

December 15, 2016

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Environmental Programs Supervisor  
1333 Park Avenue  
Emeryville, CA 94608  
[nhumphrey@emeryville.org](mailto:nhumphrey@emeryville.org)  
(510) 596-3728

RE: Award Agreement for **Emeryville Food Procurement Policy**

Dear Nancy:

Global Philanthropy Partnership (GPP) is pleased to proceed with a USDN Sustainable Consumption in Cities grant for \$6,108 to enable USDN core members, associate members, and partners to develop a pilot program to tackle food waste from the perspective of food procurement and green event planning.

### Section 1. Project Overview

This project will focus primarily on developing a food procurement and green events policy for the new Emeryville Center of Community Life (ECCL), a K-12 school site combined with a Community Center. The lead city will work with its Community Services Department (CSD) and the Emery Unified School District (EUSD) to establish new food purchasing standards to include environmental sustainability, fair wages, local economies, animal welfare, and nutrition; and prevent extraneous resource consumption before the product reaches the user.

To meet the grant objectives, Emeryville, CA as the lead city, will produce a green events policy for City of Emeryville community events and a food procurement policy for Emeryville Unified School District (EUSD).

Table 1. Project timeline and deliverables

Dates	Tasks	Deliverables
January 2017	Establish initial meetings with EUSD, CSD, StopWaste, Alameda County	
January-June 2017	Measure baseline food waste levels at ECCL	
February-May 2017	Coordinate with EUSD on food procurement policy	
February-March 2017	Coordinate with CSD on green events policy	
March-June 2017	Finalize any new catering/vendor contracts	

April-May 2017	Finalize & launch CSD green events policy	CSD Green Events Policy
May-December 2017	Train custodial and kitchen staff as needed, adjust policies as needed	
June 2017	Finalize EUSD food procurement policy	EUSD Food Procurement Policy
June-December 2017	Assist in coordinating CSD green events for summer/fall 2017	
September 2017	Launch school year with new EUSD food procurement policies	
September-December 2017	Monitor EUSD food procurement	
September-December 2017	Measure food waste levels at ECCL	
November-December 2017	Write overall pilot program impact report	USDN grant report

## Section 2. Project Management

The City of Emeryville will receive the funds. The Environmental Programs Intern will be leading the project under the Environmental Programs Supervisor, with major decisions made in collaboration with project partners. The Environmental Programs Intern will be responsible for developing the final policy deliverables and reporting the pilot results and accounting information for the grant funds to USDN.

## Section 3. Project Evaluation

With guidance from the USDN Sustainable Consumption Work Group and the Sustainable Consumption in Cities Project Consultant, the lead city will evaluate the success of the project in achieving its goals and those of the Sustainable Consumption in Cities Grant Program (see **Appendix 2** for program guidelines). At a minimum, the project evaluation will address:

- Definition of success. How does the project team know whether this work was successful?
- Measurement. What specific metrics define the results of the project?

## Section 4. Grant Requirements

**The City of Emeryville, CA as lead grantee, has agreed to meet four key grant requirements:**

1. **Submit Quarterly Progress Reports.** For this grant, brief (1-2 paragraph) updates that include progress on deliverables, success metrics, and funds spent to date, key tasks and accomplished impacts / metrics to date will be emailed to the [Nils Moe](#) (USDN Managing Director) and [Babe O'Sullivan](#) (Sustainable Consumption in Cities Project Consultant) on the dates shown in Table 1. These updates are used to inform the Sustainable Consumption Work Group, USDN staff and funders.

Table 2. Progress Reporting and Debriefing Dates.

Quarterly Progress Report Due Dates	Q1: March 31, 2017 Q2: June 30, 2017
-------------------------------------	-----------------------------------------

	Q3: September 29, 2017 Q4: N/A – Final Report / Products Due December 29, 2017
Mid-term presentation	TBD based on progress reports
Final Report / Deliverables	December 29, 2017
Debriefing Call	To be scheduled during last 30 days of Project implementation

2. **Submit Final Products for USDN Member Use.** By December 29, 2017, submit
  - a. All the deliverables listed in Section 1 of this letter, with explanation of any variances between what is proposed and what is delivered;
  - b. A final grant report that describes outcomes, evaluation, follow on work planned, funds leveraged, and lessons learned (**Appendix 1**); and
  - c. A detailed record of grant fund expenditures, including a comparison of original budget to actual expenditures.
  
3. **Present Progress and Findings to the Sustainable Consumption Work Group or Other USDN Members.** Present a progress report and/or summary of project deliverables and outcomes to the Sustainable Consumption Work Group on an agreed upon date for both a mid-term and final report. If asked, the lead city will also present a project report at one or more of the following: at the next USDN annual meeting, on a monthly USDN All-Network Call, or to a USDN User Group.
  
4. **Debrief on Lessons Learned and Possible Next Steps.** Organize the grant team to participate in a debriefing call with the Sustainable Consumption in Cities Project Consultant to understand what has worked, what can be improved, what insights the project can tell us about opportunities for larger scale systems change leverage points, and any potential for next steps. In addition, when USDN conducts an assessment of the Sustainable Consumption in Cities grant program, grantees will debrief with that assessment team.

