

**AMENDMENT NO. 2 TO AGREEMENT A-11772  
COUNTY OF MONTEREY & ALLIANCE ON AGING**

**THIS AMENDMENT** is made to the AGREEMENT A-11772 for senior peer counseling services by and between **ALLIANCE ON AGING**, hereinafter "CONTRACTOR", and the County of Monterey, a political subdivision of the State of California, hereinafter referred to as "County".

**WHEREAS**, the County and CONTRACTOR wish to amend the AGREEMENT to extend the term for one additional fiscal year, increase the total amount of the AGREEMENT, revise the Program Description and Payment Provisions, and incorporate the new EXHIBITS H and I in the amended AGREEMENT.

**WHEREAS**, the County and CONTRACTOR amended the AGREEMENT previously on September 1, 2011 via Amendment No. 1.

**NOW THEREFORE**, the County and CONTRACTOR hereby agree to amend the AGREEMENT in the following manner:

1. Section IV TERM AND TERMINATION, Paragraph A, Term, shall be amended by removing "*This Agreement shall be effective July 1, 2010 and shall remain in effect until June 30, 2011*" and replacing it with, "*This Agreement shall be effective July 1, 2010 and shall remain in effect until June 30, 2013.*"
2. EXHIBIT A-1 PROGRAM DESCRIPTION is replaced by EXHIBIT A-2 PROGRAM DESCRIPTION. All references in the Agreement to EXHIBIT A shall be construed to refer to EXHIBIT A-2.
3. EXHIBIT B-1 PAYMENT PROVISIONS is replaced by EXHIBIT B-2 PAYMENT AND BILLING PROVISIONS. All references in the Agreement to EXHIBIT B shall be construed to refer to EXHIBIT B-2.
4. The following exhibits are attached to this Amendment and incorporated herein by reference:  
  
EXHIBIT H: BUDGET AND EXPENDITURE REPORT  
  
EXHIBIT I: ANNUAL REPORT(S) AND AUDIT
5. Except as provided herein, all remaining terms, conditions and provisions of the AGREEMENT are unchanged and unaffected by this AMENDMENT and shall continue in full force and effect as set forth in the AGREEMENT.
6. A copy of the AMENDMENT shall be attached to the original AGREEMENT executed by the County on July 13, 2010.

IN WITNESS WHEREOF, County and CONTRACTOR have executed this Amendment No. 2 to Agreement A-11772 as of the day and year written below.

**COUNTY OF MONTEREY**

By: \_\_\_\_\_  
Contracts/Purchasing Manager

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Department Head (if applicable)

Date: 7/13/12

By: \_\_\_\_\_  
Board of Supervisors (if applicable)

Date: \_\_\_\_\_

Approved as to Form <sup>1</sup>

By: \_\_\_\_\_  
*Deputy* County Counsel

Date: 5/31/12

Approved as to Fiscal Provisions<sup>2</sup>

By: \_\_\_\_\_  
Auditor/Controller

Date: 6/1/12

Approved as to Liability Provisions<sup>3</sup>

By: \_\_\_\_\_  
Risk Management

Date: \_\_\_\_\_

**CONTRACTOR**

**ALLIANCE ON AGING**

Contractor's Business Name\* \_\_\_\_\_

By: X \_\_\_\_\_  
(Signature of Chair, President, or Vice-President)\*

X Board President  
Name and Title

Date: X 5/22/12

By: \_\_\_\_\_  
(Signature of Secretary, Asst. Secretary, CFO, Treasurer or Asst. Treasurer)\*

Board Secretary  
Name and Title

Date: 5/23/12

\*INSTRUCTIONS: If CONTRACTOR is a corporation, including limited liability and non-profit corporations, the full legal name of the corporation shall be set forth above together with the signatures of two specified officers. If CONTRACTOR is a partnership, the name of the partnership shall be set forth above together with the signature of a partner who has authority to execute this Agreement on behalf of the partnership. If CONTRACTOR is contracting in an individual capacity, the individual shall set forth the name of the business, if any, and shall personally sign the Agreement.

<sup>1</sup>Approval by County Counsel is required

<sup>2</sup>Approval by Auditor-Controller is required

<sup>3</sup>Approval by Risk Management is necessary only if changes are made in paragraph 8 or 9

**EXHIBIT A-2**  
**PROGRAM DESCRIPTION**

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**I. IDENTIFICATION OF CONTRACTOR**

Alliance on Aging  
247 Main Street  
Salinas, CA 93901

**II. SERVICES DESCRIPTION**

**A. SENIOR PEER COUNSELING**

The Senior Peer Counseling Program (SPC) is offered throughout Monterey County and provides mental health intervention and support to older adults suffering from depression, anxiety, grief, loss, isolation, adjustment to chronic illness, and other stressors that can occur in the latter third of life. Peer Counselors provide short term one-on-one counseling to older adults impacted by stresses associated with aging that result in distressing emotional states and/or impair the person's ability to function. This level of support helps clients maintain their emotional stability and encourages them to expand their social network and access other senior services and benefit programs (i.e. Medi-Cal/Medicare) in the community. It also serves as an entry point for clients reluctant to accept "counseling" but who can clearly benefit from this intervention. Senior Peer Counselors also facilitate support groups that foster emotional support, encouragement, self empowerment, connection to others, and a safe venue for self expression. Support Groups focus on specific themes ranging from coping with the multiple challenges of later life to caring for an aging parent or spouse.

