

ORIGINAL

**COUNTY OF MONTEREY STANDARD AGREEMENT
(MORE THAN \$100,000)**

This Agreement is made by and between the County of Monterey, a political subdivision of the State of California (hereinafter "County") and:

United Way Monterey County
(hereinafter "CONTRACTOR").

In consideration of the mutual covenants and conditions set forth in this Agreement, the parties agree as follows:

1.0 GENERAL DESCRIPTION.

- 1.01 The County hereby engages CONTRACTOR to perform, and CONTRACTOR hereby agrees to perform, the services described in **Exhibit A** in conformity with the terms of this Agreement. The goods and/or services are generally described as follows:

Provide volunteer community service opportunities to CalWORKs customers who need additional experience in a workplace setting to successfully compete for unsubsidized employment.

2.0 PAYMENT PROVISIONS.

- 2.01 County shall pay the CONTRACTOR in accordance with the payment provisions set forth in **Exhibit A**, subject to the limitations set forth in this Agreement. The total amount payable by County to CONTRACTOR under this Agreement shall not exceed the sum of \$ 116,743.00.

3.0 TERM OF AGREEMENT.

- 3.01 The term of this Agreement is from July 1, 2018 to June 30, 2019, unless sooner terminated pursuant to the terms of this Agreement. This Agreement is of no force or effect until signed by both CONTRACTOR and County and with County signing last, and CONTRACTOR may not commence work before County signs this Agreement.

- 3.02 The County reserves the right to cancel this Agreement, or any extension of this Agreement, without cause, with a thirty day (30) written notice, or with cause immediately.

4.0 SCOPE OF SERVICES AND ADDITIONAL PROVISIONS.

- 4.01 The following attached exhibits are incorporated herein by reference and constitute a part of this Agreement:

Exhibit A Scope of Services/Payment Provisions

See page 10 (a) List of exhibits

5.0 PERFORMANCE STANDARDS.

- 5.01 CONTRACTOR warrants that CONTRACTOR and CONTRACTOR's agents, employees, and subcontractors performing services under this Agreement are specially trained, experienced, competent, and appropriately licensed to perform the work and deliver the services required under this Agreement and are not employees of the County, or immediate family of an employee of the County.
- 5.02 CONTRACTOR, its agents, employees, and subcontractors shall perform all work in a safe and skillful manner and in compliance with all applicable laws and regulations. All work performed under this Agreement that is required by law to be performed or supervised by licensed personnel shall be performed in accordance with such licensing requirements.
- 5.03 CONTRACTOR shall furnish, at its own expense, all materials, equipment, and personnel necessary to carry out the terms of this Agreement, except as otherwise specified in this Agreement. CONTRACTOR shall not use County premises, property (including equipment, instruments, or supplies) or personnel for any purpose other than in the performance of its obligations under this Agreement.

6.0 PAYMENT CONDITIONS.

- 6.01 Prices shall remain firm for the initial term of the Agreement and, thereafter, may be adjusted annually as provided in this paragraph. The County does not guarantee any minimum or maximum amount of dollars to be spent under this Agreement.
- 6.02 Negotiations for rate changes shall be commenced, by CONTRACTOR, a minimum of ninety days (90) prior to the expiration of the Agreement. Rate changes are not binding unless mutually agreed upon in writing by the County and the CONTRACTOR.
- 6.03 Invoice amounts shall be billed directly to the ordering department.
- 6.04 CONTRACTOR shall submit such invoice periodically or at the completion of services, but in any event, not later than 30 days after completion of services. The invoice shall set forth the amounts claimed by CONTRACTOR for the previous period, together with an itemized basis for the amounts claimed, and such other information pertinent to the invoice. The County shall certify the invoice, either in the requested amount or in such other amount as the County approves in conformity with this Agreement, and shall promptly submit such invoice to the County Auditor-Controller for payment. The County Auditor-Controller shall pay the amount certified within 30 days of receiving the certified invoice.

7.0 TERMINATION.

- 7.01 During the term of this Agreement, the County may terminate the Agreement for any reason by giving written notice of termination to the CONTRACTOR at least thirty (30) days prior to the effective date of termination. Such notice shall set forth the effective date of termination. In the event of such termination, the amount payable under this Agreement shall be reduced in proportion to the services provided prior to the date of termination.

- 7.02 The County may cancel and terminate this Agreement for good cause effective immediately upon written notice to CONTRACTOR. "Good cause" includes the failure of CONTRACTOR to perform the required services at the time and in the manner provided under this Agreement. If County terminates this Agreement for good cause, the County may be relieved of the payment of any consideration to CONTRACTOR, and the County may proceed with the work in any manner, which County deems proper. The cost to the County shall be deducted from any sum due the CONTRACTOR under this Agreement.
- 7.03 The County's payments to CONTRACTOR under this Agreement are funded by local, state and federal governments. If funds from local, state and federal sources are not obtained and continued at a level sufficient to allow for the County's purchase of the indicated quantity of services, then the County may give written notice of this fact to CONTRACTOR, and the obligations of the parties under this Agreement shall terminate immediately, or on such date thereafter, as the County may specify in its notice, unless in the meanwhile the parties enter into a written amendment modifying this Agreement.

8.0 INDEMNIFICATION.

- 8.01 CONTRACTOR shall indemnify, defend, and hold harmless the County, its officers, agents, and employees, from and against any and all claims, liabilities, and losses whatsoever (including damages to property and injuries to or death of persons, court costs, and reasonable attorneys' fees) occurring or resulting to any and all persons, firms or corporations furnishing or supplying work, services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims, liabilities, and losses occurring or resulting to any person, firm, or corporation for damage, injury, or death arising out of or connected with the CONTRACTOR's performance of this Agreement, unless such claims, liabilities, or losses arise out of the sole negligence or willful misconduct of the County. "CONTRACTOR's performance" includes CONTRACTOR's action or inaction and the action or inaction of CONTRACTOR's officers, employees, agents and subcontractors.

9.0 INSURANCE REQUIREMENTS.

9.01 Evidence of Coverage:

Prior to commencement of this Agreement, the Contractor shall provide a "Certificate of Insurance" certifying that coverage as required herein has been obtained. Individual endorsements executed by the insurance carrier shall accompany the certificate. In addition, the Contractor upon request shall provide a certified copy of the policy or policies.

This verification of coverage shall be sent to the County's Contracts/Purchasing Department, unless otherwise directed. The Contractor shall not receive a "Notice to Proceed" with the work under this Agreement until it has obtained all insurance required and the County has approved such insurance. This approval of insurance shall neither relieve nor decrease the liability of the Contractor.

9.02 Qualifying Insurers:

All coverage's, except surety, shall be issued by companies which hold a current policy holder's alphabetic and financial size category rating of not less than A- VII, according to

the current Best's Key Rating Guide or a company of equal financial stability that is approved by the County's Purchasing Manager.

- 9.03 **Insurance Coverage Requirements:** Without limiting CONTRACTOR's duty to indemnify, CONTRACTOR shall maintain in effect throughout the term of this Agreement a policy or policies of insurance with the following minimum limits of liability:

Commercial General Liability Insurance, including but not limited to premises and operations, including coverage for Bodily Injury and Property Damage, Personal Injury, Contractual Liability, Broad form Property Damage, Independent Contractors, Products and Completed Operations, with a combined single limit for Bodily Injury and Property Damage of not less than \$1,000,000 per occurrence.

(Note: any proposed modifications to these general liability insurance requirements shall be attached as an Exhibit hereto, and the section(s) above that are proposed as not applicable shall be lined out in blue ink. All proposed modifications are subject to County approval.)

Business Automobile Liability Insurance, covering all motor vehicles, including owned, leased, non-owned, and hired vehicles, used in providing services under this Agreement, with a combined single limit for Bodily Injury and Property Damage of not less than \$1,000,000 per occurrence.

(Note: any proposed modifications to these auto insurance requirements shall be attached as an Exhibit hereto, and the section(s) above that are proposed as not applicable shall be lined out in blue ink. All proposed modifications are subject to County approval.)

Workers' Compensation Insurance, if CONTRACTOR employs others in the performance of this Agreement, in accordance with California Labor Code section 3700 and with Employer's Liability limits not less than \$1,000,000 each person, \$1,000,000 each accident and \$1,000,000 each disease.

(Note: any proposed modifications to these workers' compensation insurance requirements shall be attached as an Exhibit hereto, and the section(s) above that are proposed as not applicable shall be lined out in blue ink. All proposed modifications are subject to County approval.)

Professional Liability Insurance, if required for the professional services being provided, (e.g., those persons authorized by a license to engage in a business or profession regulated by the California Business and Professions Code), in the amount of not less than \$1,000,000 per claim and \$2,000,000 in the aggregate, to cover liability for malpractice or errors or omissions made in the course of rendering professional services. If professional liability insurance is written on a "claims-made" basis rather than an occurrence basis, the CONTRACTOR shall, upon the expiration or earlier termination of this Agreement, obtain extended reporting coverage ("tail coverage") with the same liability limits. Any such tail coverage shall continue for at least three years following the expiration or earlier termination of this Agreement.

(Note: any proposed modifications to these insurance requirements shall be attached as an Exhibit hereto, and the section(s) above that are proposed as not applicable shall be lined out in blue ink. All proposed modifications are subject to County approval.)

9.04 Other Requirements:

All insurance required by this Agreement shall be with a company acceptable to the County and issued and executed by an admitted insurer authorized to transact Insurance business in the State of California. Unless otherwise specified by this Agreement, all such insurance shall be written on an occurrence basis, or, if the policy is not written on an occurrence basis, such policy with the coverage required herein shall continue in effect for a period of three years following the date CONTRACTOR completes its performance of services under this Agreement.

Each liability policy shall provide that the County shall be given notice in writing at least thirty days in advance of any endorsed reduction in coverage or limit, cancellation, or intended non-renewal thereof. Each policy shall provide coverage for Contractor and additional insureds with respect to claims arising from each subcontractor, if any, performing work under this Agreement, or be accompanied by a certificate of insurance from each subcontractor showing each subcontractor has identical insurance coverage to the above requirements.

