to consumable books, curricular materials, manuals, books, classroom posters, and videotapes/CDs/DVDs related to curriculum and staff training. Items purchased will be used only for or by CaPROMISE participants, participant's parents and or/family, and project staff.

Office Supplies and Printing

The CaPROMISE Project will purchase office supplies for use in the project and to maintain CaPROMISE office, participant files, provide training to project participants, parents, community partners and staff. These items may include, but are not limited to: paper, pens, folders, binders, notebooks, record keeping materials, tape, envelopes, staplers, ribbon, scissors, toner, notepads, paperclips, CD/DVD's, memory thumb drives, and organizers. The actual cost of these items will be invoiced against the contract. Cost of printing materials related to the CaPROMISE Project such as: informational materials and CaPROMISE related documents and research will also be invoiced against the contract. These materials are to be used by and for CaPROMISE participants and Oakland Unified School District CaPROMISE staff. Postage costs for correspondence to the Department of Rehabilitation, San Diego State University/Interworks Institute, other community partners, staff, agency staff, CaPROMISE Project participants, their parents/guardians, and others involved with the project.

Theft Sensitive Items

Non-expendable items purchased with contract funds that have a normal life expectancy of one year or more but have a purchase price of less than \$5,000 per item. Examples include, but are not limited to, laptop computers, desktop computers, printers, fax machines, copy machines, cameras, projectors, cellular phones, and iPads. These items must be inventoried and a copy of the inventory record must be submitted to DOR upon request.

Equipment purchased must be used by CaPROMISE Project staff to provide contractual services to CaPROMISE participants. Services may include, but are not limited to, case management, outreach and recruitment, benefits counseling, career and work-based learning experiences, parent training and information, youth development activities, career development, and communication.

FY 13/14

2 Portable Projector @ \$450 ea. - estimated purchase date September 2014
2 iPhones @ \$300 ea. - estimated purchase date September 2014

FY 14/15

1 Laser Printers w/double sided printing capacity @ \$300 each- estimated purchase date November 2015
1 Portable Projector @ \$600 ea. -estimated purchase date January 2015
1 Laser Printers w/double sided printing capacity @ \$300 each- estimated purchase date November 2015
1 Color Laser Printer @ \$500 ea.-estimated purchase date October 2014
2 Desktop Computers @ \$1,500 ea.-estimated purchase date November 2014
2 Laptop Computers @ \$1,500 ea.-estimated purchase date November 2014
1 iPad @ \$499 ea. - estimated purchase date November 2014
1 iPhone @ \$300 ea.- estimated purchase date June 2015
2 digital cameras @ \$250 ea.- estimated purchase date June 2015

FY 15/16

1 Desktop Computers @ \$1,000 ea.—estimated purchase date October 2015

Software

The CaPROMISE Project will purchase software and programs related to curriculum and project staff needs. These computer programs will be made available to CaPROMISE Project staff and will be used only for and by CaPROMISE Project participants and Oakland Unified School District CaPROMISE staff.

Training

Training costs (tuition/registration fees) for Oakland Unified School District CaPROMISE staff, which is deemed necessary to enhance contract/project-related job performance. Speakers and room fees for workshops and trainings for CaPROMISE Project participants and their families and CaPROMISE Project staff and partners. Training must be pre-approved by DOR Contract Administrator.

Travel/Mileage

Travel costs to and from meetings and trainings, resulting in expenses as follows: mileage, airfare, vehicle rental, bus fare, overnight lodging, meals/per diem, and ground transportation to and from various locations.

Day to day mileage reimbursement is for staff using OUSD or personal vehicles. All rates will be invoiced at the rate allowed by either the Oakland Unified School District or the State of California for exempt employees, whichever is less.

Communications

Monthly fee for office land line telephone service and mobile/smart phone services to support staff activities while traveling between sites.

Background Checks

Cost of doing background checks on CaPROMISE project staff. Costs to include the cost of live fingerprint checks by appropriate agencies.