During Fiscal Year 2008-09, the SPC was expanded to include bi-lingual/bicultural program services, as described in Monterey County's approved Prevention & Early Intervention (PEI) Plan. The *Senior Peer Counseling Latino Expansion* program utilizes PEI funds to train bi-lingual/bi-cultural volunteers from the Latino communities in Monterey County to expand the Senior Peer Counseling program to unserved Latino older adults. The *Senior Peer Counseling Latino Expansion* program increases access to mental health services and reduces mental health disparities among Latino older adults. Outreach and peer counseling services are offered in culturally and linguistically appropriate settings. The *Senior Peer Counseling Latino Expansion* program also provides Wellness Series workshops in Salinas and South County. Wellness Series workshops provide education on mental health and emotional health with an emphasis on issues relevant to Latino older adults.

**B. PROGRAM GOALS & ACTIVITIES**

Goal: Provide a countywide expansion of an existing confidential, no-cost, wellness counseling and support program that is staffed by trained peer volunteers to serve older adults who are experiencing mental/emotional problems associated with aging.

*Strategy #1:* Expand existing program capacity and services to serve more unserved and underserved consumers in a culturally appropriate manner throughout Monterey County.

*Strategy #2:* Expand existing program's cultural competence to serve more Latino seniors in culturally appropriate settings throughout Monterey County.

Senior Peer Counseling Program Staffing, as reflected in the FY 2012-13 Budget:

- Wellness Associate (32 hours per week)
  1. Recruit potential Latino peer counselors.
  2. Coordinate program outreach to community and potential referral agencies.
  3. Represent SPC program in public venues as necessary.
  4. Supervise and assign clients to Latino volunteers.
  5. Collect monthly reports from Salinas-based volunteers, and compile client data and program activity. Maintain accurate and complete database.
  6. Ensure closure of client files at termination of SPC services including mailing of client satisfaction survey.
  7. Provide administrative support to Wellness & Mental Health Director and volunteers.
  8. Provide services in English and Spanish.
  9. Coordinate Spanish-speaking wellness lectures.
  
- Wellness & Mental Health Director (30 hours per week)
  1. Provide screening and selection of peer counselors.
  2. Perform initial client intake and assessment and assign clients to peer counselors.
  3. Provide twice monthly group supervision to Monterey-based peer counselors.
  4. Responsible for implementation and management of SPC Program.
  5. Collect monthly reports from Monterey-based volunteers, and compile client data and program activity. Maintain accurate and complete database.
  6. Compile monthly and quarterly program reports.
  
- Contract Licensed Clinical Social Worker (20 hours per month)
  1. Provide ongoing supervision to English-speaking peer counselors in the Salinas Valley.
  2. Consult with Wellness & Mental Health Director in making client assignments to Salinas peer counselors.
  3. Serve as mental health consultant to Wellness & Mental Health Director as necessary.

The Senior Peer Counseling Program Goals, Strategies, Activities and Desired Results have been developed by the County in collaboration with the Contractor. Contractor will use the

Logic Model on pages 4 & 5 of this Exhibit A-2 for program progress tracking and reporting to the County.

### **III. CONTRACT MONITOR**

Beverley Movson, LCSW  
Behavioral Health Services Manager  
Behavioral Health Bureau  
1200 Aguajito Road, Room 103  
Monterey, CA 93940  
831-647-7652  
movsonb@co.monterey.ca.us

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<p><b>Problem:</b> Older adults are more likely to experience mental and emotional problems associated with age that can limit and/or deteriorate their health and quality of life.</p> <p><b>Objective:</b> Older adults have an orientation toward wellness, with education, information, supports, and skills to needed to maintain healthy mental and emotional status as they meet the challenges of aging.</p> <p><b>Focus Population:</b> Adults ages 55+ who experience mental and emotional problems, especially those who are unserved or underserved, or are disabled and/or homebound.</p> <p><b>Goal:</b> Provide a countywide expansion of an existing confidential, no-cost, wellness counseling and support program that is staffed by trained peer volunteers to serve older adults who are experiencing mental/emotional problems associated with aging.</p> <p><b>Strategy #1:</b> Expand existing program capacity to serve more unserved and underserved consumers in a culturally appropriate manner throughout Monterey County. Measure biannually via progress report.</p>			
<p><b>Activities</b></p>	<p><b>Measures</b></p>	<p><b>12/13 Actual Results</b></p>	<p><b>12/13 Desired results</b></p>
<ul style="list-style-type: none"> <li>▪ Train new peer counselors and provide twice monthly supervision/inservice meetings to approximately 25 English-speaking peer volunteers</li> <li>▪ Serve up to 150 non-Latino new older adults throughout Monterey County per fiscal year</li> </ul>	<ul style="list-style-type: none"> <li>▪ # of trained peer counselors</li> <li>▪ # of new older adults who are served in one-on-one counseling, support groups, or wellness workshops</li> </ul>		<p><b>By end of June 2013:</b></p> <ul style="list-style-type: none"> <li>▪ <b>6</b> new non-Latino peer counselors are trained and continuous recruitment and training is in place to address attrition.</li> <li>▪ <b>150</b> new non-Latino older adults throughout Monterey County are served per fiscal year.</li> </ul>

**Strategy #2:** Expand existing program's cultural competence to serve Latino seniors 55+ in culturally appropriate settings throughout Monterey County. Measure biannually via progress report.