## Section 5. Grant Payment Schedule and Terms

Payment Schedule and Recipient(s): GPP will transfer \$6,108 to the City of Emeryville upon receipt of the completed Acceptance of Grant Terms form (attached). Additional payment terms include:

- Grant funds must be expended per the proposed budget, in accordance with the terms of the final and awarded proposal (**Appendix 6**) and this letter.
- Grant extensions are only awarded to grantees that follow the guidance listed in **Appendix 3**. Requests for extension should be sent to [Babe O'Sullivan](#), Project Consultant.
- Invoices paid by GPP to independent contractors must be approved by the lead city and sent to GPP with this approval before payment will be issued (**see Appendix 4 for complete partner payment instructions**).
- Travel reimbursements to grant participants on behalf of this grant must be bundled and sent to GPP by the lead city with approval before individual payments will be issued (**see Appendix 4 for**

**complete convening reimbursement instructions, and Appendix 5 for a standard USDN reimbursement form).**

#### **Section 6. Additional Grant Terms**

- Grant funds cannot be used for lobbying.
- The project must be a collaboration with the cities described in the first paragraph.
- The grant products described above will be delivered by December 29, 2017.
- The grantee is aware that failure to deliver, significant timeline extensions, and/or over budget projects will jeopardize future applications to the fund from this grantee.
- Unless otherwise specified in a separate agreement with GPP and the project partner, ownership and rights of the deliverables will be equally shared by the lead city, the partner, and GPP on behalf of USDN. USDN reserves the right to share and post both privately with members and funders, and publically to advance the field of urban sustainability.
- The City of Emeryville, CA will provide project management and coordination.
- The city's primary USDN member, Nancy Humphrey, will be the primary contact.

#### **Section 7. Additional Grant Information**

Attached to this letter are several important documents that provide additional information about the grant process and requirements. Unless otherwise noted in this letter, the Sustainable Consumption in Cities Grant Program will rely on the policies and guidance established by the USDN Innovation Fund where applicable.

Appendix 1 - USDN Sustainable Consumption in Cities Final Grant Reporting Form

Appendix 2 - USDN Sustainable Consumption in Cities Grant Program Guidelines

Appendix 3 - USDN Innovation Fund Grant Extension Policy

Appendix 4 - USDN Innovation Fund Grantee Award Guidance


Appendix 5 - USDN Travel Reimbursement Form

Appendix 6 - Full Awarded Grant Proposal

If you agree with the terms and conditions of this grant agreement, complete the attached Acceptance of Grant Terms form, and email back to April Donnellan at [april@global-philanthropy.org](mailto:april@global-philanthropy.org) and Babe O'Sullivan at [babeosullivan@gmail.com](mailto:babeosullivan@gmail.com).

**By signing the Acceptance of Grant Terms Form, the City of Emeryville, CA accepts the terms and conditions of this grant agreement.**

Sincerely,



April K. Donnellan, Executive Director, Global Philanthropy Partnership

CC: Nils Moe, USDN Managing Director

CC: Babe O'Sullivan, Sustainable Consumption in Cities Project Consultant

## Acceptance of Grant Terms

The City of Emeryville, CA accepts the grant conditions of this letter.

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

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

Signature: \_\_\_\_\_

Instructions for Check Issuance: \_\_\_\_\_

Tax ID Number: \_\_\_\_\_

### Project Lead:

Nancy Humphrey  
Environmental Programs Supervisor  
1333 Park Avenue  
Emeryville, CA 94608  
[nhumphrey@emeryville.org](mailto:nhumphrey@emeryville.org)  
(510) 596-3728

### Project Manager Contact Information (if different from Project Lead):

Hoi-Fei Mok  
Environmental Programs Intern  
1333 Park Avenue  
Emeryville, CA 94608  
[hmok@emeryville.org](mailto:hmok@emeryville.org)  
(510) 596-3742

## Appendix 1

### USDN Sustainable Consumption in Cities Final Grant Reporting Form

1. Outcomes: Did the project achieve its intended results? Why or why not?
2. Evaluation: What was learned from the project about how to advance sustainable consumption? (Please refer to the key aspects and considerations described in the Sustainable Consumption in Cities Program Guidelines – Appendix 2).
3. Follow on Work: What additional work is happening as a follow on to the grant and who is doing this work?
4. Funds Leveraged: Have additional funds been raised for this work? (Our funders want to know if the grant leveraged any other funds.)
5. Other: What other grant impacts are you aware of on USDN members, partner organizations, or anyone else?
6. Lessons Learned: What are 2-3 key lessons learned from this project for how to advance practice on the grant topic or how to improve the Sustainable Consumption in Cities grant program?
7. Proposed Budget: Report by **Item, Proposed Budget, and Actual Spending**
  - A detailed record of expenditures of grant funds, including a comparison of actual expenses to your proposed budget:

Item	Hours	Non USDN Funding	USDN Funding Requested	Total Funding
Staff time for project management	829 hours at \$17.50/hr	\$8,400 from City of Emeryville	\$6,108	\$14,508
<b>TOTAL</b>			<b>\$6,108</b>	<b>\$14,508</b>

8. Please also submit with this report:
  - All products of the grant (final reports, guide books, PPTs, description of programs or policies launched, etc.)

Return this form to Nils Moe at [nilsmoe@usdn.org](mailto:nilsmoe@usdn.org), and copy Mia Arter at [miaarter@usdn.org](mailto:miaarter@usdn.org) and Babe O'Sullivan ([babeosullivan@gmail.com](mailto:babeosullivan@gmail.com)) on December 29, 2017.

## **Appendix 2**

### **USDN Sustainable Consumption in Cities Project**

#### **Program Guidelines and Timeline**

#### Introduction

The goal for the Sustainable Consumption in Cities Project is to successfully test and evaluate innovative pilot initiatives within cities to learn what effective municipal sustainable consumption programming looks like. In testing a variety of approaches to reflect diverse communities, we hope to develop a robust set of effective strategies that will address the economic, social and cultural factors that make sustainable consumption possible.