Room/Facility Rental

Room fees for workshops and trainings for CaPROMISE Project participants and their families and CaPROMISE Project staff and partners.

Study Tour Transportation (Subcontract)

The Contractor (Oakland Unified School District) will rent district approved charter transportation for participants and their families for industry/college tours.

Participant Travel/Transportation

Purchase of public transportation passes (AC Transit and BART) for participants (students and their families) to travel to program and work-based learning activities. Reimbursement will be based on how many passes are used each month.

Enrollment Processing Fee/Enrollment Retention Fee

As the LEAs enroll students into the program including the completion of an enrollment form, and required release forms, the LEA will be paid an enrollment processing fee. For the enrollment processing fee, the LEA will submit a client list for the enrollment fee on a monthly basis with the service invoice for years one and two. For the enrollment retention fee, at the beginning of the Federal Fiscal Year, the LEA will submit a client list for those actively participating in the treatment group.

As the LEAs enroll students, they will receive a bonus enrollment processing fee with each enrollment of \$100 for years one and two. Beginning in year three, the LEA will receive an enrollment retention fee of \$200 for each SSI child recipient in the treatment group.

3. INDIRECT COSTS

Indirect costs are allowable costs incurred by an organization which support the activities of a program or contract, but are not directly assigned to the specific program or contract and are allocated to the program or contract using a method in compliance with 2 CFR Part, 215, 220, 225, 230 (OMBs).

The Contractor may be reimbursed for actual indirect costs subject to this Agreement based on a rate calculated and approved annually by the California State Department of Education.

**EXHIBIT D
(Subvention Agreement)**

**SPECIAL TERMS AND CONDITIONS
CaPROMISE**

1. NOTIFICATION & COMPLIANCE

All notices required by either party shall be in writing and sent by email, mail, or personally delivered to the appropriate address. Mailing addresses may be changed by written notice.

Contractor agrees to comply with all laws, regulations, ordinances, and policies of any governmental unit having jurisdiction over the rehabilitation program with regards to construction, medicine, health, safety, wages, hours, working conditions, workers' compensation, licensing and all other activities requiring compliance. Contractor shall accept financial responsibilities in the event of non-compliance.

2. DISPUTES

If Contractor believes that there is a dispute or grievance between Contractor and the State arising out of or relating to this Agreement, Contractor shall first discuss and attempt to resolve the issue informally with the DOR Contract Administrator. If the issue cannot be resolved at this level, Contractor shall follow the following procedures:

- A. If the issue cannot be resolved informally with the DOR Contract Administrator, Contractor shall submit, in writing, a grievance report together with any evidence to the DOR Contract Administrator's Supervisor. The grievance report must state the issues in the dispute, the legal authority, or other basis for the Contractor's position and the remedy sought. Within ten (10) working days of receipt of the written grievance report from the Contractor the DOR Supervisor shall make a determination on the problem and shall respond in writing to the Contractor indicating the decision and reasons therefore. Should the Contractor disagree with the Supervisor's decision, Contractor may appeal to the next level following the procedure in "Disputes", paragraph B listed below.
- B. Contractor's letter of appeal must be submitted within ten (10) working days of the receipt of the Contract Administrator's Supervisor's written decision. Contractor must submit a letter of appeal to the Department's Contract Officer explaining the disagreement with the Contract Administrator's supervisor's decision. The letter must include, as an attachment, copies of the Contractor's original grievance report, evidence originally submitted, and response from Supervisor. The Contracting Officer shall, within twenty (20) working days of receipt of Contractor's letter of appeal, review the issues raised and shall render a written decision to the Contractor. The decision of the Director or designee shall be final.

3. RIGHT TO TERMINATE

- A. Either party reserves the right to terminate this Agreement subject to 30 days written notice.

B. However, the Agreement can be immediately terminated for cause. The term "for cause" shall mean that the Contractor fails to meet the terms, conditions, and/or responsibilities of the Agreement. In this instance, the Agreement termination shall be effective as of the date indicated on the State's notification to the Contractor.