Activities	Measures	12/13 Actual Results	12/13 Desired result
<p><b>Activities:</b></p> <ol style="list-style-type: none"> <li>1. Recruit and train bilingual/bicultural volunteer peer counselors to serve Latino seniors. Provide twice monthly supervision /inservice meetings to Latino volunteers in a culturally appropriate manner.</li> <li>2. Provide Spanish-speaking Wellness Workshops in Salinas and South Monterey County.</li> <li>3. Serve more Latino seniors in Salinas and South Monterey County.</li> </ol>	<ul style="list-style-type: none"> <li>▪ # of bilingual/ bicultural peer counselors.</li> <li>▪ # of Spanish-speaking Wellness Workshops.</li> <li>▪ # Latino seniors served in Salinas and South Monterey County in one-on-one counseling, support groups, or wellness workshops.</li> </ul>		<p><b>By end of June 2013:</b></p> <ul style="list-style-type: none"> <li>▪ 4 new bilingual/bicultural peer counselors are trained and continuous recruitment and training is in place to address attrition.</li> <li>▪ 2 new Spanish Wellness Workshops provided in Salinas.</li> <li>▪ 1 “Wellness Festival” provided in Salinas.</li> <li>▪ 1 new Spanish Wellness Workshop provided in South Monterey County.</li> <li>▪ 150 new Latino seniors are served in (mainly) Salinas and South Monterey County per fiscal year.</li> </ul>

**EXHIBIT B-2**  
**PAYMENT AND BILLING PROVISIONS**

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**I. PAYMENT TYPE**

Negotiated Rate up to the maximum contract amount

**II. PAYMENT RATE/MONTHLY PAYMENT SCHEDULE**

<b>SENIOR PEER COUNSELING PROGRAM FISCAL YEAR PERIOD</b>	<b>MONTHLY INVOICE AMOUNT</b>
FY 2010-11: July 1, 2010 thru June 30, 2011	\$11,500
FY 2011-12: July 1, 2011 thru June 30, 2012	\$ 3,565
FY 2012-13: July 1, 2012 thru June 30, 2013	\$11,500

**III. PAYMENT CONDITIONS**

- A. If CONTRACTOR is seeking reimbursement for eligible services funded by the Short-Doyle/Medi-Cal, Mental Health Services Act (“MHSA”), SB 90, Federal or State Grants, and/or COUNTY funds provided pursuant to this Agreement, reimbursement for such services shall be based on actual cost of providing those services less any deductible revenues collected by the CONTRACTOR from other payer sources. In order to reduce COUNTY costs, the CONTRACTOR shall comply with all applicable provisions of the California Welfare and Institutions Code (WIC), the California Code of Regulations, the Code of Federal Regulations, and the federal Social Security Act related to reimbursements by non-County and non-State sources, including, but not limited to, collecting reimbursements for services from clients (which shall be the same as patient fees established pursuant to WIC section 5710) and from private or public third-party payers.

CONTRACTOR shall not claim reimbursement from COUNTY for (or apply sums received from COUNTY with respect to) that portion of its obligations which has been paid by another source of revenue. If CONTRACTOR is seeking reimbursement for mental health services provided pursuant to this Agreement, reimbursement for such services shall be based upon the actual allowable costs of providing those services less any deductible revenues, as stated above. Notwithstanding any other provision of this Agreement, in no event may CONTRACTOR request a rate that exceeds the COUNTY’S Maximum Allowances (CMA), which is based on the most recent State’s Schedule of Maximum Allowances (SMA) as established by the State’s Department of Mental Health. The SMA Schedule shall be used until COUNTY establishes the COUNTY’S rate Schedule of Maximum Allowances. CONTRACTOR shall be responsible for costs that exceed applicable CMAs. In no case shall payments to CONTRACTOR exceed CMAs. In addition to the CMA limitation, in no event shall the maximum reimbursement that will be paid by COUNTY to CONTRACTOR under this Agreement for any Program Amount be more than the amount identified for each Program Amount for each



Funded Program, as identified in this Exhibit B-2, Section II. Said amounts shall be referred to as the "Maximum Obligation of County," as identified in this Exhibit B-2, Section IV.