Sustainable consumption has many facets so a wide range of projects may be good candidates for experimentation. Informed by a systems approach, priority will be given to strategic efforts that will leverage broader change with potential for high impact. The results from the pilot projects will form a growing database of high impact practices that can be disseminated to USDN member cities as well as the greater national and global sphere of urban sustainability programs. Some of the key areas for potential pilots include:

- 1) Community sharing ventures: evaluating effectiveness and best practices for repair cafés, tool-sharing libraries, community swap events etc.
- 2) Housing policy: addressing barriers to co-housing and secondary dwelling units (SDUs); opportunities for shared services; micro-housing ownership for low-income families.
- 3) Economic prosperity: testing holistic measures of economic health such as the Genuine Progress Indicator; using a sustainable consumption lens in economic development planning.
- 4) Procurement policies: applying a sustainable materials management approach to city purchasing practices; collaborative sustainable procurement with partner institutions such as universities and hospitals.
- 5) Engaging local business: supporting new business models and financing mechanisms for alternatives to traditional retail sales.
- 6) Food waste prevention: testing food procurement and handling policies to right-size purchasing and portions; spreading best practice for food rescue operations.

#### Funding available

A total of \$50,000 (potentially \$75,000) is available in 2016 to support city pilots. This level of funding is expected to support 1 or perhaps 2 projects depending on matching funds the member city may have access to or other partnerships/contributions. Grant award amounts may vary given the nature of the pilots selected - there is no maximum or minimum grant award. Interested cities also have the option of bringing forward a project idea through the Innovation Fund or the CNCA Innovation Fund if appropriate.

#### Selection of proposals

The USDN Sustainable Consumption User Group will award grants in fall 2016 (see timeline below for more details). Cities interested in bringing forth a pilot concept for consideration should notify as soon as possible either Project Lead Babe O'Sullivan ([babeosullivan@gmail.com](mailto:babeosullivan@gmail.com)), or one of the co-leads of the Sustainable Consumption User Group McKenzie Jones ([mjones@flagstaffaz.gov](mailto:mjones@flagstaffaz.gov)) and Jo Zientek ([Jo.Zientek@sanjoseca.gov](mailto:Jo.Zientek@sanjoseca.gov)). Select cities will be invited to submit a brief Letter of Intent by October 14, 2016 prior to the USDN Annual Meeting using the format to be provided. After review and discussion of the LOIs submitted, the User Group will select the pilots to be funded.

### Process Timeline

<b>Sept. 8</b>	User Group call and roundtable discussion of project concepts
<b>Oct 14</b>	LOI due
<b>Oct. 16-19</b>	User Group meeting to determine pilot selection
<b>Nov. 10</b>	User Group call - further discussion if needed to determine pilot selection
<b>Dec. 1</b>	Pilot selection announced
<b>Jan. 2017</b>	Launch of selected pilots
<b>Dec. 2017</b>	Report on pilot results

### Participation requirements

Any city may submit an LOI and there is no requirement to include other participating cities. Members of the Sustainable Consumption User Group will serve as an informal project team, helping to advise on the development and progress of the selected pilots.

*Project management option:* Member capacity for leading a project has been identified as a significant barrier to participation in this program. Interested cities may consider the option of having Babe O'Sullivan, the project lead, serve as a project manager working on behalf of the city/cities. Grant funds would be retained by USDN and used to cover project management and other project costs. As a contracted project manager, Babe would develop the project in coordination with participating cities, recruit partners, hire consultants, assist with securing matching funds where appropriate, report on project outcomes and be responsible for other tasks necessary to complete the project.

### Types of projects

A wide variety of potential pilots will be considered with preference for those that have city support and a clear path forward. The User Group will seek to balance 1) planning/analysis vs. on-the-ground programs and 2) mainstream vs. experimentation approaches. Effective new initiatives may require a series of steps to plan and implement but it will be important to aim for tangible results, even if relatively small. Likewise, cities have different abilities to innovate so there's value both in projects that are more mainstream and can be easily replicated as well as those that are more on the leading edge.

### Key aspects

*Structural change* - how the intervention addresses a key leverage point in the consumption system. Does it support new market innovation or provide new options to producers and/or consumers? Does it establish new requirements or standards? How does the intervention change the context in which goods and services are produced and consumed?

*Behavior change* - whether the intervention shifts consumption practices. Are there measurable changes in consumer behavior? Are they short-term or long-term changes? Does the intervention shed light on the attitude-behavior gap?

*Public engagement* - how the intervention changes the public discourse. If there is an outreach or public engagement component, how does the local public react? Does the response change with different audiences (e.g. elected officials, staff, institutions and/or businesses, community



members)? Does this reveal any insights about how best to hold a conversation about consumption?

*Integration and policy alignment* - whether the intervention unifies city policy. What linkages can be established with other city priorities? How does the intervention advance these? How does the intervention inform city goals? Will it lead to any new goals being established?

