

PLEASE ACCEPT  
AS 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:  
Alliance on Aging  
(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 Outreach, Long Term Care Ombudsman, Health Insurance Counseling and Advocacy (HICAP), and Medicare Improvements for Patients & Providers (MIPPA) services to Monterey County seniors.

**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 \$ 423,777.00.

**3.0 TERM OF AGREEMENT.**

- 3.01 The term of this Agreement is from July 1, 2017 to June 30, 2018, 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:
Kathleen Murray-Phillips, Management Analyst	Teresa Sullivan, Executive Director
Name and Title	Name and Title
1000 S. Main Street, Suite 301	247 Main Street
Salinas, CA 93901	Salinas, CA 93901
Address	Address
831-796-3530	831-758-4011
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: 6/30/17

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

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

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

By: \_\_\_\_\_  
County Counsel

Date: May 31, 2017

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

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

Date: 6/2/17

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

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

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

**CONTRACTOR**

\_\_\_\_\_ Alliance on Aging  
Contractor's Business Name\*

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

\_\_\_\_\_ James A. Coulter Barnhart  
Name and Title

Date: 5/25/2017

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

\_\_\_\_\_ Tim J Del Piero Secretary  
Name and Title

Date: 5/27/17

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.

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

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

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

## **LIST OF EXHIBITS**

### **ALLIANCE ON AGING 2017-18**

<b>Exhibit A</b>	<b>Scope of Service/ Management Information System Data/Budget/Payment Provisions/Reporting Requirements</b>
	A-1 Title III B, Outreach
	A-2 Title III B, Ombudsman
	A-3 Title VII A, Ombudsman
	A-4 Ombudsman Initiative
	A-5 HICAP
	A-6 MIPPA
<b>Exhibit B</b>	<b>DSS Additional Provisions</b>
<b>Program Budgets</b>	
	C-1 Title III B, Outreach
	C-2 Title III B, Ombudsman
	C-3 Title VII A, Ombudsman
	C-4 Ombudsman Initiative
	C-5 HICAP
	C-6 MIPPA
<b>Exhibit D-1</b>	<b>Sample Invoice</b>
<b>Exhibit D-2</b>	<b>Sample Annual Closeout Summary</b>
<b>Exhibit D-3</b>	<b>Equipment Acquisition Report</b>
<b>Exhibit D-4</b>	<b>Sample Quarterly Narrative Report</b>
<b>Exhibit D-5</b>	<b>Equipment Purchase Guidelines</b>
<b>Exhibit E</b>	<b>HIPAA Certification</b>
<b>Exhibit F</b>	<b>Elder Abuse &amp; Neglect Reporting Certification</b>
<b>Exhibit G</b>	<b>Lobbying Certification</b>
<b>Exhibit H</b>	<b>Audit Requirements</b>

**SCOPE OF SERVICES/PAYMENT PROVISIONS**

**ALLIANCE ON AGING  
JULY 1, 2017 to JUNE 30, 2018**

**I. CONTACT INFORMATION**

Contact Person: Teresa Sullivan, Executive Director  
(831) 758-4011

Disaster Preparedness Coordinator: Becky Mann, Director of Operations  
(831) 758-4011

County Contract Manager: Kathleen Murray-Phillips, Management Analyst  
Area Agency on Aging  
Department of Social Services  
1000 South Main Street Suite 301  
Salinas, CA 93901  
(831) 796-3530 Fax: (831) 755-8477  
[murrayphillipsk@co.monterey.ca.us](mailto:murrayphillipsk@co.monterey.ca.us)

**II. OFFICES**

Salinas: 247 Main Street, Salinas CA 93901  
Monterey: 280 Dickman Avenue, Monterey CA 93940

Days and Hours of Service:  
Monday to Friday, 9 a.m. to 5 p.m. Closed from noon to 1 p.m.

**III. COMPLIANCE REQUIREMENTS**

This Agreement is supported with State and Federal funds and requires compliance with all regulations under the following laws:

1. Clean Air Act, as amended. [42 USC 7401]
2. Clean Water Act, as amended. [33 USC 1251]
3. Federal Water Pollution Control Act, as amended. [33 USC 1251, et seq.]
4. Environmental Protection Agency Regulations. [40 CFR, 29] [Executive Order 11738]
5. Public Contract Code Section 10295.3
6. Occupational Safety and Health Administration applicable regulations [OSHA Act].

In addition, there are local requirements of the Monterey County Area Agency on Aging (AAA) for all service providers outlined in the AAA Service Providers' Handbook. Electronic version available upon request.

**IV. SERVICES TO BE PROVIDED BY CONTRACTOR**

CONTRACTOR shall provide the services outlined in Exhibits A, A-1, A-2, A-3, A-4, A-5 and A-6, attached.

## **V. TARGETING POLICY**

Recognizing that resources are limited and not all the needs of older residents can be met through Older Americans' Act funding, CONTRACTOR is required to ensure best efforts and attempts are demonstrated for reaching older adults in greatest social and economic need.

The Older Americans Act, Amendments of 2006 defines the term *Greatest Economic Need* as the need resulting from an income level at or below the poverty line. The term *Greatest Social Need* means the need caused by:

- Physical and mental disabilities
- Language barriers
- Isolation caused by cultural, racial or ethnic status
- Social or geographic isolation

Particular attention is required to serve older individuals that are:

- Low-income minorities
- Native Americans
- Residents in rural areas
- Limited English-speakers
- At risk for institutionalization
- Older adults with disabilities
- Older adults with Alzheimer's disease or related dementias
- Lesbian, Gay, Bisexual and Transgender (LGBT) older adults

## **VI. GETCARE LICENSES**

COUNTY will pay for two (2) GetCare licenses each month. Any additional licenses shall be the financial responsibility of CONTRACTOR. To obtain additional licenses, contact Alana Hawkins at RTZ, (510) 986-6700 x511, or via e-mail at [Alana@GetCare.com](mailto:Alana@GetCare.com). Licenses will be issued to individuals. When there is a change in staff, CONTRACTOR must notify the COUNTY in writing within 15 days.

## **VII. AUDIT PROVISIONS**

CONTRACTOR is required to provide an audit as per the terms in **Exhibit H**. Additionally, CONTRACTOR shall ensure that State-Funded expenditures are displayed along with the related federal expenditures in the Single Audit report "Schedule of Expenditures of Federal Awards" (SEFA) under the appropriate Catalog of Federal Domestic Assistance (CFDA) number as referenced in **Exhibits A, A-1, A-2, A-3, A-4, A-5 and A-6**.

For expenditures that do not have CFDA numbers, the CONTRACTOR shall ensure that the State-funded expenditures are identified in the SEFA by the appropriate program name, identifying grant/contract number, and as passed-through the County of Monterey.

## **VIII. EQUIPMENT**

CONTRACTOR must receive prior approval from COUNTY in writing for equipment purchases over \$500.

Competitive quotations shall be solicited for Equipment purchases. Prices may be obtained from competitive bids, catalogs, price lists, letter, telephone quotation, agreements, multi-user contact or verbally. The names of the businesses submitting quotations, date and amount of each quotation shall be recorded and maintained. The CONTRACTOR will select the quote that is most advantageous to the CONTRACTOR AND COUNTY. The action and results must be documented.

Equipment purchases over \$500 must follow the Purchasing Guidelines thresholds below:

- 1) Less than \$3,000 – One quote minimum is required.
- 2) More than \$3,000 but less than \$15,000 – A minimum of two quotes is required.
- 3) Greater than \$15,000 but less than \$50,000 – Three quotes are required.

**IX. INVOICE/PAYMENT PROVISIONS (Excludes MIPPA Program)**

Claims for Payment will be submitted electronically through the GetCare system.

CONTRACTOR shall comply with the appropriate benchmark requirements for service units to be delivered in order to draw down contract funds in accordance with the terms of this Agreement. The applicable benchmark for each type of service is identified in Exhibits A, A-1, A-2, A-3, A-4, A-5 and A-6, Section I, Services to be Provided, and Section II, Performance Reporting.

Ten percent (10%) of the maximum amount of grant funds may be drawn down per month. Amounts greater than 10% may be approved by the County Contract Manager.

COUNTY shall pay CONTRACTOR in accordance with Article 6, Payment Conditions of this Agreement. Claims for payment shall be submitted in the form set forth in Exhibit D-1, Sample Invoice, by the 10th day of the month for services rendered in the previous month, with the final invoice due no later than June 10, 2018. CONTRACTOR acknowledges that all funding under this Agreement will be exhausted by May 31, 2018; however services will continue through June 30, 2018 with other program funding and will be recorded as Cash Match.

Exhibit D-2, Annual Closeout Summary, shall be submitted by CONTRACTOR to COUNTY no later than July 10, 2018.

Exhibit D-3, Equipment Acquisition Report, shall accompany CONTRACTOR's invoice to COUNTY as appropriate. Equipment must be received by June 30, 2018 for expenses to be claimed against this Agreement. Any equipment or physical assets obtained by CONTRACTOR utilizing funds pursuant to the terms of this Agreement shall be inventoried and considered the property of the COUNTY and tendered to the COUNTY upon termination of services by CONTRACTOR. Equipment purchase guidelines are outlined in Exhibit D-5.



## IX. PAYMENT SUMMARY

<i>Funding Type</i>	<i>FY 2017-18 TOTALS</i>	<i>7/1/17– 9/30/17 Maximum Amounts</i>
Title III B, Outreach	\$74,871	\$20,419
Title III B, Ombudsman	\$31,828	\$8,680
Title VII A, Ombudsman	\$27,692	\$6,923
Ombudsman PHLC	\$3,975	\$994
Ombudsman SHF	\$9,493	\$2,373
Ombudsman SNF	\$18,882	\$4,721
<b><i>SUB-TOTAL</i></b>	<b>\$166,741</b>	<b>\$44,110</b>

The maximum amount payable by COUNTY to CONTRACTOR for Outreach and all Ombudsman Services for the period July 1, 2017 through September 30, 2017 shall not exceed **forty-four thousand, one hundred and ten dollars (\$44,110)**. Unused funds will roll-over to the remaining contract period beginning October 1, 2017.

The total amount payable by COUNTY to CONTRACTOR for the period July 1, 2017 to June 30, 2018 shall not exceed **one hundred sixty-six thousand, seven hundred and forty-one dollars (\$166,741)**.

<i>Funding Type</i>	<i>7/1/17 – 3/31/18 Amounts</i>	<i>4/1/18 – 6/30/18 Amounts</i>	<i>FY 2017-18 TOTALS</i>
HICAP Reimbursements	\$27,216	\$81,647	\$108,863
State HICAP Fund	\$13,610	\$40,831	\$54,441
Federal SHIP Funds	\$64,410	\$23,037	\$87,447
<b><i>SUB-TOTAL</i></b>	<b>\$105,236</b>	<b>\$145,515</b>	<b>\$250,751</b>

The maximum amount payable by COUNTY to CONTRACTOR for Health Insurance Counseling and Advocacy (HICAP) Services for the period July 1, 2017 through March 31, 2018 shall not exceed **one hundred five thousand, two hundred and thirty-six dollars (\$105,236)**.

The maximum amount payable by COUNTY to CONTRACTOR for HICAP Services for the period April 1, 2018 through June 30, 2018 shall not exceed **one hundred forty-five thousand five hundred fifteen dollars (\$145,515)**.