Commercial general liability and automobile liability policies shall provide an endorsement naming the County of Monterey, its officers, agents, and employees as Additional Insureds with respect to liability arising out of the CONTRACTOR'S work, including ongoing and completed operations, and shall further provide that such insurance is primary insurance to any insurance or self-insurance maintained by the County and that the insurance of the Additional Insureds shall not be called upon to contribute to a loss covered by the CONTRACTOR'S insurance. The required endorsement form for Commercial General Liability Additional Insured is ISO Form CG 20 10 11-85 or CG 20 10 10 01 in tandem with CG 20 37 10 01 (2000). The required endorsement form for Automobile Additional Insured endorsement is ISO Form CA 20 48 02 99.

Prior to the execution of this Agreement by the County, CONTRACTOR shall file certificates of insurance with the County's contract administrator and County's Contracts/Purchasing Division, showing that the CONTRACTOR has in effect the insurance required by this Agreement. The CONTRACTOR shall file a new or amended certificate of insurance within five calendar days after any change is made in any insurance policy, which would alter the information on the certificate then on file. Acceptance or approval of insurance shall in no way modify or change the indemnification clause in this Agreement, which shall continue in full force and effect.

CONTRACTOR shall at all times during the term of this Agreement maintain in force the insurance coverage required under this Agreement and shall send, without demand by County, annual certificates to County's Contract Administrator and County's Contracts/Purchasing Division. If the certificate is not received by the expiration date, County shall notify CONTRACTOR and CONTRACTOR shall have five calendar days to send in the certificate, evidencing no lapse in coverage during the interim. Failure by CONTRACTOR to maintain such insurance is a default of this Agreement, which entitles County, at its sole discretion, to terminate this Agreement immediately.

10.0 RECORDS AND CONFIDENTIALITY.

- 10.01 Confidentiality. CONTRACTOR and its officers, employees, agents, and subcontractors shall comply with any and all federal, state, and local laws, which provide for the confidentiality of records and other information. CONTRACTOR shall not disclose any confidential records or other confidential information received from the County or prepared in connection with the performance of this Agreement, unless County specifically permits CONTRACTOR to disclose such records or information. CONTRACTOR shall promptly transmit to County any and all requests for disclosure of any such confidential records or information. CONTRACTOR shall not use any confidential information gained by CONTRACTOR in the performance of this Agreement except for the sole purpose of carrying out CONTRACTOR's obligations under this Agreement.
- 10.02 County Records. When this Agreement expires or terminates, CONTRACTOR shall return to County any County records which CONTRACTOR used or received from County to perform services under this Agreement.
- 10.03 Maintenance of Records. CONTRACTOR shall prepare, maintain, and preserve all reports and records that may be required by federal, state, and County rules and regulations related to services performed under this Agreement. CONTRACTOR shall maintain such records for a period of at least three years after receipt of final payment under this Agreement. If any litigation, claim, negotiation, audit exception, or other action relating to this Agreement is pending at the end of the three year period, then CONTRACTOR shall retain said records until such action is resolved.
- 10.04 Access to and Audit of Records. The County shall have the right to examine, monitor and audit all records, documents, conditions, and activities of the CONTRACTOR and its subcontractors related to services provided under this Agreement. Pursuant to Government Code section 8546.7, if this Agreement involves the expenditure of public funds in excess of \$10,000, the parties to this Agreement may be subject, at the request of the County or as part of any audit of the County, to the examination and audit of the State Auditor pertaining to matters connected with the performance of this Agreement for a period of three years after final payment under the Agreement.
- 10.05 Royalties and Inventions. County shall have a royalty-free, exclusive and irrevocable license to reproduce, publish, and use, and authorize others to do so, all original computer programs, writings, sound recordings, pictorial reproductions, drawings, and other works of similar nature produced in the course of or under this Agreement. CONTRACTOR shall not publish any such material without the prior written approval of County.

11.0 NON-DISCRIMINATION.

- 11.01 During the performance of this Agreement, CONTRACTOR, and its subcontractors, shall not unlawfully discriminate against any person because of race, religious creed, color, sex, national origin, ancestry, physical disability, mental disability, medical condition, marital status, age (over 40), or sexual orientation, either in CONTRACTOR's employment practices or in the furnishing of services to recipients. CONTRACTOR shall ensure that the evaluation and treatment of its employees and applicants for employment and all persons receiving and requesting services are free of such discrimination. CONTRACTOR and any subcontractor shall, in the performance of this Agreement, fully comply with all federal,

state, and local laws and regulations which prohibit discrimination. The provision of services primarily or exclusively to such target population as may be designated in this Agreement shall not be deemed to be prohibited discrimination.

12.0 COMPLIANCE WITH TERMS OF STATE OR FEDERAL GRANTS.

- 12.01 If this Agreement has been or will be funded with monies received by the County pursuant to a contract with the state or federal government in which the County is the grantee, CONTRACTOR will comply with all the provisions of said contract, to the extent applicable to CONTRACTOR as a subgrantee under said contract, and said provisions shall be deemed a part of this Agreement, as though fully set forth herein. Upon request, County will deliver a copy of said contract to CONTRACTOR, at no cost to CONTRACTOR.

13.0 INDEPENDENT CONTRACTOR.

- 13.01 In the performance of work, duties, and obligations under this Agreement, CONTRACTOR is at all times acting and performing as an independent contractor and not as an employee of the County. No offer or obligation of permanent employment with the County or particular County department or agency is intended in any manner, and CONTRACTOR shall not become entitled by virtue of this Agreement to receive from County any form of employee benefits including but not limited to sick leave, vacation, retirement benefits, workers' compensation coverage, insurance or disability benefits. CONTRACTOR shall be solely liable for and obligated to pay directly all applicable taxes, including federal and state income taxes and social security, arising out of CONTRACTOR's performance of this Agreement. In connection therewith, CONTRACTOR shall defend, indemnify, and hold County harmless from any and all liability which County may incur because of CONTRACTOR's failure to pay such taxes.

14.0 NOTICES.

- 14.01 Notices required under this Agreement shall be delivered personally or by first-class, postage pre-paid mail to the County and CONTRACTOR'S contract administrators at the addresses listed below:

FOR COUNTY:	FOR CONTRACTOR:
Jeannie Murrey - Management Analyst II	Loyann Flinn - Community Impact Director
Name and Title	Name and Title
730 La Guardia Street Salinas, CA 93905	307 Main Street, Suite 100 Salinas, CA 93901
Address	Address
831-796-3342	831-757-3206, ext. 204
Phone	Phone

15.0 MISCELLANEOUS PROVISIONS.

- 15.01 Conflict of Interest. CONTRACTOR represents that it presently has no interest and agrees not to acquire any interest during the term of this Agreement, which would directly, or indirectly conflict in any manner or to any degree with the full and complete performance of the services required to be rendered under this Agreement.
- 15.02 Amendment. This Agreement may be amended or modified only by an instrument in writing signed by the County and the CONTRACTOR.
- 15.03 Waiver. Any waiver of any terms and conditions of this Agreement must be in writing and signed by the County and the CONTRACTOR. A waiver of any of the terms and conditions of this Agreement shall not be construed as a waiver of any other terms or conditions in this Agreement.
- 15.04 Contractor. The term "CONTRACTOR" as used in this Agreement includes CONTRACTOR's officers, agents, and employees acting on CONTRACTOR's behalf in the performance of this Agreement.
- 15.05 Disputes. CONTRACTOR shall continue to perform under this Agreement during any dispute.
- 15.06 Assignment and Subcontracting. The CONTRACTOR shall not assign, sell, or otherwise transfer its interest or obligations in this Agreement without the prior written consent of the County. None of the services covered by this Agreement shall be subcontracted without the prior written approval of the County. Notwithstanding any such subcontract, CONTRACTOR shall continue to be liable for the performance of all requirements of this Agreement.
- 15.07 Successors and Assigns. This Agreement and the rights, privileges, duties, and obligations of the County and CONTRACTOR under this Agreement, to the extent assignable or delegable, shall be binding upon and inure to the benefit of the parties and their respective successors, permitted assigns, and heirs.
- 15.08 Compliance with Applicable Law. The parties shall comply with all applicable federal, state, and local laws and regulations in performing this Agreement.
- 15.09 Headings. The headings are for convenience only and shall not be used to interpret the terms of this Agreement.
- 15.10 Time is of the Essence. Time is of the essence in each and all of the provisions of this Agreement.
- 15.11 Governing Law. This Agreement shall be governed by and interpreted under the laws of the State of California.
- 15.12 Non-exclusive Agreement. This Agreement is non-exclusive and both County and CONTRACTOR expressly reserve the right to contract with other entities for the same or similar services.

- 15.13 Construction of Agreement. The County and CONTRACTOR agree that each party has fully participated in the review and revision of this Agreement and that any rule of construction to the effect that ambiguities are to be resolved against the drafting party shall not apply in the interpretation of this Agreement or any amendment to this Agreement.
- 15.14 Counterparts. This Agreement may be executed in two or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same Agreement.
- 15.15 Authority. Any individual executing this Agreement on behalf of the County or the CONTRACTOR represents and warrants hereby that he or she has the requisite authority to enter into this Agreement on behalf of such party and bind the party to the terms and conditions of this Agreement.
- 15.16 Integration. This Agreement, including the exhibits, represent the entire Agreement between the County and the CONTRACTOR with respect to the subject matter of this Agreement and shall supersede all prior negotiations, representations, or agreements, either written or oral, between the County and the CONTRACTOR as of the effective date of this Agreement, which is the date that the County signs the Agreement.
- 15.17 Interpretation of Conflicting Provisions. In the event of any conflict or inconsistency between the provisions of this Agreement and the Provisions of any exhibit or other attachment to this Agreement, the provisions of this Agreement shall prevail and control.