- B. To the extent a recipient of services under this Agreement is eligible for coverage under Short-Doyle/Medi-Cal or Medicaid or Medicare or any other Federal or State funded program ("an eligible beneficiary"), CONTRACTOR shall ensure that services provided to eligible beneficiaries are properly identified and claimed to the Funded Program responsible for such services to said eligible beneficiaries. For the Short-Doyle/Medi-Cal Funded Program, CONTRACTOR assumes fiscal responsibility for services provided to all individuals who do not have full-scope Medi-Cal or are not Medi-Cal eligible during the term of this Agreement.
- C. CONTRACTOR shall be responsible for delivering services to the extent that funding is provided by the COUNTY. To the extent that CONTRACTOR does not have funds allocated in the Agreement for a Funded Program that pays for services to a particular eligible beneficiary, CONTRACTOR shall, at the first opportunity, refer said eligible beneficiary to another CONTRACTOR or COUNTY facility within the same geographic area to the extent feasible, which has available funds allocated for that Funded Program.
- D. In order to receive any payment under this Agreement, CONTRACTOR shall submit reports and claims in such form as General Ledger, Payroll Report and other accounting documents as needed, and as may be required by the County of Monterey Department of Health, Behavioral Health Bureau. Specifically, CONTRACTOR shall submit its claims on Cost Reimbursement Invoice Form provided as Exhibit G, to this Agreement, along with backup documentation, on a monthly basis, to COUNTY so as to reach the Behavioral Health Bureau no later than the thirtieth (30<sup>th</sup>) day of the month following the month of service. See Section II, above, for payment amount information to be reimbursed each fiscal year period of this Agreement. The amount requested for reimbursement shall be in accordance with the approved budget and shall not exceed the actual net costs incurred for services provided under this Agreement.

CONTRACTOR shall submit via email a monthly claim using Exhibit G, Invoice Form in Excel format with electronic signature along with supporting documentation, as may be required by the COUNTY for services rendered to:

[MCHDBHFinance@co.monterey.ca.us](mailto:MCHDBHFinance@co.monterey.ca.us)

- E. CONTRACTOR shall submit all claims for reimbursement under this Agreement within thirty (30) calendar days after the termination or end date of this Agreement. All claims not submitted after thirty (30) calendar days following the termination or end date of this Agreement shall not be subject to reimbursement by the COUNTY. Any claim(s) submitted for services that preceded thirty (30) calendar days prior to the termination or end date of this Agreement may be disallowed, except to the extent

that such failure was through no fault of CONTRACTOR. Any “obligations incurred” included in claims for reimbursements and paid by the COUNTY which remain unpaid by the CONTRACTOR after thirty (30) calendar days following the termination or end date of this Agreement shall be disallowed, except to the extent that such failure was through no fault of CONTRACTOR under audit by the COUNTY.

- F. If CONTRACTOR fails to submit claim(s) for services provided under the terms of this Agreement as described above, the COUNTY may, at its sole discretion, deny payment for that month of service and disallow the claim.
- G. COUNTY shall review and certify CONTRACTOR’S claim either in the requested amount or in such other amount as COUNTY approves in conformity with this Agreement, and shall then submit such certified claim to the COUNTY Auditor. The County Auditor-Controller shall pay the amount certified within thirty (30) calendar days of receiving the certified invoice.
- H. To the extent that the COUNTY determines CONTRACTOR has improperly claimed services to a particular Program Amount, COUNTY may disallow payment of said services and require CONTRACTOR to resubmit said claim of services for payment from the correct Program Amount, or COUNTY may make corrective accounting transactions to transfer the payment of the services to the appropriate Program Amount.
- I. If COUNTY certifies payment at a lesser amount than the amount requested COUNTY shall immediately notify the CONTRACTOR in writing of such certification and shall specify the reason for it. If the CONTRACTOR desires to contest the certification, the CONTRACTOR must submit a written notice of protest to the COUNTY within twenty (20) calendar days after the CONTRACTOR’S receipt of the COUNTY notice. The parties shall thereafter promptly meet to review the dispute and resolve it on a mutually acceptable basis. No court action may be taken on such a dispute until the parties have met and attempted to resolve the dispute in person.

#### **IV. MAXIMUM OBLIGATION OF COUNTY**

- A. Subject to the limitations set forth herein, COUNTY shall pay to CONTRACTOR during the term of this Agreement a maximum amount of **\$318,780** for services rendered under this Agreement.
- B. Maximum Annual Liability:

<b>FISCAL YEAR LIABILITY</b>	<b>AMOUNT</b>
July 1, 2010 – June 30, 2011	\$138,000
July 1, 2011 – June 30, 2012	\$ 42,780
July 1, 2012 – June 30, 2013	\$138,000
<b>TOTAL AGREEMENT MAXIMUM LIABILITY</b>	<b>\$318,780</b>

- C. If, as of the date of signing this Agreement, CONTRACTOR has already received payment from COUNTY for services rendered under this Agreement, such amount shall be deemed to have been paid out under this Agreement and shall be counted towards COUNTY'S maximum liability under this Agreement.
- D. If for any reason this Agreement is canceled, COUNTY'S maximum liability shall be the total utilization to the date of cancellation not to exceed the maximum amount listed above.
- E. As an exception to Section D. above with respect to the Survival of Obligations after Termination, COUNTY, any payer, and CONTRACTOR shall continue to remain obligated under this Agreement with regard to payment for services required to be rendered after termination.