#### Other considerations

Sustainable consumption initiatives are intended to be transformative by testing interventions in the consumption system that can influence or catalyze meaningful change. The following criteria help to define transformative potential of an initiative:

- **Responds to readiness** – staffing and capacity are aligned with the initiative and there is an ability to scale / replicate where appropriate
- Builds **appetite** for something bigger
- Builds **assets** including community building / social capital
- Connects **communities of practice** together
- Connects with **popular media**
- Reflects an understanding of the **history of the system**
- **Probes** the system in a way that produces a response / feedback that enables learning

### Appendix 3 USDN Innovation Fund Grant Extension Policy

#### Extension Policy Purpose

Once an award has been granted to a USDN lead city and member team, obstacles can arise that stand in the way of meeting deliverable deadlines. This document describes the Innovation Fund's policy in such instances, and provides grantee guidance on how to respond, take corrective action, and request fund intervention or extensions.

#### Grant Delay Guidelines

The USDN membership is creating a body of innovative collaborative work, which is publically [accessible here](#). Grant projects are posted so funders can see what their investments are producing, and so products can have field building impact. This public dissemination comes with a level of accountability for USDN member grantees, and means that deliverables can directly reflect membership knowledge, capabilities, and effectiveness.

Innovation Fund grants have a life span of anywhere from 6 months (Quick Funds, for example) to 12 months (General RFP awards, for example). Grants that are not delivered within the prescribed timeline come with a price tag for the fund, in the form of 1) increased Fund Management time investment, which is deferred from new innovation development, and 2) the potential for reduced funder trust that USDN member cities can deliver strong, impactful projects in reasonable timeframes. To mitigate these costs, the Innovation Fund has created the following guidelines by situational category to help grantees understand the established process and subsequent steps that will be taken to correct delays.

Reason for Delay	Description	Impacts of Delay	Corrective Measures
City Lead Leaves	USDN member turn over is expected. This means that turn over will be experienced during some grant life spans.	When a city lead departs, the team can experience significant delay and the product can be jeopardized.	Departing city lead must contact USDN staff and fund management as soon as possible. A transition plan will be developed on a case-by-case basis depending on factors like: funds spent to date and by whom, strength of other team members, and percent completion.
Consulting Lead Leaves	Sometimes a critical team member departs the project, leaving the team to replace them.	When a consulting partner leaves, often the work they were doing must be re-bid.	City lead must contact USDN staff and fund management immediately. Fund management will work with the grant team to fund swift and suitable replacement(s).
Consulting Partner is unresponsive, or responsive in a negative manner	In some cases, partners that look good on paper do not meet expectations during implementation.	This type of issue can jeopardize the quality of the deliverables and the effectiveness of the project as a whole.	City lead must notify Fund Management early of any negative interactions with the partner and team. Fund Management will speak to the partner separately to understand how the situation can be corrected or resolved.

City Lead is Unresponsive	In some cases, City Leads have capacity issues that prevent them from executing the project to the expectation of signed award.	This will directly impact that city's ability to obtain more funding.	Fund Management will note unresponsiveness to the Steering Committee, and this will be a point of decision: in extreme cases, USDN and the Fund may request a refund from that City's Finance Department.
Incomplete Deliverables	At times, deliverables are turned in that are unsatisfactory or do not match the signed scope of work deliverables.	This may directly impact the ability of the lead city to obtain funding in the future, depending on the justification as to why they are incomplete.	The Lead City must submit to USDN staff and Fund Management in writing why the deliverables do not meet expectations. Based on those explanations, a corrective course of action may be developed by Fund Management and the lead grantee.
Repeated Extension Requests	Some grantees request repeated extensions.	This may directly impact the ability to obtain funding in the future. No more than 2 extension requests will be entertained before a refund may be requested. Any grant extension requests must be done in writing. Fund Management will make decisions on a case-by-case basis.	The Lead City must submit to USDN staff and Fund Management in writing why the extension is being requested. They must also submit any deliverables created to that point for evaluation of progress and merit. Based on the explanation and product, a corrective course of action may be developed by Fund Management and the lead grantee, or a refund may be requested by USDN and the Fund to the grantee.

*The Fund strives to work with each member to ensure success, so these guidelines ultimately stress proactive communication and responsiveness. We understand that situations change, and encourage contact early and often to work with the Fund to avert situations that cannot be corrected in a manner that still obtains strong deliverables and usefulness to the field of urban sustainability. Please contact [Susanna Sutherland](#) with any questions.*

### Grant Extension Request Guidelines

If a grant extension must be requested, please explain the following in writing:

1. List Grant Lead and Project Team members, including consultants.
2. Describe progress to date (attach any deliverables in their current state).
3. Describe reason for extension request.
4. Describe any corrective action taken to ensure the new requested deadline can be met.
5. Suggest new deadline.

This write up will be evaluated by USDN staff and Innovation Fund Management. A follow-up phone call may be requested to clarify portions of the request. Extensions will be provided in writing from the Fund Management to the Lead Grantee.

## Appendix 4 USDN Innovation Fund – Grantee Award Guidance

### Document Purpose

This document is a guide for USDN Member Innovation Fund grant proposers and / or recipients. The Innovation Fund wants to ensure receipt of funds is not a barrier for anyone to participate in an award, and will work with Lead Cities and their Grant Partners to develop flexible solutions when necessary.

### Who Issues the Grant Award?

**USDN is not an independent legal entity or a nonprofit organization. The Global Philanthropy Partnership (GPP) is a 501 (c) 3 nonprofit that houses USDN as a project within its organization.** GPP serves as the legal entity and fiscal sponsor on USDN's behalf. This means that all contracting, granting, and / or legal agreements associated with USDN are actually with GPP. When USDN issues grant awards through the Innovation Fund, GPP is the legal entity signing grant award letters with Lead City grantees, executing sub-contracts with Grant Partners on behalf of cities, and issuing funds.