<i>Funding Type</i>	<i>7/1/17 – 9/29/17 Amounts</i>	<i>7/1/17– 6/30/18 TOTAL Amounts</i>
AAA MIPPA	\$1,390	\$1,390
HICAP MIPPA	\$4,895	\$4,895
<b><i>SUB-TOTAL</i></b>	<b>\$6,285</b>	<b>\$6,285</b>

The maximum amount payable by COUNTY to CONTRACTOR for Medicare Improvements for Patients and Providers (MIPPA) Services for the period July 1, 2017 through September 29, 2017 shall not exceed **six thousand two hundred eighty-five dollars (\$6,285).**

<b>GRAND TOTAL:</b>	<b>\$423,777</b>
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The total amount payable by COUNTY to CONTRACTOR for all services under this Agreement for the period July 1, 2017 through June 30, 2018 shall not exceed **four hundred twenty-three thousand, seven hundred and seventy-seven dollars (\$423,777).**

This Agreement is funded by the California Department of Aging (CDA) Agreements #AP-1718-32, #HI-1718-32 and #MI-1517-32. The terms and conditions of these CDA Agreements are incorporated herein by reference, and on file with County's Department of Social Services. Upon request, County will provide an electronic copy of the Agreements to CONTRACTOR.

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**TITLE III-B (CFDA #93.044)**  
**OUTREACH**  
**SCOPE OF SERVICES**

**I. SERVICES TO BE PROVIDED**

CONTRACTOR shall provide outreach to Seniors 60 years of age or older. Services shall be provided in accordance with the California Code of Regulations, Title 22, Social Security, Division 1.8, California Department of Aging.

Outreach services will be provided throughout all four regions of Monterey County by a bilingual/bicultural (English/Spanish) staff person, who will provide one-on-one contact through regular and predictable presence at identified sites. This staff person will be dedicated exclusively to outreach activities. Printed materials for all senior service programs will be regularly distributed by staff. An all-agency flyer and outreach schedule will be developed and distributed in English and Spanish. It will include names, contact numbers and websites for senior service programs. Outreach staff will participate in local community groups and events in order to identify potential clients. Although staff will maintain the strong partnerships developed over the years, emphasis will be placed on seeking out new and non-traditional partners and strategies for reaching this hard to serve population. Ties will be strengthened between faith communities, local businesses, law enforcement, neighborhood watch groups and the schools. Staff will develop closer and more regular contacts with rural community newspapers and radio stations.

**1. Service:**

Outreach (NAPIS 14)

**Unit of Service Definition:**

Interventions (one-on-one contacts) with individuals initiated by an agency or provider for the purpose of identifying potential clients (or their age 60+ caregivers) and encouraging their use of existing services and benefits.

**Unit of Service Measurement:**

1 Contact

Estimated Service Units to be delivered: **7,500**

Benchmark of Service Units to be delivered:

by September 30 <sup>th</sup> :	<b>1,875 Units</b>	<b>(25%)</b>
by December 31 <sup>st</sup> :	<b>3,750 Units</b>	<b>(50%)</b>
by March 31 <sup>st</sup> :	<b>5,625 Units</b>	<b>(75%)</b>
by June 30 <sup>th</sup> :	<b>7,500 Units</b>	<b>(100%)</b>

**2. Service:**

Outreach (National Aging Program Information System [NAPIS] 14) Senior Benefit Clinics

**Unit of Service Definition:**

One-on-one contact with individuals at Senior Benefit Clinics. Individuals are screened, determined eligible for services, and enrollment assistance is provided when needed.

**Unit of Service Measurement:**

1 Contact

Estimated Service Units to be delivered: **500**

Benchmark of Service Units to be delivered:

by September 30 <sup>th</sup> :	<b>125 Units</b>	<b>(25%)</b>
by December 31 <sup>st</sup> :	<b>250 Units</b>	<b>(50%)</b>
by March 31 <sup>st</sup> :	<b>375 Units</b>	<b>(75%)</b>
by June 30 <sup>th</sup> :	<b>500 Units</b>	<b>(100%)</b>

## **II. PERFORMANCE REPORTING**

CONTRACTOR shall enter data monthly into the AAA GetCare System by the 10th day of the month following the month of service. This is a non-registered service.

CONTRACTOR shall provide a quarterly narrative report to the COUNTY describing the progress of services rendered in the previous quarter by the 10th day of the following month. The Narrative Report shall be in the form of **Exhibit D-4**.

COUNTY has an expectation that a certain number of services are delivered within each reporting period. The benchmark is determined by dividing the service units into the number of months within the contract term. The COUNTY has expectations that CONTRACTOR will deliver the contracted service units within 20% of the benchmark.

If CONTRACTOR falls below the required benchmark percentage for two (2) consecutive quarters, CONTRACTOR will provide a corrective action plan to the AAA describing the reason for the occurrence and a plan to meet the benchmark.

## **III. MATCH REQUIREMENTS**

Title III-B requires a local cash/in-kind match of 10.53%. The required match is calculated by taking the total budgeted costs less program income and non-matching contributions, multiplied by the matching requirement percentage.

If in-kind match is applied, sub-contractor must provide written documentation explaining how the in-kind was determined and valued. Sub-contractor is required to maintain proper documentation supporting cash/ in-kind claimed and must be available upon request.

## **IV. PAYMENT SUMMARY**

The maximum amount payable by COUNTY to CONTRACTOR for Title III-B-Outreach for the period July 1, 2017 through September 30, 2017 shall not exceed **twenty thousand, four hundred and nineteen dollars (\$20,419)**. Unused funds will roll-over to the remaining contract period beginning October 1, 2017.

The total amount payable by COUNTY to CONTRACTOR for the period July 1, 2017 to June 30, 2018 shall not exceed **seventy-four thousand, eight hundred and seventy-one dollars (\$74,871)**.

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**TITLE III-B (CFDA #93.044)  
OMBUDSMAN  
SCOPE OF SERVICES**

**I. SERVICES TO BE PROVIDED**

CONTRACTOR shall investigate, verify, mediate and resolve complaints and problems on behalf of Monterey County residents of long-term care facilities involving their health, welfare, safety and rights. Services shall be provided throughout the County of Monterey. Services shall be provided in accordance with the California Code of Regulations, Title 22, Social Security, Division 1.8, California Department of Aging.

**1. Service:**

Complaint Investigation and Resolution

Unit of Service Definition:

Activities related to receiving, analyzing, researching, observing, interviewing or verifying a complaint; activities related to intervention in a complaint on behalf of a client using skills and techniques such as advocacy, facilitation, conciliation, mediation, negotiation, representation, education, follow-up or referral.

Unit of Service Measurement:

1 Hour

Estimated Service Units to be delivered: **1,112**

Benchmark of Service Units to be delivered: \*

by September 30 <sup>th</sup> :	278 Units	(25%)
by December 31 <sup>st</sup> :	556 Units	(50%)
by March 31 <sup>st</sup> :	834 Units	(75%)
by June 30 <sup>th</sup> :	1,112 Units	(100%)

\*There will be some fluctuation between Complaint Investigation/Resolution and Education/Training. It is anticipated that by June 30<sup>th</sup>, 2018 100% of both Complaint Investigation/Resolution and Education Training will have been provided.

**2. Service:**

Education/Training

Unit of Service Definition:

Volunteer ombudsman education and training: knowledge and skills training on long term care issues and methods of investigation and intervention.

Unit of Service Measurement:

1 Hour

Estimated Service Units to be delivered: **141**

Benchmark of Service Units to be delivered: \*

by September 30 <sup>th</sup> :	35 Units	(25%)
by December 31 <sup>st</sup> :	70 Units	(50%)
by March 31 <sup>st</sup> :	105 Units	(75%)
by June 30 <sup>th</sup> :	141 Units	(100%)

\*There will be some fluctuation between Complaint Investigation/Resolution and Education/Training. It is anticipated that by June 30<sup>th</sup>, 2018 100% of both Complaint Investigation/Resolution and Education Training will have been provided.

**II. PERFORMANCE REPORTING**

CONTRACTOR shall report program data as required in the Ombudsman Data Integration Network (ODIN) Reporting System.

CONTRACTOR shall provide a quarterly narrative report to the COUNTY describing the progress of services by October 10, 2017, January 10, 2018, April 10, 2018 and July 10, 2018. CONTRACTOR to attach copy of ODIN data reports to the quarterly narrative. The Narrative Report shall be in the form of **Exhibit D-4**.

COUNTY has an expectation that a certain number of services are delivered within each reporting period. The benchmark is determined by dividing the service units into the number of months within the contract term (quarterly if it is a quarterly function). The COUNTY has expectations that CONTRACTOR will deliver the contracted service units within 20% of the benchmark.

If CONTRACTOR falls below the required benchmark percentage for two (2) consecutive quarters, CONTRACTOR will provide a corrective action plan to the Area Agency on Aging (AAA) upon request describing the reason for the occurrence and a plan to meet the benchmark.

### **III. MATCH REQUIREMENTS**

Title III-B requires a local cash/in-kind match of 10.53%. The required match is calculated by taking the total program costs less program income and non-matching contributions, multiplied by the matching requirement percentage.

If in-kind match is applied, sub-contractor must provide written documentation explaining how the in-kind was determined and valued. Sub-contractor is required to maintain proper documentation supporting cash/ in-kind claimed and must be available upon request.

### **IV. PAYMENT SUMMARY**

The maximum amount payable by COUNTY to CONTRACTOR for Title III-B-Ombudsman for the period July 1, 2017 through September 30, 2017 shall not exceed **eight thousand, six hundred and eighty dollars (\$8,680)**. Unused funds will roll-over to the remaining contract period beginning October 1, 2017.

The total amount payable by COUNTY to CONTRACTOR for the period July 1, 2017 to June 30, 2018 shall not exceed **thirty-one thousand, eight hundred and twenty-eight dollars (\$31,828)**.

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**TITLE VII-A (CFDA #93.042)**  
**OMBUDSMAN**  
**SCOPE OF SERVICES**

**I. SERVICES TO BE PROVIDED**

CONTRACTOR shall investigate, verify, mediate and resolve complaints and problems on behalf of Monterey County residents of long-term care facilities involving their health, welfare, safety and rights. Services shall be provided throughout the County of Monterey. Services shall be provided in accordance with the California Code of Regulations, Title 22, Social Security, Division 1.8, California Department of Aging.

**1. Service:**

Complaint Investigation and Resolution

Unit of Service Definition:

Activities related to receiving, analyzing, researching, observing, interviewing or verifying a complaint; activities related to intervention in a complaint on behalf of a client using skills and techniques such as advocacy, facilitation, conciliation, mediation, negotiation, representation, education, follow-up or referral.

Unit of Service Measurement:

1 Hour

Estimated Service Units to be delivered: **1,416**

Benchmark of Service Units to be delivered: \*

by September 30<sup>th</sup>: 354 Units (25%)

by December 31<sup>st</sup>: 708 Units (50%)

by March 31<sup>st</sup>: 1,062 Units (75%)

by June 30<sup>th</sup>: 1,416 Units (100%)

\*There will be some fluctuation between Complaint Investigation/Resolution and Education/Training. It is anticipated that by June 30<sup>th</sup>, 2018 100% of both Complaint Investigation/Resolution and Education Training will have been provided.