**V. BILLING AND PAYMENT LIMITATIONS**

- A. Provisional Payments: COUNTY payments to CONTRACTOR for performance of eligible services hereunder are provisional until the completion of all settlement activities and audits, as such payments are subject to future Federal, State and/or COUNTY adjustments. COUNTY adjustments to provisional payments to CONTRACTOR may be based upon COUNTY'S claims processing information system data, State adjudication of Medi-Cal and Healthy Families claims files, contractual limitations of this Agreement, annual cost and MHSA reports, application of various Federal, State, and/or COUNTY reimbursement limitations, application of any Federal, State, and/or COUNTY policies, procedures and regulations, and/or Federal, State, or COUNTY audits, all of which take precedence over monthly claim reimbursements.
- B. Allowable Costs: Allowable costs shall be the CONTRACTOR'S actual costs of developing, supervising and delivering the services under this Agreement, as set forth in the Budget provided in Exhibit H. Only the costs listed in Exhibit H of this Agreement as contract expenses may be claimed as allowable costs. Any dispute over whether costs are allowable shall be resolved in accordance with the provisions of applicable Federal, State and COUNTY regulations.
- C. Cost Control: CONTRACTOR shall not exceed by more than twenty (20%) percent any contract expense line item amount in the budget without the written approval of COUNTY, given by and through the Contract Administrator or Contract Administrator's designee. CONTRACTOR shall submit an amended budget using

Exhibit H, or on a format as required by the COUNTY, with its request for such approval. Such approval shall not permit CONTRACTOR to receive more than the maximum total amount payable under this Agreement. Therefore, an increase in one line item shall require corresponding decreases in other line items.

- D. Other Limitations for Certain Funded Programs: In addition to all other limitations provided in this Agreement, reimbursement for services rendered under certain Funded Programs may be further limited by rules, regulations and procedures applicable only to that Funded Program. CONTRACTOR shall be familiar with said rules, regulations and procedures and submit all claims in accordance therewith.
- E. Adjustment of Claims Based on Other Data and Information: The COUNTY shall have the right to adjust claims based upon data and information that may include, but are not limited to, COUNTY'S claims processing information system reports, remittance advices, State adjudication of Medi-Cal claims, and billing system data.

## **VI. LIMITATION OF PAYMENTS BASED ON FUNDING AND BUDGETARY RESTRICTIONS**

- A. This Agreement shall be subject to any restrictions, limitations, or conditions imposed by State which may in any way affect the provisions or funding of this Agreement, including, but not limited to, those contained in State's Budget Act.
- B. This Agreement shall also be subject to any additional restrictions, limitations, or conditions imposed by the Federal government which may in any way affect the provisions or funding of this Agreement.
- C. In the event that the COUNTY'S Board of Supervisors adopts, in any fiscal year, a COUNTY Budget which provides for reductions in COUNTY Agreements, the COUNTY reserves the right to unilaterally reduce its payment obligation under this Agreement to implement such Board reductions for that fiscal year and any subsequent fiscal year during the term of this Agreement, correspondingly. The COUNTY'S notice to the CONTRACTOR regarding said reduction in payment obligation shall be provided within thirty (30) calendar days of the Board's approval of such action.
- D. Notwithstanding any other provision of this Agreement, COUNTY shall not be obligated for CONTRACTOR'S performance hereunder or by any provision of this Agreement during any of COUNTY'S current or future fiscal year(s) unless and until COUNTY'S Board of Supervisors appropriates funds for this Agreement in COUNTY'S Budget for each such fiscal year. In the event funds are not appropriated for this Agreement, then this Agreement shall terminate as of June 30 of the last fiscal year for which funds were appropriated. COUNTY shall notify CONTRACTOR of any such non-appropriation of funds at the earliest possible date and the services to be provided by the CONTRACTOR under this Agreement shall also be reduced or terminated.

## **VII. AUTHORITY TO ACT FOR THE COUNTY**

The Director of the Health Department of the County of Monterey may designate one or more persons within the County of Monterey for the purposes of acting on his/her behalf to implement the provisions of this Agreement. Therefore, the term "Director" in all cases shall mean "Director or his/her designee."



**Alliance on Aging**  
**REVENUE AND EXPENDITURE SUMMARY**  
**For Monterey County - Behavioral Health**

PROGRAM:  
Address:

Senior Peer Counseling

	Actual FY 2010-11	Budget FY 2011-12	FY 2012-13	Change
<b>A. PROGRAM REVENUES</b>				
Requested Monterey County Funds	\$ 138,000.00	\$ 42,780.00	\$ 138,000.00	\$ (95,220.00)
Other Program Revenues				\$ -
<b>TOTAL PROGRAM REVENUES (equals Allowable Program Expenditures)</b>	<b>\$ 138,000.00</b>	<b>\$ 42,780.00</b>	<b>\$ 138,000.00</b>	
<b>B. ALLOWABLE PROGRAM EXPENDITURES - Allowable Expenditures for the services provided in accordance with requirements contained in this Agreement. Expenditures should be reported within the cost categories listed below.</b>				
<b>1 Program Expenditures</b>				\$ -
2 Salaries and wages	\$ 86,177.00	\$ 26,467.00	\$ 85,842.00	\$ (59,375.00)
3 Payroll taxes	\$ 7,274.00	\$ 1,956.00	\$ 9,329.00	\$ (7,373.00)
4 Employee benefits	\$ 11,229.00	\$ 3,147.00	\$ 16,781.00	\$ (13,634.00)
5 Workers Compensation				\$ -
6 Severance Pay (if required by law, employer-employee agreement or established written policy or associated with County's loss of funding)				\$ -
7 Temporary Staffing				\$ -
8 Flexible Client Spending (please provide supporting documents)				\$ -
9 Client Transportation Costs and staff mileage	\$ 3,530.00	\$ 500.00	\$ 4,000.00	\$ (3,500.00)
10 Employee Travel and Conference	\$ 89.00		\$ 500.00	\$ (500.00)
11 Staff/Program Volunteer Training	\$ 1,094.00		\$ 2,530.00	\$ (2,530.00)
12 Communication Costs				\$ -
13 Utilities		\$ 820.00		\$ 820.00
14 Cleaning and Janitorial				\$ -
15 Insurance and Indemnity		\$ 250.00		\$ 250.00
16 Maintenance and Repairs - Buildings				\$ -
17 Maintenance and Repairs - Equipment				\$ -
18 Printing and Publications	\$ 1,264.00	\$ 92.00	\$ 1,500.00	\$ (1,408.00)
19 Memberships, Subscriptions and Dues	\$ 59.00		\$ 60.00	\$ (60.00)
20 Office Supplies	\$ 700.00	\$ 550.00	\$ 700.00	\$ (150.00)
21 Postage and Mailing	\$ 277.00	\$ 75.00	\$ 350.00	\$ (275.00)
22 Legal Services (when required for the administration of the County Programs)				\$ -
23 Audit Costs and Related Services (Audits required by and conducted in accordance with the Single Audit Act (OMB Circular A-133))				\$ -
24 Other Professional and Consultant Services (allowable with prior specific approval from Monterey County)	\$ 11,700.00	\$ 2,657.00	\$ 9,900.00	\$ (7,243.00)
25 Rent and Leases - building and improvements		\$ 1,000.00		\$ 1,000.00
26 Rent and Leases - equipment		\$ 1,810.00		\$ 1,810.00
27 Taxes and assessments				\$ -

**EXHIBIT H**


		Actual FY 2010-11	Budget FY 2011-12	FY 2012-13	Change
28	Interest in Bonds				\$ -
29	Interest in Other Long-term debts				\$ -
30	Other interest and finance charges				\$ -
31	Advertising	\$ 1,763.00	\$ 75.00	\$ 1,800.00	\$ (1,725.00)
32	Miscellaneous: Volunteer Awards/Recognition	\$ 1,000.00	\$ 600.00	\$ 800.00	\$ (200.00)
33	<b>Total Program Expenditures</b>	<b>\$ 126,156.00</b>	<b>\$ 39,999.00</b>	<b>\$ 134,092.00</b>	<b>\$ (94,093.00)</b>
<b>34 Administrative Expenditures - the allocation base must reasonably reflect the level of service received by the County from the program/activity and there must be a direct causal relationship between the allocation based used and the service provided. The allocation base must be auditable and supported by information kept by the CONTRACTOR.</b>					
35	Salaries and wages (please include personnel and contract administration)	\$ 7,763.00	\$ 2,481.00	\$ 3,908.00	\$ (1,427.00)
36	Payroll taxes				\$ -
37	Employee benefits				\$ -
38	Workers Compensation				\$ -
39	Severance Pay (if required by law, employer-employee agreement or established written policy or associated with County's loss of funding)				\$ -
40	Transportation, Travel, Training and Conferences				\$ -
41	Data Processing				\$ -
42	Utilities				\$ -
43	Cleaning and Janitorial				\$ -
44	Insurance and Indemnity				\$ -
45	Maintenance and Repairs - Buildings				\$ -
46	Maintenance and Repairs - Equipment				\$ -
47	Memberships, Subscriptions and Dues				\$ -
48	Office Supplies				\$ -
49	Postage and Mailing				\$ -
50	Legal Services (when required for the administration of the County Programs)				\$ -
51	Other Professional and Specialized Services (allowable with prior specific approval from Monterey County)				\$ -
52	Rent and Leases - building and improvements				\$ -
53	Rent and Leases - equipment				\$ -
54	Taxes and assessments				\$ -
55	Interest in Bonds				\$ -
56	Interest in Other Long-term debts				\$ -
57	Other interest and finance charges				\$ -
58	Advertising (for recruitment of admin personnel, procurement of services and disposal of surplus assets)				\$ -
59	Miscellaneous (please provide details)				\$ -
60	<b>Total Administrative Expenditures</b>	<b>\$ 7,763.00</b>	<b>\$ 2,481.00</b>	<b>\$ 3,908.00</b>	<b>\$ (1,427.00)</b>
61	<b>Depreciation Expense</b>	\$ -			\$ -
62	<b>OTHERS - must be authorized by the County and/or not prohibited under Federal, State or local law or regulations.</b>				\$ -
63	<b>Total Allowable Program Expenditures</b>	<b>\$ 133,919.00</b>	<b>\$ 42,480.00</b>	<b>\$ 138,000.00</b>	<b>\$ (95,520.00)</b>



EXHIBIT H

	FY 2010-11 Actual Expenditures	Budget 2011-12	FY Requested 2012-13	Change
60 Total Administrative Expenditures	\$ 7,763.00	\$ 2,481.00	\$ 3,908.00	\$ (1,427.00)
61 Depreciation Expense (assets not purchased by Monterey County Funds, including those paid through Action Council in prior years)	\$ -	\$ -		\$ -
62 OTHERS - must be authorized by the County and/or not prohibited under Federal, State or local law or regulations.				\$ -
63 Total Allowable Program Expenditures	\$ 133,593.00	\$ 42,480.00	\$ 138,000.00	\$ (95,520.00)

We hereby certify to the best of my knowledge, under penalty of perjury, that the above report is true and correct, that the amounts reported are traceable to (Contractor's Name) accounting records, and that all Monterey County funds received for the purposes of this program were spent in accordance with the Contract's program requirements, the Agreement and all applicable Federal, State and County laws and regulations. Falsification of any amount disclosed herein shall constitute a false claim pursuant to California Government Code Section 12650 et seq.