4. TRAINING SEMINARS, WORKSHOPS OR CONFERENCES

If said Contractor provides training seminars, workshops, or conferences, Contractor must obtain prior DOR approval for the location, costs, dates, agenda, instructors, instructional materials, and attendees at any reimbursable training seminar, workshop, or conference pursuant to this Agreement and of any reimbursable publicity or educational materials to be made available for distribution. The Contractor shall acknowledge the support of the State whenever publicizing the work under this Agreement in any media. The provision does not apply to necessary staff meetings or training sessions held for the staff of the Contractor to conduct routine business matters.

5. INSURANCE REQUIREMENTS

A. Commercial General Liability – Contractor shall maintain general liability on an occurrence form with limits not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined with a \$2,000,000 annual policy aggregate. The policy shall include coverage for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal & advertising injury, and liability assumed under an insured Agreement. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Contractor's limit of liability. The policy must include:

(Agency/Department Name), The State of California, its officers, agents, employees and servants as additional insured, but only with respect to work performed under the Agreement.

Endorsements must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance. The endorsement must be acceptable to the DGS Office of Risk and Insurance Management.

B. Automobile Liability – For DOR consumers being provided transportation under said Agreement, the Contractor shall maintain motor vehicle liability with limits not less than \$1,000,000 combined single limit per accident. Such insurance shall cover liability arising out of a motor vehicle including owned, hired and non-owned motor vehicles to include the following additional insurance coverage below:

- **For public schools and for-profit organizations:** Automobile Liability insurance must include Any-Auto, Hired-Autos, Non-Owned Autos, and any other auto used in performing services under the Agreement. For **seating capacity up to 7 people** (includes driver), the Contractor's certificate of insurance shall state a limit of liability of not less than **\$1,000,000** per occurrence for bodily injury and property damage liability combined. For **seating capacity for 8 –15 people** (includes driver) the certificate of insurance shall state a limit of liability of not less than

\$1,500,000 per occurrence for bodily injury and property damage liability combined. For **seating capacity for 16 passengers** or more the certificate of insurance shall state a limit of liability of not less than **\$5,000,000** per occurrence for bodily injury and property damage liability combined.

- **For non-profit organizations:** Automobile Liability insurance must include Any-Auto, Hired-Autos, Non-Owned Autos, and any other auto used in performing services under the Agreement. For **seating capacity of up to 15 people** (includes driver) the certificate of insurance shall state a limit of liability of not less than **\$1,000,000** per occurrence for bodily injury and property damage liability combined. For **seating capacity for 16 passengers** or more the certificate of insurance shall state a limit of liability of not less than **\$5,000,000** per occurrence for bodily injury and property damage liability combined.

The same additional insured designation and endorsement required for general liability is to be provided for this coverage.

- C. Workers Compensation and Employers Liability – Contractor shall maintain statutory worker's compensation and employer's liability coverage for all its employees who will be engaged in the performance of the Agreement. Employer's liability limits of \$1,000,000 are required.

The workers' compensation policy shall contain a waiver of subrogation in favor of the State. The waiver of subrogation endorsement shall be provided.

- D. Self-insurance – Contractor shall supply the consent letter of self-insurance or the Certificate of Consent to Self-insure. The Waiver of Subrogation is not required.

6. CONFLICT OF INTEREST

- A. Contractor certifies that its employees and the officers of its governing body shall avoid any actual or potential conflict of interest and that no officer or employee who exercise any functions or responsibilities in connection with this Agreement shall have any personal financial interest or benefit which either directly or indirectly arises from this Agreement.
- B. Contractor shall establish safeguards to prohibit its employees or its officers from using their positions for a purpose which could result in private gain or which gives the appearance of being motivated for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

7. CONFIDENTIALITY

- A. Contractor agrees to comply with the provisions applicable to consumer information as set forth in 34 Code of Federal Regulations, Section 361.38 and Title 9, California Code of Regulations, Section 7140 et seq., and personal information as set forth in the Information Practices Act of 1977 (California Civil Code Section 1798 et seq.).

