Instructions for OCD OCEAN Intake Forms

Purpose

The purpose of the OCD OCEAN Intake Form set is to collect information necessary for setting up your organization's members as Contacts or Users in OCEAN, the system to be used by the Office of Community Development (OCD) for grant management and grantee self-service functions. This instructional document endeavors to define some terms and concepts that may be new to you, and also walk you through the process of how to successfully complete these forms.

Definitions

This section of the instructional document will define terminology used throughout the Intake Forms, and aims to ensure a shared understanding of what these terms mean.

Organization Number: this is an alpha-numeric sequence consisting of one number followed by two letters that is assigned to a grantee by OCD and uniquely identifies your organization. Your organization number is inputted once on the first page of the Intake Forms and carried through the remaining pages. If you are unsure of your organization number, it can be determined by examining the grant number of any grant agreement you have received from OCD. It is the fourth of the five hyphen-separated segments in a grant number, and the only segment to contain three characters. For example, if you had a grant number that looked like B-C-12-9ZQ-1, your organization number would be 9ZQ. If you have never received a grant from OCD, then you more than likely do not have an organization number assigned. In this case, you would use "N/A" wherever you are asked for an organization number in the Intake Forms, and know that you may be contacted at some point by OCD to collect additional information about your organization in order to get a new organization number assigned.

Third Party Organization: this refers to a non-grantee administrator that has been contracted by a grantee to do business on behalf of the grantee.

Contact: at its core, a Contact refers to a record within the OCEAN system that holds information about a particular person, including name, address, phone number, and email; similar to an entry in an address book or rolodex. A Contact, in and of itself, grants no system access to the person whose information is contained in the Contact record; the Contact must also be provided with a User account and appropriate Security Roles in order to access OCEAN (more on these terms to follow). A Contact may also carry Designations, which identify that a Contact has certain responsibilities or specializations within their organization (more on Designations to follow as well).

User: a User is essentially a Contact that has been provided with logon credentials for OCEAN. If you, as an individual within your organization, will be working within the OCEAN system, you MUST have a User account set up for you, and must also be given appropriate Security Roles.

Designation: A Designation is merely a type of indicator applied to a Contact or User within the system, identifying a particular business function that the person holds within an organization. Designations themselves do not bestow any access or permissions within the system like Security

Roles do. Their primary purpose is to assist OCD in knowing who does what within an organization, so that correspondences and inquiries can be more easily directed. While most Designations are considered optional within OCEAN, we do require that exactly one Contact be given the CEO designation per organization. Descriptions of the available Designations are as follows:

- **CEO:** This Designation is used to indicate the highest level executive official within your organization (e.g., Mayor, President of Commissioners, Executive Director). This should also be the individual providing the authorizing signature on the Roles forms within the Intake Forms set.
- **Rehabilitation Specialist:** This Designation identifies your organization's Rehabilitation Specialist responsible for inspection, field construction management, and other related tasks.
- **Financial Contact:** The person with this designation would be the main point of contact for financial matters including check/EFT preferences, deposit accounts, and (in some cases) draw requests.
- **Fair Housing Coordinator:** Individual designated to handle Fair Housing complaints and coordinate the administration of your organization's Fair Housing program.
- **Labor Standards Compliance Officer:** Individual responsible for monitoring and enforcing Federal labor standards compliance for HUD-assisted activities (e.g., acquire correct Federal wage decisions, review payroll reports, conduct worker interviews, submit Labor Standards Enforcement Reports).

Security Role: Security Roles (or simply Roles) are applied to a User account in order to dictate which areas and functions of the OCEAN system that User has permission to view or access. The types of access each role has is pre-determined and based on different business use cases. For example: a user who is given the security role called "Application Preparer" will have access to start a new application and input information to complete the application. In contrast, someone who does not have the Application Preparer role would not have access to these functions. It is important to note the flexibility of Role assignment: a given User may have multiple Roles (useful if you're a small organization and have less people doing more tasks), and Roles may also be assigned to more than one person (useful if you have more than one person within your organization doing similar tasks). All roles listed on the current versions of the Roles forms are "program-specific," meaning that when you assign a Role to a User, you'll also specify which program(s) that Role would apply to. Descriptions of the available Roles are as follows:

- **Application Preparer:** A user assigned this role will have access to start new grant applications for a particular grant program and edit the information within the applications. Once the application is completed, the Application Preparer would then submit it to the next stop in the workflow, the Application Approver, for final approval before submission to OCD.
- **Application Approver:** A user with this role would be responsible for final review and approval of grant applications for a particular grant program prior to submission to OCD. An Application Approver could either approve the application and submit it to OCD, or return it to the Application Preparer for revisions.

- **Report Preparer:** A user with this role would have access to create and edit Status and Final Performance Reports for a particular grant program. Once a report is completed, the Report Preparer would then submit it to the next stop in the workflow, the Report Approver, for final approval before submission to OCD.
- **Report Approver:** A user with this role would be responsible for final review and approval of Status and Final Performance Reports for a particular grant program prior to submission to OCD. A Report Approver could either approve the report and submit it to OCD, or return it to the Report Preparer for revisions.
- **Revision Preparer:** A user with this role would have access to initiate the process of requesting amendments and extensions (referred to in OCEAN as "revisions") of a grant agreement. Once a revision request is completed, the Revision Preparer would then submit it to the next stop in the workflow, the Revision Approver, for final approval before submission to OCD.
- **Revision Approver:** A user with this role would be responsible for final review and approval of amendment/extension requests (referred to in OCEAN as "revisions") prior to submission to OCD. A Revision Approver could either approve the revision request and submit it to OCD, or return it to the Revision Preparer for revisions.
- **View Only:** As the name implies, this role allows for the viewing of information within the organization, and prohibits editing, updating, or approving of information or workflow tasks.