4/13/2012
John D. Assad
4/13/12

Executive Director's Signature      Date      Finance Director's Signature      Date

**EXHIBIT I:  
ANNUAL REPORT(S) AND AUDIT**

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**I. ANNUAL REPORT(S)**

- A. For each fiscal year or portion thereof that this Agreement is in effect, CONTRACTOR shall provide COUNTY with accurate and complete Annual Report(s) known as the State Cost Report, the Annual Mental Health Services Act (MHSA) Revenue and Expenditure Reports, and the Annual Report(s), as applicable and required by the COUNTY in electronic forms and hard copies along with duly signed Provider's Certification and copy of audited financial statement and/or other supporting documents that the COUNTY may require, by the due date specified in this Exhibit I, Section I., Paragraph C.
- B. An accurate and complete State Cost Report and/or Annual MHSA Revenue and Expenditure Report shall be defined as Annual Report(s) which is (are) completed to the best of the ability of CONTRACTOR on such forms or in such formats as specified by the COUNTY and consistent with such instructions as the COUNTY may issue and are based on the best available data and based on the CONTRACTOR'S Financial Summary applicable to the fiscal year. Further, CONTRACTOR shall certify under penalty of perjury that the CONTRACTOR has not violated any of the provisions of Section 1090 through 1096 of the Government Code and with respect to MHSA funding; is in compliance with California Code of Regulations, Title 9, Division 1, Chapter 14, Article 4, Section 3410, Non-Supplant and Article 5, Section 3500, non-Supplant Certification and Reports; that the amount for which reimbursement is claimed in the Annual Report(s) is in accordance with Chapter 3, Part 2. Division 5 of the Welfare and Institutions Code; and WIC Section 5891 and that to the best of the CONTRACTOR'S knowledge and belief the information on Annual Report(s) is (are) in all respects, correct, and in accordance with the law.
- C. The Annual Report(s) shall be due on September 15<sup>th</sup> for the fiscal year ending on the previous June 30<sup>th</sup> or seventy-five (75) days following the expiration or termination date of this Agreement, or forty-five (45) days after the COUNTY transmits the cost report template electronically to the CONTRACTOR, whichever occurs later. Should the due date fall on a weekend, such report(s) shall be due on the following business day.
1. Failure to submit the Annual Report(s) within thirty (30) calendar days after the due date specified in this Exhibit I, Section I, Subsection (C) is a breach of this Agreement. In addition to, and without limiting, any other remedy available to the COUNTY for such breach, COUNTY may undertake any or all of the following to remedy such breach:
    - a. COUNTY, in its sole and absolute discretion, may disallow claim(s) for payment for services/activities rendered during the fiscal year(s) for which the CONTRACTOR'S Annual Report(s) is (are) outstanding or withhold

payment(s) for reimbursements payable pursuant to Section III (A) to CONTRACTOR for the current fiscal year by COUNTY to CONTRACTOR until the Annual Report(s) is (are) submitted. If COUNTY exercises its discretion to disallow claim(s) or withhold payment(s), COUNTY shall give CONTRACTOR written notice, during the thirty (30) calendar days after the due date specified in this Exhibit I, Section I, Subsection (C), of its intention to disallow claim(s) or withhold payment(s) as of the date specified in the notice, including the reason(s) for its intended action. Thereafter, CONTRACTOR, within the time specified in the notice, shall submit the Annual Report(s) to avoid disallowance of claims or withholding of payments.

- b. In such instance that CONTRACTOR does not submit the Annual Report(s) by thirty (30) calendar days after the applicable due date specified in this Exhibit I, Section I, Subsection (C), COUNTY, in its sole and absolute discretion, may deem as due and owing to COUNTY by CONTRACTOR all amounts paid pursuant to Section III (A) by COUNTY to CONTRACTOR for services/activities for the fiscal year(s) for which the Annual Report(s) is (are) outstanding. CONTRACTOR shall pay COUNTY according to the method described in this Exhibit I, Section IV (Method of Payments for Amounts Due to COUNTY). Such payments shall be submitted to the persons at the address identified in the COUNTY invoice.

- D. The Annual Report(s) shall be prepared by the CONTRACTOR in accordance with the instructions, rules, policies and procedures established by the Federal governments, State and COUNTY.