### Who are the Grant Awardee and Team?

**USDN Innovation Fund issues award letters to the member city that serves as the lead grantee on the grant proposal ("Lead City"). The Lead City is the primary point of contact for the grant award.** The Innovation Fund is supported each year by grants from various philanthropic foundations. The intent is for these grants to be competitively sub-granted to communities for collaborations around urban innovations. In part because of this, and in part for member accountability, the Innovation Fund only issues award letters to USDN core members who become Lead Cities on awarded proposals. If a city desiring to lead a project foresees problems with this arrangement, consider identifying a different Lead City who is able to serve as project lead and sign the award letter on behalf of the project team.

In support of the Lead City, other USDN members are also accountable during the grant process. Unless otherwise stated in an RFP, Grant City Team / Participation Level Guidelines are as follows:

- Proposals must be lead by an active, core, and primary USDN member.
- RFPs typically require at least two (2) but sometimes up to four (4) USDN Core Members sponsoring the proposed project at the Primary Participant level. Proposers are asked to identify Primary and Observing participants in the project.
  - Primary participants are actively involved in project implementation and are committed to using the results of the project. The Core Members sponsoring the proposal must participate at this level.
  - Observing participants express interest in the project and want to learn about the outcomes to potentially use the results in their own communities as their work plans / local priorities allow, but aren't able to commit to the Primary level at this time.
- Proposals must state USDN membership status (Core, Associate, non-member/regional network member). Associate members and non-USDN members may be part of a proposal, but not lead.

- Associate members and non-USDN members may be part of a proposal, as long as the proposal is led by at least 2 Core Members of USDN.
- Note: Members of the Steering Committee who submit Letters of Intent to Propose (LOIPs), full proposals, or participate in any Tier in any competitive submission will not score those submissions.
- Other grant partners (nonprofits, consultants, etc.) should be noted in the proposal. If they have not been on-boarded at the time of proposal submission, the process for getting them on board should be noted (i.e., an RFP that will take 2 months from start to contract).

## Who Owns the Products Produced?

***The intent of Innovation Fund Products is to build the field of urban sustainability by being widely distributed and shared, contributing to the standardization of how a problem is addressed by cities collectively. Because of that, products are owned by the lead city and GPP / USDN.*** Below is boiler plate contract language that can be used if this issue is raised by a contracting party:

### **Ownership of Work Product.**

(a). All rights, title, and interest in and to all work product and other deliverables relating to the Services provided hereunder, which Contractor, alone or jointly, during the term of this Agreement, creates, conceives, develops, or causes another to create, conceive, or develop (collectively, the “Work Product”), shall be jointly owned by the City of [\_\_\_\_\_] and GPP/USDN. Contractor hereby acknowledges and agrees that all Work Product provided under this Agreement are “works made for hire” under the Copyright Act of 1976 as amended, and shall be the exclusive property of the City of [\_\_\_\_\_] and GPP/USDN. Contractor shall take all steps that may be reasonably required to perfect the City of [\_\_\_\_\_] and GPP/USDN's ownership of the copyright in the Work Product. To the extent necessary to effect the foregoing, Contractor hereby assigns, and agrees to assign, to the City of [\_\_\_\_\_] and GPP/USDN all right, title, and interest in and to all Work Product created by Contractor in connection with the performance of services hereunder. The foregoing agreements as to ownership rights shall be fully effective without further documentation. However, at GPP's request and expense, Contractor will execute, acknowledge, and deliver to GPP any assignments or other instruments as GPP may from time to time deem necessary or desirable to evidence, protect, record, enforce, or defend its right, title, or interest in and to the Work Product or any part of thereof.

(b). In addition to and without limiting the foregoing, Contractor agrees that to the extent it compiles any information or data in performing the Services, it is doing so on behalf of GPP, and it agrees that the City of [\_\_\_\_\_] and GPP/USDN is the sole owner of all such information and data and Contractor shall not use the information and data for any purpose other than for those set forth in this Agreement. To the extent necessary to effect the foregoing, Contractor hereby assigns, and agrees to assign, to the City of [\_\_\_\_\_] and GPP/USDN all right, title, and interest in and to all information and data compiled by Contractor in the performance of the Services hereunder. Contractor agrees to deliver a copy of all such information and data to the City of [\_\_\_\_\_] and GPP.

## Who Can Receive Funds, and How?

***The most common and USDN / GPP-preferred arrangement is that the Lead City receives the grant funds. In this case, grant funds are disbursed from GPP to the Lead City according to the terms in the grant letter, after the Lead City and GPP sign the award letter.*** The Lead City's tax ID / EIN must be included in this letter, because that city is considered the grantee.

However, if the Lead City is unable or unwilling to receive the grant funds, they may designate a Grant Partner as the alternative fund recipient on their behalf. In this case, the grant award letter is still issued from GPP to the Lead City, and signed by both parties. If the Lead City designates a Grant Partner to receive payment, a payment schedule will be agreed upon and outlined in the award letter (no more than 50% up front, incremental payments attached to the deliverables schedule, and a 10% retainer upon completion of the final deliverable, for example). In addition to the award letter, a separate contractor agreement is executed with the partner and GPP, to perform work on behalf of the Lead City and receive payment after their invoices are approved by the Lead City.

**The Lead City's tax ID / EIN is required in all cases.** This is because the award is being made to the city, and so the city's tax ID / EIN is the number GPP's tax auditor requires. The City is the grantee and is responsible for the work of the grant (content), approval of all payments (budget), and reporting on the grant (quarterly and final reports).