**2. Service:**

Education/Training

Unit of Service Definition:

Volunteer ombudsman education and training: knowledge and skills training on long term care issues and methods of investigation and intervention.

Unit of Service Measurement:

1 Hour

Estimated Service Units to be delivered: **193**

Benchmark of Service Units to be delivered: \*

by September 30<sup>th</sup>: 48 Units (25%)

by December 31<sup>st</sup>: 96 Units (50%)

by March 31<sup>st</sup>: 144 Units (75%)

by June 30<sup>th</sup>: 193 Units (100%)

\*There will be some fluctuation between Complaint Investigation/Resolution and Education/Training. It is anticipated that by June 30<sup>th</sup>, 2018 100% of both Complaint Investigation/Resolution and Education Training will have been provided.

## **II. PERFORMANCE REPORTING**

CONTRACTOR shall report program data as required in the ODIN reporting system.

CONTRACTOR shall provide a quarterly narrative report to the COUNTY describing the progress of services by October 10, 2017, January 10, 2018, April 10, 2018 and July 10, 2018. CONTRACTOR shall attach a copy of ODIN data reports to the quarterly narrative. The Narrative Report shall be in the form of **Exhibit D-4**.

COUNTY has an expectation that a certain number of services are delivered within each reporting period. The benchmark is determined by dividing the service units into the number of months within the contract term (quarterly if it is a quarterly function). The COUNTY has expectations that CONTRACTOR will deliver the contracted service units within 20% of the benchmark.

If CONTRACTOR falls below the required benchmark percentage for two (2) consecutive quarters, CONTRACTOR will provide a corrective action plan to the AAA describing the reason for the occurrence and a plan to meet the benchmark.

## **III. MATCH REQUIREMENTS**

Title VII-A does not require a local cash/in-kind match.

## **IV. PAYMENT SUMMARY**

The maximum amount payable by COUNTY to CONTRACTOR for Title VII-A Ombudsman for the period July 1, 2017 through September 30, 2017 shall not exceed **six thousand nine hundred and twenty-three dollars (\$6,923)**. Unused funds will roll-over to the remaining contract period beginning October 1, 2017.

The total amount payable by COUNTY to CONTRACTOR for the period July 1, 2017 to June 30, 2018 shall not exceed **twenty-seven thousand six hundred and ninety-two dollars (\$27,692)**.

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**OMBUDSMAN INITIATIVE  
OMBUDSMAN  
SCOPE OF SERVICES**

**I. SERVICES TO BE PROVIDED**

CONTRACTOR shall provide advocacy services for residents in long-term care facilities in Monterey County. CONTRACTOR is federally mandated to do complaint investigation and resolution on behalf of these vulnerable residents and their families or representatives.

Funding under this Agreement will be used to increase the number of Ombudsman volunteers working in skilled nursing facilities (SNFs). This project is part of the Governor's Long-Term Care Consumer Protection Initiative.

Ombudsman Advocates will provide the following specific services:

1. Recruit volunteers from the community to increase the Ombudsman presence in long-term care facilities in Monterey County;
2. Increase the number of volunteers in Medi-Cal facilities by at least two;
3. Heighten recruitment efforts in the Latino community to better serve this population;
4. Provide 36-hour certification training at least once a year;
5. Provide ongoing training, support and supervision to certified Ombudsman volunteers;
6. Additional number of volunteers in Medi-Cal facilities: 7 or more volunteers;
7. Additional 36-hour certification training: 1 or more sessions.

Benchmark of Services Provided:

CONTRACTOR shall provide Twenty-five percent (25%) of services specified in No. 1-7, above as reported in CONTRACTOR's quarterly report. There will be some fluctuation by quarter in the services specified in No. 1-7. It is anticipated that by June 30<sup>th</sup>, 2018 100% of specified services will have been provided.

**II. PERFORMANCE REPORTING**

CONTRACTOR shall report program data as required in the ODIN Reporting System.

CONTRACTOR shall provide a quarterly narrative report to the COUNTY describing the progress of services by October 10, 2017, January 10, 2018, April 10, 2018 and July 10, 2018. CONTRACTOR shall attach a copy of ODIN data report to the quarterly narrative. The Narrative Report shall be in the form of **Exhibit D-4**.

COUNTY has an expectation that a certain number of services are delivered within each reporting period. The benchmark is determined by dividing the service units into the number of months within the contract term (quarterly if it is a quarterly function). The COUNTY has expectations that CONTRACTOR will deliver the contracted service units within 20% of the benchmark.

If CONTRACTOR falls below the required benchmark percentage for two (2) consecutive quarters, CONTRACTOR will provide a corrective action plan to the COUNTY/AAA describing the reason for the occurrence and a plan to meet the benchmark.

**III. MATCH REQUIREMENTS**

The Ombudsman Initiative requires no local cash/in-kind match.

#### IV. PAYMENT SUMMARY

The maximum amount payable by COUNTY to CONTRACTOR for Ombudsman Initiative – Senior Nursing Facilities (SNF) Quality and Accountability, State Health Facilities Citation Penalties Account (SHF) and Public Health Licensing & Certification Program Fund (PHF) for the period July 1, 2017 through September 30, 2017 shall not exceed **eight thousand and eighty-eight dollars (\$8,088)**. Unused funds will roll-over to the remaining contract period beginning October 1, 2017.

The total amount payable by COUNTY to CONTRACTOR for Ombudsman Initiative SNF, SHF and PHF for the period July 1, 2017 to June 30, 2018 shall not exceed **thirty-two thousand, three hundred and fifty dollars (\$32,350)**.

<i>Funding Type</i>	<i>FY 2017-18 TOTALS</i>	<i>7/1/17– 9/30/17 Maximum Amounts</i>
Ombudsman PHF	\$3,975	\$994
Ombudsman SHF	\$9,493	\$2,373
Ombudsman SNF	\$18,882	\$4,721
<b><i>SUB-TOTALS:</i></b>	<b>\$32,350</b>	<b>\$8,088</b>

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**HICAP FUND  
REIMBURSEMENTS (INS FUND), STATE HICAP FUND,  
FEDERAL SHIP FUNDS (CFDA #93.779)  
SCOPE OF SERVICES**

**I. SERVICES TO BE PROVIDED**

CONTRACTOR shall provide health insurance counseling and advocacy services to (a) Medicare Beneficiaries, including Medicare Beneficiaries by virtue of a disability, and those persons imminent of Medicare eligibility and, (b) the public at large for Health Insurance Counseling and Advocacy Program (HICAP) community education services. Services shall be provided throughout the County of Monterey.

CONTRACTOR must be in compliance with all Program Memoranda issued by the California Department of Aging.

1. Estimated Number of finalized intakes for each Public Service Area (PSA); Clients Counseled: 1,821

Note: Clients Counseled equals the number of Intakes closed and finalized by the Program Manager.

2. Estimated Number of Public and Media Events: 126

Note: Public and Media events include education/outreach presentations, booths/exhibits at health/senior fairs, and enrollment events, excluding public service announcements and printed outreach.

3. Estimated Number of Contacts for all Clients Counseled: 2,779

Note: This includes all counseling contacts via telephone, in-person at home, in-person at site, and electronic contacts (e-mail, fax, etc.) for duplicated client counts.

4. Estimated Number of Persons Reached at Public and Media Events: 2,787

Note: This includes the estimated number of attendees (e.g., people actually attending the event, not just receiving a flyer) reached through presentations, and those reached through booths/exhibits at health/senior fairs, and those enrolled at enrollment events, excluding public service announcements and printed outreach materials.

5. Estimated Number of Contacts with Beneficiaries with Medicare Status Due to a Disability: 309

Note: This includes all counseling contacts via telephone, in-person at home, in-person at site, and electronic contacts (e-mail, fax, etc.). Results are duplicated client counts with Medicare beneficiaries due to disability and not yet age 65.

6. Estimated Unduplicated Number of Low Income Beneficiaries: 1,569

Note: This is the number of unduplicated low-income Medicare beneficiary contacts and/or contacts that discussed low-income subsidy (LIS). Low income means 150 percent of the Federal Poverty Level (FPL).

7. Estimated Number of Enrollment and Enrollment Assistance Contacts: 2,242  
Note: This is the number of unduplicated enrollment contacts during which one or more qualifying enrollment topics were discussed. This includes all enrollment assistance, not just Part D.
8. Estimated Part D Enrollment and Enrollment Assistance Contacts: 1,387  
Note: This is a subset of all enrollment assistance in #7. It includes the number of unduplicated Part D enrollment contacts during which one or more qualifying Part D enrollment topics were discussed.
9. Estimated Number of Counselor FTE hours: 1,420

**Benchmark of Services Provided:**

CONTRACTOR shall provide Twenty-five percent (25%) of services specified in Services 1 through 8 as reported in the CONTRACTOR'S quarterly report. There will be some fluctuation by quarter in the services specified in Services 1 through 8 as driven by customer demand. It is anticipated that by June 30<sup>th</sup>, 2018 100% of specified services will have been provided.

## **II. PERFORMANCE REPORTING**

CONTRACTOR shall enter data monthly into the CDA Statewide HICAP Automated Reporting System (SHARP) System by the 10th day of the month following the month of service.

CONTRACTOR shall provide a quarterly narrative report to the COUNTY describing the progress of services by October 10, 2017, January 10, 2018, April 10, 2018 and July 10, 2018. CONTRACTOR shall attach a copy of CDA SHARP data reports to the quarterly narrative. The Narrative Report shall be in the form of **Exhibit D-4**.

COUNTY has an expectation that a certain number of services are delivered within each reporting period. The benchmark is determined by dividing the service units into the number of months within the contract term (quarterly if it is a quarterly function). The COUNTY has expectations that CONTRACTOR will deliver the contracted service units within 20% of the benchmark.

If CONTRACTOR falls below the required benchmark percentage for two (2) consecutive quarters, CONTRACTOR will provide a corrective action plan to the AAA describing the reason for the occurrence and a plan to meet the benchmark.

## **III. MATCH REQUIREMENTS**

HICAP does not require a local cash/in-kind match.

## **IV. PAYMENT SUMMARY**

The maximum amount payable by COUNTY to CONTRACTOR for HICAP Services for the period July 1, 2017 through March 31, 2018 shall not exceed **one hundred five thousand two hundred and thirty-six dollars (\$105,236)**.

The maximum amount payable by COUNTY to CONTRACTOR for HICAP Services for the period April 1, 2017 through June 30, 2017 shall not exceed **one hundred forty-five thousand five hundred and fifteen dollars (\$145,515)**.



**HICAP MIPPA and AAA MIPPA  
MEDICARE IMPROVEMENTS FOR PATIENTS AND PROVIDERS ACT  
(CFDA #93.071)**

**FUNDING SOURCE: State Agreement MI-1617-32**

**I. SERVICES TO BE PROVIDED BY CONTRACTOR**

Services shall be provided in accordance with the California Code of Regulations, Title 22, Social Security, Division 1.8, California Department of Aging.

“Affordable Care Act (ACA) MIPPA” funding is contingent on meeting a minimum percent of the individual PSA’s total performance benchmarks in FY 2017-18. CDA will evaluate achievement of performance benchmarks for the reporting period ending September 29, 2017.