- B. Contractor agrees that any personal information, as defined by the Information Practices Act of 1977 (California Civil Code Section 1798 et seq.) and this Agreement, obtained in the performance of this Agreement is classified as confidential and shall not be subject to disclosure to any source except as required by this contract or otherwise authorized by DOR.
- C. Contractor agrees to remove all confidential, sensitive, or personal information from any reports, publications, or other materials created during the performance of this contract prior to being released to the scientific and academic community, or other individuals or entities. The removal method(s) must be reasonable and appropriate to ensure that any confidential, sensitive, or personal information cannot be recovered, accessed, used or disclosed, which would result in a security breach or an information security incident.
- D. Subject to the applicable requirements of the regulations cited above, Contractor agrees to report any security breach or information security incident involving confidential, sensitive, or personal information (e.g., consumer information) obtained in the performance of this contract to the DOR's Contract Administrator and the DOR's Information Security Officer. The DOR's Information Security Officer can be contacted via e-mail at iso@dor.ca.gov.
- E. Security breaches or information security incidents that shall be reported include, but are not limited to:
 - 1. Inappropriate use or unauthorized disclosure of confidential, sensitive, or personal information (e.g., consumer information) obtained in the performance of this contract by the Contractor or the Contractor's assignees. Disclosure methods include, but are not limited to, electronic, paper, and verbal.
 - 2. Unauthorized access to confidential, sensitive, or personal information (e.g., consumer information) obtained in the performance of this contract. Information can be held in medium that includes, but is not limited to, electronic and paper.
 - 3. Loss or theft of information technology (IT) equipment, electronic devices/media, paper media, or data containing confidential, sensitive, or personal information (e.g., consumer information) obtained in the performance of this contract. IT equipment and electronic devices/media include, but are not limited to, computers (e.g., laptops, desktops, tablets), smartphones, cell phones, CDs, DVDs, USB flash drives, servers, printers, peripherals, assistive technology devices (e.g., notetakers, videophones), and copiers. Data can be held in medium that includes, but is not limited to, electronic and paper.
- F. Contractor agrees to provide annual security and privacy training for all individuals who have access to confidential, sensitive, or personal information (e.g., consumer information) obtained in the performance of this contract.
- G. Contractor agrees to obtain and maintain acknowledgements from all individuals to evidence their understanding of the consequences of violating California privacy laws and the contractor's information privacy and security policies.

- H. For contractors that do not have a security program that includes annual security and privacy training, a self-training manual is available on the DOR website in the "Requirements for Becoming a Service Provider" section under "Annual Security and Privacy Training for VR Service Providers." The self-training manual is named "Protecting Privacy in State Government" and can be downloaded at the following link:
<http://www.dor.ca.gov/VRED/Security-n-Privacy-Training.html>.
- I. Additional training and awareness tools are available at the California Information Security Office (CISO) website and the California Department of Justice – Privacy Enforcement and Protection website. These state entities created the self-training manual, "Protecting Privacy in State Government" that DOR revised to meet its business needs.

8. AUDIT AND REVIEW REQUIREMENTS

A. General Audit and Review Requirements

1. The State shall have the right to conduct inspections, reviews, and/or audits of the Contractor to determine whether the services provided and the expenditures invoiced by the Contractor were in compliance with this Agreement and other applicable federal or state statutes and regulations.
2. Contractor agrees that Department of Rehabilitation, State Controller's Office, Department of General Services, Bureau of State Audits, Federal Department of Education Auditors, or their designated representatives shall have the right to review and to copy any records and supporting documentation pertaining to the performance of the Agreement, including but not limited to, accounting records, consumer service records, records and evaluations of individuals referred to the program, and other supporting documentation that may be relevant to the audit or investigation.
3. The Contractor shall submit to the State such reports, accounts, and records deemed necessary by the State to discharge its obligation under State and Federal laws and regulations, including the applicable OMB cost principles and administrative requirements.
4. Contractor agrees to allow the auditors access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records.
5. Contractor agrees to maintain such records for possible audit for a minimum of five (5) years after final payment or until resolution of all issues which may arise as a result of any litigation, claim, negotiation, audit, or any other action involving the records prior to expiration of the five (5) year period, whichever is later.