-----*This section left blank intentionally*-----

16.0 SIGNATURE PAGE.

IN WITNESS WHEREOF, County and CONTRACTOR have executed this Agreement as of the day and year written below.

COUNTY OF MONTEREY

By: _____
Contracts/Purchasing Officer

Date: _____

By: _____
Department Head (if applicable)

Date: _____

By: _____
Board of Supervisors (if applicable)

Date: _____

Approved as to Form¹

By: CUB
County Counsel

Date: 5-24-18

Approved as to Fiscal Provisions²

By: [Signature]
Auditor/Controller

Date: 5-25-18

Approved as to Liability Provisions³

By: _____
Risk Management

Date: _____

CONTRACTOR

United Way Monterey County
Contractor's Business Name*

By: Katy Castagna
(Signature of Chair, President, or
Vice-President)*

KATY CASTAGNA President and CEO
Name and Title

Date: 5-17-18

By: [Signature]
(Signature of Secretary, Asst. Secretary, CFO,
Treasurer or Asst. Treasurer)*

Dave Mora, Treasurer
Name and Title

Date: 5-17-18

County Board of Supervisors' Agreement Number: _____, approved on (date): _____

*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.

¹Approval by County Counsel is required

²Approval by Auditor-Controller is required

³Approval by Risk Management is necessary only if changes are made in paragraphs 8 or 9

LIST OF EXHIBITS

United Way Monterey County 2018-19

Exhibit A	Scope of Service/Payment Provisions
Exhibit B	Program Budget
Exhibit C	Sample Invoice
Exhibit D	Data Report Spreadsheet
Exhibit E	Customer Summary Report
Exhibit F	Compliance Visit Case Review Spreadsheet
Exhibit G	DSS Additional Provisions
Exhibit H	HIPAA Certification
Exhibit I	Elder Abuse & Neglect Reporting Certification
Exhibit J	Lobbying Certification
Exhibit K	Audit Requirements
Exhibit K-1	Schedule of County Programs

MONTEREY COUNTY DEPARTMENT OF SOCIAL SERVICES

And

United Way of Monterey County

*July 1, 2018– June 30, 2019*Scope of Services/Payment Provisions**A. CONTACTS**

Contract Administrators:

County	UWMC
County Contract Manager: Jeannie Murrey Management Analyst II CalWORKs Employment Services 730 La Guardia Street Salinas, CA 93905 831-796-3342 minanaam@co.monterey.ca.us	United Way Contract Manager: Loyanne Flinn Community Impact Director United Way of Monterey County 307 Main Street, Suite 100 Salinas, CA 93901 831-757-3206 ext. 204 loyanne.flinn@unitedwaymcca.org
Fiscal Contact: Carol Longoria Accountant II Department of Social Services 1000 South Main Street, Suite 306 Salinas CA 93901 831-755-4429 lucero@co.monterey.ca.us	Fiscal Contact: Brian Erbele VP of Finance United Way of Monterey County 60 Garden Court Suite 350 Monterey, CA 93940 (831) 372-8026 ext. 101 erbele.brian@unitedwaymcca.org

B. PURPOSE

The purpose of this agreement is to provide administrative funding to United Way of Monterey County (CONTRACTOR) to provide volunteer Community Service opportunities to CalWORKs customers who need additional experience in a workplace setting to successfully compete for unsubsidized employment in the public and private sectors. The goal of the program is to enhance the employment skills and opportunities of CalWORKs customers referred to the CONTRACTOR by Monterey County Department of Social Services (COUNTY), CalWORKs Employment Services (CWES).

C. PROGRAM DESIGN

CONTRACTOR shall provide: Community Service placement, training, supervision, intensive case management, work ready assessments, Job Readiness assistance, referrals to CWES for customer transition from Community Service to Expanded Subsidized Employment (ESE) or Subsidized Employment (SE), and performance evaluations for 215 eligible CWES customers. Community Service positions are offered at CONTRACTOR developed locations throughout Monterey County.

eligible CWES customers. Community Service positions are offered at CONTRACTOR developed locations throughout Monterey County.

Community Outreach Associates (COAs) assist customers with Community Service placement designed to provide experience and training that supports transition into unsubsidized employment positions. COAs also provide Job Readiness assistance including job search, Résumé, application, and interviewing assistance. CONTRACTOR shall submit recommendations to the COUNTY for customer transition to ESE and SE as soon as the CONTRACTOR determines the customer as work ready.

Work ready is determined by the Community Impact Manager's (CIM) assessment of the customer based upon bi-weekly contacts as well as Community Service Site Supervisor's input into the customer's monthly evaluations. Target Population shall be all eligible CalWORKs customers.

1. Targeted number of customers: 215

- a. While participating in the Community Service Program, customers must complete the minimum number of hours required to meet the participation requirement for their household. This is determined through the work experience calculations completed in C-IV.

2. Performance Goals:

- a. 90% of referred customers complete the orientation/interview within 1 week of referral.
- b. 80% of referred customers are placed in a Community Service worksite that meets their minimum weekly hour participation requirements within one (1) week from the orientation/interview date.
- c. 20% of referred customers are placed in ESE, SE, OJT/Work Experience or unsubsidized employment during their first three (3) months of Community Service placement.

3. Duration of Community Service positions:

- a. Community Service placements are designed to be twelve (12) weeks or less.
- b. In some cases, Community Service placements may be extended in twelve (12) week intervals.

4. Extensions of Community Service:

- a. Extensions are allowed if funding is available and additional time will increase the likelihood of either of the following:
 - i. The participant obtaining unsubsidized employment.
 - ii. The participant being referred to COUNTY for ESE or SE.
 - iii. The participant obtaining specific skills and experiences relevant for unsubsidized employment for a particular field.

D. CONTRACTOR RESPONSIBILITIES

1. Administration

The CONTRACTOR shall:

- a. Ensure proper program management is in place to meet the administrative and reporting requirements detailed in this Agreement.
- b. Provide programmatic oversight of the CONTRACTOR responsibilities provided under this Agreement.
- c. Monitor the program through established processes and in compliance with applicable city, county, state and federal regulations.
- d. Submit reimbursement claims to the COUNTY monthly, no later than the 10th of the month following the invoice month by completing the **monthly invoice (Exhibit C)**.
- e. Schedule and attend regular bi-monthly meetings during the term of this Agreement with essential CONTRACTOR and COUNTY staff to review the status of the program, including the number and progress of serviced customers, challenges and opportunities for improvement and remaining services to be rendered. Additional meetings shall be scheduled as needed to discuss other areas that affect either party to this Agreement.
- f. CONTRACTOR shall participate in the annual CWES Contract Providers meeting convened by the COUNTY that includes all CWES Contractors.
- g. Respond to deficiencies in meeting the service requirements in this Agreement within five (5) business days of the deficiency being identified through contract monitoring or reported by the COUNTY Contract Manager. Identification and response shall be captured in written communication. Corrective actions shall be agreed upon by both parties. Corrective actions shall be implemented within ten (10) days or as soon as deemed possible by both parties. Uncorrected deficiencies may result in delayed payment of monthly invoicing and/or termination of this Agreement.
- h. Ensure appropriate staffing to support the administration and service provided for in this Agreement. Ensure replacement staffing is available to continue the uninterrupted provision of services under this Agreement in the event of staffing vacancies related to sickness, absence, or staffing changes.
- i. Contact the COUNTY when the active Community Service placement caseload reaches 90% of maximum capacity for customers. Coordinate with the COUNTY on actions to take to support excessive caseload management and placement.
- j. Provide information and forms as provided by COUNTY to Community Service sites so that sites can make a first report of an on-the-job injury sustained by a CWES customer to the COUNTY'S Workers Compensation carrier. Require Community Service sites to inform the CONTRACTOR of any injuries that occur. Inform the COUNTY Contract Manager of any injuries reported by sites and provide a copy of the first report and case number assigned by the Workers Compensation carrier to the COUNTY.

2. Tracking and Reporting
The CONTRACTOR shall:

- a. Maintain an ongoing and accurate service provider's Data Report Spreadsheet (**Exhibit D**) that includes (in this order) C-IV Case Number, Customer Last Name, Customer First Name, Date of Referral, Date of Interview/Orientation, Attended Interview/Orientation (Yes/No), Last Follow-Up Date, Customer Status, Last Case note, Weekly Hours, Actual Monthly Hours, Community Service Site, Community Service Start Date, ESE Site, ESE Start Date, Financial Literacy Class Date, Customer Satisfaction Survey Completion Date and Service Outcome.
 - i. Enter the customer information, the date the referral was received, and the date the customer is scheduled to attend Orientation into the service provider's Data Report Spreadsheet (**Exhibit D**).
 - ii. Update the monthly hours scheduled, monthly hours completed, monthly contact date and monthly status field of the service provider's Data Report Spreadsheet (**Exhibit D**) at least once every 30 days for all Community Service customers to accurately portray each customer's progress in services.
 - iii. Record and report each customer's service begin date, location assigned, monthly hours completed, monthly hours assigned, monthly contact date, and monthly status in the service provider's Data Report Spreadsheet (**Exhibit D**).
 - iv. Enter the service end date and service outcome in the service provider's Data Report Spreadsheet (**Exhibit D**) at the end of services for each referred Community Service customer.
 - v. Close services in the service provider's Data Report Spreadsheet (**Exhibit D**) for referred customers who do not successfully complete either the interview/orientation process or do not attend their scheduled volunteer placement site. The reported outcome for customers who do not successfully complete these process steps shall be reflected as "Did Not Complete Service and Did Not Show" in the service provider's Data Report Spreadsheet (**Exhibit D**).
 - vi. Provide a current electronic copy of the service provider's data report spreadsheet to the COUNTY Contract Manager monthly with regular invoicing using secure email by the 5th of each month (if the 5th land on weekend day, submit following business day). In addition, provide a current electronic copy of the service provider's Data Report Spreadsheet (**Exhibit D**) via secure email within two (2) days of receiving a request from CWES.