Service:

Medicare Improvements for Patients and Providers Act

Unit of Service Definition & Measurement:

Completed and submitted Low Income Subsidy (LIS) applications and Medicare Savings Plan (MSP) applications.

Estimated Service Units to be delivered: 17

Benchmark of Service Units to be delivered:

by September 29<sup>th</sup> 17 Units (100%)

**II. PERFORMANCE REPORTING**

CONTRACTOR shall provide a quarterly narrative report to the COUNTY describing the progress of services by October 10, 2017. The Narrative Report shall be in the form set forth in **Exhibit D-4**.

CONTRACTOR shall submit monthly MIPPA reports to the California Department of Aging (CDA) and to the COUNTY. All data reports must be completed in the format required and provided by CDA and available on the CDA website: <http://www.aging.ca.gov/ProgramsProviders/AAA/MIPPA/>

COUNTY has an expectation that a certain number of services are delivered within each reporting period. The benchmark is determined by dividing the service units into the number of periods within the contract term. The COUNTY has expectations that CONTRACTOR will deliver the contracted service units within 20% of the benchmark.

**III. MATCH REQUIREMENTS**

MIPPA does not require a local cash/in-kind match.

#### **IV. INVOICE/PAYMENT PROVISIONS**

Claims for payment will be submitted electronically through the GetCare System.

COUNTY shall pay CONTRACTOR in accordance with Article 6, Payment Conditions of the Agreement. Claims for payment shall be submitted in the form set forth in **Exhibit D-1**, Sample Invoice, by the 10th day of the month for services entered in the previous month.

**Exhibit D-2**, Annual Closeout Summary, shall be submitted by contractor to County no later than July 10, 2018.

**Exhibit D-3**, Equipment Acquisition Report, shall accompany CONTRACTOR's invoice to COUNTY as appropriate. Equipment must be received by June 30, 2018 for expenses to be claimed against this Agreement. Any equipment or physical assets obtained by CONTRACTOR utilizing funds pursuant to the terms of this Agreement shall be inventoried and considered the property of the COUNTY and tendered to the COUNTY upon termination of services by CONTRACTOR. Equipment purchase guidelines are outlined in **Exhibit D-5**.

#### **V. PAYMENT SUMMARY**

The maximum amount payable by COUNTY to CONTRACTOR for HICAP MIPPA and AAA MIPPA for the period July 1, 2017 to June 30, 2018 shall not exceed six thousand two hundred eighty-five dollars (\$6,285).

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**MONTEREY COUNTY  
DEPARTMENT OF SOCIAL SERVICES**

**ADDITIONAL PROVISIONS**

**I. PAYMENT BY COUNTY:**

**1.01 Monthly claims/invoices by CONTRACTOR:** Not later than the tenth (10<sup>th</sup>) 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 D-1**

**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 June 10<sup>th</sup>. If the Final Invoice is not received by COUNTY by close of business on June 10<sup>th</sup>, 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 the budget, attached hereto as **Exhibits C-1, C-2, C-3, C-4, C-5, and C-6**. Only the costs listed in **Exhibits C-1, C-2, C-3, C-4, C-5, and C-6** 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. (Ombudsman Citation Program is excluded from this cost control flexibility of 20%).

**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.

## EXHIBIT B

(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 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 Exhibits A, A-1, A-2, A-3, A-4, A-5, and A-6. CONTRACTOR shall meet the contracted level of service and the specified performance standards described in Exhibits A, A-1, A-2, A-3, A-4, A-5, and A-6 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 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.

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

**2.06 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:

## **EXHIBIT B**

- 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 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

## EXHIBIT B

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**.
- **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



## EXHIBIT B

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.

**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.

## **EXHIBIT B**

**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 **Teresa Sullivan** 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.

### **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 Branch 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.

**MONTEREY COUNTY AREA AGENCY ON AGING  
PLANNING AND SERVICE AREA NO. 32**

**SUPPORTIVE SERVICES BUDGET**

**BUDGET PERIOD:** JULY 1, 2017 THRU JUNE 30, 2018

Name of Agency: Alliance on Aging, Inc.

Address of Agency: 247 Main Street

Salinas, CA 93901

Project Name: Outreach III B

**Funding Source and Federal Catalog #**

Check one: Title III B

Title III D

Title VII A

Title VII B

SNAP-ED

x	93.044
	93.043
	93.042
	93.041
	10.561

**Budget Version**

Check one: Original X

Revision #

5/17/2017

If agency is applying for more than one funding source, multiple budgets are required.

**Certification:**

I hereby certify to the best of my knowledge and belief that the Budget reflects the necessary, reasonable and allowable costs to attain the objectives and goals of this project. I further certify that the amounts displayed are accurate and correct.

John A. Assaad

5/17/2017

Preparer's Signature / Date

John A. Assaad

831-655-4246

Preparer's Name (Printed) and telephone number

Teressa Sullivan

5/17/2017

Executive Director's Signature / Date

Teressa Sullivan

831-655-4240

Executive Director's Name (Printed) and telephone number

**For Area Agency on Aging Use Only**

Reviewed for:

Completeness and Accuracy

Reviewed for Allowable Costs

Required Match of 10.53%

Indirect Cost limit 10%

Date Budget Received: 5/17/17

Budget Approved by Fiscal Officer: Veronica Renteria 5/19/17

Budget Approved by Program:

Get-Care Updated by Vendor:

Get-Care Verified by Fiscal Officer:

Budget Template Last Updated: 5/1/17 By Veronica Renteria

JULY 1, 2017 THRU JUNE 30, 2018

**MONTEREY COUNTY AREA AGENCY ON AGING, PSA 32**

**Agency:** Alliance on Aging, Inc.

**Project:** Outreach III B

**SECTION A:**

**LINE ITEM BUDGET**

(1) Category	(2) Cash	(3) In-Kind
Salaries	44,134	8,850
Payroll Taxes	3,400	
Employee Benefits	6,800	
<b>SUBTOTAL (Personnel Costs):</b>	<b>54,334</b>	<b>8,850</b>
Volunteer Reimbursement		
Travel/Volunteer Travel		
Conference/Training/Meetings		
Professional Fees: Acct/ Legal		
Equipment Purchase		
Equipment Rental and Maintenance	1,200	
Occupancy	4,350	
Insurance (Excluding Vehicle & Occupancy)		
Utilities/Communications	1,600	
Postage/Shipping	600	
Printing / Publications	1,600	
Public Relations /Advertising	1,000	
Membership Dues and Subscriptions		
Supplies	1,300	
Food/ Food Service		
Vehicle Operation	2,081	
Overhead: 10% limit of Grant Funding	6,806	
Awards/ Recognition/ Events		
Client Support		
Depreciation		
Nutrition Education		
Bank Services Fees		
Subcontractor		
<b>Miscellaneous: (List Separately)</b>		
Column Totals:	74,871	8,850
	<b>Total Budget:</b>	<b>\$ 83,721</b>

Alliance on Aging, Inc.

**SECTION B:****SCHEDULE OF PERSONNEL COSTS**

No.	Paid Staff Positions	Annual Salary	% on Program	Program Cost
1	Outreach Specialist	\$32,000.00	100%	\$ 32,000
1	Benefits Check-up Specialist	\$30,000.00	10%	\$ 3,000
1	Program Director	\$60,000.00	10%	\$ 5,802
1	Executive Director	\$86,167.00	2%	\$ 1,723
1	Finance Director	\$60,430.00	2%	\$ 1,209
1	Accounting Assistant	\$20,000.00	2%	\$ 400
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
	Total Salaries	\$ 288,597		\$ 44,134.00
	Payroll Taxes			\$ 3,400.00
	Employee Benefits			\$ 6,800.00
	Total Paid Staff			\$ 54,334.00

No.	In-Kind: Donated Services	Hourly Wage	Hours on Program	Program Cost
1	Volunteers	\$25.00	354	\$ 8,850.00
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
	Total In-Kind Staff			\$ 8,850.00

	<b>Total Personnel Costs</b>			<b>\$ 63,184</b>
--	------------------------------	--	--	------------------

Costs reflected on this page must equal subtotal (Personnel Costs) shown on Page 2 (Section A), columns 2 and 3.

**SECTION C:****Funding Source Summary**

		Cash	In-Kind	Total Budgeted Amount
Project Income	Section D	-		\$ -
Contributions (+) Non-Matching	Section E	-	-	\$ -
Contributions (+) Matching	Section F	-	8,850	\$ 8,850
AAA Grant Funds		74,871		\$ 74,871
Total Funding		\$ 74,871	\$ 8,850	\$ 83,721

**SECTION D:****Program Income**

	Amount
Total:	\$0.00

**Program Income Definition:** Program Income is defined as earnings by a service provider realized from grant supported activities.

- A. The following types of income comprise "Program Income."
1. Participant donations from persons who participate or benefit from such activities.
  2. Usage or rental fees.
  3. Sales of assets purchased with grant funds.
  4. Royalties, patents, and copyrights.

Not to be included are:

1. Revenues from non-activity related fundraisers.
2. Gifts from philanthropic organizations or individuals.
3. Rebates, discounts, and recoveries on losses which should be treated as "applicable credits."

**SECTION E Schedule of Contributions - Non Matching**

Source of Contributions		Cash	In-Kind	Total
Donations and Contributions				\$ -
Government Agencies:	A -			\$ -
Government Agencies:	B -			\$ -
Government Agencies:	C			\$ -
Government Agencies:	D			\$ -
Government Agencies:	E			\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
<b>Totals:</b>		\$ -	\$ -	\$ -

Note: Under "**Government Agencies**" please list the agency providing funding and what type of funds were received. (i.e. Government Agencies: City of Seaside, CDBG; list amount in "Cash".)

Cash total should not include Federal Older American's Act Funds. Total of both Cash and In-Kind funds should equal Section C.

**SECTION F Schedule of Contributions - Matching**

Source of Contributions		Cash	In-Kind	Total
Donations and Contributions (Exclude Project Income)			8,850	\$ 8,850
Government Agencies:	A -			\$ -
Government Agencies:	B			\$ -
Government Agencies:	C			\$ -
Government Agencies:	D			\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
<b>Totals:</b>		\$ -	\$ 8,850	\$ 8,850

Total of Cash and In-Kind funds should equal Section C.

Program income cannot count toward satisfying a cost-sharing or matching requirement of the Title III sub-grant, supporting the activity giving rise to the income.

There is a 10.53% minimum matching requirement on Title III B funds (Excluding 3B Ombudsman).

Title III-D, VII-A & VII-B funding do not have a match requirement.

To compute amount of match required, take the **Total Funding less Program Income, less non-matching funds**, and multiply by the minimum % matching requirement above. Match may be met by Cash or In-Kind contribution

See related California Department of Aging matching guidelines.



Match Req. %	GR total	Cash non-match	IK non-match	AAA Claim	Program Income	Cash Match	IK Match	Req. Match
<b><u>Outreach III B</u></b>								
Original Amount	83,721	0	0	74,871	0	0	8,850	8,816
Fund Increase		0	0	0	0	0	0	0
10.53%	83,721	0	0	74,871	0	0	8,850	8,816
								Difference
<b>Required Match (Original)</b>	83,721	0	0	74,871	0	0	8,850	match OK
<b>Required Match (Amended)</b>	83,721	0	0	74,871	0	0	8,850	match OK

**MONTEREY COUNTY AREA AGENCY ON AGING  
PLANNING AND SERVICE AREA NO. 32**

**SUPPORTIVE SERVICES BUDGET**

**BUDGET PERIOD:** JULY 1, 2017 THRU JUNE 30, 2018

Name of Agency: Alliance on Aging, Inc.

