

THE BOARD OF SUPERVISORS OF THE COUNTY OF STANISLAUS
BOARD ACTION SUMMARY

DEPT: Aging and Veteran Services

BOARD AGENDA:5.B.5
AGENDA DATE: June 26, 2018

SUBJECT:

Approval of the Agreement for the Area Agency on Aging for Fiscal Year 2018-2019 for the Provision of Elder Abuse Prevention and Long Term Care Ombudsman Programs with Catholic Charities, Diocese of San Joaquin

BOARD ACTION AS FOLLOWS:

RESOLUTION NO. 2018-0315

On motion of Supervisor Chiesa Seconded by Supervisor Olsen
and approved by the following vote,

Ayes: Supervisors: Olsen, Chiesa, Monteith, and Vice-Chairman Withrow


Noes: Supervisors: None

Excused or Absent: Supervisors: Chairman DeMartini

Abstaining: Supervisor: None

- 1) Approved as recommended
- 2) Denied
- 3) Approved as amended
- 4) Other:

MOTION:

ATTEST: 
ELIZABETH A. KING, Clerk of the Board of Supervisors

File No.

**THE BOARD OF SUPERVISORS OF THE COUNTY OF STANISLAUS
AGENDA ITEM**

DEPT: Aging and Veteran Services

BOARD AGENDA:5.B.5
AGENDA DATE: June 26, 2018

CONSENT:

CEO CONCURRENCE: YES

4/5 Vote Required: No

SUBJECT:

Approval of the Agreement for the Area Agency on Aging for Fiscal Year 2018-2019 for the Provision of Elder Abuse Prevention and Long Term Care Ombudsman Programs with Catholic Charities, Diocese of San Joaquin

STAFF RECOMMENDATION:

1. Authorize the Director of the Department of Aging and Veterans Services (Area Agency on Aging) and the County Purchasing Agent to sign the agreement and any subsequent amendments for the Elder Abuse Prevention and Long Term Care Ombudsman Programs with Catholic Charities, Diocese of San Joaquin.

DISCUSSION:

The Area Agency on Aging (AAA) contracts with the California Department of Aging (CDA) to provide Older Americans Act (OAA) Programs for senior citizens in Stanislaus County either directly or through grant agreements with local service providers. The AAA is recognized by the Federal Administration for Community Living as the local agency for advocacy, planning, and program development on behalf of older persons in Stanislaus County. In Stanislaus County, there are over 103,000 seniors over 60 years old (19% of the general population), with over 7,000 seniors and caregivers receiving services through the AAA annually.

For the programs that are contracted out, the AAA is required to provide administrative guidance and oversight, technical assistance, and in accordance with CDA's agreement, the AAA shall monitor service providers annually to ensure compliance with all laws and regulations. Outcomes for all services are reported to CDA quarterly. Before submitting the quarterly report to CDA, the AAA must verify all data for accuracy and completeness and ensure that it meets California Aging Reporting Systems (CARS) specifications, National Aging Program Information System (NAPIS), and State Program Report (SPR) requirements. AAA staff provides the following OAA direct services for seniors: Information and Assistance; Outreach; Program Development; Coordination; Family Caregiver Support Program; Case Management; Congregate Meals and Health Insurance Counseling Advocacy Program (HICAP). Programs that will be contracted to service providers include Elder Abuse Prevention and Long Term Care Ombudsman; Homemaker; Congregate Meals; Home Delivered Meals; Senior Legal Assistance and Health Promotion.

The AAA is required by law to issue, at a minimum of every four years, a Request for Proposals (RFP) to select service providers for programs that will receive more than \$100,000 from the Older Americans Act. As stipulated in the RFP process, the AAA may negotiate and renew contracts annually with the providers selected through the RFP process for three additional one-year periods. The RFP for the Ombudsman and Elder Abuse Prevention programs was completed in April 2017. The funding amounts for the Senior Law, Homemaker and Health Promotion Programs are less than \$100,000; therefore, they do not require a RFP. For the first six months of fiscal year 2018-2019 the Congregate Meals Program will be done partially through vendor agreements with the AAA acting as the direct service provider. For the Home Delivered Meals the AAA will extend the agreement with the Howard Training Center through December 31, 2018. A RFP for both programs will be done early in the new fiscal year.

AAA staff recommends the Board approve the award of the agreement for the Long Term Care Ombudsman and Elder Abuse Prevention Programs with Catholic Charities, Diocese of Stockton. A copy of the recommended contract is available from the Clerk of the Board of Supervisors.

POLICY ISSUE:

The AAA will be in compliance with the regulations outlined in the Older Americans Act and the California Code of Regulations. Board of Supervisors' approval is required for any contract or agreement where the total cumulative compensation exceeds \$100,000. Approval of this item will enable the Area Agency on Aging and Service Provider staff to continue to meet the needs of seniors and caregivers in Stanislaus County.

FISCAL IMPACT:

Total funding available to provide the Long Term Care and Elder Abuse Prevention Programs for Fiscal Year 2018-2019 will be \$107,175. The minimum required match of 10% for this program will be met by the contracting provider. Funding for the agreement is included in the Fiscal Year 2018-2019 Proposed Budget. There is no impact to the County General Fund.

BOARD OF SUPERVISORS' PRIORITY:

The recommended actions are consistent with the Boards' priority of *Supporting Community Health* by assisting seniors to achieve and maintain optimal health, independence and dignity.

STAFFING IMPACT:

Existing Area Agency on Aging staff will provide funding, administration and oversight for the Agreement included in this Agenda Item.

CONTACT PERSON:

Margie Palomino, 209-525-4601.

ATTACHMENT(S):

1. FY 2018-2019 Agreement, Ombudsman

**COUNTY OF STANISLAUS
STANDARD AGREEMENT**

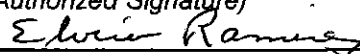
“Ombudsman and Elder Abuse Prevention”

1. This Agreement is entered into between the County of Stanislaus and the following named Contractor
(If other than an individual, state whether a corporation, partnership, etc.):
Catholic Charities, a California corporation
2. The term of this Agreement is:
July 1, 2018 to June 30, 2019, subject to early termination per Article XI, A. of Exhibit D
3. The maximum amount of payment based on XX lump sum, or ___ time and materials is:
Not to exceed \$ 107,175.00
4. The parties agree to comply with the terms and conditions of the following exhibits which, by this reference, are made a part of the Agreement:
 - (a) Exhibit A – Standard Agreement for Independent Contractor Services
 - (b) Exhibit B – Scope of Work
 - (c) Exhibit C – Budget Detail, Payment Provisions, and Closeout
 - (d) Exhibit D – Special Terms and Conditions
 - (e) Exhibit E – Additional Provisions
 - (f) Other (e.g. Contractor's Proposal) N/A

IN WITNESS WHEREOF, the parties have executed this Agreement on July 1, 2018
(Date)

CONTRACTOR

Contractor's Name
Catholic Charities, Diocese of Stockton

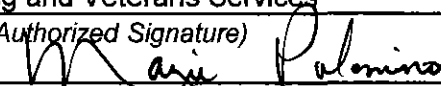
By *(Authorized Signature)*


Printed Name and Title of Person Signing
Elvira Ramirez, Executive Director

Mailing Address
1106 N. El Dorado St
Stockton, CA 95202

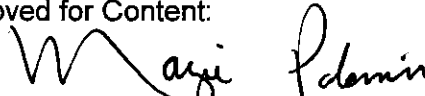

COUNTY OF STANISLAUS

Department Name
Aging and Veterans Services

By *(Authorized Signature)*


Printed Name and Title of Person Signing
Margie Palomino, Director

Mailing Address
3500 Coffee Rd, Suite 19
Modesto, California 95355

Approved for Content:  Margie Palomino, Director	Approved as to Form:  Deirdre McGrath, Deputy County Counsel
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**EXHIBIT A
AGREEMENT
FOR
INDEPENDENT CONTRACTOR SERVICES**

This Agreement for Independent Contractor Services (the "Agreement") is made and entered into by and between the County of Stanislaus ("County") and Catholic Charities, a California corporation, ("Contractor") as of July 1, 2018.

Recitals

WHEREAS, the County has a need for services involving long-term care ombudsman and elder abuse prevention programs;

WHEREAS, the Contractor is specially trained, experienced and competent to perform and has agreed to provide such services; and

NOW, THEREFORE, in consideration of the mutual promises, covenants, terms and conditions hereinafter contained, the parties hereby agree as follows:

Terms and Conditions

1. **Scope of Work**

1.1 The Contractor shall furnish to the County upon execution of this Agreement or receipt of the County's written authorization to proceed, those services and work set forth in **Exhibit B**.

1.2 All documents, drawings and written work product prepared or produced by the Contractor under this Agreement, including without limitation electronic data files, are the property of the Contractor; provided, however, the County shall have the right to reproduce, publish and use all such work, or any part thereof, in any manner and for any purposes whatsoever and to authorize others to do so. If any such work is copyrightable, the Contractor may copyright the same, except that, as to any work which is copyrighted by the Contractor, the County reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, and use such work, or any part thereof, and to authorize others to do so.

1.3 Services and work provided by the Contractor at the County's request under this Agreement will be performed in a timely manner consistent with the requirements and standards established by applicable federal, state and County laws, ordinances, regulations and resolutions, and in accordance with a schedule of work set forth in **Exhibits B-E**. If there is no schedule, the hours and times for completion of said services and work are to be set by the Contractor; provided, however, that such schedule is subject to review by and concurrence of the County.

2. **Consideration**

2.1 County shall pay Contractor as set forth in **Exhibit B**.

2.2 Except as expressly provided in **Exhibit B, Article II** of this Agreement, Contractor shall not be entitled to nor receive from County any additional consideration, compensation, salary, wages or other type of remuneration for services rendered under this Agreement. Specifically, Contractor shall not be entitled by virtue of this Agreement to consideration in the form of overtime, health insurance benefits, retirement benefits, disability retirement benefits, sick leave, vacation time, paid holidays or other paid

leaves of absence of any type or kind whatsoever.