B. Annual Federal Audit (For Agreements that received Federal Funds \$750,000 and above):

1. In addition to the General Audit and Review Requirements above, the Contractor agrees to provide an annual audit as required by the federal "Single Audit Act" of 1994, as amended. This audit shall be made in accordance 2 CFR 200.

9. COMPETITIVE BIDDING AND PROCUREMENTS

- A. Contractor shall comply with applicable laws and regulations regarding securing competitive bids and undertaking negotiations in Contractor's Agreements with other entities for acquisition of goods and services with funds provided by the State or Federal under this Agreement. A minimum of two competitive quotations is required for any purchase order or subcontract for services over \$2,500, and should be submitted to the DOR contract administrator or provide adequate justification for the absence of bidding.
- B. Contractors must maintain a copy of the narrative description of the procurement systems guidelines, rules or regulations that will be used to make purchases under this Agreement. The State reserves the right to request a copy of these documents and to inspect the purchasing practices of the Contractor at any time.
- C. The Contractor should seek prior approval for any purchase or subcontract exceeding \$2,500 or more for commodities, supplies, and services related to this Agreement. The Contractor must provide in its request for approval all particulars necessary, as specified by DOR, for evaluating the necessity or desirability of incurring such costs.
- D. For all purchases made, subject to this Agreement, the Contractor must maintain copies of all paid vendor invoices, documents, bids and other information used in vendor selection, for inspection or audit.

10. USE OF SUBCONTRACTOR(S)

If the Contractor desires to accomplish part of the services through the use of one (1) or more subcontractors, the following conditions must be met:

- A. The Contractor shall submit any subcontracts to the State for approval prior to starting any of the work;
- B. The Agreement between the primary Contractor and the subcontractor must be in writing;
- C. The subcontract must include specific language which establishes the rights of the auditors of the State to examine the records of the subcontractor relative to the services and materials provided under the Agreement; and
- D. Upon termination of any subcontract, the State shall be notified immediately, in writing.
- E. Contractor shall assure that all subcontractor administrative fees are reasonable considering the services being provided, and they may only pay overhead charges on the first \$25,000 for each subcontract.

Further, any subcontract in excess of \$100,000 entered into as a result of this Agreement shall contain all applicable provisions stipulated in this Agreement.

- F. The contract should require prior authorization in writing by the agency before the contractor will be reimbursed for any purchase order or subcontract exceeding \$2,500 for any articles, supplies, equipment or services. The contract should also require the

contract to provide in its request for authorization all particulars necessary for the evaluation of the necessity or desirability of incurring such cost and the reasonableness of the price or cost. Three competitive quotations should be submitted or adequate justification provided for the absence of bidding.

11. POTENTIAL SUBCONTRACTORS

Nothing contained in this Agreement or otherwise, shall create any contractual relation between the State and any subcontractors, and no subcontract shall relieve the Contractor of his responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the State's obligation to make payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor. Contractor shall not subcontract any services under this Agreement without prior approval of the State.

12. CONTRACT AMENDMENTS

In the event that additional program services must be performed which was wholly unanticipated and is not specified in the written Scope of Work, but is, in the opinion of both parties necessary to the successful accomplishment of the general scope of work outlined, an amendment to the Agreement is required.

13. SOFTWARE

Contractor certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this contract for the acquisition, operation or maintenance of computer software in violation of copyright laws.

The CaPROMISE Project will purchase software and programs related to curriculum and project staff needs. These computer programs will be made available to CaPROMISE Project staff and used only for and by CaPROMISE Project participants.