***When a Lead City chooses to have funds dispersed to a Grant Partner, the following applies:***

**Grant Partner Eligibility.** In order for a Grant Partner to receive funds on the Lead City's behalf the Grant Partner must be one of the following:

- A 501(c)3 Nonprofit Organization or International Equivalent.
- An entity that has a 501(c)3 Nonprofit Organization, serving as the Lead City's fiscal sponsor.
  - In this case, the named Grant Partner is the fiscal agent. This Grant Partner can be performing work on the grant project, or serving solely as a fiscal agent on the Lead City's behalf.
- A for-profit Consultant.
  - In this case, the Lead City is still responsible for project oversight and grant reporting, and an award letter indicating this arrangement must be signed between GPP and the Lead City. However, the funds can go directly from GPP to compensate the Consultant for deliverables. A contract (in addition to the award letter) specifying this arrangement is required. It can be structured in any of the following ways, and should include the scope of work to be performed by the Consultant:
    - Between the Consultant and the Lead City;
    - Between the Consultant and GPP; or
    - Between the Lead City, the Consultant, and GPP.
      - Note: If funds are going directly from GPP to a for-profit Consultant, GPP still requires the City's tax ID / EIN in the award letter - even if

they are not directly receiving the funds. The Grant Partner's tax ID can be included, but is not required.

**Award Letter.** When a Grant Partner is named as the fund recipient, an award letter is created outlining project details: who will receive grant funds, who will approve the invoices, the agreed upon payment schedule, etc. The letter is signed by the Lead City and GPP. It can also include the Grant Partner signature if the city desires, though they still have to sign their own contract with the city or GPP, specifying scope, deliverables, and timeframe.

**Funds Recipient / Consultant Contract for Project Deliverables.** If, in addition to receiving funds on the Lead City's behalf, the Grant Partner is also completing work funded by the grant, a separate contract will be signed for completion of the grant work.

**Funds Disbursement.** GPP will not issue up front lump sum grant awards to a Lead City or Grant Partner. Up to 50% of the award may be disbursed up front, and at least 10% will be held as a retainer until final deliverables have been received by USDN. A payment schedule with intermittent billing will be established in the award letter. If the Lead City is receiving funds, they must produce deliverables, project updates, and potential timeline complications on an agreed upon schedule before GPP will pay agreed upon amounts. In order to disperse funds to the Grant Partner, the following instructions apply:

- After work is performed, the Grant Partner submits project deliverables and associated invoices to the Lead City. The Lead City reviews deliverables to date, approves the invoice, and submits the approved invoice with a funds disbursement request to GPP.
  - Funds disbursement requests include a detailed invoice for work performed and / or expenses incurred, and a project update noting if the project is on time and on budget - and if there are any challenges or problems the Innovation Fund Manager should be aware of.
  - A funds disbursement schedule is agreed upon in the award letter and must amount to at least three increments of disbursement.

**International Reimbursements.** Work performed outside of the US does not require additional forms or tax information. Wire transfers are made in USD upon receipt and approval of deliverables. Schedules for payment and deliverables are specific to each award letter or agreement.

**Quarterly Reporting.** Lead City's agree to provide quarterly grant updates to the Fund Manager to discuss grant progress / Partner performance.

## Managing Convening Costs

**Many Innovation Fund projects include activities to convene people in face-to-face meetings. Convening costs typically include travel, hotel, meeting space, food and beverage, and/or facilitation expenses. If a Lead City is unable or unwilling to manage funds associated with a convening, GPP can manage these funds on behalf of the Lead City.** GPP can also serve in this role to avoid fees if a Grant Partner is the fund recipient and requires convening cost handling fees. The purpose of GPP paying these cost directly is intended to reduce the administrative burden on Lead City and/or avoid Grant Partner fees associated with a convening. The process for this arrangement is as follows:



- The convening cost arrangement is noted in the award letter.
- The total grant dollar amount noted in the award letter includes convening costs and all other project costs. Funds dispersed to the Lead City for other grant activities are reduced by the amount of the convening costs.
- GPP can directly pay vendors for hotel, meeting space, facilitation, and/or food and beverage costs. To do this, the Lead City reviews invoices for these costs and sends them to GPP with approval to pay. The vendor contact information is required; tax information is optional.
- GPP can issue reimbursements for travel to convening participants. To do this, the Lead City submits to GPP a contact list detailing who is to be reimbursed at what amount, and all associated receipts / documentation / completed USDN reimbursement forms (see Appendix 1 for a template). These expenses will be aggregated and submitted to GPP in no more than three reimbursement requests per convening.
  - Receipts by scan / email are fine – participants should retain their own receipts.
  - The Lead City will issue a deadline for reimbursement request forms from participants.
  - Appendix 1 contains USDN's reimbursement form to use that as a template; however any form that details basic information may be used if the convening has special arrangements not covered in that form.

Grant proposal budgets need to detail convening costs by line item, and include estimates for transportation, lodging / meeting space, food, materials, etc. If the lead city desires GPP to reimburse travelers directly, this will be noted in the award letter, and that budget line item amount held with GPP for that purpose.