2.3 County will not withhold any Federal or State income taxes or Social Security tax from any payments made by County to Contractor under the terms and conditions of this Agreement. Payment of all taxes and other assessments on such sums is the sole responsibility of Contractor. County has no responsibility or liability for payment of Contractor's taxes or assessments.

2.4 Pursuant to Penal Code section 484b and to Business and Professions Code section 7108.5, the Contractor must apply all funds and progress payments received by the Contractor from the County for payment of services, labor, materials or equipment to pay for such services, labor, materials or equipment. Pursuant to Civil Code section 1479, the Contractor shall direct or otherwise manifest the Contractor's intention and desire that payments made by the Contractor to subcontractors, suppliers and materialmen shall be applied to retire and extinguish the debts or obligations resulting from the performance of this Agreement.

3. Term

3.1 The term of this Agreement shall be from the date of approval of this Agreement until completion of the agreed upon services unless sooner terminated as provided below or unless some other method or time of termination is listed in **Exhibit D, Article XI**.

3.2 Should either party default in the performance of this Agreement or materially breach any of its provisions, the other party, at that party's option, may terminate this Agreement by giving written notification to the other party.

3.3 This Agreement shall terminate automatically on the occurrence of (a) bankruptcy or insolvency of either party, (b) sale of Contractor's business, (c) cancellation of insurance required under the terms of this Agreement, and (d) if, for any reason, Contractor ceases to be licensed or otherwise authorized to do business in the State of California, and the Contractor fails to remedy such defect or defects within thirty (30) days of receipt of notice of such defect or defects.

3.4 The County may terminate this agreement upon 30 days prior written notice to the Contractor. Termination of this Agreement shall not affect the County's obligation to pay for all fees earned and reasonable costs necessarily incurred by the Contractor as provided in Paragraph 2 herein, subject to any applicable setoffs.

4. Required Licenses, Certificates and Permits

Any licenses, certificates or permits required by the federal, state, county or municipal governments for Contractor to provide the services and work described in **Exhibit B** must be procured by Contractor and be valid at the time Contractor enters into this Agreement. Further, during the term of this Agreement, Contractor must maintain such licenses, certificates and permits in full force and effect. Licenses, certificates and permits may include but are not limited to driver's licenses, professional licenses or certificates and business licenses. Such licenses, certificates and permits will be procured and maintained in force by Contractor at no expense to the County.

5. Office Space, Supplies, Equipment, Etc.

Unless otherwise provided in **Exhibit B**, Contractor shall provide such office space, supplies, equipment, vehicles, reference materials and telephone service as is necessary for Contractor to provide the services identified in **Exhibit B** to this Agreement. County is not obligated to reimburse or pay Contractor for any expense or cost incurred by Contractor in procuring or maintaining such items.

Responsibility for the costs and expenses incurred by Contractor in providing and maintaining such items is the sole responsibility and obligation of Contractor.

6. Insurance

Coverage Required: Contractor shall obtain, and maintain at all times during the term of this Agreement, insurance coverage in the amounts and coverage specified in the attached "**Attachment 1.**"

7. Defense and Indemnification

7.1 To the fullest extent permitted by law, Contractor shall indemnify, hold harmless and defend the County and its agents, officers and employees from and against all claims, damages, losses, judgments, liabilities, expenses and other costs, including litigation costs and attorneys' fees, arising out of, resulting from, or in connection with the performance of this Agreement by the Contractor or Contractor's officers, employees, agents, representatives or subcontractors and resulting in or attributable to personal injury, death, or damage or destruction to tangible or intangible property, including the loss of use; provided, however, such indemnification shall not extend to or cover loss, damage or expense arising from the sole negligence or willful misconduct of the County or its agents, officers and employees.

7.2 Contractor's obligation to defend, indemnify and hold the County and its agents, officers and employees harmless under the provisions of this paragraph is not limited to or restricted by any requirement in this Agreement for Contractor to procure and maintain a policy of insurance.

8. Status of Contractor

8.1 All acts of Contractor and its officers, employees, agents, representatives, subcontractors and all others acting on behalf of Contractor relating to the performance of this Agreement, shall be performed as independent contractors and not as agents, officers or employees of County. Contractor, by virtue of this Agreement, has no authority to bind or incur any obligation on behalf of County. Except as expressly provided in **Exhibits B-E**, Contractor has no authority or responsibility to exercise any rights or power vested in the County. No agent, officer or employee of the County is to be considered an employee of Contractor. It is understood by both Contractor and County that this Agreement shall not be construed or considered under any circumstances to create an employer-employee relationship or a joint venture.

8.2 At all times during the term of this Agreement, the Contractor and its officers, employees, agents, representatives or subcontractors are, and shall represent and conduct themselves as, independent contractors and not employees of County.

8.3 Contractor shall determine the method, details and means of performing the work and services to be provided by Contractor under this Agreement. Contractor shall be responsible to County only for the requirements and results specified in this Agreement and, except as expressly provided in this Agreement, shall not be subjected to County's control with respect to the physical action or activities of Contractor in fulfillment of this Agreement. Contractor has control over the manner and means of performing the services under this Agreement. Contractor is permitted to provide services to others during the same period service is provided to County under this Agreement. If necessary, Contractor has the responsibility for employing other persons or firms to assist Contractor in fulfilling the terms and obligations under this Agreement.

8.4 If in the performance of this Agreement any third persons are employed by Contractor, such persons shall be entirely and exclusively under the direction, supervision and control of Contractor. All terms of employment including hours, wages, working conditions, discipline, hiring and discharging or any

other term of employment or requirements of law shall be determined by the Contractor.

8.5 It is understood and agreed that as an independent Contractor and not an employee of County, the Contractor and the Contractor's officers, employees, agents, representatives or subcontractors do not have any entitlement as a County employee, and do not have the right to act on behalf of the County in any capacity whatsoever as an agent, or to bind the County to any obligation whatsoever.

8.6 It is further understood and agreed that Contractor must issue W-2 forms or other forms as required by law for income and employment tax purposes for all of Contractor's assigned personnel under the terms and conditions of this Agreement.

8.7 As an independent Contractor, Contractor hereby indemnifies and holds County harmless from any and all claims that may be made against County based upon any contention by any third party that an employer-employee relationship exists by reason of this Agreement.

9. Records and Audit

9.1 Contractor shall prepare and maintain all writings, documents and records prepared or compiled in connection with the performance of this Agreement for a minimum of four (4) years from the termination or completion of this Agreement, or for the necessary period described in **Exhibit D, Articles VI and X**. This includes any handwriting, typewriting, printing, photostatic, photographing and every other means of recording upon any tangible thing, any form of communication or representation including letters, words, pictures, sounds or symbols or any combination thereof.

9.2 Any authorized representative of County shall have access to any writings as defined above for the purposes of making audit, evaluation, examination, excerpts and transcripts during the period such records are to be maintained by Contractor. Further, County has the right at all reasonable times to audit, inspect or otherwise evaluate the work performed or being performed under this Agreement.

10. Confidentiality

The Contractor agrees to keep confidential all information obtained or learned during the course of furnishing services under this Agreement and to not disclose or reveal such information for any purpose not directly connected with the matter for which services are provided.

11. Nondiscrimination

11.1 Non-Discrimination. During the performance of this Agreement, Contractor and its officers, employees, agents, representatives or subcontractors shall not unlawfully discriminate in violation of any Federal, State or local law, rule or regulation against any employee, applicant for employment or person receiving services under this Agreement because of race, religious creed, color, national origin, ancestry, physical or mental disability including perception of disability, medical condition, genetic information, pregnancy related condition, marital status, gender/sex, sexual orientation, gender identity, gender expression, age (over 40), political affiliation or belief, or military and veteran status. Contractor and its officers, employees, agents, representatives or subcontractors shall comply with all applicable Federal, State and local laws and regulations related to non-discrimination and equal opportunity, including without limitation the County's non-discrimination policy; the Fair Employment and Housing Act (Government Code sections 12900 et seq.); California Labor Code sections 1101, and 1102; the Federal Civil Rights Act of 1964 (P.L. 88-352), as amended; and all applicable regulations promulgated in the California Code of Regulations or the Code of Federal Regulations.

11.2 Contractor shall include the non-discrimination and compliance provisions of this clause in all subcontracts to perform work under this Agreement.

11.3 Contractor shall provide a system by which recipients of service shall have the opportunity to express and have considered their views, grievances, and complaints regarding Contractor's delivery of services.

12. Assignment

This is an agreement for the services of Contractor. County has relied upon the skills, knowledge, experience and training of Contractor and the Contractor's firm, associates and employees as an inducement to enter into this Agreement. Contractor shall not assign or subcontract this Agreement without the express written consent of County. Further, Contractor shall not assign any monies due or to become due under this Agreement without the prior written consent of County.

13. Waiver of Default

Waiver of any default by either party to this Agreement shall not be deemed to be waiver of any subsequent default. Waiver or breach of any provision of this Agreement shall not be deemed to be a waiver of any other or subsequent breach, and shall not be construed to be a modification of the terms of this Agreement unless this Agreement is modified as provided below.

14. Notice

Any notice, communication, amendment, addition or deletion to this Agreement, including change of address of either party during the term of this Agreement, which Contractor or County shall be required or may desire to make shall be in writing and may be personally served or, alternatively, sent by prepaid first class mail to the respective parties as follows:

To County:

Stanislaus County Department of Aging &
Veterans Services
3500 Coffee Rd, Suite 19
Modesto, CA 95355

To Contractor:

Catholic Charities, Diocese of Stockton
1106 N. El Dorado St
Stockton, CA 95202

15. Conflicts

Contractor agrees that it has no interest and shall not acquire any interest direct or indirect which would conflict in any manner or degree with the performance of the work and services under this Agreement.

16. Severability

If any portion of this Agreement or application thereof to any person or circumstance shall be declared invalid by a court of competent jurisdiction or if it is found in contravention of any federal, state or county statute, ordinance or regulation the remaining provisions of this Agreement or the application thereof shall not be invalidated thereby and shall remain in full force and effect to the extent that the provisions of this Agreement are severable.

17. Amendment

This Agreement may be modified, amended, changed, added to or subtracted from by the mutual

consent of the parties hereto if such amendment or change is in written form and executed with the same formalities as this Agreement and attached to the original Agreement to maintain continuity.