14. THEFT SENSITIVE ITEMS

DOR is requiring nonexpendable items to be listed and purchased under a separate line item titled "Theft Sensitive Items". The contractor shall maintain an inventory record for each nonexpendable item purchased or built with funds provided under the terms of the contract. The inventory record of each item shall include the date acquired, total cost, serial number, model identification and any other information or description necessary to identify said item. A copy of the inventory record must be submitted annually to the State Contract Administrator.

The following items, regardless of cost must be inventoried:

1. Computers/printers
2. Laptops/tablets
3. Copiers/fax
4. Smart phones/cell phones
5. Other items required to provide contract services

15. DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNARY EXCLUSION

Federal and State agencies shall not award assistance to applicants that are debarred or suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549. By signing this Agreement, Contractor certifies that neither it nor its principals or subcontractors are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. (Reference website: <http://www.sam.gov>).

16. PROHIBITION ON TAX DELINQUENCY

Any Agreement that a state agency enters into after July 1, 2012, is void if the contract is between a state agency and a contractor, or subcontractor, whose name appears on either list of the 500 largest tax delinquencies pursuant to Section 7063 or 19195 of the Revenue and Taxation Code. (Public Contract Code Section 10295.4). In accordance with Public Contract Code Section 10295.4, agencies are required to cancel Agreements with entities that appear on either list.

(Franchise Tax Board) https://www.ftb.ca.gov/aboutFTB/Delinquent_Taxpayers.shtml,
(Board of Equalization) <http://www.boe.ca.gov/cgi-bin/deliq.cgi>

17. ATTRIBUTION

The Contractor agrees to acknowledge the sponsorship of DOR with respect to any public statement, press release, news item, or publication related to a program funded all or in part with funds from DOR. Contractor further agrees to identify the role of DOR with respect to any individual highlighted or publicized by or through Contractor, when such individual is a DOR client.

EXHIBIT E
(Subvention Agreement)

ADDITIONAL PROVISIONS
CaPROMISE

FEDERALLY FUNDED AGREEMENTS

1. FEDERAL REQUIREMENTS

The Federal Office of Management and Budget (OMB) has established uniform administrative requirements and cost principles for determining allowable costs chargeable to Federal awards. The Contractor agrees to abide by the Title 2 Code of Federal Regulations, Part 200 (2 CFR 200), except where the Agreement is more restrictive. The federal regulations are available for review on the Internet at www.ecfr.gov under Title 2- Grants and Agreements.

2. FEDERAL FUNDING INTELLECTUAL PROPERTY

A. In any Agreement funded in whole or in part by the federal government, DOR may acquire and maintain the Intellectual Property rights, title and ownership, which results directly and indirectly from the Agreement. However, the federal government shall have non-exclusive, non-transferable, irrevocable, paid-up license throughout the world to use, duplicate, or dispose of such Intellectual Property throughout the world in any manner for governmental purposes and to have and permit others to do so.

B. Evaluation of Discovery or Invention: If any discovery or invention arises as a result of funded work, the Contractor must refer the discovery or invention to the DOR. The Rehabilitation Services Administration (RSA) and its representatives have the sole and exclusive power to determine whether or not and where a patent should be filed and the disposition of all rights, including title and license rights, which may result. RSA's determination of these issues shall be considered final. In addition, the DOR and RSA shall acquire at least an irrevocable, non-exclusive, and royalty-free license to utilize for government purposes of any of these inventions. By signing this Agreement, the Contractor agrees that determinations of rights to inventions made in the course of or under the Agreement shall be made by RSA or its authorized representative.

C. Copyrights and Patents: The Federal awarding agency and/or the DOR reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:

1. The copyright in any work developed under a grant, subgrant, or Agreement under a grant or subgrant; and
2. Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support.