Address of Agency: 247 Main Street

Salinas, CA 93901

Project Name: Ombudsman III B

**Funding Source and Federal Catalog #**

Check one: Title III B	<input checked="" type="checkbox"/>	93.044
Title III D	<input type="checkbox"/>	93.043
Title VII A	<input type="checkbox"/>	93.042
Title VII B	<input type="checkbox"/>	93.041
SNAP-ED	<input type="checkbox"/>	10.561

**Budget Version**

Check one: Original	<input checked="" type="checkbox"/>	5/17/2017
Revision #		

If agency is applying for more than one funding source, multiple budgets are required.

**Certification:**

I hereby certify to the best of my knowledge and belief that the Budget reflects the necessary, reasonable and allowable costs to attain the objectives and goals of this project. I further certify that the amounts displayed are accurate and correct.

*John A. Assaad* 5/17/2017  
Preparer's Signature / Date

John A. Assaad 831-655-4246  
Preparer's Name (Printed) and telephone number

*Teresa Sullivan* 5/17/2017  
Executive Director's Signature / Date

Teresa Sullivan 831-655-4240  
Executive Director's Name (Printed) and telephone number

**For Area Agency on Aging Use Only**

**Reviewed for:**

Completeness and Accuracy  
Reviewed for Allowable Costs  
Required Match of 10.53%  
Indirect Cost limit 10%

Date Budget Received: 5/17/17

Budget Approved by Fiscal Officer: *Veronica Renteria* 5/19/17

Budget Approved by Program: \_\_\_\_\_

Get-Care Updated by Vendor: \_\_\_\_\_

Get-Care Verified by Fiscal Officer: \_\_\_\_\_

Budget Template Last Updated: 5/1/17 By Veronica Renteria

JULY 1, 2017 THRU JUNE 30, 2018

**MONTEREY COUNTY AREA AGENCY ON AGING, PSA 32**

**Agency:** Alliance on Aging, Inc.

**Project:** Ombudsman III B

**SECTION A:**

**LINE ITEM BUDGET**

(1) Category	(2) Cash	(3) In-Kind
Salaries	18,044	7,500
Payroll Taxes	1,463	
Employee Benefits	2,536	
<b>SUBTOTAL (Personnel Costs):</b>	<b>22,043</b>	<b>7,500</b>
<b>Volunteer Reimbursement</b>		
Travel/Volunteer Travel	1,600	
Conference/Training/Meetings		
Professional Fees: Acct/ Legal		
Equipment Purchase		
Equipment Rental and Maintenance	800	
Occupancy	2,192	
Insurance (Excluding Vehicle & Occupancy)		
Utilities/Communications	700	
Postage/Shipping	100	
Printing / Publications	400	
Public Relations /Advertising		
Membership Dues and Subscriptions		
Supplies	500	
Food/ Food Service	600	
Vehicle Operation		
Overhead: 10% limit of Grant Funding	2,893	
Awards/ Recognition/ Events		
Client Support		
Depreciation		
Nutrition Education		
Bank Services Fees		
Subcontractor		
<b>Miscellaneous: (List Separately)</b>		
Column Totals:	31,828	7,500
<b>Total Budget:</b>	<b>\$</b>	<b>39,328</b>

## SCHEDULE OF PERSONNEL COSTS

No.	In-Kind: Donated Services	Hourly Wage	Hours on Program	Program Cost
1	Ombudsman Volunteers	\$25.00	300	\$ 7,500.00
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
	Total In-Kind Staff			\$ 7,500.00

Costs reflected on this page must equal subtotal (Personnel Costs) shown on Page 2 (Section A), columns 2 and 3.

### Funding Source Summary

## SECTION D:

[illegible]

**A. The following types of income comprise "Program Income."**

- Not to be included are:**

- Page 4 of 5

**SECTION E Schedule of Contributions - Non Matching**

Source of Contributions		Cash	In-Kind	Total
Donations and Contributions				\$ -
Government Agencies:	A -			\$ -
Government Agencies:	B -			\$ -
Government Agencies:	C			\$ -
Government Agencies:	D			\$ -
Government Agencies:	E			\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
<b>Totals:</b>		\$ -	\$ -	\$ -

Note: Under "**Government Agencies**" please list the agency providing funding and what type of funds were received. (i.e. Government Agencies: City of Seaside, CDBG; list amount in "Cash".)

Cash total should not include Federal Older American's Act Funds. Total of both Cash and In-Kind funds should equal Section C.

**SECTION F Schedule of Contributions - Matching**

Source of Contributions		Cash	In-Kind	Total
Donations and Contributions (Exclude Project Income)			7,500	\$ 7,500
Government Agencies:	A -			\$ -
Government Agencies:	B			\$ -
Government Agencies:	C			\$ -
Government Agencies:	D			\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
<b>Totals:</b>		\$ -	\$ 7,500	\$ 7,500

Total of Cash and In-Kind funds should equal Section C.

Program income cannot count toward satisfying a cost-sharing or matching requirement of the Title III sub-grant, supporting the activity giving rise to the income.

There is a 10.53% minimum matching requirement on Title III B funds (Excluding 3B Ombudsman).

Title III-D, VII-A & VII-B funding do not have a match requirement.

To compute amount of match required, take the **Total Funding less Program Income, less non-matching funds**, and multiply by the minimum % matching requirement above. Match may be met by Cash or In-Kind contribution

See related California Department of Aging matching guidelines.

Match Req. %	GR total	Cash non-match	IK non-match	AAA Claim	Program Income	Cash Match	IK Match	Req. Match
<b><u>Ombudsman III B</u></b>								
Original Amount	39,328	0	0	31,828	0	0	7,500	4,141
Fund Increase		0	0	0	0	0	0	0
10.53%	39,328	0	0	31,828	0	0	7,500	4,141
								Difference
Required Match (Original)	39,328	0	0	31,828	0	0	7,500	match OK
Required Match (Amended)	39,328	0	0	31,828	0	0	7,500	match OK

**MONTEREY COUNTY AREA AGENCY ON AGING  
PLANNING AND SERVICE AREA NO. 32**

**SUPPORTIVE SERVICES BUDGET**

**BUDGET PERIOD:** JULY 1, 2017 THRU JUNE 30, 2018

Name of Agency: Alliance on Aging, Inc.

Address of Agency: 247 Main Street

Salinas, CA 93901

Project Name: Ombudsman VII A

**Funding Source and Federal Catalog #**

Check one: Title III B		93.044
Title III D		93.043
Title VII A	x	93.042
Title VII B		93.041
SNAP-ED		10.561

**Budget Version**

Check one: Original ☒ X 5/17/2017  
Revision # \_\_\_\_\_

If agency is applying for more than one funding source, multiple budgets are required.

**Certification:**

I hereby certify to the best of my knowledge and belief that the Budget reflects the necessary, reasonable and allowable costs to attain the objectives and goals of this project. I further certify that the amounts displayed are accurate and correct.

John A. Assaad 5/17/2017  
Preparer's Signature / Date

John A. Assaad 831-655-4246  
Preparer's Name (Printed) and telephone number

Teresa Sullivan 5/17/2017  
Executive Director's Signature / Date

Teresa Sullivan 831-655-4240  
Executive Director's Name (Printed) and telephone number

**For Area Agency on Aging Use Only**

**Reviewed for:**

Completeness and Accuracy  
Reviewed for Allowable Costs  
Required Match of 10.53%  
Indirect Cost limit 10%

Date Budget Received: 5/17/17

Budget Approved by Fiscal Officer: Veronica Renteria 5/19/17

Budget Approved by Program: \_\_\_\_\_

Get-Care Updated by Vendor: \_\_\_\_\_

Get-Care Verified by Fiscal Officer: \_\_\_\_\_

Budget Template Last Updated: 5/1/17 By Veronica Renteria



JULY 1, 2017 THRU JUNE 30, 2018

**MONTEREY COUNTY AREA AGENCY ON AGING, PSA 32**

**Agency:** Alliance on Aging, Inc.

**Project:** Ombudsman VII A

**SECTION A:**

**LINE ITEM BUDGET**

(1) Category	(2) Cash	(3) In-Kind
Salaries	16,871	-
Payroll Taxes	1,291	
Employee Benefits	1,856	
SUBTOTAL (Personnel Costs):	20,018	-
Volunteer Reimbursement		
*Travel/Volunteer Travel	1,000	
Conference/Training/Meetings		
Professional Fees: Acct/ Legal		
Equipment Purchase		
Equipment Rental and Maintenance	500	
Occupancy	2,192	
Insurance (Excluding Vehicle & Occupancy)		
Utilities/Communications	800	
Postage/Shipping	100	
Printing / Publications		
Public Relations /Advertising		
Membership Dues and Subscriptions		
Supplies	465	
Food/ Food Service	100	
Vehicle Operation		
Overhead: 10% limit of Grant Funding	2,517	
Awards/ Recognition/ Events		
Client Support		
Depreciation		
Nutrition Education		
Bank Services Fees		
Subcontractor		
Miscellaneous: (List Separately)		
Column Totals:	27,692	-
	<b>Total Budget:</b>	<b>\$ 27,692</b>

\*Eligible expenses shall be reimbursed per the County's Travel and Business Expense Reimbursement Policy available at: <http://www.co.monterey.ca.us/auditor/policies.htm> CONTRACTOR must provide a detailed breakdown of authorized expenses.

Alliance on Aging, Inc.

**SECTION B:****SCHEDULE OF PERSONNEL COSTS**

No.	Paid Staff Positions	Annual Salary	% on Program	Program Cost
1	AOA Program Director	\$60,000.00	9%	\$ 5,400
1	Staff Ombudsman	\$28,000.00	11%	\$ 3,080
1	Staff Ombudsman	\$28,000.00	11%	\$ 3,080
1	Staff Ombudsman	\$28,000.00	11%	\$ 3,080
1	Administrative Assistant	\$26,244.00	9%	\$ 2,231
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
	Total Salaries	\$ 170,244		\$ 16,871.00
	Payroll Taxes			\$ 1,291.00
	Employee Benefits			\$ 1,856.00
	Total Paid Staff			\$ 20,018.00

No.	In-Kind: Donated Services	Hourly Wage	Hours on Program	Program Cost
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
	Total In-Kind Staff			\$ -

	<b>Total Personnel Costs</b>			\$ 20,018
--	------------------------------	--	--	-----------

Costs reflected on this page must equal subtotal (Personnel Costs) shown on Page 2 (Section A), columns 2 and 3.

### Funding Source Summary

### SECTION D:

<b>Program Income</b>	<b>Amount</b>
<b>Total:</b>	\$0.00

**A. The following types of income comprise "Program Income."**

- Not to be included are:**

- Page 4 of 5

**SECTION E Schedule of Contributions - Non Matching**

Source of Contributions		Cash	In-Kind	Total
Donations and Contributions				\$ -
Government Agencies:	A -			\$ -
Government Agencies:	B -			\$ -
Government Agencies:	C			\$ -
Government Agencies:	D			\$ -
Government Agencies:	E			\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
<b>Totals:</b>		\$ -	\$ -	\$ -

Note: Under "**Government Agencies**" please list the agency providing funding and what type of funds were received. (i.e. Government Agencies: City of Seaside, CDBG; list amount in "Cash".)