18. Entire Agreement

This Agreement supersedes any and all other agreements, either oral or in writing, between any of the parties herein with respect to the subject matter hereof and contains all the agreements between the parties with respect to such matter. Each party acknowledges that no representations, inducements, promises or agreements, oral or otherwise, have been made by any party, or anyone acting on behalf of any party, which are not embodied herein, and that no other agreement, statement or promise not contained in this Agreement shall be valid or binding.

19. Advice of Attorney

Each party warrants and represents that in executing this Agreement, it has received independent legal advice from its attorneys or the opportunity to seek such advice.

20. Construction

Headings or captions to the provisions of this Agreement are solely for the convenience of the parties, are not part of this Agreement, and shall not be used to interpret or determine the validity of this Agreement. Any ambiguity in this Agreement shall not be construed against the drafter, but rather the terms and provisions hereof shall be given a reasonable interpretation as if both parties had in fact drafted this Agreement.


21. Governing Law and Venue

This Agreement shall be deemed to be made under, and shall be governed by and construed in accordance with, the laws of the State of California. Any action brought to enforce the terms or provisions of this Agreement shall have venue in the County of Stanislaus, State of California.

[SIGNATURES SET FORTH ON FOLLOWING PAGE]

IN WITNESS WHEREOF, the parties or their duly authorized representatives have executed this Agreement on the day and year first hereinabove written.

COUNTY OF STANISLAUS

By: 
Keith D. Boggs, Assistant Executive Officer
GSA Director/Purchasing Agent

CATHOLIC CHARITIES, DIOCESE OF STOCKTON

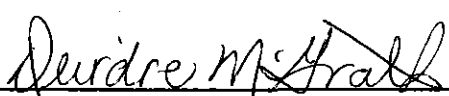
By: 
Elvira Ramirez
Executive Director

APPROVED: BOS Resolution # _____

APPROVED AS TO CONTENT:
Aging & Veterans Services Department

By: 
Margie Palomino
Director

APPROVED AS TO FORM:
John P. Doering, County Counsel

By: 
Deirdre McGrath, Deputy County Counsel

ARTICLE I. DEFINITIONS

A. DEFINITIONS SPECIFIC TO TITLE III AND TITLE VII PROGRAMS

1. **AAA and County** mean the Stanislaus County Area Agency on Aging and Stanislaus County interchangeably.
2. **Agreement or Contract** shall mean the Standard Agreement including exhibits A, B, C, D, and E, and an approved Budget, which is hereby incorporated by reference, amendments, and any other documents incorporated by reference, unless otherwise provided for in this Article.
3. **Contractor** means the Service Provider to which funds are awarded under this Agreement and which is accountable to the AAA, State and / or federal government for use of these funds and which is responsible for executing the provisions for services of this Agreement.
4. **Contractor's proposal**, including its modifications as agreed to by Contractor and the AAA, shall be part of this Agreement.
5. The **text** of the request for proposal and/or grant renewal application, including general program requirements and specific program requirements, as contained in the descriptive Scope of Work, shall be part of this Agreement.
6. The Contractor shall comply with all applicable written communication and other guidance issued by the AAA. In the event of conflict between the written communication and/or other AAA guidance and the provisions in this Agreement, the provisions in this contract shall prevail.
7. **CFR** means Code of Federal Regulations. **CCR** means California Code of Regulations. **GC** means Government Code. **W & I** means Welfare and Institutions Code. **USC** means United States Code. **PCC** means the Public Contract Code.
8. **Program Requirements** means Title III program requirements found in the Older Americans Act (OAA 42 USC Section 3001-3058), Code of Federal Regulations (45 CFR XIII, 1321); Title 22, California Code of Regulations (CCR), Section 7000 et seq., and Department Program Memoranda.
9. **Title III B (Supportive Services)** means a variety of services including, but not limited to: homemaker, case management, legal assistance, information and assistance, outreach, and long-term care ombudsman advocacy, as defined in the National Aging Programs Information Systems (NAPIS) categories and National Ombudsman Reporting System (NORS).

ARTICLE I. DEFINITIONS (Continued)

10. **Priority Services** means those services associated with access to services (transportation, outreach, information and assistance, and case management); in-home services including supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction, and legal assistance.
11. **Program Income** means revenue generated by the Contractor from contract-supported activities. Program income is:
 - a. Voluntary contributions received from a participant or responsible party as a result of services.
 - b. Income from usage or rental fees of real or personal property acquired with grant funds or funds provided under this Agreement.
 - c. Royalties received on patents and copyrights from contract-supported activities.
 - d. Proceeds from sale of items fabricated under a contract agreement.
12. **One-Time-Only** means:
 - a. Titles III and VII federal funds allocated to the Contractor in a State fiscal year that are not expended or encumbered for services and administration provided by June 30 of that fiscal year as reported to the AAA in the Financial Closeout Report. [22 CCR 7314(a)(6)]
 - b. Supplemental Title III and Title VII program funds allocated by the Administration on Aging to CDA as a result of the federal reallocation process. [22 CCR 7314(a)(8)]
13. **Indirect Costs** means costs incurred for a common or joint purpose benefiting more than one cost objective and not readily assignable to the cost objective specifically benefited, without effort disproportionate to the results achieved.
14. **Eligible Service Population** for Title III means any person 60 years of age or older, or the spouse of that person, is eligible to receive services under this Agreement. Although the program is especially designed to serve persons with the greatest economic or social need with particular attention to low income minority individuals and older individuals residing in rural areas, as established by the California Department of Aging, no means test shall be used to disqualify a person from receiving services. [OAA, Section 305 (a)(2)(E)] [Title 22, CCR, Sections 7125, 7127, 7130, and 7135].

ARTICLE I. DEFINITIONS (Continued)

15. **Advertising.** Contractor shall include the phrase "Funded by the Stanislaus County Area Agency on Aging" on any flyers, posters, or printed matter advertising services funded through Title III and Title VII of the Older Americans Act.

B. DEFINITIONS SPECIFIC TO TITLE VII (ALLOTMENTS FOR VULNERABLE ELDER RIGHTS PROTECTION ACTIVITIES-LONG TERM CARE OMBUDSMAN PROGRAMS)

1. **State Long-Term Care Ombudsman Program** means the California Department of Aging (CDA) program through which the functions and duties of the Office of the State Long Term Care Ombudsman (OSLTCO) are carried out, consisting of the State Ombudsman, OSLTCO headed by the State Ombudsman, and the representatives of the OSLTCO. [OAA 712(a) (1) (B)][45 CFR 1327.1][WIC 9700].
2. **Office of the State Long-Term Care Ombudsman (OSLTCO)** means the office established and operated by CDA to carry out the State Long-Term Care Ombudsman Program, both directly and by contract with the Area Agencies on Aging (AAAs). As a program of CDA, the Office is responsible for activities that promote the development, coordination, and utilization of Ombudsman services. The Office establishes and maintains effective communication with programs that provide legal services for the elderly and advocacy services of similar nature that receive funding or official designation from the state. The Office analyzes data, monitors government actions, and provides recommendations pertaining to long-term care facilities and services. The Office periodically updates training procedures for Local Ombudsman Programs and provides them with administrative and technical assistance [OAA 711 (1), 712(a) (1), 712(h); WIC 9710, 9716, 9717; 45 CFR 1324.1].
3. **State Long-Term Care Ombudsman** hereafter referred to as the **State Ombudsman** means the individual who heads the OSLTCO and is responsible to personally, or through representatives of the Office, fulfill the functions, responsibilities and duties set forth in 45 CFR 1324.1 [OAA 712(3), 712(a) (2),] [WIC 9701(f), 9711].
4. **Local Ombudsman Program** means either a program of the Area Agency on Aging, or its subcontractor, that is selected to carry out the duties of the State Long-Term Care Ombudsman Program with respect to the planning or service area. The selection is in accordance with policies and procedures established by the State Ombudsman and meets the State Ombudsman's criteria for designation and concurrence. [OAA 711(3), 712(a) (5) (A); WIC 9701(a)].

ARTICLE I. DEFINITIONS (Continued)

5. **Local Ombudsman Coordinator** means the individual selected by the Governing Board or Executive Director responsible for the Local Ombudsman Program to represent the Local Ombudsman Program and designated by the State Ombudsman to represent the Local Ombudsman Program and the Office of the State Long-Term Care Ombudsman. This individual manages the day-to-day operations of the Local Ombudsman Program, including implementation of federal and State requirements. [OAA 712(a)(5) (A), WIC 9701(d)]
6. **Ombudsman Representative** means the volunteer or employee of the Local Ombudsman Program who is individually certified by the State Ombudsman in accordance with policies and procedures established by the State Ombudsman to serve as the representative of the State Long-Term Care Ombudsman Program.[OAA 711(5), 712(a) (5) (A); WIC 9712.5] [45 CFR 1324.1]
7. **Eligible Service Population** means individuals who are residents of long-term care facilities (i.e. nursing, skilled nursing, distinct part facilities, residential care facilities for the elderly, and other adult care homes similar to these facilities) regardless of their socio-economic status or area of residence. [OAA 102(35), 321(a)(10); WIC 9701(b),(e)]
8. **Elder Abuse Prevention Programs** means activities to develop, strengthen, and carry out programs for the prevention, detection, assessment, and treatment of, intervention in, investigation of, and response to elder abuse, neglect, and exploitation (including financial exploitation) [OAA 721].

ARTICLE II. SCOPE OF WORK

- A. The Contractor shall perform the following for the Ombudsman Program:
 1. In consideration of the timely performance of the Contractor in a manner consistent with the law and this Agreement, including reporting requirements, the AAA shall pay the Contractor the amount not to exceed One Hundred One Thousand, Three Hundred Fifty Nine Dollars (101,359.00) for the Ombudsman Program in consideration for satisfactory performance as determined by the AAA. These funds are to be spent according to the budget contained in Contractor's project grant application approved by the AAA. The AAA shall pay the Contractor monthly after receiving and approving Contractor's monthly cash flow report and request for funds.
Contractor agrees to provide a cash/in-kind matching share in the amount of Six Thousand Three Hundred Sixty-One Dollars (\$6,361.00).