3. Orientation

The CONTRACTOR shall:

- a. Contact newly referred CWES customers to schedule a Community Service Orientation within the second business day following the referral date.
- b. Schedule newly referred customers to attend a Community Service Orientation within one (1) week of the date of referral permitting availability at sites.

- c. Provide the Community Service Orientation on-site at each Monterey County One-Stop Career Center; King City, Seaside, and Salinas once a month.
- d. Develop, maintain and provide a Community Service customer handout to each referred customer at the Orientation.
- e. Explain the weekly Job Search requirement and provide the customer with forms to document their Job Search.
- f. Ensure that each orientation includes, but is not limited to:
 - i. Instruction for completion of the monthly evaluations;
 - ii. Review of the volunteer site agreement;
 - iii. Delivery and discussion of a participant handout;
 - iv. Review the Steps to Employment and determine where the customer is in the flow of the CWES Program;
 - v. Discuss the customer's goals and what other services they need to reach those goals;
 - vi. Provide and explain the Menu of Services;
 - vii. Instructions for completing the Community Service time card;
 - viii. Community Service participant expectations and code of conduct;
 - ix. Formal volunteer site safety training;
 - x. An explanation about the Community Service process and how work experience hours are determined by the customer's CalWORKs cash aid grant;
 - xi. Available Community Service site locations, information about how sites are assigned;
 - xii. Information about the Community Service time period and extensions, as well as;
 - xiii. Answer any questions customers may have about the Community Service program.

4. Placement

The CONTRACTOR shall:

- a. Place customers in a Community Service site that, at a minimum, meets the customer's minimum hourly participation requirement, with in one (1) week following the interview/orientation.
- b. Provide a new placement that is in line with the goals/interests of the customer within one (1) month following the interview/orientation, if the initial placement is not in line with the customer's goal/interests.
- c. The Community Service site placement shall last for a period of twelve (12) weeks. If a customer is not referred to COUNTY for ESE, SE or does not acquire an unsubsidized employment position during the first twelve (12) weeks

of participation, then CONTRACTOR shall allow for extensions as directed by the COUNTY Case Manager.

- d. Complete a Community Service site agreement for each customer placed in a Community Service site.
- e. Once a customer is placed, send a secure e-mail to the CWES Case Manager and the COUNTY Contract Manager with each customer's placement information.

5. Case Management

The CONTRACTOR shall:

- a. Provide continuous intensive case management services to each customer referred to Community Service.
- b. Ensure each referred Community Service customer is placed in a Community Service site, and position appropriate for an unskilled worker within one (1) week following completion of Orientation.
- c. Ensure the customer is placed in a Community Service site that is in line with the customer's goal/interests within one (1) month following the completion of Orientation.
- d. Ensure each placed Community Service customer meets their minimum hourly work participation requirements monthly.
- e. Ensure as each referred customers' activity coordinator includes the collection of time sheets, verification of hours worked, as well as serves as a reference for future employment opportunities.
- f. Meet with each customer face-to-face, on a bi-weekly basis to review the following:
 - i. Job search efforts,
 - ii. Résumé and cover letters, and
 - iii. Complete a mock interview and provide constructive feedback.
- g. Document the bi-weekly meeting outcomes on the Bi-Weekly Customer Summary Report (**Exhibit E**).
- h. Ensure that monthly evaluations are completed by the Community Service site supervisors monthly for each Community Service customer.
- i. Ensure that an electronic copy of each monthly evaluation is sent using secure electronic mail to the COUNTY Contract Manager and the respective CWES Case Manager for each placed customer.
- j. Ensure each customer's time card is completed as required and that time cards are submitted on a monthly basis.
- k. Ensure that Community Service customers with limited means of transportation are provided priority for placement close to their residence and/or a suitable alternative Community Service site is available.

- l. Immediately (within two (2) business days) report to the customer's CWES Case Manager if the Community Service customer misses a scheduled day of volunteer service. This report shall be made using secure electronic mail.
- m. Make daily attempts to contact Community Service customers that are absent from their work site. Continual contact attempts shall be made until the customer responds or the CWES Case Manager determines that Community Services should be closed for the customer.
- n. Provide support to Community Service customers and Site Supervisors to address unsatisfactory performance and report unsatisfactory performance as a component of regular monthly reporting using the monthly status column of the service provider's Data Report Spreadsheet (**Exhibit D**).
- o. Provide a financial literacy workshop to each placed Community Service customer.
- p. Participate in group meetings as requested which may include any combination of the Community Service customer, CONTRACTOR, CWES Case Manager or Site Supervisor.
- q. Provide bi-lingual (English-Spanish) case management services either directly or through the use of a translator.
- r. Identify the employment barriers of each Community Service customer and make recommendations to the customer's CWES Case Manager on how to remove the barriers.
- s. Contact the site of each new Community Service placement the business day following the customer's start date to ensure the customer attended as required, if the customer did not attend, report the absence to the CWES Case Manager immediately.
- t. Make three (3) attempts throughout the next workday to contact each Community Service customer who did not attend their first workday at the Community Service site as scheduled. Determine the reason for the customer's absence. Report the reason to the customer's CWES Case Manager immediately using secure electronic mail. Ensure the customer's CWES Case Manager is informed if attempts to contact the customer have been unsuccessful.
- u. Close Community Services only as directed by the CWES Case Manager or County Contract Manager and immediately inform the CWES Case Manager about the closed service via secure email. Record the service closure on the service provider's Data Report Spreadsheet (**Exhibit D**) indicating the service end date and appropriate outcome.
- v. Develop and provide an electronic customer satisfaction survey to each Community Service customer upon completion of thirty (30) days at their Community Service site and every three (3) months thereafter. The survey shall be used to determine each customer's satisfaction with the service and service provider's staff to include the COA's, and Site Supervisors. Provide an electronic copy of the survey to the County Contract Manager for approval prior

to implementation. Ensure the County Contract Manager approves any changes to the electronic exit survey. Provide the County Contract Manager with access to the electronic data collected via the exit survey.

- w. Respond using secure electronic mail to COUNTY inquiries about customer progress within two (2) business days.
- x. Report to the customer's CWES Case Manager using secure electronic mail whenever a referred customer misses a scheduled appointment or the customer's services are required to be interrupted and/or discontinued.
- y. Immediately inform the CWES Case Manager using secure electronic mail whenever services have been closed for a customer.

6. Job Search Assistance

The CONTRACTOR shall:

- a. Research the local labor market for open job recruitments.
- b. Contact customers with job recruitments that match their goals/interests.
- c. Maintain a database of job openings for review during bi-weekly meetings with customers.

7. Site Development

The CONTRACTOR shall:

- a. Identify and develop multiple Community Service site locations to support the placement of thirty (30) unique individuals per month. This includes the development of sites in South County (including, but not limited to, Bradley, Parkfield, Lockwood, and San Lucas), the Monterey Peninsula, and the greater Salinas area.
- b. Develop Community Service sites and positions to support customers who are monolingual in a language other than English, or who have limited English proficiency.
- c. Develop and maintain sufficient Community Service sites to ensure each referred customer is placed within one (1) week following the interview/orientation.
- d. Ensure that new Community Service site locations and/or positions are added as needed to satisfy the number of referrals and time requirements outlined in this Agreement.
- e. Continue to develop a collective impact partnership with community organizations to ensure a range of financial stability, education, and housing referrals and services for customers.

8. Site Monitoring

The CONTRACTOR shall:

- a. Ensure regular assessment, hands-on training, and supervision are provided at each Community Service site.
- b. Serve as the liaison for Community Service site supervisors at each Community Service site developed. This includes, but is not limited to: providing each Community Service site supervisor with training on the Community Service program in regard to completion of the Community Service site agreement, time

card submission, the monthly completion of the customer evaluation, and the requirement to report timely periods of missed volunteer service. Respond to Community Service site supervisor inquiries within two (2) business days.

- c. Ensure at least one (1) site supervisor is available for every 5 (five) Community Service customers placed at each Community Service site. Community Service site supervisors shall ensure that the monthly evaluation is completed for each customer and provided to the COA in a timely manner.
- d. Community Service site supervisors shall provide basic job skills training and support to each Community Service customer that they are assigned. Community Service site supervisors shall work with each Community Service customer to identify any barriers to employment they may need help removing. Community Service site supervisors shall report these barriers to the COA who shall report the barriers to the CWES Case Manager using secure electronic mail.
- e. Visit each Community Service site at a minimum of once per quarter to discuss any site concerns with regard to evaluations, training, safety and progress.