Cash total should not include Federal Older American's Act Funds. Total of both Cash and In-Kind funds should equal Section C.

**SECTION F Schedule of Contributions - Matching**

Source of Contributions		Cash	In-Kind	Total
Donations and Contributions (Exclude Project Income)				\$ -
Government Agencies:	A -			\$ -
Government Agencies:	B			\$ -
Government Agencies:	C			\$ -
Government Agencies:	D			\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
<b>Totals:</b>		\$ -	\$ -	\$ -

Total of Cash and In-Kind funds should equal Section C.

Program income cannot count toward satisfying a cost-sharing or matching requirement of the Title III sub-grant, supporting the activity giving rise to the income.

There is a 10.53% minimum matching requirement on Title III B funds (Excluding 3B Ombudsman).

Title III-D, VII-A & VII-B funding do not have a match requirement.

To compute amount of match required, take the **Total Funding less Program Income, less non-matching funds**, and multiply by the minimum % matching requirement above. Match may be met by Cash or In-Kind contribution

See related California Department of Aging matching guidelines.

**MONTEREY COUNTY AREA AGENCY ON AGING  
PLANNING AND SERVICE AREA NO. 32**

**OMBUDSMAN INITIATIVE BUDGET**

**BUDGET PERIOD:** JULY 1, 2017 THRU JUNE 30, 2018

Name of Agency: Alliance on Aging, Inc.

Address of Agency: 247 Main Street

Salinas, CA 93901

Project Name: Ombudsman Volunteer Recruitment Initiative

**Funding Source and Catalog #**

Check one:	State Funds	<input checked="" type="checkbox"/>	State Health Facilities Citation Penalties Account
	State Funds	<input checked="" type="checkbox"/>	SNF Quality & Accountability Fund
	State Funds	<input checked="" type="checkbox"/>	Public Health L & C Program Fund

**Budget Version**

Check one: Original ☐ Revision ☐

**Certification:**

I hereby certify to the best of my knowledge and belief that the Budget reflects the necessary, reasonable and allowable costs to attain the objectives and goals of this project. I further certify that the amounts displayed are accurate and correct.

John A. Assaad 05/12/2017  
Preparer's Signature / Date

John A. Assaad 831-655-4246  
Preparer's Name (Printed) and telephone number

Teresa Sullivan 05/12/2017  
Executive Director's Signature / Date

Teresa Sullivan 831-655-4240  
Executive Director's Name (Printed) and telephone number

**For Area Agency on Aging Use Only**

Reviewed for:

Completeness and Accuracy

Reviewed for Allowable Costs

Indirect Cost limit 10%

No Required Match

Date Budget Received: 5/15/17

Budget Approved by Fiscal Officer: Veronica Renteria 5/18/17

Budget Approved by Program: \_\_\_\_\_

Get-Care Updated by Vendor: \_\_\_\_\_

Get-Care Verified by Fiscal Officer: \_\_\_\_\_

Budget Template Last Updated: 5/1/17 By Veronica Renteria

Agency Name:

Alliance on Aging, Inc.

Ombudsman Volunteer Recruitment Initiative

## SECTION A:

## BUDGET SUMMARY

Categories of Expenses		State Health Facilities Citation Penalties Account		SNF Quality & Accountability Fund		Public Health L & C Program Fund		Total Budget	
Personnel		\$	8,630	\$	11,085	\$	3,614	\$	23,329
Operating Expenses		\$	863	\$	7,797	\$	361	\$	9,021
Total		\$	9,493	\$	18,882	\$	3,975	\$	32,350
Source of Revenue		State Health Facilities Citation Penalties Account		SNF Quality & Accountability Fund		Public Health L & C Program Fund		Total Budget	
AAA Grant		\$	9,493	\$	18,882	\$	3,975	\$	32,350
Project Income								\$	-
								\$	-
Other Federal Funds	Match							\$	-
	Non-Match							\$	-
Other State Funds	Match							\$	-
	Non-Match							\$	-
County/City Funds	Match							\$	-
	Non-Match							\$	-
Private Grants	Match							\$	-
	Non-Match							\$	-
Net Fundraising	Match		\$	-		\$	-	\$	-
	Non-Match							\$	-
Totals by match	Match	\$	-	\$	-	\$	-	\$	-
	Non-Match	\$	-	\$	-	\$	-	\$	-
TOTAL			9,493		18,882		3,975		32,350

No.	Paid Staff Positions	Annual Salary	% on Program			Program Cost
			Facilities Citation Penalties Account	SNF Quality & Accountability Fund	Public Health L & C Program Fund	
1	AOA Program Director	\$60,000.00	4%	6%	3%	\$ 7,500.00
1	Staff Ombudsman	\$28,000.00	5%	5%	2%	\$ 3,360.00
1	Staff Ombudsman	\$28,000.00	5%	5%	1%	\$ 3,168.00
1	Staff Ombudsman	\$28,000.00	4%	5%	1%	\$ 2,800.00
1	Administrative Assistant	\$28,244.00	3%	5%	1%	\$ 2,349.00
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
	Total Salaries	\$ 170,244.00	\$ 7,094.00	\$ 9,112.00	\$ 2,971.00	\$ 19,177.00
	Payroll Taxes		\$ 543.00	\$ 697.00	\$ 227.00	\$ 1,467.00
	Employee Benefits		\$ 993.00	\$ 1,276.00	\$ 416.00	\$ 2,685.00
	<b>Total Paid Staff</b>	<b>\$ 170,244.00</b>	<b>\$ 8,630.00</b>	<b>\$ 11,085.00</b>	<b>\$ 3,614.00</b>	<b>\$ 23,329.00</b>
No.	In-Kind: Donated Services	Hourly Wage	% on Program			Program Cost
			State Health Facilities Citation Penalties Account	SNF Quality & Accountability Fund	Public Health L & C Program Fund	
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
	<b>Total In-Kind Staff</b>		\$ -	\$ -	\$ -	\$ -
	<b>Total Personnel Costs</b>	\$ 170,244	\$ 8,630	\$ 11,085	\$ 3,614	\$ 23,329

Page 3 of 4

JULY 1, 2017 THRU JUNE 30, 2018

**SECTION C:**

**Alliance on Aging, Inc.  
OPERATING EXPENSES / EQUIPMENT  
AND INDIRECT COSTS**

OPERATING EXPENSE & EQUIPMENT	State Health Facilities Citation Penalties		SNF Quality & Accountability Fund		Public Health L & C Program Fund		Total Budget	
	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind
Occupancy			\$ 2,192				\$ 2,192	\$ -
Volunteer Reimbursement							\$ -	\$ -
*Travel/Volunteer Travel			\$ 700				\$ 700	\$ -
Conf/Trainings/Meetings							\$ -	\$ -
Professional Fees: Acct/Legal							\$ -	\$ -
Equipment Purchase							\$ -	\$ -
Equipment Rental/Maintenance			\$ 672				\$ 672	\$ -
Insurance (Excluding Veh. & Occ.)							\$ -	\$ -
Utilities/Communications			\$ 900				\$ 900	\$ -
Postage/ Shipping			\$ 200				\$ 200	\$ -
Printing / Publications			\$ 200				\$ 200	\$ -
Public Relations /Advertising			\$ 300				\$ 300	\$ -
Sub/Membership Dues			\$ 316				\$ 316	\$ -
Supplies			\$ 600				\$ 600	\$ -
Food/Food Service							\$ -	\$ -
Vehicle Operation							\$ -	\$ -
Overhead: 8% limit of Grant Funding	\$ 863		\$ 1,717		\$ 361		\$ 2,941	\$ -
Awards/ Events							\$ -	\$ -
Client Support							\$ -	\$ -
Depreciation							\$ -	\$ -
Bank Service Fees							\$ -	\$ -
Subcontractor							\$ -	\$ -
Miscellaneous							\$ -	\$ -
<b>Total Operating Expenses</b>	<b>863</b>	<b>-</b>	<b>7,797</b>	<b>-</b>	<b>361</b>	<b>-</b>	<b>9,021</b>	<b>-</b>

\*Eligible expenses shall be reimbursed per the County's Travel and Business Expense Reimbursement Policy available at:  
<http://www.co.monterey.ca.us/auditor/policies.htm> CONTRACTOR must provide a detailed breakdown of authorized expenses.



**MONTEREY COUNTY AREA AGENCY ON AGING  
PLANNING AND SERVICE AREA NO. 32**

**HICAP BUDGET**

**BUDGET PERIOD:** July 1, 2017 thru June 31, 2018

Name of Agency: Alliance on Aging, Inc.

Address of Agency: 247 Main Street

Salinas, CA 93901

Project Name: Health Insurance and Counseling Advocacy Program (HICAP)

**Funding Source and Catalog #**

State Funds	<input checked="" type="checkbox"/>	NA	HICAP Fund
State Funds	<input checked="" type="checkbox"/>	NA	Reimbursements (Ins Fund)
	<input checked="" type="checkbox"/>	93.779	Federal SHIP Funds

**Budget Version**

Check one: Original ☒ Revision ☐

**Certification:**

I hereby certify to the best of my knowledge and belief that the Budget reflects the necessary, reasonable and allowable costs to attain the objectives and goals of this project. I further certify that the amounts displayed are accurate and correct.