ARTICLE II. SCOPE OF WORK (Continued)

2. In consideration of the timely performance of the Contractor in a manner consistent with the law and this Agreement, including reporting requirements, the AAA shall pay the Contractor the total amount not to exceed Five Thousand Eight Hundred Sixteen Dollars (\$5,816.00) for the Elder Abuse Prevention Program in consideration for satisfactory performance as determined by the AAA. Contractor agrees to provide a cash/in-kind matching share in the amount of Six Hundred and Eighty-Five Dollars (\$685.00)
- B. The Contractor shall ensure that the Ombudsman Program, in accordance with policies and procedures established by the OSLTCO, will:
1. Provide services to protect the health, safety, welfare and rights of residents. [OAA 712(a)(5)(B)(i)].[45 CFR1324.19(a)(2)] [WIC 9701(a), 9712.5(b)]
 2. Ensure residents in the service area of the Local Ombudsman Program have regular, timely access to State Certified Ombudsman Representatives, and timely responses to complaints and requests for assistance. [OAA 712(a)(5)(B)(ii)].[45 CFR 1324.19(a)(3)] [WIC 9712.5(d)]
 3. Identify, investigate, and seek to resolve complaints made by or on behalf of residents that relate to action, inaction, or decisions, that may adversely affect the health, safety, welfare, or rights of the residents. Complaint investigations shall be done in an objective manner to ascertain the pertinent facts. Findings shall be reported to the complainant. If a complaint is not investigated; the complainant shall be notified in writing the decision not to investigate and the reasons for the decision. [OAA 712(a)(5)(B)(iii)] [45 CFR 1324.19(a)(1)] [WIC 9701(a), 9712.5 (a)].
 4. Identify, investigate, and seek to resolve complaints made by or on behalf of residents with limited or no decision-making capacity and who have no legal representative. If such a resident is unable to communicate consent to the Ombudsman representative, the Ombudsman representative shall seek evidence to indicate what outcome the resident would have communicated. In absence of evidence to the contrary, the Ombudsman representative shall assume that the resident wishes to have the resident's health, safety, welfare, and rights protected and work to accomplish that outcome. [OAA 712(a)(5)(B)(vii); 45 CFR 1324.19(b)(2)(iii)]
 5. Receive and investigate reports of suspected abuse, neglect and exploitation of elder or dependent adults occurring in long-term care facilities as defined in the WIC 15630. [WIC15630et seq.]

ARTICLE II. SCOPE OF WORK (Continued)

6. Witness advance health care directives and property transfers of more than \$100 for residents of skilled nursing facilities. [HSC 1289, PC 4675, PC 4700 et seq.].
7. Collect and submit data in accordance with the statewide uniform reporting system established by the State Ombudsman and the reporting provisions specified in **Exhibit E** of this contract. [OAA 712(c)] [WIC 9716 (a)]
8. Represent the interests of residents before governmental agencies and seek administrative, legal, and other remedies to protect the health, safety, welfare and rights of the residents. [OAA 712(a)(5)(B)(iv)] [45 CFR1324.19 (a)(4)] [WIC 9712.5(e)]
9. Review, comment, and facilitate the ability of the public to comment on laws, regulations, policies, actions, and legislative bills that pertain to the rights and well-being of residents. [OAA 712(a)(5)(B)(v)] [45CFR 1324.19 (a)(5)][WIC 9712.5 (g)(i)]
10. Support, actively encourage, and assist in the development of resident and family councils. [OAA 712(a)(5) (B)(vi)] [45CFR 1324.19 (a)(6)][WIC 9726.1(a)(3)]
11. Carry out other activities that the State Ombudsman determines to be appropriate, including periodic updating of a plan for maintaining an ongoing presence in long-term care facilities. [OAA 712(a)(B)(viii)] [45 CFR1324.19 (a)(7)]
 - a. Provide public information and technical support pertaining to long-term care services, including inspection reports, statements of deficiency, and plans of correction for long-term care facilities within the service area [WIC 9726.1(a)].
 - b. Promote visitation programs and other community involvement in long-term care facilities within the service area. [WIC 9726.1(a)(2), (4)]
 - c. Establish (in addition to support) resident, family and friends' councils. [WIC 9726.1(a)(3)].
 - d. Present community education and training programs to long-term care facility staff, human service workers, families and the general public about long-term care and residents' rights. [WIC 9726.1(a)(5)].
 - e. Refer other individuals' complaints and concerns that a representative becomes aware are occurring in the facility to the appropriate governmental agency. [WIC 9712.5 (a)(2)].

ARTICLE II. SCOPE OF WORK (Continued)

- C. The Contractor shall ensure that, in accordance with policies and procedures established by the State Ombudsman, will:
1. Use Citation Penalties Account funds, Licensing and Certification Program funds, Skilled Nursing Facility Quality and Accountability funds, Older Americans Act funds, and Older Californians Act funds to support activities for the overall program.
 2. Review and approve claims for Citation Penalties Account funds, Licensing and Certification Program funds, Skilled Nursing Facility Quality and Accountability funds, Older Americans Act funds, and Older Californians Act funds.
 3. Submit monthly fiscal documents to CDA and the AAA, as determined by the CDA, for Citation Penalties Account funds, Licensing and Certification Program funds, Skilled Nursing Facility Quality and Accountability funds, Older Americans Act funds, and Older Californians Act funds.
- D. The Contractor shall ensure that the Elder Abuse Prevention program shall do some or all of the following [OAA 721]:
1. Provide public education and outreach to identify and prevent elder abuse, neglect, and exploitation;
 2. Provide for public education and outreach to promote financial literacy and prevent identity theft and financial exploitation of older individuals;
 3. Ensure the coordination of services provided by the Contractor with services instituted under the State adult protective service program, State and local law enforcement systems, and courts of competent jurisdiction;
 4. Promote the development of information and data systems, including elder abuse reporting systems, to quantify the extent of elder abuse, neglect, and exploitation in the PSA;
 5. Conduct analyses of local Adult Protective Services and Long-Term Care Ombudsman information concerning elder abuse, neglect, and exploitation and identifying unmet service, enforcement, or intervention needs;
 6. Conduct training for individuals, including caregivers described in Part E of Title III, professionals, and paraprofessionals, in relevant fields on the identification, prevention, and treatment of elder abuse, neglect, and exploitation, with particular focus on prevention and enhancement of self-determination and autonomy;

ARTICLE II. SCOPE OF WORK (Continued)

7. Provide technical assistance to programs that provide or have the potential to provide services for victims of elder abuse, neglect, and exploitation and for family members of the victims; and
8. Conduct special and on-going training, for individuals involved in serving victims of elder abuse, neglect, and exploitation, on the topics of self-determination, individual rights, State and federal requirements concerning confidentiality, and other topics determined by CDA to be appropriate.

D. Units of Service

1. *Cases Closed: Activities related to receiving, verifying, investigating, and resolving complaints. A count of the number of cases received by the Ombudsman, which have progressed to conclusion. Unit of Service: One case closed. Goal: 500 cases per year.*
2. *Training Sessions: A count of the number of training sessions and the number of hours of training per fiscal year. This will include the 12-hour required annual training for all active Ombudsmen. Unit of Service: One session and one hour of training. Goal: 16 sessions and 32 hours per year.*
3. *Trainees Certified and Active: A count of the number of volunteers and the staff trained and certified as Ombudsman. Unit of Service: One trainee. Goal: 35 trainees per year.*
4. *Visits to Skilled Nursing Facilities (SNF) and Residential Care Facilities (RCFE): An unduplicated count of visits to registered SNFs and RCFEs in this service area. Unit of Service: One visit Goal: 20 visits to SNFs and 85 visits to RCFEs per quarter.*
5. *Volunteer Recruitment: A count of the number of new Ombudsmen recruited, trained, and ready to respond to complaints by residents, families, and staff. Unit of Service: One recruit. Goal: 10 new volunteers, and a total of 35 active volunteers.*
6. *Elder Abuse Prevention: The Contractor will provide Public Education and Training Sessions for Professionals to increase awareness of the crime of Elder Abuse and ways to prevent it. Unit of Service: One hour. Goal: 100 hours.*

ARTICLE I. FUNDS

A. Expenditure of Funds

1. The Contractor shall expend all funds received hereunder in accordance with this Agreement.
2. Funds made available for Ombudsman expansion of volunteer recruitment activities in the Budget Act shall be used by the Contractor to expand the Long-Term Care Ombudsman Program and shall not be used for activities of any other programs.
3. The Area Agency on Aging (AAA) reserves the right to refuse payment to the Contractor or disallow costs for any expenditure, as determined by the AAA to be: out of compliance with this Agreement, unrelated or inappropriate to contract activities, when adequate supporting documentation is not presented, or where prior approval was required but was either not requested or not granted.

B. Accountability for Funds

1. The Contractor shall maintain accounting records for funds received under the terms and conditions of this Agreement. These records shall be separate from those for any other funds administered by the Contractor, and shall be maintained in accordance with Generally Accepted Accounting Principles and Procedures and the Office of Management and Budget's [2 CFR, Part 200], Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards.
2. The Contractor shall meet the following standards for its financial management systems, as stipulated in 2 CFR 200.302 and 45 CFR 75.302:
 - a. Financial Reporting.
 - b. Accounting Records.
 - c. Internal Control.
 - d. Budgetary Control.
 - e. Allowable Costs.
 - f. Source Documentation.
 - g. Cash Management
 - h. Complete Disclosure

C. Unexpended Funds

Upon termination, cancellation, or expiration of this Agreement, or dissolution of the entity, the Contractor shall return to the AAA immediately upon written demand, any funds provided under this Agreement, which are not payable for

ARTICLE I. FUNDS (Continued)

goods or services delivered prior to the termination, cancellation, or expiration of this Agreement, or the dissolution of the entity.