3. THE FOLLOWING PROVISIONS ARE SUBJECT TO THIS AGREEMENT

- A. Equal Employment Opportunity--All Agreements require compliance with E.O. 11246--Equal Employment Opportunity, as amended by E.O. 1137--Amending Executive Order 11246 Relating to Equal Employment Opportunity, and as supplemented by regulations at 41 CFR Part 6--Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.
- B. Clean Air Act (42 U.S.C. 7401 et seq.) and the Federal Water Pollution Control Act (33 U.S.C. 1251 et seq.), as amended--Agreements of amounts in excess of \$100,000 shall require the Contractor to agree to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401 et seq.) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251 et seq.). Violations shall be reported to ED and the Regional Office of the Environmental Protection Agency (EPA).
- C. Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)--By signing this Agreement, the Contractor who is awarded an Agreement of \$100,000 or more certifies that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other award covered by 31 U.S.C. 1352. Contractor shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award.

All contractors shall comply with the following statutes and regulations:

- 1. Subject: Discrimination on the basis of race, color, or national origin.
Statute: Title VI of the Civil Rights Act of 1964 (45 U.S.C. 2000 through 2000d-4).
Regulation: 34 CFR part 100.
- 2. Subject: Discrimination on the basis of sex
Statute: Title IX of the Education Amendments of 1972 (20 U.S.C. 1681-1683).
Regulations: 34 CFR part 106.
- 3. Subject: Discrimination on the basis of handicap.
Statute: Section 504 of the Rehabilitation Act of 1973 (29U.S.C. 794).
Regulation: 34 CFR part 104handicap.
- 4. Subject: Discrimination on the basis of age.
Statute: The Age Discrimination Act (42 U.S.C. 6101 et seq.).
Regulation: 34 CFR part 110

4. RETURN OF INAPPROPRIATE USE OF FUNDS

By signing this Agreement, Contractor shall certify that in the event of funds used inappropriately, funds must be returned to DOR.

5. AMERICANS WITH DISABILITIES ACT (ADA)

By signing this Agreement, Contractor/Grantee agrees to comply with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as, all applicable regulations and guidelines issued pursuant to the ADA (42 U.S.C. 12101 et seq.). In compliance with the Rehabilitation Act of 1973, 29 U.S.C. §794 et seq. and Government Code, Section 11135 et seq.; Section 504 imposes affirmative disability-related responsibilities on recipients of federal financial assistance as well as federal programs and activities and prohibits disability-based discrimination; and Section 508, requires electronic and information technology be accessible to people with disabilities.

EXHIBIT F
(Subvention Agreement)

ADDITIONAL PROVISIONS
CaPROMISE

1. INDIRECT COSTS

Indirect costs are allowable expenses incurred by an organization which support the activities of a program or contract, but are not directly assigned to the specific program or contract and are allocated to the program or contract using a method in compliance with 2 CFR 200. The allocation method must be fully explained in the contract budget narrative and must be supported by actual costs incurred and paid by the organization. The allocation of indirect costs cannot be based on an arbitrary fixed rate and there is a 15% cap on the service budget.

2. CONTRACT HANDBOOK

Contractor acknowledges and agrees with the policies requirements and conditions of the Department of Rehabilitation's Contract Handbook and its additional policy requirements and conditions for CaPROMISE Agreements as applicable for the Fiscal Year(s) covered under this Agreement.

3. DOR's CONTRACT MONITORING

The DOR Contract Administrator will monitor and document the contractor's performance to ensure compliance with all Agreement provisions. The DOR Contractor Administrator will:

- A. Maintain documentation on all Agreement activities, including the performance of the Agreement services, invoice reviews and approvals, monitoring activities, and other Agreement administration activities.
- B. Monitor the Agreement to ensure services were performed according to the quality, quantity, objectives, timeframes and manner specified in the Agreement, and that the Contractor prepares and maintains adequate documentation to support the services provided, expenditures reimbursements, and/or any applicable match requirements.
- C. Review and approve invoices for payment to substantiate expenditures for the work performed, including verification that costs invoiced for the provision of services to DOR applicants/consumers during the Agreement period are based on reasonable costs, and that the invoices are current, correct, and timely.
- D. Ensure that all Service Invoices (DR801B), are received no later than January 1 to allow for payment and draw down prior to the close out of Federal/State funds.
- E. Verify that the contractor has fulfilled all requirements of the Agreement before approving the final invoice.