## General Budget Guidance

***In general, budgets need to be tied to deliverables, with success metrics, responsible parties, due dates, cost by source(s).*** The below can be built into a table for grant project and budget construction:

Key Deliverable	Success Metric	Responsible Party	Due Date	Cost / Source	Calculation
<i>Milestone deliverable with description (Note: one deliverable should be the impact report)</i>	<i>This deliverable contributes to project success how? How will it be reported to the IF?</i>	<i>Who will create the deliverable? Consultant, city team, etc.</i>	<i>When is it due to the project lead / USDN?</i>	<i>How much will it cost and who is paying for it?</i>	<i>How was this amount arrived at? (Rates, flight estimates, etc.)</i>

**University Partner Overhead.** USDN does not pay more than a 20% overhead rate except in rare circumstances. Universities often charge a higher overhead rate, sometimes as high as 50%, but they usually will reduce the overhead rate when the grantor has an overhead rate cap. Please contact USDN if you believe that unusual circumstances justify a higher overhead rate than the norm.



**Project Management.** In the past, USDN has not typically paid for city staff. This is because the Fund has found that city staff often do not have the capacity to focus solely on an Innovation Fund project, diminishing the quality of the deliverables and extending timelines in an unmanageable way. However, USDN's Innovation Fund Steering Committee acknowledges that project management takes time and contributes to the overall success of the grant, and will allow for up to 12% of the project budget to cover project management.

- This can be for interns, consultants, interim or part-time staff, or city staff that are dedicated to executing the proposed project.
- When it makes sense to designate a portion of the budget for project management, it should be a line item in the proposal budget, and should specify whom the person is, why they are the right person to manage the project and / or create project products, and how much of that person's time is devoted solely to the project.

Innovation Fund Steering Committee will test this method in 2016-17 grants, and evaluate its success / adjust course as needed in 2018.

**Consulting Time.** Many Innovation Fund grants are managed (in tandem with the lead city and grant team) by nonprofit or consulting partners that have field expertise in the proposed topic area. These partners should be identified in the proposal if possible, and if not, the process and timeframe for obtaining them (RFP, etc.) should be noted. Budgets should include consulting time by deliverable, with an hourly or daily rate.

**Budget Shifts.** The USDN Innovation Fund understands that allocated line items in budgets sometimes shift to accommodate the realities of a project, like changing participation or more speakers for a convening. If this occurs, please follow this guidance:

1. Budget shifts between budget categories under 10% require a line of justification at time of close out (i.e., when the final grant report is submitted with the final fiscal report of actuals versus spent). For example: the convening budget had underruns, so they were shifted into tool development.
2. Notify Fund Management of greater than 10% shifts as they arise, to trouble shoot if need be.

## Appendix 5 USDN Travel Reimbursement Form

### USDN Innovation Fund Grant **NUMBER: CITY, STATE** REIMBURSEMENT FORM

#### Reimbursement Guidelines

- This form is only for the use of USDN Innovation Fund Grant Participants or applicable staff.
- In order for an expense to be reimbursed, scanned copies of the original receipts for each expense must be attached.
- The only expenses eligible for reimbursement are:
  - Mileage for members who drove to the meeting.
  - Fares for members who take train or other transportation to the meeting.
  - **NOTE – LEAD CITY TYPICALLY BOOKS /PAYS THE HOTEL FOR THE PARTICIPANTS**

EXPENSES	Limits	To <b>CITY</b>	From <b>CITY</b>	Total
<b>Train, bus or air transportation</b> Describe:	With USDN Pre-Approval			
<b>Personal Car:</b>				
Total miles x 0./mi. 0.56	Total miles =			
Tolls				
<b>Parking</b>				
<b>Ground Transportation</b> (see above)				
<b>Customary Gratuities</b>	Amount:			
	Gratuity Paid to:			
<b>Other:</b>				
<b>Other:</b>				
<b>TOTAL TO BE REIMBURSED</b>				\$

Please provide the following information for processing of your reimbursement check:

Make check payable to: \_\_\_\_\_

**PARTICIPANT NAME, ADDRESS**

*I certify that the above expenses were incurred in connection with transportation for the 2016 USDN Innovation Fund General RFP.*

Signature \_\_\_\_\_ Date \_\_\_\_\_

E-Mail with scanned receipts for all expenses listed to: GRANT LEAD. Grant lead will bundle expenses and send to April Donnellan ([april@global-philanthropy.org](mailto:april@global-philanthropy.org)) for reimbursement.

## **Appendix 6**

### **Full Awarded Grant Proposal**

#### **Emeryville Proposal for USDN Sustainable Consumption in Cities Grant**

##### **Summary of the Project:**

With up to 40% of all food wasted nationally, food waste presents a huge opportunity for reducing resource consumption and greenhouse gas emissions while shifting to more sustainable behaviors. Under its Climate Action Plan goals for greater sustainable consumption and waste reduction, the City of Emeryville is looking to develop a program to tackle the food waste from the perspective of food procurement and green event planning. The pilot program will take place at the new Emeryville Center of Community Life (ECCL), a K-12 school site combined with a Community Center. Uniquely situated as the only facility in California under joint City-School district jurisdiction, the ECCL already has the attention of dignitaries such as U.S. Representative Barbara Lee and former California State Assembly member Nancy Skinner, which can be leveraged for the promotion of the programs.

The project manager will work with its Community Services Department (CSD) and the Emery Unified School District (EUSD) to develop food procurement policies that incorporate environmental sustainability, fair wages, humane animal welfare, local vendors, and good health and nutrition. While the food procurement policy for EUSD will focus on school meals that include breakfast, lunches, snacks and potentially supper, the policy for CSD will target its afterschool and community events, and incorporate broader aspects of green event planning. If the pilot green events policy is successful, it may expand to other city events outside of the CSD. The project manager will assist in coordinating the bidding process for new vendors and coordinating training for kitchen staff where applicable. Baseline and post-pilot project food waste levels will be measured using a free toolkit from StopWaste, Alameda County's waste and recycling agency.