D. Availability of Funds

1. It is understood between the parties that this Agreement may have been written before ascertaining the availability of appropriation of funds, for the mutual benefit of both parties, in order to avoid program and fiscal delays that would occur if this Agreement were executed after that determination was made.
2. This Agreement is valid and enforceable only if sufficient funds are made available to the State by the United States Government or the Budget Acts of the appropriate fiscal years for the purpose of this program. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by the Congress or to any statute enacted by the Congress that may affect the provisions, terms, or funding of this Agreement in any manner.

3. Limitation of State Liability

Payment for performance by the Contractor shall be dependent upon the availability of future appropriations by the Legislature or Congress for the purposes of this contract and approval of a Budget. No legal liability on the part of the AAA for any payment may arise under this contract until funds are made available, the itemized budget is received and approved by the AAA, and the Contractor has received an executed contract.

4. Funding Reduction(s)

- a. If funding for any State fiscal year is reduced or deleted by the Legislature, or Congress for the purposes of this program, the AAA shall have the option to either:
 - Terminate the Contract pursuant to **Exhibit D, Article XI, A.**
 - Offer a contract amendment to the Contractor to reflect the reduced funding for this contract.
- b. In the event that the AAA elects to offer an amendment, it shall be mutually understood by both parties that (1) the AAA reserves the right to determine which services, if any, under this program shall be reduced and (2) some programs may be reduced by a greater amount than others, and (3) that the AAA shall determine at its

ARTICLE I. FUNDS (Continued)

sole discretion the amount that the contract shall be reduced for the fiscal year.

E. Interest Earned

1. Contractor may keep interest amounts earned on advances of federal funds up to \$500 per year for Local Government Agencies and non-profit organizations for administrative expenses.[2 CFR 200.305(b)(9)] [45 CFR 75.305(b)(9)]
2. Interest earned on advances of federal and non-federal funds shall be identified as non-match cash. [2 CFR 200.305(b)(8)] [45 CFR 75.305(b)(8)]
3. The non-Federal entity must maintain advance payments of Federal awards in interest bearing accounts, unless (a), (b), or (c) apply. [2 CFR 200.305 (b)(8)] [45 CFR 75.305 (b)(8)]
 - a. The Contractor receives less than \$120,000 in Federal awards per year.
 - b. The best reasonably available interest bearing account would not be expected to earn interest in excess of \$500 per year on Federal cash balances.
 - c. The depository would require an average or minimum balance so high that it would not be feasible within the expected Federal and non-Federal cash resources.

ARTICLE II. BUDGET AND BUDGET REVISION

- A. The Contractor shall be compensated for expenses only as itemized in the approved Budget and shall not be entitled to payment for these expenses until the Budget is reviewed and approved by the AAA. The approved Budget is hereby incorporated by reference into this Agreement as a part of **Exhibit C**.
- B. The Budget must set forth in detail the reimbursable items, unit rates and extended total amounts for each line item. The Contractor's budget shall include, at a minimum, the following items when reimbursable under this Agreement:
 1. Personnel Costs-monthly, weekly, or hourly rates, as appropriate and personnel classifications together with the percentage of time to be charged to this Agreement.
 2. Fringe Benefits.

ARTICLE II. BUDGET AND BUDGET REVISION (Continued)

3. Contractual Costs-subcontract and consultant cost detail.
 4. Indirect Costs.
 5. Rent-specify square footage and rate.
 6. Supplies.
 7. Equipment-detailed descriptions and unit costs.
 8. In State Travel-mileage reimbursement rate, lodging, per diem and other costs.
 9. Out of State Travel-any travel outside the State of California including mileage reimbursement rate, lodging, per diem and other costs.
- C. The Contractor shall electronically submit the original Budget.
- D. The Contractor shall electronically submit a budget revision 30 days after receiving an amended Budget with changes in funding levels, unless otherwise instructed by the AAA.
- E. Matching Requirements
1. The required program matching contributions for Title III is 10%.
 2. Minimum matching requirements are calculated on net costs, which are total costs less program income, non-matching contributions, and State funds.
 3. Matching contributions generated in excess of the minimum required are considered overmatch.
- F. Indirect Costs
1. The maximum reimbursement amount allowable for indirect costs is 10% of Contractor's direct costs, excluding in-kind contributions and nonexpendable equipment, unless there is an accepted negotiated rate accepted by all Federal awarding agencies. [2 CFR 200.414(c)(1),(f)] [45 CFR 75.414(c)(1),(f)].
 2. Contractors requesting reimbursement for indirect costs shall retain on file an approved indirect cost rate or an allocation plan documenting the methodology used to determine the indirect costs.

ARTICLE II. BUDGET AND BUDGET REVISION (Continued)

3. Indirect costs exceeding the 10% maximum may be budgeted as in-kind and used to meet the minimum matching requirements.

ARTICLE III. PROGRAM INCOME

A. Program Income

1. Program Income must be reported and expended under the same terms and conditions as the program funds from which it is generated.
2. Program Income must be used to pay for current allowable costs of the program in the same fiscal year that the income was earned (except as noted in 4).
3. Program Income must be spent before contract funds (except as noted in 4) and may reduce the total amount of contract funds payable to the Contractor.
4. If Program Income is earned in excess of the amount reported in the Budget, the excess amount may be deferred for use in the first quarter of the following contract period. If Program Income is deferred for use it must be used by the last day of the Federal fiscal year and reported when used.
5. Program Income may not be used to meet the matching requirements of this Agreement.
6. Program Income must be used to expand services.

B. One-Time-Only (OTO) Funds

1. OTO funds are non-transferable between funding sources. This means that OTO funds can only be used in the program in which it was accrued.
2. Titles III and VII federal Program One-Time-Only funds shall be used for the following purposes:
 - a. The purchase of equipment that enhances the delivery of services to the eligible service population must be an allowable cost of the program.
 - b. Home and community-based projects that are approved in advance by the Department, and are designed to address the unmet needs of the eligible service population identified in the Area Plan.

ARTICLE III. PROGRAM INCOME (Continued)

- c. Innovative pilot projects that are approved in advance by the Department, and are designed for the development or enhancement of a comprehensive and coordinated system of services as defined in [45CFR 1321.53(a) & (b).]
- d. Baseline services. OTO funds can be used to maintain or increase baseline services. However, AAAs shall assure that services funded with OTO funds will not create an expectation of service delivery beyond the current contract period. Expenditures for baseline services do not require advance Department approval.

C. Matching Contributions

Matching Contributions mean local cash and/or in-kind contributions by the Contractor, or other local resources that qualify as match for the contract funding.

1. Cash and/or in-kind contributions may count as match, if such contributions are used to meet program requirements.
2. Any matching contributions (cash or in-kind) must be verifiable from the records of the Contractor.
3. Matching contributions must be used for allowable costs in accordance with the Office of Management and Budget (OMB) circulars.

ARTICLE IV. PAYMENTS

- A. The Contractor shall prepare and submit by the 15th of each month to the AAA, in electronic format, an Expenditure and Request for Funds Data file, unless otherwise specified by the AAA.
- B. The AAA shall review requests for payment to ensure compliance with the approved Budget.
- C. The AAA may require financial reports more frequently than indicated above or with more detail (or both), upon written notice to the Contractor, until such time as the AAA determines that the financial management standards are met.

ARTICLE V. CLOSEOUT

- A. No later than forty-five (45) days after the ending date of this Agreement, Contractor shall provide the AAA with a Closeout Report of funds which have remained unexpended at the ending date of the grant. Upon termination or expiration of this Agreement, upon written demand, Contractor shall immediately return to AAA any unencumbered funds received under this Agreement.

ARTICLE V. CLOSEOUT (Continued)

- B. Federal funds will be reduced proportionately to maintain the required matching ratios if a Contractor fails to report sufficient match in the Closeout Report.

ARTICLE I. RESOLUTIONS OF LANGUAGE CONFLICTS

A. Resolution of Language Conflicts

The terms and conditions of this federal Award and other requirements have the following order of precedence if there is any conflict in what they require:

1. The Older Americans Act Amendments of 2006 (OAA as amended);
2. Other applicable Federal statutes and their implementing regulations;
3. Older Californians Act;
4. Title 22 CCR § 7000 et. seq.;
5. This Standard Agreement with **Exhibits (A-E)**, and any amendments thereto; (to the extent that there is conflict between **Exhibit A and Exhibits B-E**, the more restrictive language will prevail)
6. Any other documents incorporated herein by reference;
7. Program memos and other guidance issued by the Department.

ARTICLE II. ASSURANCES

A. Law, Policy and Procedure, Licenses, and Certificates

The Contractor agrees to administer this Agreement in accordance with all applicable local, State, and federal laws and regulations including, but not limited to, discrimination, wages and hours of employment, occupational safety, and to fire, safety, health, and sanitation regulations, directives, guidelines, and/or manuals related to this Agreement and resolve all issues using good administrative practices and sound judgment. The Contractor shall keep in effect all licenses, permits, notices, and certificates that are required by law.

B. Nondiscrimination

The Contractor shall comply with all federal statutes relating to nondiscrimination. These include those statutes and laws contained in the Contractor Certification Clauses (CCC307) which is hereby incorporated by reference. In addition, Contractor shall comply with the following:

1. Equal Access to Federally-Funded Benefits, Programs and Activities
Contractor shall ensure compliance et seq. with Title VI of the Civil Rights Act of 1964 (42 U.S.C. Section 2000d; 45 C.F.R. Part 80), which prohibits recipients of federal financial assistance from discriminating against persons based on race, color, religion, or national origin.
2. Equal Access to State-Funded Benefits, Programs and Activities
Contractor shall, unless exempted, ensure compliance with the requirements of Cal. Government Code 11135 et seq., and 2 CCR section 11140 et seq., which prohibit recipients of state financial assistance from discriminating against persons based on race, national origin, ethnic

ARTICLE II. ASSURANCES (Continued)

group identification, religion, age, sex, sexual orientation, color, or disability. (22 CCR 98323)

3. California Civil Rights Laws

The contractor shall ensure compliance with the requirements of California Public Contract Code 2010 by submitting a completed California Civil Rights Laws Certification prior to execution of this Agreement. The certificate is available at: <http://www.dgs.ca.gov/ols/Forms.aspx>.