- F. Ensure there are sufficient funds to pay for all services rendered as required by the Agreement.
- G. Identify low usage levels and consider partial disencumbrance of Agreement funds.
- H. Periodically review personnel activity reports for staff funded by the Agreement to ensure that the Contractor is preparing and maintaining personnel activity reports in compliance with the applicable OMB cost principle.
- I. Verify that all Agreement staff are providing services in accordance to their duties specified in the Agreement, including ensuring that:
- Personnel duty statements or a copy of the Agreement Budget Narrative/Agreement Duty Statement has been provided to each staff person to communicate the specific duties to be performed under the Agreement.
 - Verify that job duties, as provided by the Agreement staff, and service descriptions.
 - Ensure that the contractor has submitted to DOR appropriate documentation that supports the services provided to DOR applicants/consumers, including monthly (or otherwise specified) progress reports, consumer listings, utilization/service reports, and/or other agreed-upon documentation.
 - Verify that Agreement staff provide services only to authorized DOR consumers.



CONTRACT JUSTIFICATION FORM

This Form Shall Be Submitted to the Board Office With Every Consent Agenda Contract.

Legislative File ID No. 15-2263

Department: Programs for Exceptional Children

Vendor Name: Dept. of Rehabilitation (CaPROMISE Grant)

Contract Term: Start Date: 12/1/2013 End Date: 9/30/2016

Annual Cost: \$ 625,041 (over 3 years)

Approved by: Sheilagh Andujar

Is Vendor a local Oakland business? Yes No

Why was this Vendor selected?

Dept. of Rehabilitation offered the opportunity to the OUSD Programs for Exceptional Children Department to obtain funding to provide additional support services to students related to employment development.

Summarize the services this Vendor will be providing.

The Dept. of Rehabilitation will distribute the allocation of funding assigned to OUSD for hiring additional staff, equipment, instructional materials and wages for students enrolled and assigned to the CaPROMISE services group.

Was this contract competitively bid? Yes No

If No, answer the following:

1) How did you determine the price is competitive?

n/a

2) Please check the competitive bid exception relied upon:

- Educational Materials**
- Special Services** contracts for financial, economic, accounting, legal or administrative services
- CUPCAA exception** (Uniform Public Construction Cost Accounting Act)
- Professional Service Agreements** of less than \$86,000 (increases a small amount on January 1 of each year)
- Construction related Professional Services** such as Architects, DSA Inspectors, Environmental Consultants and Construction Managers (require a "fair, competitive selection process)
- Energy** conservation and alternative energy supply (e.g., solar, energy conservation, co-generation and alternate energy supply sources)
- Emergency** contracts
- Technology** contracts
 - electronic data-processing systems, supporting software and/or services (including copiers/printers) over the \$86,000 bid limit, must be competitively advertised, but any one of the three lowest responsible bidders may be selected
 - contracts for computers, software, telecommunications equipment, microwave equipment, and other related electronic equipment and apparatus, including E-Rate solicitations, may be procured through an RFP process instead of a competitive, lowest price bid process
 - Western States Contracting Alliance Contracts (WSCA)
 - California Multiple Award Schedule Contracts (CMAS) [contracts are often used for the purchase of information technology and software]
- "Piggyback" Contracts** with other governmental entities
- Perishable Food**
- Sole Source**
- Change Order for Material and Supplies** if the cost agreed upon in writing does not exceed ten percent of the original contract price
- Other, please provide specific exception**

The funds provided by the CaPROMISE program allows for students enrolled into the program intensive case management support centered on educational & employment development. The goal is to prepare students for competitive employment, which will lead to greater self-sufficiency in adulthood.