John A. Assaad 5/15/2017  
Preparer's Signature / Date

John A. Assaad 831-655-4246  
Preparer's Name (Printed) and telephone number

Teresa Sullivan 5/15/2017  
Executive Director's Signature / Date

Teresa Sullivan 831-655-4240  
Executive Director's Name (Printed) and telephone number

**For Area Agency on Aging Use Only**

Reviewed for:

Completeness and Accuracy

Reviewed for Allowable Costs

Indirect Cost limit 10%

No Required Match

Date Budget Received: 5/15/17

Budget Approved by Fiscal Officer: Veronica Renteria 5/15/17

Budget Approved by Program: \_\_\_\_\_

Get-Care Updated by Vendor: \_\_\_\_\_

Get-Care Verified by Fiscal Officer: \_\_\_\_\_

Budget Template Last Updated: 5/1/17 By Veronica Renteria

Agency Name: Alliance on Aging, Inc.Project Name: 0

## SECTION A:

## BUDGET SUMMARY

Categories of Expenses	HICAP Fund		Reimbursements (Ins Fund)		Federal SHIP FUND July-March		Federal SHIP FUND April-June		Total Budget	
	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind
Personal	\$ 36,980		\$ 69,841		\$ 43,208		\$ 15,106		\$ 165,135	
Operating Expenses	\$ 17,461		\$ 39,022		\$ 21,202		\$ 7,931		\$ 85,616	
<b>Total</b>	<b>\$ 54,441</b>		<b>\$ 108,863</b>		<b>\$ 64,410</b>		<b>\$ 23,037</b>		<b>\$ 250,751</b>	
Source of Revenue	HICAP Fund		Reimbursements (Ins Fund)		Federal SHIP FUND July-March		Federal SHIP FUND April-June		Total Budget	
	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind
<b>AAA Grant</b>	<b>\$ 54,441</b>		<b>\$ 108,863</b>		<b>\$ 64,410</b>		<b>\$ 23,037</b>		<b>\$ 250,751</b>	<b>\$ -</b>
Project Income									\$ -	\$ -
Other Federal Funds	Match								\$ -	\$ -
	Non-Match								\$ -	\$ -
Other State Funds	Match								\$ -	\$ -
	Non-Match								\$ -	\$ -
County/City Funds	Match								\$ -	\$ -
	Non-Match								\$ -	\$ -
Private Grants	Match								\$ -	\$ -
	Non-Match								\$ -	\$ -
Net Fundraising	Match								\$ -	\$ -
	Non-Match								\$ -	\$ -
Totals by Match	Match	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Non-Match	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>TOTAL</b>		<b>\$ 54,441</b>		<b>\$ 108,863</b>		<b>\$ 64,410</b>		<b>\$ 23,037</b>		<b>\$ 250,751</b>

## SCHEDULE OF PERSONNEL COSTS

No.	Paid Staff Positions	Annual Salary	HICAP Fund	Reimbursements (lms Fund)	Federal SHIP FUND July-March	Federal SHIP FUND April-June	Program Cost
1	HICAP Program Manager	\$ 56,240.00	20%	41%	26%	9%	\$ 55,328.00
1	HICAP Program Specialist	\$ 32,136.00	20%	41%	26%	9%	\$ 30,529.00
1	HICAP Program Assistant	\$ 32,136.00	20%	41%	26%	9%	\$ 30,529.00
1	AOA Programs Director	\$ 71,282.00	4%	5%	3%	1%	\$ 8,910.00
1	Finance Director	\$ 62,371.00	3%	4%	2%	1%	\$ 6,297.00
1	Accounting Assistant	\$ 41,600.00	3%	3%	2%	1%	\$ 3,744.00
1	Administrative Assistant	\$ 35,360.00	1%	2%	1%	1%	\$ 1,591.00
-							\$ -
-							\$ -
-							\$ -
-							\$ -
-							\$ -
-							\$ -
-							\$ -
-							\$ -
Total Salaries		\$ 333,125.00		\$ 30,650.00	\$ 57,883.00	\$ 35,812.00	\$ 138,870.00
Payroll Taxes				\$ 2,345.00	\$ 4,428.00	\$ 2,740.00	\$ 958.00
Employee Benefits				\$ 3,985.00	\$ 7,525.00	\$ 4,856.00	\$ 17,794.00
Total Paid Staff		\$ 333,125.00	\$ 36,960.00	\$ 66,841.00	\$ 43,208.00	\$ 15,106.00	\$ 166,136.00
% on Program							
No.	In-Kind: Donated Services	Hourly Wage	HICAP Fund	Reimbursements (lms Fund)	Federal SHIP FUND July-March	Federal SHIP FUND April-June	Program Cost
-							\$ -
-							\$ -
-							\$ -
-							\$ -
-							\$ -
-							\$ -
-							\$ -
Total In-Kind Staff							\$ -
Total Payments/Fees		\$ 333,125	\$ 36,960	\$ 66,841	\$ 43,208	\$ 15,106	\$ 166,136.00

Page 3 of 4

Agency Name:  
Project Name:

Alliance on Aging, Inc.  
Health Insurance and Counseling Advocacy Program (HICAP)

**SECTION C:  
OPERATING EXPENSES**

OPERATING EXPENSE	HICAP Fund		Reimbursements (Ins Fund)		Federal SHIP FUND July-March		Federal SHIP FUND April-June		Total Budget	
	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind
Volunteer Reimbursement									\$ -	\$ -
*Travel/Volunteer Travel	\$ 900		\$ 1,600		\$ 1,160		\$ 390		\$ 4,050	\$ -
Conf/Trainings/Meetings	\$ 400		\$ 900		\$ 500		\$ 800		\$ 2,600	\$ -
Occupancy	\$ 4,000		\$ 9,222		\$ 5,960		\$ 1,000		\$ 20,182	\$ -
Professional Fees: Acct/Legal									\$ -	\$ -
Equipment Purchase									\$ -	\$ -
Equipment Rental/Maintenance	\$ 800		\$ 4,300		\$ 2,000		\$ 867		\$ 7,967	\$ -
Postage/ Shipping	\$ 421		\$ 500		\$ 300		\$ -		\$ 1,221	\$ -
Insurance (Excluding Veh. & Occ.)									\$ -	\$ -
Utilities/Communications	\$ 1,700		\$ 3,000		\$ 1,300		\$ 450		\$ 6,450	\$ -
Printing / Publications	\$ 500		\$ 1,600		\$ 727		\$ 250		\$ 3,077	\$ -
Public Relations /Advertising	\$ 2,000		\$ 5,000		\$ 2,000		\$ 879		\$ 9,879	\$ -
Sub/Membership Dues	\$ 500		\$ 800		\$ 600		\$ -		\$ 1,900	\$ -
Supplies	\$ 1,000		\$ 2,000		\$ 500		\$ 1,000		\$ 4,500	\$ -
Food/Food Service									\$ -	\$ -
Vehicle Operation	\$ 200		\$ 100		\$ 300		\$ 200		\$ 800	\$ -
Overhead: 10% limit of Grant Funding	\$ 5,040		\$ 10,000		\$ 5,855		\$ 2,095		\$ 22,990	\$ -
Awards/ Events									\$ -	\$ -
Client Support									\$ -	\$ -
Depreciation									\$ -	\$ -
Bank Service Fees									\$ -	\$ -
Subcontractor									\$ -	\$ -
Miscellaneous									\$ -	\$ -
<b>Total Operating Expenses</b>	<b>17,461</b>	<b>-</b>	<b>39,022</b>	<b>-</b>	<b>21,202</b>	<b>-</b>	<b>7,931</b>	<b>-</b>	<b>85,616</b>	<b>-</b>

\*Eligible expenses shall be reimbursed per the County's Travel and Business Expense Reimbursement Policy available at:  
<http://www.co.monterey.ca.us/auditor/policies.htm> CONTRACTOR must provide a detailed breakdown of authorized expenses.

# MONTEREY COUNTY AREA AGENCY ON AGING PLANNING AND SERVICE AREA NO. 32

## MIPPA BUDGET

**BUDGET PERIOD:** July 1, 2017 thru September 29, 2017

Name of Agency: ALLIANCE ON AGING, Inc.

Address of Agency: 247 Main Street

Salinas, CA 93901

Project Name: Medicare Improvements for Patients and Providers Act (MIPPA)

### Funding Source and Catalog #

Check one:	Federal Funds	<input checked="" type="checkbox"/>	93.071 AAA MIPPA
	Federal Funds	<input checked="" type="checkbox"/>	93.071 HICAP MIPPA

### Budget Version

Check one: Original ☒

### Certification:

I hereby certify to the best of my knowledge and belief that the Budget reflects the necessary, reasonable and allowable costs to attain the objectives and goals of this project. I further certify that the amounts displayed are accurate and correct.

John A. Assaad 5/15/2017  
Preparer's Signature / Date

John A. Assaad 831-655-4246  
Preparer's Name (Printed) and telephone number

Teresa Sullivan 5/15/2017  
Executive Director's Signature / Date

Teresa Sullivan 831-655-4240  
Executive Director's Name (Printed) and telephone number

Received at Area Agency on Aging:

Reviewed for: completeness and accuracy  
No match requirement  
Reviewed for Allowable Costs  
10% Indirect Cost limit

Budget Approved by Fiscal:

Budget Approved by Program:

Get Care Updated by Vendor:

Get Care Verified by Fiscal:

Budget Template Last Updated:

5/1/17 By Veronica Renteria

5/18/17 Veronica Renteria

Agency Name: ALLIANCE ON AGING, Inc. Medicare Improvements for Patients and Providers Act (MIPPA)  
**SECTION A:**

**BUDGET SUMMARY**

Categories of Expenses		AAA MIPPA		HICAP MIPPA		Total Budget	
Personnel							
		318	\$	1,611	\$	1,929	
Operating Expenses		1,072	\$	3,284	\$	4,356	
<b>Total</b>		<b>1,390</b>	<b>\$</b>	<b>4,895</b>	<b>\$</b>	<b>6,285</b>	
Source of Revenue		AAA MIPPA		HICAP MIPPA		Total Budget	
		Cash	In-Kind	Cash	In-Kind	Cash	In-Kind
AAA Grant		1,390		4,895		6,285	-
Project Income							
	Matching					\$	-
Other Federal Funds	Non-matching					\$	-
	Matching					\$	-
Other State Funds	Non-matching					\$	-
	Matching					\$	-
County/City Funds	Non-matching					\$	-
Private Grants	Non-matching					\$	-
	Matching			\$	-	\$	-
Net Fundraising	Non-matching					\$	-
	Matching					\$	-
Totals by match	Non-matching	\$	-	\$	-	\$	-
<b>TOTAL</b>		<b>1,390</b>	<b>\$</b>	<b>4,895</b>	<b>\$</b>	<b>6,285</b>	

\$ 0 \$ (0) \$ 0



## SECTION C:

**ALLIANCE ON AGING, Inc.**  
**OPERATING EXPENSES / EQUIPMENT**  
**AND INDIRECT COSTS**

OPERATING EXPENSE & EQUIPMENT	AAA MIPPA		HICAP MIPPA		Total Budget	
	Cash	In-Kind	Cash	In-Kind	Cash	In-Kind
Volunteer Reimbursement					\$ -	\$ -
*Travel/Volunteer Travel	\$ 88		\$ 200		\$ 288	\$ -
Conf/Trainings/Meetings					\$ -	\$ -
Occupancy			\$ 300		\$ 300	\$ -
Professional Fees: Acct/L legal					\$ -	\$ -
Equipment Purchase					\$ -	\$ -
Equipment Rental/Maint			\$ 459		\$ 459	\$ -
Postage/ Shipping						
Insurance (Excluding Veh. & Occ.)					\$ -	\$ -
Utilities/Communications	\$ 45		\$ 135		\$ 180	\$ -
Printing / Publications			\$ 200		\$ 200	\$ -
Public Relations /Advertising	\$ 800		\$ 1,500		\$ 2,300	\$ -
Sub/Membership Dues					\$ -	\$ -
Supplies					\$ -	\$ -
Food/Food Service					\$ -	\$ -
Vehicle Operation					\$ -	\$ -
Overhead: 10% limit of Grant Funding	\$ 139		\$ 490		\$ 629	\$ -
Awards/ Events					\$ -	\$ -
Client Support					\$ -	\$ -
Depreciation					\$ -	\$ -
Bank Service Fees					\$ -	\$ -
Subcontractor					\$ -	\$ -
Miscellaneous					\$ -	\$ -
<b>Total Operating Expenses</b>	<b>1,072</b>	<b>-</b>	<b>3,284</b>	<b>-</b>	<b>4,356</b>	<b>-</b>

\*Eligible expenses shall be reimbursed per the County's Travel and Business Expense Reimbursement Policy available at:  
<http://www.co.monterey.ca.us/auditor/policies.htm> . CONTRACTOR must provide a detailed breakdown of authorized expenses.