The California Civil Rights Laws Certification ensures Contractor compliance with the Unruh Civil Rights Act (Cal. Civ. Code 51) and the Fair Employment and Housing Act (Cal. Gov. Code 12960), and ensures that Contractor internal policies are not used in violation of California Civil Rights Laws.

4. Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. Sections 12101 et seq.).

C. Standards of Work

The Contractor agrees that the performance of work and services pursuant to the requirements of this Agreement shall conform to accepted professional standards.

D. Conflict of Interest

1. The Contractor shall prevent employees, consultants, or members of governing bodies from using their positions for purposes that are, or give the appearance of being, motivated by a desire for private gain for themselves or others, such as family, business, or other ties. In the event that the State determines that a conflict of interest exists, funds may be disallowed by the State and such conflict may constitute grounds for termination of the Agreement.
2. This provision shall not be construed to prohibit employment of persons with whom the Contractor's officers, agents, or employees have family, business, or other ties, so long as the employment of such persons does not result in a conflict of interest (real or apparent) or increased costs over those associated with the employment of any other equally qualified applicant, and such persons have successfully competed for employment with the other applicants on a merit basis.

ARTICLE II. ASSURANCES (Continued)

E. Covenant Against Contingent Fees

1. The Contractor warrants that no person or selling agency has been employed or retained to solicit this Agreement. There has been no agreement to make commission payments in order to obtain this Agreement.
2. For breach or violation of this warranty, the AAA shall have the right to terminate this Agreement without liability or at its discretion to deduct from the Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingency fee.

F. Payroll Taxes and Deductions

The Contractor shall promptly forward payroll taxes, insurances, and contributions, including State Disability Insurance, Unemployment Insurance, Old Age Survivors Disability Insurance, and federal and State income taxes withheld, to designated governmental agencies.

G. Contracts in Excess of \$100,000

If all funding provided herein exceeds \$100,000, the Contractor shall comply with all applicable orders or requirements issued under the following laws:

1. Clean Air Act, as amended (42 USC 1857).
2. Federal Water Pollution Control Act, as amended (33 USC 1251, et seq.).
3. Environmental Protection Agency Regulations (40 CFR, Part 15 and Executive Order 11738).

H. Debarment, Suspension, and Other Responsibility Matters

1. The Contractor certifies to the best of its knowledge and belief, that it:
 - a. Is not presently debarred, suspended, proposed for disbarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
 - b. Has not within a three-year period preceding this Agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction;

ARTICLE II. ASSURANCES (Continued)

violation of federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- c. Is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- d. Has not within a three-year period preceding this Agreement had one or more public transactions (federal, State, or local) terminated for cause or default.
- e. Contractor shall report immediately to the AAA in writing any incidents of alleged fraud and/or abuse by Contractor. Contractor shall maintain any records, documents, or other evidence of fraud and abuse until otherwise notified by the AAA.

I. Contractor's Staff

- 1. The Contractor shall maintain adequate staff to meet the contractor's obligations under this Agreement.
- 2. This staff shall be available to the AAA for training and meetings which the AAA may find necessary from time to time.

J. Corporate Status

- 1. The Contractor shall be a public or private nonprofit entity. If a private nonprofit corporation, the Contractor shall be in good standing with the Secretary of State of California and shall maintain that status throughout the term of the Agreement.
- 2. Failure to maintain good standing by the contracting corporation shall result in suspension or termination of this Agreement with the AAA until satisfactory status is restored.

K. Lobbying Certification

The Contractor, by signing this Agreement, hereby 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 Contractor, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress,

ARTICLE II. ASSURANCES (Continued)

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 federal 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. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. This certification is a prerequisite for making or entering into this transaction imposed by 31 USC 1352. 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.
- L. The Contractor shall comply with Governor's Executive Order 2-18-2011, which bans expenditures on promotional and marketing items colloquially known as "S.W.A.G." or "Stuff We All Get."

ARTICLE III. AGREEMENT

A copy of this Agreement is on file and available for inspection at the Stanislaus County Area Agency on Aging, 3500 Coffee Rd, Suite 19, Modesto, California, 95355.

ARTICLE IV. COMMENCEMENT OF WORK

Should the Contractor begin work in advance of receiving notice that this Agreement is approved, that work may be considered as having been performed at Contractor's risk as a mere volunteer and may not be reimbursed or compensated.

ARTICLE V. VENDOR AGREEMENTS

The Contractor shall indemnify, defend, and save harmless the County, its officers, agents, and employees from any and all claims and losses accruing to or resulting from any vendors, suppliers, laborers, and any other person, firm, or corporation furnishing or supplying work services, materials, or supplies in connection with any activities performed for which funds from this Agreement

ARTICLE V. VENDOR AGREEMENTS (Continued)

were used and from any and all claims and losses accruing or resulting to any person, firm, or corporation who may be injured or damaged by the vendor in the performance of this Agreement.

ARTICLE VI. RECORDS

- A. The Contractor shall maintain complete records (which shall include, but not be limited to, accounting records, insurance documentation in accordance with this Article, patient or client records, and electronic files) of its activities and expenditures hereunder in a form satisfactory to the AAA and shall make all records pertaining to this Agreement available for inspection and audit by the AAA or its duly authorized agents, at any time during normal business hours. All such records, including confidential records, must be maintained and made available by the Contractor: (a) until an audit has occurred and an audit resolution has been issued or unless otherwise authorized in writing by the California Department of Aging (CDA) and AAA's Audit Branches, (b) for such longer period, if any, as is required by applicable statute, by any other clause of this Agreement, or by Sections B, and C of this Article, and (c) for such longer period as the AAA and CDA deems necessary.
- B. If this Agreement is completely or partially terminated, the records relating to the work terminated shall be preserved and made available for the same periods as specified in Section A above. The Contractor shall ensure that any resource directories and all client records remain the property of the AAA upon termination of this Agreement, and are returned to the AAA or transferred to another Contractor as instructed by the AAA.
- C. In the event of any litigation, claim, negotiation, audit exception, or other action involving the records, all records relative to such action shall be maintained and made available until every action has been cleared to the satisfaction of the AAA and CDA, and so stated in writing to the Contractor.
- D. Adequate source documentation of each transaction shall be maintained relative to the allowability of expenditures reimbursed by the AAA under this Agreement. If the allowability of expenditures cannot be determined because records or documentation of the Contractor are nonexistent or inadequate according to guidelines set forth in 2CFR 200.302 and 45 CFR 75.302, the expenditures will be questioned in the audit and may be disallowed by the AAA and/or CDA during the audit resolution process.
- E. All records containing confidential information shall be handled in a confidential manner in accordance with the requirements for information integrity and security, and in accordance with guidelines set forth in this Article, and Article XVII. After the authorized period has expired, confidential records shall be shredded and disposed of in a manner that will maintain confidentiality.

ARTICLE VII. PROPERTY

- A. Unless otherwise provided for in this Article, property refers to all assets used in operation of this Agreement. Property includes land, buildings, improvements, machinery, vehicles, furniture, tools, and intangibles, etc. Property does not include consumable office supplies such as paper, pencils, file folders, etc.
- B. Property acquired under this agreement, which meets any of the following criteria are subject to the reporting requirements. Such property must:
1. Have a normal useful life of at least 1 year and has a unit acquisition cost of at least 500 (a desktop or laptop setup, is consider a unit, if purchased as a unit).
 2. All computing devices, regardless of cost (including but not limited to, workstations, servers, laptops, personal digital assistants, notebook computers, tablets, smartphones and cellphones).
 3. All portable electronic storage media, regardless of cost (including but not limited to, thumb/flash drives and portable hard drives).
- C. Additions, improvements, and betterments to assets meeting all of the conditions in Section B above must also be reported. Additions typically involve physical extensions of existing units. Improvements and betterments typically do not increase the physical size of the asset. Instead, improvements and betterments enhance the condition of an asset (e.g., extend life, increase service capacity, and lower operating costs). Examples of assets that might be improved and bettered include roads, bridges, curbs and gutters, tunnels, parking lots, streets and sidewalks, drainage, and lighting systems.
- D. 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.
- E. The Contractor shall record the following information when property is acquired:
1. Date acquired;
 2. Item description (include model number);
 3. Item identification number (serial number);

ARTICLE VII. PROPERTY (Continued)

4. Cost or other basis of valuation;
5. Fund source; and
6. Rate of depreciation (or depreciation schedule), if applicable.

The Contractor shall keep track of property purchased with Contract funds, and submit to the AAA a Property Acquisition form (CDA 9023) for all property furnished or purchased with funds awarded under the terms of this Agreement. The Contractor shall certify their reported property inventory annually with the Closeout, by completing the Program Property Inventory Certification (CDA 9024).

F. Disposal of Property

1. Prior to disposal of any property purchased by the Contractor with funds from this Agreement, the Contractor must obtain approval from the AAA for all reportable property as define in Section B of this Article. Disposition, which includes sale, trade-in, discarding, or transfer to another agency may not occur until approval is received from the AAA. The Contractor shall email to the AAA the electronic version of the Request to Dispose of Property (CDA 248). The AAA will then instruct the Contractor on disposition of the property. Once approval for disposal has been received from the AAA, the item(s) shall be removed from the Contractor's inventory report.
2. The Contractor must remove all confidential, sensitive, or personal information from AAA property prior to disposal, including removal of destruction of data on computing devises with digital memory and storage capacity. This includes, but is not limited to magnetic tapes, flash drives, personal computers, personal digital assistants, cell or smart phones, multi-function printers, and laptops.

G. Any loss, damage, or theft of equipment shall be investigated, fully documented and the Contractor shall promptly notify the AAA.

H. The AAA 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. 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

ARTICLE VII. PROPERTY (Continued)

project, until the Contractor has complied with all written instructions from the AAA 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 AAA. The AAA reserves the right to require the Contractor to transfer such property to another entity, or to the AAA.
- K. To exercise the above right, no later than 120 days after termination of the Agreement or notification of the Contractor's dissolution the AAA will issue specific written disposition instructions to the Contractor.
- L. 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 AAA for other purposes in this order:
 - 1. Another Department program providing the same or similar service; or
 - 2. Another Department-funded program.
- M. The Contractor may share use of the property and equipment or allow use by other programs, upon written approval of the AAA. As a condition of the approval, the AAA may require reimbursement under this Agreement for its use.
- N. 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.
- O. If purchase of equipment is a reimbursable item, the equipment to be purchased will be specified in the budget.