9. Program Staff

The CONTRACTOR shall:

- a. Provide a minimum of one (1) full-time Case Manager, one (1) part-time case manager and (1) one part-time Community Impact Manager to deliver the intensive case management services detailed in this Agreement

E. NON-DISPLACEMENT PROVISIONS

Community Service placement shall not result in any of the following:

- 1. Displacement or partial displacement of current employees, etc.;
- 2. The filling of positions, which would otherwise be promotional opportunities for current employees;
- 3. The filling of a position, prior to compliance with applicable personnel procedures or provisions of collective bargaining agreements;
- 4. The filling of established unfilled public agency positions, unless the positions are unfunded in a public agency budget;
- 5. The filling of a position created by termination, layoff, or reduction in work force, etc.;
- 6. A strike, lockout or other bona fide labor dispute, or violation of any existing collective bargaining agreement between employees and employers;
- 7. The filling of a work assignment customarily performed by a worker in a job classification within a recognized collective bargaining unit in that specific work site, or funded positions are vacant or regular employees laid off;
- 8. The termination of a contract for services, prior to expiration date, that results in displacement full or partial of workers performing contracted services;

9. The denial to a customer or employee of protection afforded other workers on the work site by state and federal laws governing workplace health, safety, and representation. [WELFARE & INSTITUTIONS CODE SECTION 11324.6]

F. COUNTY RESPONSIBILITIES

In accordance with the principles of this Agreement, the County shall:

1. Report to the State as required regarding Community Service expenditures and participation.
2. Review monthly invoices and reports submitted by the CONTRACTOR and forward to the Administrative Services Branch for payment.
3. Identify and refer up to 30 (thirty) CalWORKs customers each month.
4. Submit the following information using secure/encrypted electronic mail to CONTRACTOR:
 - a. The PLAN 103 CIV Referral containing the following information: Customer's C-IV Case Number, Customer's Last Name, Customer's First Name, Customer's working telephone number, Customer's mailing address, referral date, employment goal, barriers to employment, required work participation hours, and any additional information deemed necessary and relevant by the CWES Case Manager.
 - b. An electronic copy of the completed C-IV ABCDM 228, Applicant's Authorization for Release of Information, without original signatures. The body of the secure/encrypted electronic mail shall indicate "Customer has signed ABCDM 228 and the signed copy is imaged to the customer's C-IV case file".
5. Communicate at a minimum within two (2) working days to:
 - a. Respond to any inquiries from the CONTRACTOR regarding a Community Service referral or placement.
 - b. Share any changes in customer status or circumstances that impact Community Service.
 - c. Be available for bi-monthly meetings and as needed with the CONTRACTOR and/or customer.
6. Conduct a minimum of two (2) contract monitoring visits to evaluate service delivery and CONTRACTOR performance in relation to targets, goals, and responsibilities. Provide written documentation of contract monitoring findings and recommendations to CONTRACTOR at the conclusion of each visit. This includes a thorough case review on up to 25% of the CONTRACTOR'S caseload, utilizing the Compliance Visit Case Review Spreadsheet (**Exhibit F**).

G. PAYMENT PROVISIONS:

1. CONTRACTOR shall provide to the County Contract Manager:
 - a. Updated, accurate and complete service provider Data Report Spreadsheet, **(Exhibit D)**, no later the 5th of each month. Claims for payment cannot be processed until the monthly report has been received and approved.
 - b. Completed Monthly Invoice using the form set forth in **Exhibit C** no later the 10th of the month following the month of service. COUNTY shall pay CONTRACTOR in accordance with **Exhibit G**, Section I. PAYMENT BY COUNTY.
 - i. The invoices shall contain the original signature of the person authorized to submit claims for payment, and any required documentation, as noted on the applicable invoice form, shall be submitted with the invoice.
 - ii. County contract manager shall review and forward the approved invoice to the Administrative Services Branch.
 - c. County Fiscal staff shall meet with CONTRACTOR and Program Managers quarterly to monitor budget status.
2. The maximum amount to be paid by County to CONTRACTOR under this Agreement shall not exceed **one hundred sixteen thousand seven hundred forty-three dollars (\$116,743)** as detailed in the United Way Community Service Budget **(Exhibit B)**.

**Budget**

Volunteer/Community Service
7/1/2018 to 6/30/2019

United Way Monterey County

CATEGORY	Established Program (200 active cases)
Personnel-Salaries	
Community Impact Director 14 hours/week @\$34.68	25,248
Community Impact Coordinator 40 hours/week @ \$22.17	46,109
Personnel Benefits	
Life / Disability Insurance	854
Workers' Compensation	561
Payroll Taxes	6,110
Medical Insurance	9,964
Temp Staffing Recruiting Expense	0
Staff Training/Development	0
Conference Travel and Lodging	0
Pension (6% of salary)	4,281
Administrative Fee (10% of salaries/benefits)	9,313
SUBTOTAL – PERSONNEL SERVICES	102,440
Operating Expenses	
Rent	7,261
Technology License	2,376
Mileage/Parking	702
Office/Program Supplies	299
Equipment	0
Postage	0
Printing (outreach materials)	144
Professional/Consultant Fees	
Communications	871
Janitorial	177
Utilities	336
InfoTech Support	2,137
SUBTOTAL OPERATING EXPENSES	14,303
TOTAL PROGRAM COST	116,743

EXHIBIT C

United Way Monterey County

PO#

Vendor ID

Date

INV#

Cust# MCDSS

Jeannie Murrey
 CalWORKS Employment Services
 730 La Guardia St.
 Salinas, CA 93905

Period of Service: _____

CATEGORY	TOTAL CONTRACT	MONTHLY EXPENSE	YTD EXPENSE	BALANCE CONTRACT
Salaries / Benefits	\$ 93,127			
Administrative	\$ 9,313			
Operating	\$ 14,303			
TOTAL	\$ 116,743			

I hereby certify that this report is correct and complete to the best of my knowledge.

VP of Finance

Authorized Signature - United Way Monterey Coun

Title

Date

Management Analyst

Authorized Signature - Monterey County DSS, CWE

Title

Date



Period of Service	(From MM/YY/DD)	(To MM/YY/DD)	Volunteer/Community Service													
	C-IV Case Number	Customer Last Name	Customer First Name	Date of Referral	Referral Reason	Date of Interview/Orientation	Attended Interview/Orientation (Yes/No)	Service Begin Date	Location Assigned	Monthly Hours Scheduled	Monthly Hours Completed	Monthly Contact Date	Monthly Status	Service End Date	Service Outcome	Exit Survey Completed (Yes/No)
C-IV CIN Number					Community Service		Yes						In Referred Status		Completed Service Satisfactory and Not Employed	Yes
													Customer Declined Services		Completed Service Satisfactory and Employed	No
							No						Customer Did Not Show for Appointment		Service with Unsatisfactory Performance	
													Services have been interrupted		Complete Service and Unsatisfactory Performance	
													Customer has Unsatisfactory Performance		Did Not Complete Service due to Interruption	
													Agency is Waiting for information from CWES		Did Not Show	
													Customer is in the placement process		Did Not Complete Service Voluntary Withdrawl	
													Customer is Meeting Expectations			
													Customer has not Submitted Monthly Time Sheet			
													Agency is Waiting for information from a Service Provider			

UW Monthly Volunteer/Community Service Placement List

Salinas High School (example only)

Customer 1
Vacant

Natividad Medical Center (example only)

Customer 2
Customer 3
Customer 4
Customer 5
Customer 6
Customer 7
Vacant
Vacant
Vacant
Vacant

Salinas Catholic Charities (example only)

Customer 8
Customer 9
Customer 10
Customer 11
Customer 12

Salinas Food Bank (example only)

Customer 13
Customer 14
Customer 15
Customer 16
Customer 17

Dorothy's House (example only)

Customer 18
Customer 19
Customer 20
Customer 21
Vacant

Seaside Senior Helpers (example only)

Customer 22
Vacant
Vacant
Vacant
Vacant

Salinas Adult School (example only)

Vacant
Vacant
Vacant
Vacant

New Path Church (example only)

Vacant
Vacant
Vacant
Vacant

King City Pantry (example only)

Customer 23
Vacant

Gonzalez Volunteers United (example only)

Customer 24
Customer 25

Monterey Meals on Wheels (example only)

Customer 26
Vacant

Greenfield Elementary (example only)

Customer 27
Customer 28
Vacant
Vacant

UW Volunteer/Community Service Sites

Filled 28
Vacant 22
Total 50

EXHIBIT G

MONTEREY COUNTY DEPARTMENT OF SOCIAL SERVICES

ADDITIONAL PROVISIONS

I. PAYMENT BY COUNTY:

1.01 Monthly claims/invoices by CONTRACTOR: Not later than the tenth (10th) day of each month, CONTRACTOR shall submit to COUNTY a signed invoice setting forth the amount claimed. All invoices (monthly and final) shall be submitted in the form set forth in Exhibit C.

1.02 Final Invoice; forfeiture for late invoice: CONTRACTOR's final month and end of fiscal year invoice is due, and must be received by COUNTY, no later than close of business on July 10, 2019. If the Final Invoice is not received by COUNTY by close of business on July 10, 2019, CONTRACTOR understands and agrees that the reimbursement of CONTRACTOR's final expenses represented by that invoice may be forfeited, and COUNTY shall have no legal obligation regarding it, nor shall COUNTY be required to make any payment towards that untimely/late invoiced claim.

1.03 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 Exhibit B. Only the costs listed in Exhibit B 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 45 Code of Federal Regulations, Part 74, Sub-Part F and 48 Code of Federal Regulations (CFR), Chapter 1, Part 31.

1.04 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 with its request for such approval. Such approval shall not permit CONTRACTOR to receive more than the maximum total amount payable under this contract. Therefore, an increase in one line item will require corresponding decreases in other line items.

1.05 Payment in Full:

(a) If COUNTY certifies and pays the amount requested by CONTRACTOR, such payment shall be deemed payment in full for the month in question and may not thereafter be reviewed or modified, except to permit COUNTY's recovery of overpayments.

(b) If COUNTY certifies and pays a lesser amount than the amount requested, COUNTY shall, immediately upon certification of the lesser amount, notify CONTRACTOR in writing of such certification. If CONTRACTOR does not protest the lesser amount by delivering to COUNTY a written notice of protest within twenty (20) days after CONTRACTOR's receipt of the certification, then payment of the lesser amount shall be

EXHIBIT G

deemed payment in full for the month in question and may not thereafter be questioned by CONTRACTOR.

1.06 Disputed payment amount: If COUNTY pays a lesser amount than the amount requested, and if CONTRACTOR submits a written notice of protest to COUNTY within twenty (20) days after CONTRACTOR's receipt of the certification, then the parties shall promptly meet to review the dispute and resolve it on a mutually acceptable basis. No court action may be taken on such dispute until the parties have met and attempted to resolve the dispute in person.

II. PERFORMANCE STANDARDS & COMPLIANCE

2.01 Outcome objectives and performance standards: CONTRACTOR shall for the entire term of this Agreement provide the service outcomes set forth in **Exhibit A**. CONTRACTOR shall meet the contracted level of service and the specified performance standards described in **Exhibit A**, unless prevented from doing so by circumstances beyond CONTRACTOR's control, including but not limited to, natural disasters, fire, theft, and shortages of necessary supplies or materials due to labor disputes.