# Monthly Units of Service Report

EXHIBIT D-1

## Part A Contractor Identification Data

Invoice Number: \_\_\_\_\_

1. Report Status In Process

2. Contractor Name/Program

3. Month Year

## Part D Fiscal Claim Information

Program Name

Program Code

ExpCat	Budget		Month Total		Year to Date	
	Cash	InKind	Cash	InKind	Cash	InKind
Salaries/Volunteer In Kind	00	00	00	00		
Payroll Taxes	00	00	00	00		
Employee Benefits	00	00	00	00		
Volunteer Reimbursement	00	00	00	00		
Travel/Volunteer Travel	00	00	00	00		
Conf/Training/Meetings	00	00	00	00		
Professional Fees: Acct/Legal	00	00	00	00		
Equipment Purchase	00	00	00	00		
Equip. Rental/Maint.	00	00	00	00		
Occupancy	00	00	00	00		
Utilities/Communications	00	00	00	00		
Insurance (Not Veh./Occ.)	00	00	00	00		
Postage/Shipping	00	00	00	00		
Printing/Publication	00	00	00	00		
Public Relations/Advertising	00	00	00	00		
Subs/Membership Dues	00	00	00	00		
Supplies	00	00	00	00		
Food/Food Service	00	00	00	00		
Vehicle Operation	00	00	00	00		
Overhead (8% limit)	00	00	00	00		
Awards/Events	00	00	00	00		
Client Support	00	00	00	00		
Federal Mental Health	00	00	00	00		
Low Income Subsidy	00	00	00	00		
Depreciation	00	00	00	00		
Nutrition Education	00	00	00	00		
Bank Service Fees	00	00	00	00		
Subcontractor	00	00	00	00		
Miscellaneous	00	00	00	00		
<b>Total</b>	00	00	00	00		
Project Income				00		00
Non Match			00	00	00	00
Match			00	00		
<b>Total Match</b>				00		
<b>Required Match</b>				00		

## Part E Invoice

AAA Grant	YTD Requested	OTO Grant	YTD OTO Requested	NSIP Grant	YTD NSIP Requested
	00		00		00
<b>Requested Amount</b>	00	<b>OTO Requested Amount</b>	00	<b>NSIP Requested Amount</b>	00
<b>Total Requested Amount</b>					00

Notes:

# Monterey County AAA Provider Annual Closeout Summary

Title 3 / 3233 0002

Fiscal Year 2010

ExpCat	FYTotal	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Salaries/Vol IK	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Payroll Taxes	\$12,848	\$12,848											
Employee Benefits	\$754	\$754											
Volunteer Reimb.	\$294	\$294											
Travel/Vol Travel	\$0	\$0											
Confer/Ting/Mtgs	\$0	\$0											
Prof Fees:Acct/Legal/DP	\$0	\$0											
Equipment Purchase	\$0	\$0											
Equip Rent/Maint	\$0	\$0											
Occupancy	\$0	\$0											
Insurance(Not Veh/Occ)	\$0	\$0											
Utilities/Communications	\$0	\$0											
Postage/Shipping	\$0	\$0											
Printing/Publication	\$0	\$0											
Public Rel/Advertising	\$0	\$0											
Subs/Membership Dues	\$0	\$0											
Supplies	\$0	\$0											
Food/Food Service	\$1,047	\$1,047											
Vehicle Operation	\$250	\$250											
Overhead(8% limit)	\$126	\$126											
Awards/Events	\$0	\$0											
Client Support	\$0	\$0											
Misc.	\$0	\$0											
<b>Total for FY</b>	<b>\$15,319</b>	<b>\$15,319</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

	Total Expenses	Project Income	NSIP	AAA Claim	CNon Match	Cash Match	IKNon Match	InKind Match	Total Match	Required Match
FY To Date	\$2,402	\$288	\$205	\$522	\$0	\$1,387	\$0	\$0	\$1,387	\$231
Budget	\$37,509	\$8,350	\$2,679	\$13,563	\$0	\$12,917	\$0	\$0	\$12,917	\$2,788

EXHIBIT D-2

I certify to the best of my knowledge and belief that the attached financial closeout report is accurate, current, and discloses the financial results of this program funded by Monterey County Area Agency on Aging with Older Americans Act Title III/VII, Title IIIIE and/or State General Funds.

Signature (Name/Title) \_\_\_\_\_ Date \_\_\_\_\_ Approved by \_\_\_\_\_ Date \_\_\_\_\_  
 Fed Fund Source \_\_\_\_\_ State Fund Source \_\_\_\_\_ AAA Fiscal Officer \_\_\_\_\_



**Sample Quarterly Narrative Report**

**Contractor Name and Address:**

**Person Completing Report:**

**Narrative summary of program highlights, no more than 1 page.**

- 1. Program achievements & accomplishments**
- 2. Program challenges and barriers impacting service delivery**
- 3. Technical support interests and requests**

## EQUIPMENT PURCHASES

- A. Unless otherwise provided for in this Article, property refers to all assets used in operation of this Agreement.
1. Property includes land, buildings, improvements, machinery, vehicles, furniture, tools, and intangibles, etc.
  2. Property does not include consumable office supplies such as paper, pencils, toner, file folders, etc.
- B. Property meeting all of the following criteria are subject to the reporting requirements:
1. Has a normal useful life of at least 1 year
  2. Has a unit acquisition cost of at least \$500 (a desktop or laptop setup, including all peripherals is considered a unit, if purchased as a unit)
  3. Is used to conduct business under this Agreement
- C. Intangibles are property which lack physical substance but give valuable rights to the owner. Examples of intangible property include patents, copyrights, leases, and computer software. By contrast, hardware consists of tangible equipment (e.g., computer printer, terminal, etc.).
- Costs include all amounts incurred to acquire and to ready the intangible asset for its intended use. Typical intangible property costs include the purchase price, legal fees, and other costs incurred to obtain title to the asset.
- D. The Contractor shall submit the *Equipment Acquisition Report*, Exhibit D-3, with the Contractor's invoice to the County as appropriate. Equipment must be received by June 30 for expenses to be claimed against this agreement. Any equipment or physical assets obtained by Contractor utilizing funds pursuant to the terms of this Agreement shall be inventoried and considered the property of the County, and tendered to the County upon termination of services by Contractor.
- E. The Contractor shall keep track of property purchased with *AAA or Matching funds*, and submit to the County annually with the Closeout, a cumulative inventory of all property furnished or purchased by the Contractor with funds awarded under the terms of this Agreement or any predecessor agreement for the same purpose.
- F. Disposal of Property
1. Prior to disposal of any property purchased by the Contractor with funds from this Agreement or any predecessor Agreement, the Contractor must obtain approval from the County. Disposition, which includes sale, trade-in, discarding, or transfer to another agency may not occur until approval is received from the County. The Contractor shall e-mail to the County a

request to dispose of equipment and a list of item(s). Once approval for disposal has been received from CDA, the County will notify the Contractor and the item(s) shall be removed from the Contractor's inventory report.

2. Contractor must remove all confidential, sensitive, or personal information from CDA property prior to disposal, including removal or destruction of data on computing devices with digital memory and storage capacity. This includes, but is not limited to magnetic tapes, flash drives, personal computers, personal digital assistants (PDAs), cell or smart phones, multi-function printers, and laptops.
- G. The Contractor shall immediately investigate and within five (5) days fully document the loss, destruction, or theft of such property.
  - H. The State reserves title to all State-purchased or financed property not fully consumed in the performance of this Agreement, unless otherwise required by federal law or regulations or as otherwise agreed by the parties.
  - I. The Contractor shall exercise due care in the use, maintenance, protection, and preservation of such property during the period of the project, and shall assume responsibility for replacement or repair of such property during the period of the project, or until the Contractor has complied with all written instructions from the County regarding the final disposition of the property.
  - J. In the event of the Contractor's dissolution or upon termination of this Agreement, the Contractor shall provide a final property inventory to the County. The County reserves the right to require the Contractor to transfer such property to another entity, or to the State.
  - K. The Contractor shall use the property for the purpose for which it was intended under the Agreement. When no longer needed for that use, the Contractor shall use it, if needed, and with written approval of the County for other purposes in this order:
    1. Another program providing the same or similar service
    2. Another program
  - L. The Contractor may share use of the property and equipment or allow use by other programs, upon written approval of the County. As a condition of the approval, the County may require reimbursement under this Agreement for its use.
  - M. The Contractor shall not use equipment or supplies acquired under this Agreement with federal and/or State monies for personal gain or to usurp the competitive advantage of a privately-owned business entity.
  - N. If purchase of equipment is a reimbursable item, the equipment to be purchased will be specified in the budget.

## **EXHIBIT E**

### **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 E

- (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 E

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:** Alliance on Aging

By: Jenna Sullivan  
Title: Executive Director  
Date: 5/22/2017

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

Alliance on Aging

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

5/22/2017  
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

### Alliance on Aging

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.

Jenna Swellon  
Signature

Executive Director  
Title

Alliance on Aging  
Agency/Organization

5/22/2017  
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 or audit reports covering the contract period, prepared by an independent Certified Public Accountant. The audit requirement is for the purpose of 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. Such audit shall be performed in accordance with the "Standards for Audit of Governmental Organizations, Programs, Activities, and Functions" as published by the Comptroller General of the United States, and in accordance with generally accepted auditing standards.

**1.02 Audit Submission /Fiscal Year-end**

CONTRACTOR shall provide COUNTY with the audit, or audit report, required herein no later than 120 days after the close of CONTRACTOR's Fiscal Year. If CONTRACTOR's fiscal records adhere to a Fiscal Year different from COUNTY's, then CONTRACTOR's audit will include a schedule(s) coinciding with COUNTY's Fiscal Year (July-June), or CONTRACTOR may submit a program specific audit coinciding with COUNTY's Fiscal Year (July-June).

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 in order to grant the extension. The submittal of the audit will continue to be required and due **no later than six (6) months** after the close of CONTRACTOR's fiscal year-end.

**1.03 Audit Format**

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

1) An annual independent audit and Management Letter conducted in accordance with Generally Accepted Auditing Standards (GAAS) and Government Auditing Standards (yellow book audit) issued by the Comptroller General of the United States. **The audit must identify all federal, state, County and matching funds issued under this Agreement as a note, or as a supplemental schedule of expenses within Contractor's audits.**

**-OR-**

2) If CONTRACTOR is not required to have an annual independent audit conducted in accordance with *both* Generally Accepted Auditing Standards (GAAS) and Government Auditing Standards (yellow book audit) issued by the Comptroller General of the United States, other than to comply with COUNTY's request, *then* an annual independent audit and Management Letter, conducted only in accordance with Generally Accepted Auditing Standards (GAAS) may be submitted *as long as the audit includes this grant/program as part of the testing*. **The audit must identify all federal, state, County and matching funds issued under this Agreement as a note, or as a supplemental schedule of expenses within Contractor's audits.**

## EXHIBIT H

COUNTY reserves the right to require a program specific audit at COUNTY's discretion.

### 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 OMB Circular 133, 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 OMB Circular 133, 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 OMB cost principles circulars, the Federal Acquisition Regulation (FAR) (48 CFR parts 30 and 31), or 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 any 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.

Alliance on Aging

  
(signature of authorized representative)

5/22/2017  
(date)