ARTICLE VIII. ACCESS

The Contractor shall provide access to the federal or State agency, Bureau of State Audits, the Controller General of the United States, or any of their duly authorized federal or State representatives to any books, documents, papers, records, and electronic files of the Contractor which are directly pertinent to this specific Agreement for the purpose of audit, examination, excerpts, and transcriptions.

ARTICLE IX. MONITORING, ASSESSMENT, AND EVALUATION

- A. Authorized AAA representatives shall have the right to monitor, assess, and evaluate the Contractor's administrative, fiscal, and program performance pursuant to this Agreement. Said monitoring, assessment, and evaluation may

ARTICLE IX. MONITORING, ASSESSMENT, AND EVALUATION (Continued)

include, but is not limited to, administrative processes, fiscal, data and procurement components. This will include policies, procedures, procurement, audits, inspections of project premises, and interviews of project staff and participants.

- B. The Contractor shall cooperate with the AAA in the monitoring, assessment, and evaluation processes, which include making any Administrative program and fiscal staff available during any scheduled process.
- C. The Contractor is responsible for maintaining supporting documentation including financial and statistical records, contracts, subcontracts, monitoring reports, and all other pertinent records until an audit has occurred and an audit resolution has been issued or unless otherwise authorized in writing by CDA.

ARTICLE X. AUDITS

- A. Contractors that expend \$750,000 or more in Federal Awards shall arrange for an audit to be performed as required by the Single Audit Act of 1984; Public Law 98-502; Single Audit Act Amendments of 1996; Public Law 104-156; 2CFR 200.501 to 200.521; and 45CFR 75.501 to 75.521, and a copy submitted to the:

Stanislaus County Area Agency on Aging
Attention: Fiscal Officer
3500 Coffee Rd, Suite 19
Modesto, CA 95355

The copy shall be submitted within the earlier of 30 days after receipt of the auditor's report or nine months after the end of the audit period, unless a longer period is agreed to in advance by the cognizant or oversight agency. The contractor shall ensure that State-Funded expenditures are displayed discreetly along with the related federal expenditures in the single audit report's "Schedule of Expenditures of Federal Awards" (SEFA) under the Catalog of Federal Domestic Assistance (CFDA).

- B. This section B applies only to Title III/VII.

The following closely related programs identified by CFDA number are to be considered as an "Other Cluster" for purposes of determining major program whether a program specific audit may be elected. The contractor shall communicate this information to the independent auditor conducting the organization's single audit.

93.041	Special Programs for the Aging-Title VII-A, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation (Title VII-A, Chapter 3)
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ARTICLE X. AUDITS (Continued)

93.042 Special Programs for the Aging-Title III-B/VII-A,
Chapter 2-Long Term Care Ombudsman services for
Older Individuals (Title III-B/VII-A, Chapter 2)

Cluster of programs means a grouping of closely-related programs that share common compliance requirements. "Other Clusters" are as defined by the OMB in the Compliance Supplement or as designated by a State for federal awards the State provides to its sub-recipients that meet the definition of cluster of programs. When designating an "other cluster," a State shall identify the federal awards included in the cluster and advise the sub-recipients of compliance requirements applicable to the cluster, consistent with §400 (d) (1) and §.400 (d) (2), respectively. A cluster of programs shall be considered as one program for determining major programs, as described in §.520, and, with the exception of R&D as described in §.200(c), whether a program-specific audit may be elected. (Federal Office of Management and Budget, (OMB) Circular, A-133, Audits of States, Local Governments, and Non-Profit Organizations).

- C. The Contractor shall ensure that the single audit reports meet 2 CFR Part 200, Subpart F Audit Requirements requirements:
1. Performed timely – not less frequently than annually and a report submitted timely. The audit is required to be submitted within 30 days after receipt of the auditor's report or nine months after the end of the audit period, whichever occurs first. [2CFR 200.512]
 2. Properly procured – use procurement standards for auditor selection. [2CFR 200.509]
 3. Performed in accordance with Generally Accepted Government Auditing Standards. [2CFR 200.514]
 4. All inclusive – includes an opinion (or disclaimer of opinion) of the financial statements; a report on internal control related to the financial statements and major programs; an opinion (or disclaimer of opinion) on compliance with laws, regulations, and the provisions of contracts or grant agreements; and the schedule of findings and questioned costs. [2 CFR 200.515]
 5. Performed in accordance with provisions applicable to this program as identified in 2 CFR Part 200, Subpart F Audit Requirements.
- D. The Contractor shall include in its contract with the independent auditor that the auditor will comply with all applicable audit requirements/standards, the AAA and CDA shall have access to all audit reports and supporting work papers, and the AAA and CDA has the option to perform additional work, as needed.

ARTICLE X. AUDITS (Continued)

- E. A reasonably proportionate share of the costs of audits required by, and performed in accordance with, the Single Audit Act Amendments of 1996, as implemented by requirements of this part, are allowable. However, the following audit costs are unallowable:
1. Any costs when audits required by the Single Audit Act and 2 CFR Part 200, Subpart F Audit Requirements have not been conducted or have been conducted but not in accordance therewith; and
 2. Any costs of auditing a non-Federal entity that is exempted from having an audit conducted under the Single Audit Act and 2 CFR Part 200, Subpart F Audit Requirements because its expenditures under Federal awards are less than \$750,000 during the non Federal entity's fiscal year.
 - a. The costs of a financial statement audit of a non-Federal entity that does not currently have a Federal award may be included in the indirect cost pool for a cost allocation plan or indirect cost proposal.
 - b. Pass-through entities may charge Federal awards for the cost of agreed-upon-procedures engagements to monitor sub-recipient who are exempted from the requirements of the Single Audit Act and 2 CFR Part 200, Subpart F Audit Requirements. This cost is allowable only if the agreed-upon-procedures engagements are conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS) attestation standards; paid for and arranged by the pass-through entity; and limited in scope to one or more of the following types of compliance requirements: activities allowed or unallowed; allowable costs/cost principles; eligibility; and reporting. [2 CFR 200.425]

ARTICLE XI. TERMINATION

A. Termination Without Cause

The AAA may terminate performance of work under this Agreement without cause in whole or in part, if the AAA determines that a termination is in the AAA's best interest. The AAA may terminate the Agreement upon 90 days written notice to the Contractor. The Notice of Termination shall specify the extent of the termination and shall be effective 90 days from the delivery of the Notice of Termination. The parties agree that if the termination of the Contract is due to a reduction or deletion of funding by the Department of Finance (DOL), Legislature or Congress, the Notice of Termination shall be effective thirty (30) days from the delivery of the Notice. The parties agree that for the terminated portion of the Agreement, the remainder of Agreement shall be deemed to remain in effect and is not void.

ARTICLE XI. TERMINATION (Continued)

The Contractor shall submit to the AAA a Transition Plan as specified in **ARTICLE XII**, below.

B. Termination for Cause

The AAA may terminate for cause, in whole or in part, the performance of work under this Agreement. The AAA may terminate the Agreement upon 30 days written notice to the Contractor. The Notice of Termination shall be effective 30 days from the delivery of the Notice of Termination unless the ground for termination is due to threat to life, health or safety of the public and in that case the termination shall take effect immediately. The grounds for termination for cause shall include but not limited to the following:

1. In case of threat of life, health or safety of the public. (Termination of Agreement shall be effective immediately.)
2. A violation of the law or failure to comply with any condition of this Agreement.
3. Inadequate performance or failure to make progress so as to endanger performance of this Agreement.
4. Failure to comply with reporting requirements.
5. Evidence that the Contractor is in an unsatisfactory financial condition as determined by an audit of the AAA or evidence of a financial condition that endangers performance of this Agreement and/or the loss of other funding sources.
6. Delinquency in payment of taxes or payment of costs for performance of this Agreement in the ordinary course of business.
7. Appointment of a trustee, receiver, or liquidator for all or a substantial part of the Contractor's property, or institution of bankruptcy, reorganization or the arrangement of liquidation proceedings by or against the Contractor.
8. Service of any writ of attachment, levy of execution, or commencement of garnishment proceedings against the Contractor's assets or income.
9. The commission of an act of bankruptcy.
10. Finding of debarment or suspension, **Article II H**.
11. The Contractor's organizational structure has materially changed.

ARTICLE XI. TERMINATION (Continued)

12. The AAA determines that a Contractor may be considered a “high risk” agency as described in 2 CFR 200.205 local government and 45 CFR 75.205 for non-profit organization. If such a determination is made, the Contractor may be subject to special conditions or restrictions.

C. Contractor's Obligation After Notice of Termination

After receipt of a Notice of Termination, and except as directed by the AAA, the Contractor shall immediately proceed with the following obligations, as applicable, regardless of any delay in determining or adjusting any funds due under this clause.

The Contractor shall:

1. Stop work as specified in the Notice of Termination
2. Place no further orders for materials, or services, except as necessary to complete the continued portion of the contract.

D. Effective Date

Termination of this Agreement shall take effect immediately in the case of an emergency such as threat to life, health, or safety of the public. The Effective date for Termination with Cause or for funding reductions is thirty (30) days and Termination without Cause is ninety (90) days subsequent to written notice to the Contractor. The notice shall describe the action being taken by the AAA, the reason for such action and, any conditions of the termination, including the date of termination. Said notice shall also inform the Contractor of its right to appeal such decision to the AAA and the procedure for doing so.

E. Notice of Intent to Terminate by Contractor

In the event the Contractor no longer intends to provide services under this Agreement, the Contractor shall give the AAA Notice of Intent to Terminate. Such notice shall be given in writing to the AAA 180 days prior to the proposed termination date. Unless mutually agreed upon, the Contractor does not have the authority to terminate the Agreement. The notice of intent to terminate shall include the reason for such action and the anticipated last day of work. The Contractor shall submit a Transition Plan in accordance with **ARTICLE XII**, below.