2.02 County monitoring of services: COUNTY shall monitor services provided under this Agreement in order to evaluate the effectiveness and quality of services provided.

2.03 Notice of defective performance: COUNTY shall notify CONTRACTOR in writing within thirty (30) days after discovering any defects in CONTRACTOR's performance. CONTRACTOR shall promptly take action to correct the problem and to prevent its recurrence. Such corrective action shall be completed and a written report made to the COUNTY concerning such action not later than thirty (30) days after the date of the COUNTY's written notice to CONTRACTOR.

2.04 Termination for cause: Notwithstanding Section 7.02 of the Agreement, if the corrective actions required above are not completed and the report to the COUNTY not made within thirty (30) days, the COUNTY may terminate this Agreement by giving five (5) days' written notice to CONTRACTOR.

2.05 Remedies for Inadequate Service Levels:

- a) For each month that service falls below 80% of the contracted level, CONTRACTOR shall submit to the COUNTY an analysis of the causes of the problem and any necessary actions to be taken to correct the problem. If the problem continues for another month, the COUNTY shall meet with CONTRACTOR to explore the problem and develop an appropriate written corrective action plan with appropriate time frames.
- b) If CONTRACTOR does not carry out the required corrective action within the time frame specified, sanctions shall be applied in accordance with funding source regulations.

EXHIBIT G

- c) Notwithstanding Section 7.02 of the Agreement, if, after the COUNTY notifies CONTRACTOR of any sanctions to be imposed, CONTRACTOR continues in its failure to take corrective action, then COUNTY may terminate this contract by giving CONTRACTOR five (5) days' written notice.
- d) If all appropriate corrective actions are taken but service still falls 80% or more below contracted level, COUNTY and CONTRACTOR may renegotiate the contracted level of service.

2.06 Training for Staff: CONTRACTOR shall insure that sufficient training is provided to its volunteer and paid staff to enable them to perform effectively on the project, and to increase their existing level of skills. Additionally, CONTRACTOR shall ensure that all staff completes Division 21 Civil Rights training.

2.07 Bi-lingual Services: CONTRACTOR shall ensure that qualified staff is available to accommodate non-English speaking, and limited English proficient, individuals.

2.08 Assurance of drug free-workplace: CONTRACTOR shall submit to the COUNTY evidence of compliance with the California Drug-Free Workplace Act of 1990, Government Code sections 8350 et seq., by doing the following:

- Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the person's or organization's workplace and specifying the actions that will be taken against employees for violations of the prohibition;
 - Establishing a drug-free awareness program to inform employees about all of the following:
 - 1) the dangers of drug abuse in the workplace;
 - 2) the organization's policy of maintaining a drug-free workplace;
 - 3) any available drug counseling, rehabilitation, and employee assistance programs;
 - 4) the penalties that may be imposed upon employees for drug abuse violations;
 - 5) requiring that each employee engaged in the performance of the contract or grant be given a copy of the company's drug-free policy statement and that, as a condition of employment on the contract or grant, the employee agrees to abide by the terms of the statement.

III. CONFIDENTIALITY

CONTRACTOR and its officers, employees, agents, and subcontractors shall comply with Welfare and Institutions (W & I) Code Sec. 10850, 45 CFR Sec. 205.50, and all other applicable provisions of law which provide for the confidentiality of records and prohibit their being opened for examination for any purpose not directly connected with the administration of public social services. Whether or not covered by W&I Code Sec. 10850 or by 45 CFR Sec. 205.50, confidential medical or personnel records and the identities of clients and complainants shall not be disclosed unless there is proper consent to such disclosure or a court order requiring disclosure. Confidential information gained by

EXHIBIT G

CONTRACTOR from access to any such records, and from contact with its clients and complainants, shall be used by CONTRACTOR only in connection with its conduct of the program under this Agreement. The COUNTY, through the Director of the Department of Social Services, and his/her representatives, shall have access to such confidential information and records to the extent allowed by law, and such information and records in the hands of the COUNTY shall remain confidential and may be disclosed only as permitted by law.

IV. NON-DISCRIMINATION

CONTRACTOR certifies that to the best of its ability and knowledge it will comply with the nondiscrimination program requirements set forth in this Section.

4.01 Discrimination Defined: The term "discrimination" as used in this contract, is the same term that is used in Monterey County Code, Chapter 2.80 "Procedures for Investigation and Resolution of Discrimination Complaints"; it means the illegal denial of equal employment opportunity, harassment (including sexual harassment and violent harassment), disparate treatment, favoritism, subjection to unfair or unequal working conditions, and/or other discriminatory practice by any Monterey County official, employee or agent, due to an individual's race, color, ethnic group, national origin, ancestry, religious creed, sex, sexual orientation, age, veteran's status, cancer-related medical condition, physical handicap (including AIDS) or disability. The term also includes any act of retaliation.

4.02 Application of Monterey COUNTY Code Chapter 2.80: The provisions of Monterey COUNTY Code Chapter 2.80 apply to activities conducted pursuant to this Agreement. Complaints of discrimination made by CONTRACTOR against the COUNTY, or by recipients of services against CONTRACTOR, may be pursued using the procedures established by Chapter 2.80. CONTRACTOR shall establish and follow its own written procedures for the prompt and fair resolution of discrimination complaints made against CONTRACTOR by its own employees and agents, and shall provide a copy of such procedures to COUNTY on demand by COUNTY.

4.03 Compliance with laws: During the performance of this Agreement, CONTRACTOR shall comply with all applicable federal, state and local laws and regulations which prohibit discrimination, including but not limited to the following:

- **California Fair Employment and Housing Act**, California Government Code Sec. 12900 et seq., see especially Section 12940 (c), (h), (1), (i), and (j); and the administrative regulations issued thereunder, 2 Calif. Code of Regulations Secs. 7285.0 et seq. (Division 4 - Fair Employment and Housing Commission);
- **California Government Code Secs. 11135 - 11139.5**, as amended (Title 2, Div. 3, Part 1, Chap. 1, Art. 9.5) and any applicable administrative rules and regulations issued under these sections; including **Title 22 California Code of Regulations 98000-98413**.

EXHIBIT G

- **Federal Civil Rights Acts of 1964 and 1991** (see especially Title VI, 42 USC Secs. 2000d et seq.), as amended, and all administrative rules and regulations issued thereunder (see especially 45 CFR Part 80);
- **The Rehabilitation Act of 1973**, Secs. 503 and 504 (29 USC Sec. 793 and 794), as amended; all requirements imposed by the applicable HHS regulations (45 CFR Parts 80, 84 and 91); and all guidelines and interpretations issued pursuant thereto;
- **7 Code of Federal Regulations (CFR)**, Part 15 and 28 CFR Part 42;
- **Title II of the Americans with Disabilities Act of 1990** (P.L. 101-336), 42 U.S.C. Secs. 12101 et seq. and 47 U.S.C. Secs. 225 and 611, and any federal regulations issued pursuant thereto (see 24 CFR Chapter 1; 28 CFR Parts 35 and 36; 29 CFR Parts 1602, 1627, and 1630; and 36 CFR Part 1191);
- **Unruh Civil Rights Act**, Calif. Civil Code Sec. 51 et seq., as amended;
- **Monterey COUNTY Code**, Chap. 2.80.;
- **Age Discrimination in Employment Act 1975**, as amended (ADEA), 29 U.S.C. Secs 621 et seq.;
- **Equal Pay Act of 1963**, 29 U.S.C. Sec. 206(d);
- **California Equal Pay Act**, Labor Code Sec.1197.5.
- **California Government Code Section 4450**;
- **The Dymally-Alatorre Bilingual Services Act**; Calif. Government Code Sec. 7290 et seq.
- **The Food Stamp Act of 1977**, as amended and in particular Section 272.6.
- **California Code of Regulations**, Title 24, Section 3105A(e)
- **Removal of Barriers to Inter-Ethnic Adoption Act of 1996**, Section 1808

4.04 Written assurances: Upon request by COUNTY, CONTRACTOR will give any written assurances of compliance with the Civil Rights Acts of 1964 and 1991, the Rehabilitation Act of 1973 and/or the Americans with Disabilities Act of 1990, as may be required by the federal government in connection with this Agreement, pursuant to 45 CFR Sec. 80.4 or 45 CFR Sec. 84.5, and 91; 7 CFR Part 15; and 28 CFR Part 35, or other applicable State or federal regulation.

EXHIBIT G

4.05 Written non-discrimination policy: Contractor shall maintain a written statement of its non-discrimination policies which shall be consistent with the terms of this Agreement. Such statement shall be available to employees, recipients of services, and members of the public, upon request.

4.06 Grievance Information: CONTRACTOR shall advise applicants who are denied CONTRACTOR's services, and recipients who do receive services, of their right to present grievances, and of their right to a State hearing concerning services received under this Agreement.

4.07 Notice to Labor Unions: CONTRACTOR shall give written notice of its obligations under paragraphs 4.01 - 4.08 to labor organizations with which it has a collective bargaining or other agreement.

4.08 Access to records by government agencies: CONTRACTOR shall permit access by COUNTY and by representatives of the State Department of Fair Employment and Housing, and any state agency providing funds for this Agreement, upon reasonable notice at any time during normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, facilities, and other sources of information as the inspecting party may deem appropriate to ascertain compliance with these non-discrimination provisions.

4.09 Binding on Subcontractors: The provisions of paragraphs 4.01 - 4.08 shall also apply to all of CONTRACTOR's subcontractors. CONTRACTOR shall include the non-discrimination and compliance provisions of these paragraphs in all subcontracts to perform work or provide services under this Agreement.

V. CONTRACT ADMINISTRATORS

5.01 Contract Administrator – CONTRACTOR: CONTRACTOR hereby designates **Loyanne Flinn** as its Contract Administrator for this Agreement. All matters concerning this Agreement which are within the responsibility of CONTRACTOR shall be under the direction of, or shall be submitted to, the CONTRACTOR's Contract Administrator. CONTRACTOR may, in its sole discretion, change its designation of the Contract Administrator, and shall promptly give written notice to COUNTY of any such change.