Intake Form Completion Walkthrough

This section of the document will provide step-by-step instructions on how to complete the OCEAN Intake Forms.

General Guidelines

- The OCEAN Intake Form set is contained within an Excel spreadsheet file, and consists of four sheets: one sheet for the Contact Information form, and three for each of the Security Role Assignment forms. You can navigate through each of the forms by clicking on their respective tabs near the bottom of the Excel window.
- A red triangle in the top-right corner of a cell indicates that the cell contains a "tool tip," and you can hover your mouse pointer over the cell to see additional information regarding that cell.
- If necessary, you are permitted to use multiple copies of a particular form to accommodate a larger number of individuals than what will fit on one form. To accomplish this, you have two options:
    - If completing the forms on the computer, right-click the bottom tab of the form you wish to duplicate, select "Move or Copy…", then check the "Create a copy" checkbox near the bottom of the dialog box and click OK. (Note that any data entered into a form before making a copy of it will transfer to the copy.)
    - If completing the forms by hand, simply print or copy as many blank copies of the form as necessary.

Contact Information Form

1. Begin by providing your organization's name and organization number in the spaces provided (refer to the entry on Organization Numbers in the Definitions section of this document if you are unsure of your organization number).
2. For each person in your organization <u>who will be accessing and using OCEAN directly</u>:
    a. Add the individual's contact information (name, phone, email, address, city, state, zip, title, and third party organization if applicable) to the Contact Information form. Please note that it is ideal to provide an email address that is not shared by multiple people.
    b. Check any Designations that may apply to the individual (note that Designations are optional, but we do require exactly one individual to carry the Chief Executive Officer designation).
    c. Check the "User Account" checkbox. Two important things to note here:
        i. Any individual with the "User Account" option checked will also need to be added to at least one of the "Roles" forms, with at least one Security Role assigned.
        ii. This would apply to anyone who does not yet have a User account set up for them, as well as anyone who already has an existing OCEAN User account.
3. For each person in your organization <u>who will not need access to OCEAN, but need to be included as a Contact or as a Designation</u>:
    a. Add the individual's contact information (name, phone, email, address, city, state, zip, title, and third party organization if applicable) to the Contact Information form. Please note that it is ideal to provide an email address that is not shared by multiple people.
    b. Check any Designations that may apply to the individual (note that Designations are optional, but we do require exactly one individual to carry the Chief Executive Officer designation).
    c. Check the "Contact Only" checkbox. Please note: because this individual will not be having any User accounts or Roles associated to their Contact record, no additional information will be required for this individual, and they will not need to be added any of the "Roles" forms.

Security Role Assignment Forms

The three Security Role Assignment forms that follow the Contact Information form cover the three different program sections of OCD (Community Development, Residential Housing, and Supportive Housing). Each form provides a place for your organization to specify, at a grant program level, which of your Users will have what kind of access to OCEAN.

As stated in the previous section covering the Contact Information form, any individual with the "User Account" checkbox checked **MUST** have at least one role assigned to them by way of at least one of these Role Assignment forms. Likewise, a similar check should be made to ensure that any User listed on any of the three Role Assignment forms also has an entry on the Contact Information form.

1. For each User, begin by adding their name, phone, and email to the appropriate Security Role Assignment form(s).

2. Important: If the User already has an existing account in OCEAN, please provide the User Name so that the requested role assignments can be made to the existing account, rather than creating a redundant second account for the User.

3. Immediately to the right of the space where you provided name, phone, and email information about your organization's Users is a series of vertical columns representing the different Security Roles available (see the entry on Security Roles in the Definitions section of this document for descriptions on these Security Roles). Immediately to the right of the Security Role columns is a series of stacked cells containing the grant program names that correspond to program section which the form you're working on represents. Note that the same five program options are available for each of the five spaces for Users on these forms.

4. To assign a role for a User:

    a. From that User's name, phone, and email information, move to the right and locate the column corresponding to the role you wish to assign the person, then locate the row containing the name of the program for which that role will be limited to. Place a check in the box where the Role column and program row intersect. Continue this process for each User on each of the three Role Assignment forms (as necessary) until all desired roles have been assigned.

    b. Example: on the Community Development Role form, placing a check in the left-most column and upper-most row for any User would assign them the Application Preparer role for the Community Development grant program.

    c. Example: to provide a User with a View Only role for all programs on the Community Development Roles form, you would place a check in each of the five boxes in the View Only column for that User.

5. As a reminder, any given User can have multiple Roles, and any given Role can be shared by multiple Users.

6. Once you have assigned all desired Roles, print the populated form and complete the bottom portion of each of the utilized Role Assignment forms by obtaining a notarized signature and other requested information from your organization's CEO.

Form Submission

Before submitting your completed forms, perform the following checks for completeness:

- Did I provide our organization number?

- Did I include our organization's CEO on the Contact Information form with the corresponding Chief Executive Officer designation?

- Are the Users listed on each of our Role Assignment forms also listed on the Contact Information form?
- Did I provide User Names for anyone with an existing User account in OCEAN?
- Do all of our completed Role Assignment forms include a notarized signature from our organization's CEO?

To submit your completed, signed and notarized forms, the following options are available to you:

- Email: scan and email completed and signed forms to ocd@development.ohio.gov
- Mail: Office of Community Development
  77 South High Street
  P.O. Box 1001
  Columbus, OH 43216-1001

  Attn: OCEAN Intake

Once your forms have been received and processed by OCD, an email will be sent to any new user that has been created. The email will include a link to the OCEAN website as well as login information.

Questions

Any questions about how to complete this form may be directed to your Office of Community Development Program Representative