## **II. AUDIT(S) AND AUDIT APPEALS**

- A. At any time during the term of this Agreement or after the expiration or termination of this Agreement, in accordance with Federal and State law including but not limited to the California Welfare and Institutions Code (WIC) Sections 14170 et seq., authorized representatives from the Federal governments, State or COUNTY may conduct an audit of CONTRACTOR regarding the services/activities provided under the fiscal year(s) for which the audit is outstanding. In addition, contract compliance audits or reviews may be conducted by the Monterey County's Auditor-Controller's Office or designated representative. Furthermore, the California State Controller Office performs audits of the mandated cost claims for the seriously emotionally disturbed pupils for the Out-of-State Mental Health Services Program and Handicapped and Disabled Students Programs. The Centers for Medicare and Medicaid Services (CMS) also perform audits of the Certified Public Expenditure (CPE) processes, negotiated rate audit information, and other issues.
- B. Settlement of audit findings shall be conducted according to the auditing party's procedures in place at the time of the audit.
- C. In the case of a Federal Government or State audit, COUNTY may perform a post-audit based on Federal or State audit findings. Such post-audit shall take place when

the Federal Government or State initiates its settlement action, which customarily is after the issuance of the audit report by the Federal Government or State and before the Federal Government or State's audit appeal process.

1. If the Federal Government or State stays its collection of any amounts due or payable because of the audit findings, COUNTY shall also stay its settlement of the same amounts due or payable until the responsible auditing party initiates its settlement action with COUNTY.
  2. COUNTY shall follow all applicable Federal, State and local laws, regulations manuals, guidelines and directives in recovering from CONTRACTOR any amount due to the COUNTY.
  3. COUNTY shall issue an invoice to CONTRACTOR for any amount due to the COUNTY no later than ninety (90) calendar days after the Federal or State issues its audit settlement letter to the COUNTY. CONTRACTOR shall make payment to the COUNTY in accordance with the terms of Section IV (Method of Payments for Amounts Due to COUNTY) of this Exhibit I. Said payment shall be submitted to the person and at the address identified in the COUNTY invoice.
- D. CONTRACTOR may appeal any such audit findings in accordance with the audit appeal process established by the party performing the audit.
1. For Federal audit exceptions, Federal audit appeal processes shall be followed.
  2. CONTRACTOR may appeal the State audit findings in conformance with provisions of Sections 51016 et seq. of Title 22 of the California Code of Regulations. Such appeals must be filed through COUNTY. COUNTY shall notify CONTRACTOR of State appeal deadlines after COUNTY'S receipt from State of the audit report.
  3. If at any time the Appeal process results in a revision to the audit findings, and the Federal Government or State recalculates the final settlement with COUNTY, COUNTY may perform a post-audit based on the Federal or State revised findings after the Federal Government or State has issued its revised settlement with the COUNTY, based on such re-computed final settlement.
    - a. If the re-computed final settlement results in amounts due to CONTRACTOR by the COUNTY, COUNTY shall make such payments to CONTRACTOR within thirty (30) calendar days of issuing the revised settlement amount to the CONTRACTOR.
    - b. If the re-computed final settlement results in amounts due from CONTRACTOR to the COUNTY, CONTRACTOR shall make payment to the COUNTY within thirty (30) days that the COUNTY issues its invoice to the CONTRACTOR.

- E. Notwithstanding any other provisions of this Agreement, if CONTRACTOR appeals any audit report, the appeal shall not prevent the COUNTY from recovering from CONTRACTOR any amount owed by CONTRACTOR that the Federal Government or State has recovered from COUNTY.
- F. Should the auditing party be the COUNTY, CONTRACTOR shall have thirty (30) calendar days from the date of the audit report with in which to file an appeal with COUNTY. The letter providing the CONTRACTOR with notice of the audit findings shall indicate the person(s) and address to which the appeal should be directed. COUNTY shall consider all information provided by CONTRACTOR with its appeal, and shall issue its decision on the appeal after such consideration. Such decision is final. COUNTY shall issue an invoice for any amount due COUNTY fifteen (15) calendar days after COUNTY has notified CONTRACTOR of the COUNTY'S audit appeal findings. CONTRACTOR shall make payment to the COUNTY in accordance with the terms of Section IV (Method of Payments for Amounts Due to COUNTY) of this Exhibit I. Said payment shall be submitted to the person and at the address identified in the COUNTY invoice.

### **III. METHOD OF PAYMENTS FOR AMOUNTS DUE TO COUNTY**

- A. Within ten (10) business days after written notification by COUNTY to CONTRACTOR of any amount due by CONTRACTOR to COUNTY, CONTRACTOR shall notify COUNTY as to which of the following five (5) payment options CONTRACTOR requests be used as the method by which such amount shall be recovered by COUNTY.

Any such amount shall be:

1. paid in one cash payment by CONTRACTOR to COUNTY;
  2. deducted from future claims over a period not to exceed six (6) months;
  3. deducted from any amounts due from COUNTY to CONTRACTOR whether under this Agreement or otherwise;
  4. paid by cash payment(s) by CONTRACTOR to COUNTY over a period not to exceed six (6) months; or
  5. a combination of any or all of the above.
- B. If CONTRACTOR does not so notify COUNTY within such ten (10) days, or if CONTRACTOR fails to make payment of any such amount to COUNTY as required, then Director, in his sole discretion, shall determine which of the above five (5) payment options shall be used by COUNTY for recovery of such amount from CONTRACTOR.