5.02 Contract Administrator – COUNTY: COUNTY hereby designates the Director of the Monterey County Department of Social Services as its Contract Administrator for this Agreement. All matters concerning this Agreement which are within the responsibility of COUNTY shall be under the direction of, or shall be submitted to, the Director or such other COUNTY employee in the Department of Social Services as the Director may appoint. COUNTY may, in its sole discretion, change its designation of the Contract Administrator, and shall promptly give written notice to CONTRACTOR of any such change.

EXHIBIT G

VI. CONTRACT DEPENDENT ON GOVERNMENT FUNDING

COUNTY's payments to CONTRACTOR under this Agreement are funded by the State and Federal governments. If funds from State and Federal sources are not obtained and continued at a level sufficient to allow for COUNTY's purchase of the indicated quantity of services, then COUNTY may give written notice of this fact to CONTRACTOR, and the obligations of the parties under this Agreement shall terminate immediately, or on such date thereafter, as COUNTY may specify in its notice, unless in the meanwhile the parties enter into a written Amendment modifying this Agreement.

VII. APPEAL PROCESS

In the event of a dispute or grievance regarding the terms and conditions of this Agreement, both parties shall abide by the following procedures:

A. CONTRACTOR shall first discuss the problem informally with the designated DSS Contact/Program Analyst. If the problem is not resolved, CONTRACTOR must, within fifteen (15) working days of the failed attempt to resolve the dispute with DSS Contact/Program Analyst, submit a written complaint, together with any evidence, to the DSS Branch Deputy Director. The complaint must include a description of the disputed issues, the legal authority/basis for each issue which supports CONTRACTOR's position, and the remedy sought. The Branch Deputy Director shall, within fifteen (15) working days after receipt of CONTRACTOR's written complaint, make a determination on the dispute, and issue a written decision and reasons therefore. All written communication shall be pursuant to Section 14. NOTICES of this Agreement. Should CONTRACTOR disagree with the decision of the Division Deputy Director, CONTRACTOR may appeal the decision to the Director of the Department of Social Services.

B. CONTRACTOR's appeal of the Branch Deputy Director's decision must be submitted to the Department Director within ten (10) working days from the date of the decision; be in writing, state the reasons why the decision is unacceptable, and include the original complaint, the decision that is the subject of appeal, and all supporting documents. Within twenty (20) working days from the date of CONTRACTOR'S appeal, the Department Director, or his/her designee, shall meet with CONTRACTOR to review the issues raised on appeal. The Department Director shall issue a final written decision within fifteen (15) working days of such meeting.

C. CONTRACTOR may appeal the final decision of the Department Director in accordance with the procedures set forth in Division 25.1 (commencing with Section 38050) of the Health and Safety Code and the regulations adopted thereunder. (Title 1, Subchapter 2.5 commencing with Section 251, or Subchapter 3 commencing with Section 300, whichever is applicable, of the California Code of Regulations).

D. CONTRACTOR shall continue to carry out the obligations under this Agreement during any dispute.

E. Costs incurred by CONTRACTOR for administrative/court review are not reimbursable by COUNTY.

EXHIBIT H

Health Insurance Portability & Accountability Act (HIPAA) Certification

WHEREAS, Sections 261 through 264 of the federal Health Insurance Portability and Accountability Act of 1996, Public Law 104-191, known as "the Administrative Simplification provisions," direct the Department of Health and Human Services to develop standards to protect the security, confidentiality and integrity of health information; and

WHEREAS, pursuant to the Administrative Simplification provisions, the Secretary of Health and Human Services has issued regulations modifying 45 CFR Parts 160 and 164 (the "HIPAA Privacy Rule"); and

WHEREAS, CONTRACTOR and COUNTY have entered into an Agreement ("the Agreement") to which this Certification is an attachment whereby CONTRACTOR will provide certain services to COUNTY; and

WHEREAS, CONTRACTOR may have access to Protected Health Information (as defined below) in fulfilling its responsibilities under the underlying Agreement.

THEREFORE, in consideration of the Parties' continuing obligations under the Agreement, compliance with the HIPAA Privacy Rule, and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, CONTRACTOR agrees to the provisions of this Certification and of the HIPAA Privacy Rule and to protect the interests of COUNTY.

I. DEFINITIONS

Except as otherwise defined herein, any and all capitalized terms in this Section shall have the definitions set forth in the HIPAA Privacy Rule. In the event of an inconsistency between the provisions of this Certification and mandatory provisions of the HIPAA Privacy Rule, as amended, the HIPAA Privacy Rule shall control. Where provisions of this Certification are different than those mandated in the HIPAA Privacy Rule, but are nonetheless permitted by the HIPAA Privacy Rule, the provisions of this Certification shall control.

The term "Protected Health Information" means individually identifiable health information including, without limitation, all information, data, documentation, and materials, including without limitation, demographic, medical and financial information, that relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and that identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual.

CONTRACTOR acknowledges and agrees that all Protected Health Information that is created or received by COUNTY and disclosed or made available in any form, including paper record, oral communication, audio recording, and electronic display by COUNTY, or its operating units, to CONTRACTOR or is created or received by CONTRACTOR on COUNTY's behalf shall be subject to this Certification.

II. CONFIDENTIALITY REQUIREMENTS

- (a) CONTRACTOR agrees:
- (i) to use or disclose any Protected Health Information solely: (1) for meeting its obligations as set forth in any agreements between the Parties evidencing their business relationship or (2) as required by applicable law, rule or regulation, or by accrediting or credentialing organization to whom COUNTY is required to disclose such information, or as otherwise permitted under this Certification, or the underlying Agreement, (if consistent with this Certification and the HIPAA Privacy Rule), or the HIPAA Privacy Rule, and (3) as would be permitted by the HIPAA Privacy Rule if such use or disclosure were made by COUNTY; and
 - (ii) at termination of the Agreement, (or any similar documentation of the business relationship of the Parties), or upon request of COUNTY, whichever occurs first, if feasible CONTRACTOR will return or destroy all Protected Health Information received from or created or received by CONTRACTOR on behalf of COUNTY that CONTRACTOR still maintains in any form, and retain no copies of such information, or if such return or destruction is not feasible, CONTRACTOR will extend the protections of this Agreement to the information and limit further uses and disclosures to those purposes that make the return or destruction of the information not feasible; and
 - (iii) to ensure that its agents, including a subcontractor(s), to whom it provides Protected Health Information received from or created by CONTRACTOR on behalf of COUNTY, agrees to the same restrictions and conditions that apply to CONTRACTOR with respect to such information. In addition, CONTRACTOR agrees to take reasonable steps to ensure that its employees' actions or omissions do not cause CONTRACTOR to breach the terms of the Agreement.
- (b) Notwithstanding the prohibitions set forth in this Certification or the Agreement, CONTRACTOR may use and disclose Protected Health Information as follows:
- (i) if necessary, for the proper management and administration of CONTRACTOR or to carry out the legal responsibilities of CONTRACTOR, provided that as to any such disclosure, the following requirements are met:
 - (A) the disclosure is required by law; or
 - (B) CONTRACTOR obtains reasonable assurances from the person to whom the information is disclosed that it will be held confidentially and used or further disclosed only as required by law, or for the purpose for which it was disclosed to the person, and the person notifies CONTRACTOR of any instances of which it is aware in which the confidentiality of the information has been breached;
 - (ii) for data aggregation services, if to be provided by CONTRACTOR for the health care operations of COUNTY pursuant to any agreements between the Parties evidencing their business relationship. For purposes of this Certification and the Agreement, data aggregation services means the combining of Protected Health Information by CONTRACTOR with the protected health information received by CONTRACTOR in its capacity as CONTRACTOR of another COUNTY, to permit data analyses that relate to the health care operations of the respective covered entities.

EXHIBIT H

- (c) CONTRACTOR will implement appropriate safeguards to prevent use or disclosure of Protected Health Information other than as permitted in this Certification. The Secretary of Health and Human Services shall have the right to audit CONTRACTOR's records and practices related to use and disclosure of Protected Health Information to ensure COUNTY's compliance with the terms of the HIPAA Privacy Rule. CONTRACTOR shall report to COUNTY any use or disclosure of Protected Health Information which is not in compliance with the terms of this Certification of which it becomes aware. In addition, CONTRACTOR agrees to mitigate, to the extent practicable, any harmful effect that is known to CONTRACTOR of a use or disclosure of Protected Health Information by CONTRACTOR in violation of the requirements of this Certification or the Agreement.

III. AVAILABILITY OF PHI

CONTRACTOR agrees to make available Protected Health Information to the extent and in the manner required by Section 164.524 of the HIPAA Privacy Rule. CONTRACTOR agrees to make Protected Health Information available for amendment and incorporate any amendments to Protected Health Information in accordance with the requirements of Section 164.526 of the HIPAA Privacy Rule. In addition, CONTRACTOR agrees to make Protected Health Information available for purposes of accounting of disclosures, as required by Section 164.528 of the HIPAA Privacy Rule.

IV. TERMINATION

Notwithstanding anything in this Certification or the Agreement to the contrary, COUNTY shall have the right to terminate the Agreement immediately if COUNTY determines that CONTRACTOR has violated any material term of this Certification and/or the Agreement. If COUNTY reasonably believes that CONTRACTOR will violate a material term of this Certification and/or the Agreement and, where practicable, COUNTY gives written notice to CONTRACTOR of such belief within a reasonable time after forming such belief, and CONTRACTOR fails to provide adequate written assurances to COUNTY that it will not breach the cited term of this Certification and/or the Agreement within a reasonable period of time given the specific circumstances, but in any event, before the threatened breach is to occur, then COUNTY shall have the right to terminate the Agreement immediately.