##### **Participating Cities and Other Partners (if applicable):**

- City of Emeryville: The Environmental Programs Intern will be the primary project manager.
- Emery Unified School District (EUSD): Juliette Dunn, the EUSD wellness director, is on board with the project and invested in developing programs around food procurement, rescue, and waste.

**Grant Amount Requested:** \$6,108

##### **Matching Funds or Other In-Kind Support:**

- City of Emeryville: Mayor Dianne Martinez has great interest in waste reduction at the ECCL and has requested a waste education campaign at the school. Additionally, the CSD has expressed interest in more sustainable purchasing for green community events.
- USDN: The Sustainable Consumption Toolkit and the Sustainable Consumption User Group are both excellent resources for food waste and procurement as well as project troubleshooting.

- **Alameda County Sustainability:** The Green and Healthy Events and Meetings Program has existing resources on green event planning which can be adapted for Emeryville's context. The sustainability project manager, Sarah Church, is a food procurement specialist and has provided examples of food procurement guidelines.
- **StopWaste:** Cassie Bartholomew runs the food waste programs at StopWaste and is willing to provide additional resources, including a free toolkit for measuring food waste in commercial/school kitchens.

#### **Project Goals and Outcomes (including work products):**

The pilot project will focus primarily on planning and developing policy with implementation. The overall goals are to educate, train, and motivate staff and students to reduce food waste; and develop sustainable programs. The project manager will develop the programs with the partners such that they can be internally maintained after the pilot year. The project deliverables will include: 1) a green events policy for City of Emeryville community events and 2) a food procurement policy for EUSD. Project success will be measured by 1) the completed policy documents; 2) securing vendors that meet new procurement standards; 3) the establishment of internal processes for program continuation beyond pilot year; and 4) the reduction of ECCL food waste over baseline levels.

#### **Potential Value and Feasibility of the Proposed Project:**

The project tackles the issue of food waste at a combined school and community center, and engages staff, students, and community members. A food procurement and green events policy would establish new purchasing standards to include environmental sustainability, fair wages, local economies, animal welfare, and nutrition; and prevent extraneous resource consumption before the product reaches the user. By involving employees to develop the school district or City's green events and procurement policies, it provides opportunity for them to become champions invested in sustainability and instigate other procedural and behavioral changes. Using baseline food waste data and purchasing trends as a metric for current resource consumption, the food procurement and green events policies can create fit-to-scale purchasing, catered to the students' and community's actual needs. This will help reduce unnecessary resource consumption and can potentially signal for reduced market supply. Additionally, this will present learning opportunities for staff to recognize how much is actually consumed versus what is purchased, and how much can be saved by not purchasing those resources at all. Schools and community centers are keystone locations to host the pilot for the high volume of food services and opportunities to educate youth/families and instill sustainable practices. Given the resources and nearby support available around food procurement and waste, the project is highly feasible and will produce deliverables that can be adapted elsewhere. Furthermore, the procurement and green events guidelines at ECCL can be a case study for both schools and municipalities across the region, state, and nation.

#### **Key Tasks & Responsibilities Involved:**

- Coordinating key stakeholders and partner organizations (City of Emeryville)
- Developing food procurement policy for school meals with EUSD (City of Emeryville and EUSD)
- Developing green events policy with CSD for city-run community events (City of Emeryville)

- Securing vendors that meet new procurement/green event policies (City of Emeryville and EUSD)
- Training kitchen and custodial staff as needed (City of Emeryville and EUSD)
- Determining baseline data for food waste and evaluating success of program (City of Emeryville)
- Reporting impacts and transferable materials to USDN (City of Emeryville)

### Project Management:

The City of Emeryville will receive the funds. The Environmental Programs Intern will be leading the project under the Environmental Programs Supervisor, with major decisions made in collaboration with project partners. The Environmental Programs Intern will be responsible for developing the final policy deliverables and reporting the pilot results and accounting information for the grant funds to USDN.

### Project Budget:

Item	Hours	Non USDN Funding	USDN Funding Requested	Total Funding
Staff time for project management	829 hours at \$17.50/hr	\$8,400 from City of Emeryville	\$6,108	\$14,508
<b>TOTAL</b>			<b>\$6,108</b>	<b>\$14,508</b>

### Timeline for 2017:

#### Food Procurement/Green Events Policy Development

- Establish initial meetings with EUSD, CSD, StopWaste, Alameda County: January
- Measure baseline food waste levels at ECCL: January-June
- Coordinate with EUSD on food procurement policy: February-May
- Coordinate with CSD on green events policy: February-March
- Finalize any new catering/vendor contracts: March-June
- Finalize & launch CSD green events policy: April-May
- Train custodial and kitchen staff as needed, adjust policies as needed: May-December
- Finalize EUSD food procurement policy: June
- Assist in coordinating CSD green events for summer/fall 2017: June-December
- Launch school year with new EUSD food procurement policies: September
- Monitor EUSD food procurement: September-December
- Measure food waste levels at ECCL: September-December
- Write overall pilot program impact report: November-December

### Reporting

- Interim report: June
- Final pilot program impact report: December
- Deliverables:

- Green events policy for City of Emeryville community events
- Food procurement policy for EUSD

**Contact Information:**

Hoi-Fei Mok, Environmental Programs Intern, City of Emeryville, [hmok@emeryville.org](mailto:hmok@emeryville.org), 510-596-3742