V. MISCELLANEOUS

Except as expressly stated herein or the HIPAA Privacy Rule, the parties to the Agreement do not intend to create any rights in any third parties. The obligations of CONTRACTOR under this Section shall survive the expiration, termination, or cancellation of this Certification and/or the Agreement, and/or the business relationship of the parties, and shall continue to bind CONTRACTOR, its agents, employees, contractors, successors, and assigns as set forth herein.

The parties agree that, in the event that any documentation of the arrangement pursuant to which CONTRACTOR provides services to COUNTY contains provisions relating to the use or disclosure of Protected Health Information which are more restrictive than the provisions of this Certification or the Agreement, the provisions of the more restrictive documentation will control. The provisions of this

EXHIBIT H

Certification and the Agreement are intended to establish the minimum requirements regarding CONTRACTOR's use and disclosure of Protected Health Information.

In the event that either party believes in good faith that any provision of this Certification and/or the Agreement fails to comply with the then current requirements of the HIPAA Privacy Rule, such party shall notify the other party in writing. For a period of up to thirty (30) days, the parties shall address in good faith such concern and amend the terms of this Certification and/or the Agreement, if necessary to bring it into compliance. If, after such thirty-day period, the Certification and/or the Agreement fails to comply with the HIPAA Privacy Rule, then either party has the right to terminate upon written notice to the other party.

CONTRACTOR: United Way Monterey County

By: Kathy Castagna

Title: President and CEO

Date: 5-18-18

**ELDER/DEPENDENT ADULT
ABUSE & NEGLECT REPORTING
CERTIFICATION**

United Way Monterey County

CONTRACTOR hereby acknowledges that this contract for services will bring CONTRACTOR in contact with dependent adults or elders, and that CONTRACTOR has received from COUNTY a copy of Welfare & Institutions Code Section 15659 as required by the Elder Abuse and Dependent Adult Civil Protection Act (Welfare & Institutions Code Sections 15600, et seq). CONTRACTOR certifies that it has knowledge of the provisions of the Act, and will comply with its provisions which define a mandated reporter, and requires that reports of abuse or neglect be made by a mandated reporter when, in his or her professional capacity, or within the scope of his or her employment, he/she observes or has knowledge of an incident that reasonably appears to be physical abuse, abandonment, isolation, financial abuse, or neglect.

Form SOC 341, Report of Suspected Dependent Adult/Elder Abuse, and General Instructions are available on the California Department of Social Services website:
<http://www.dss.cahwnet.gov/cdssweb/entres/forms/English/SOC341.pdf>

CONTRACTOR further gives assurance that all of its employees, consultants, and agents performing services under this Agreement, who are mandated reporters under the Act, sign statements indicating that they know of and will comply with the Act's reporting requirements.

Form SOC 341A, Statement Acknowledging Requirement to Report Suspected Abuse of Dependent Adult and Elders, is available on the California Department of Social Services website:
<http://www.dss.cahwnet.gov/cdssweb/entres/forms/English/SOC341A.pdf>



Authorized Signature



Date

To Report Suspected Dependent Adult/Elder Abuse during regular business hours, call
1 (800) 510-2020

To Report Suspected Dependent Adult/Elder Abuse after hours, call **911**

**WELFARE AND INSTITUTIONS CODE
SECTION 15659**

15659.

- (a) Any person who enters into employment on or after January 1, 1995, as a care custodian, health practitioner, or with an adult protective services agency or a local law enforcement agency, prior to commencing his or her employment and as a prerequisite to that employment shall sign a statement on a form, that shall be provided by the prospective employer, to the effect that he or she has knowledge of Section 15630 and will comply with its provisions. The signed statement shall be retained by the employer.
- (b) Agencies or facilities that employ persons required to make reports pursuant to Section 15630, who were employed prior to January 1, 1995, shall inform those persons of their responsibility to make reports by delivering to them a copy of the statement specified in subdivision (a).
- (c) The cost of printing, distribution, and filing of these statements shall be borne by the employer.
- (d) On and after January 1, 1995, when a person is issued a state license or certificate to engage in a profession or occupation the members of which are required to make a report pursuant to Section 15630, the state agency issuing the license or certificate shall send a statement substantially similar to the one contained in subdivision (a) to the person at the same time as it transmits the document indicating licensure or certification to the person.
- (e) As an alternative to the procedure required by subdivision (d), a state agency may cause the required statement to be printed on all application forms for a license or certificate printed on or after January 1, 1995.
- (f) The retention of statements required by subdivision (a), and the delivery of statements required by subdivision (b) shall be the full extent of the employer's duty pursuant to this section. The failure of any employee or other person associated with the employer to report abuse of elders or dependent adults pursuant to Section 15630 or otherwise meet the requirements of this chapter shall be the sole responsibility of that person. The employer or facility shall incur no civil or other liability for the failure of these persons to comply with the requirements of this chapter.

CERTIFICATION REGARDING LOBBYING

United Way Monterey County

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements, and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Katy Castagna
Signature

President and CEO
Title

United Way Monterey County
Agency/Organization

5-17-18
Date

AUDIT & RECOVERY OF OVERPAYMENTS REQUIREMENTS

I. CPA Audit on Termination:

1.01 Audit Requirement

At the request of COUNTY, CONTRACTOR shall give to COUNTY an audit report(s) covering the contract period, prepared by an independent Certified Public Accountant. The purpose of the audit requirement is determining whether the reported costs are fair and reasonable and have been computed in accordance with generally accepted accounting principles, with the provisions of this Agreement, and with all applicable COUNTY requirements.

If CONTRACTOR expends a total of \$750,000 or more of federal funding per fiscal year, CONTRACTOR is required to submit an annual audit report(s) that was performed in compliance with the Uniform Guidance.

If CONTRACTOR expends less than \$750,000 in federal funding per fiscal year, then the COUNTY shall require an annual audit report(s) be performed in accordance with the Generally Accepted Auditing Standards (GAAS).

1.02 Audit Submission /Fiscal Year-end

CONTRACTOR shall provide COUNTY with the audit report(s), required herein no later than six (6) months after the close of CONTRACTOR's Fiscal Year, except when CONTRACTOR has expended \$750,000 in federal funding and the Uniform Guidance allows a nine (9) month deadline. In the case where providing the required audit within the specified time period represents an unreasonable hardship, CONTRACTOR shall alert COUNTY and request an extension. Additional documentation may be requested by COUNTY to grant the extension.

1.03 Audit Format

CONTRACTOR may submit to COUNTY one of the following in satisfaction of this Audit requirement:

- 1) If CONTRACTOR expends a total of \$750,000 or more of federal funding per fiscal year, CONTRACTOR is required to submit an annual audit report(s) that was performed in compliance with the Uniform Guidance.

-OR-

- 2) If CONTRACTOR expends less than \$750,000 in federal funding per fiscal year, then the COUNTY shall require an annual audit report(s) be performed in accordance with the Generally Accepted Auditing Standards (GAAS).

-OR-

- 3) Additionally, at the discretion of the CONTRACTOR, a program specific audit report(s) may be submitted in accordance with the Uniform Guidance.

All Audits must include the following information within their audit:

- a) A separate schedule listing programs and funding, see recommended format, **Exhibit K-1**

- b) All Management Letters received by the CONTRACTOR relating to the performed audit, shall be submitted in conjunction with the annual audit report(s) to the COUNTY.

1.04 Payment for Audit

CONTRACTOR shall bear all costs in connection with, or resulting from, any audit and/or inspections including, but not limited to, actual cost incurred and the payment/repayment of any expenditures disallowed by COUNTY, State or Federal government entities, including any assessed interest and penalties.

If CONTRACTOR is exempt from federal audit procedures under UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS (Uniform Guidance), then payment for this audit shall be made by CONTRACTOR with resources other than grant funds, or those used for matching purposes. If CONTRACTOR is not exempt from federal audit procedures under the UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS (Uniform Guidance), the cost of audits made in accordance with the provisions of this part are allowable charges to Federal awards. The charges may be considered a direct cost or an allocated indirect cost, as determined in accordance with the provisions of applicable Uniform Guidance cost principles, other applicable cost principles or regulations.

II. Contractor Records

Funds provided by COUNTY shall be accounted for separately in CONTRACTOR's books and records. CONTRACTOR shall keep a systematic accounting record of the receipt and disbursement of COUNTY funds. CONTRACTOR shall permit COUNTY to audit, examine and to copy excerpts and transcripts from such records and to conduct audits or reviews of all records including, but not limited to, invoices, materials, personnel records, bank account records, business records, billing statements, payroll records, business expense records, and all other data related to matters covered by this Agreement. CONTRACTOR shall maintain such data and records in an accessible location and condition for a period of at least four (4) years from the close of this Agreement term, or until after the conclusion of any audit, whichever occurs last. The State of California and/or any Federal agency providing funds for this Agreement shall have the same rights conferred upon COUNTY herein. CONTRACTOR shall keep records that are sufficient to permit the tracing of funds to a level of expenditure adequate to ensure that the funds have not been unlawfully spent. CONTRACTOR's records shall describe and support the use of funds for the agreed upon project or services outlined in this Agreement.

III. Recovery of Overpayments: If any audit shows that COUNTY has paid to CONTRACTOR any amount in excess of properly allowable costs, then CONTRACTOR shall reimburse COUNTY for that amount, either by a cash payment made within thirty (30) days after COUNTY notifies CONTRACTOR of the overpayment, or by an offset made by COUNTY against any payments owed by COUNTY to CONTRACTOR under this or any other contract.

United Way Monterey County

Katy Castagna

(signature of authorized representative)

5-17-18

(date)

United Way Monterey County
SCHEDULE OF COUNTY PROGRAMS
YEAR ENDED 2018-19

<u>Program Name</u>	<u>County Dept.</u>	<u>Contract No.</u>	<u>CFDA #</u>	<u>Contract Period</u>	<u>Contract Amount</u>	<u>Fiscal Year</u>	<u>Expenditures</u>		<u>Amount Received from County</u>	
							<u>Contract Life-to-</u>	<u>Date</u>	<u>Contract Life-to-</u>	<u>Date</u>