- F. In the event of termination, the AAA will present written notice to the Contractor of any condition, such as, but not limited to, transfer of clients, care of clients, return of unspent funds, and disposition of property, which must be met prior to termination.

ARTICLE XII. TRANSITION PLAN

- A. The Contractor shall submit a Transition Plan to the AAA within 15 days of delivery of a written Notice of Intent to Terminate Ombudsman services or Notice of Intent to Terminate. That plan shall at a minimum include the following:
1. Details of how the Contractor shall maintain an adequate level of State Certified Ombudsman Representatives to ensure continuity of services during the transition to a subsequent Local Ombudsman Program.
 2. Details of how the Contractor shall notify all the impacted facilities and community referral sources of the change in the parties providing Local Ombudsman Program services.
 3. Details of how the Contractor shall deliver to the subsequent Local Ombudsman Program of a full inventory of updated confidential client records, public facility records, and records documenting Ombudsman certification and training.
 4. A description of how the subsequent Local Ombudsman Program will be assisted in assessing the status of all active client records at the point of transfer to ensure timely continuation of Ombudsman services.
 5. A description of how residents and their families will be notified about the changes in their Ombudsman services provider.
- B. The Contractor shall implement the Transition Plan as approved by the OSLTCO. The OSLTCO will monitor the Contractor's progress in carrying out all elements of the Transition Plan.
- C. If the Contractor fails to provide and implement the Transition Plan as required above, the Contractor agrees to implement a Transition Plan submitted by the OSLTCO to the Contractor. This Transition Plan may utilize State Certified Ombudsman Representatives from either the terminating Contractor or from a neighboring Local Ombudsman Program.

ARTICLE XIII. REMEDIES

The Contractor agrees that any remedy provided in this Agreement is in addition to and not in derogation of any other legal or equitable remedy available to the AAA as a result of breach of this Agreement by the Contractor, whether such breach occurs before or after completion of the project.

ARTICLE XIV. DISSOLUTION OF ENTITY

The Contractor shall notify the AAA immediately of any intention to discontinue existence of the entity or to bring an action for dissolution.

ARTICLE XV. REVISIONS OR MODIFICATIONS

- A. No amendment or variation of the terms of this Agreement shall be valid unless made in writing, and approved as required. No oral understanding or agreement not incorporated in this Agreement is binding on any of the parties.
- B. The AAA reserves the right to revise, waive, or modify the Agreement to reflect any restrictions, limitations, or conditions enacted by Congress or the Legislature or as directed by the Executive Branch of State Government.

ARTICLE XVI. NOTICES

- A. Any notice to be given hereunder by either party to the other may be effected by personal delivery in writing or by registered or certified mail, overnight mail, postage prepaid, return receipt requested, or overnight mail to the addresses written on page 1 of the Standard Agreement; provided Contractor retains receipt, and shall be communicated as of actual receipt.
- B. Any notice given to the AAA for a contractor's change of legal name, main address, or name of Director shall be addressed to the Director of the AAA on the Contractor's letterhead.
- C. Either party may change its address by written notice to the other party in accordance with this Article.

ARTICLE XVII. INFORMATION INTEGRITY AND SECURITY

A. Information Assets

The Contractor shall have in place operational policies, procedures, and practices to protect AAA information assets, including those assets used to store or access Personal Health Information (PHI), Personal Information (PI) and any information protected under the Health Insurance Portability and Accountability Act (HIPAA)(i.e., public, confidential, sensitive and/or personal identifying information) as specified in the State Administrative Manual Section 5300 to 5365.3; Cal. Gov. Code Section 11019.9, DGS Management Memo 06-12; DOF Budget Letter 06-34; and CDA Program Memo 07-18 Protection of Information Assets, and the Statewide Health Information Policy Manual.

Information assets may be in hard copy or electronic format and may include (but are not limited to):

1. Reports
2. Notes
3. Forms
4. Computers, laptops, cellphones, printers, scanners
5. Networks (LAN,WAN, WIFI), servers, switches, routers
6. Storage media, hard drives, flash drives, cloud storage

ARTICLE XVII. INFORMATION INTEGRITY AND SECURITY (Continued)

7. Data, applications, databases

B. Encryption on Portable Computing Devices

The Contractor is required to use 128-bit encryption for any data collected under this Agreement that is confidential, sensitive, and/or personal information including data stored on all portable computing devices (including but not limited to, workstations, servers, laptops, personal digital assistants, backup media and notebook computers) and/or portable electronic storage media (including but not limited to, discs, thumb/flash drives, backup media, and portable hard drives).

C. Disclosure

1. The Contractor shall ensure that all personal, sensitive and/or confidential identifying information is protected from inappropriate or unauthorized access or disclosure in accordance with applicable laws, regulations and AAA policies.
2. The Contractor shall protect from unauthorized disclosure, confidential, sensitive and/or personal identifying information such as names and other identifying information, concerning persons receiving services pursuant to this Agreement, except for statistical information not identifying any participant.
3. "Personal Identifying information" shall include, but not be limited to, name, identifying number, social security number, state driver's license or state identification number, financial account numbers, symbol or other identifying characteristic assigned to the individual, such as finger or voice print or a photograph.
4. The Contractor shall not use confidential, sensitive and/or personal identifying information above for any purpose other than carrying out the Contractor's obligations under this Agreement. The Contractor is authorized to disclose and access identifying information for this purpose as required by OAA.
5. The Contractor shall not, except as otherwise specifically authorized or required by this Agreement or court order, disclose any identifying information obtained under the terms of this Agreement to anyone other than the AAA without prior written authorization from the AAA. The Contractor may be authorized, in writing, by a participant to disclose identifying information specific to the authorizing participant.

ARTICLE XVII. INFORMATION INTEGRITY AND SECURITY (Continued)

6. The Contractor may allow a participant to authorize the release of information to specific entities, but shall not request or encourage any participant to give a blanket authorization or sign a blank release, nor shall the Contractor accept such blanket authorization from any participant.

D. Security Awareness Training

1. The Contractor's employees and volunteers handling confidential, sensitive and/or personal identifying information must complete the required CDA Security Awareness Training module located at <https://www.aging.ca.gov/ProgramsProviders/#Resources> within thirty (30) days of the start date of the Contract/Agreement, within thirty (30) days of the start date of any new employee or volunteer's employment and annually thereafter.
2. The Contractor must maintain certificates of completion on file and provide them to the AAA upon request.

E. Health Insurance Portability and Accountability Act (HIPAA)

The Contractor agrees to comply with the privacy and security requirements of the HIPAA to the extent applicable and to take all reasonable efforts to implement HIPAA requirements.

F. Contractor Confidentiality Statement

The Contractor shall sign and return an Information Integrity and Security Statement (CDA 1024) form with this Agreement. This is to ensure that Contractor/Vendors are aware of, and agree to comply with, their obligations to protect CDA information assets from unauthorized access and disclosure.

G. Security Incident Reporting

A security incident occurs when AAA information assets are, or reasonably believed to have been accessed, modified, destroyed, or disclosed without proper authorization, is lost or stolen. The Contractor must comply with CDA's security incident reporting procedure located at <https://www.aging.ca.gov/ProgramsProviders/#Resources>.

ARTICLE XVII. INFORMATION INTEGRITY AND SECURITY (Continued)

H. Security Breach Notifications

Notice must be given by the Contractor to anyone whose confidential, sensitive and/or personal identifying information could have been breached in accordance with HIPAA, the Information Practices Act of 1977, and State policy.

I. Software Maintenance

The Contractor shall apply security patches and upgrades in a timely manner and keep virus software up-to-date on all systems on which AAA data may be stored or accessed.

J. Electronic Backups

The Contractor shall ensure that all electronic information is protected by performing regular backups of files and databases, and ensure the availability of information assets for continued business. The Contractor shall ensure that all data, files and backup files are encrypted.

K. Provisions of this Article

The provisions contained in this Article shall be included in all contracts of the Contractor.

ARTICLE XVIII. COPYRIGHTS AND RIGHTS IN DATA

A. Copyrights

1. If any material funded by this Agreement is subject to copyright, the AAA reserves the right to copyright such material and the Contractor agrees not to copyright such material, except as set forth in Section B of this Article.
2. The Contractor may request permission to copyright material by writing to the Director of the AAA. The Director shall consent to or give the reason for denial to the Contractor in writing within 60 days of receipt of the request.
3. If the material is copyrighted with the consent of the AAA, the AAA and the California Department of Aging reserve a royalty-free, non-exclusive, and irrevocable license to reproduce, prepare derivative works, publish,

ARTICLE XVIII. COPYRIGHTS AND RIGHTS IN DATA (Continued)

distribute and use such materials, in whole or in part, and to authorize others to do so, provided written credit is given the author.

4. The Contractor certifies that it has appropriate systems and controls in place to ensure that AAA funds will not be used in the performance of this contract for the acquisition, operation, or maintenance of computer software in violation of copyright laws.

B. Rights in Data

1. The Contractor shall not publish or transfer any materials, as defined in item 2 below, produced or resulting from activities supported by this Agreement without the express written consent of the Director of the AAA. That consent shall be given or the reasons for denial shall be given and any conditions under which it is given or denied within thirty (30) days after the written request is received by the AAA. The AAA may request a copy of the material for review prior to approval of the request. This subsection is not intended to prohibit contractors from sharing identifying client information authorized by the participant or summary program information which is not client-specific.
2. As used in this Agreement, the term "subject data" means writings, sound recordings, pictorial reproductions, drawings, designs or graphic representations, procedural manuals, forms, diagrams, workflow charts, equipment descriptions, data files and data processing or computer programs, and works of any similar nature (whether or not copyrighted or copyrightable) which are first produced or developed under this Agreement. The term does not include financial reports, cost analyses, and similar information incidental to contract administration.
3. Subject only to the provisions of **Article XVII** and **Article XVIII** of this Exhibit, the AAA may use, duplicate, or disclose in any manner, and have or permit others to do so subject to State and federal law all subject data delivered under this Agreement.
4. Materials published or transferred by Contractor shall: (a) state "The materials or product were a result of a project funded by a contract with the Stanislaus County Area Agency on Aging"; (b) give the name of the entity, the address, and telephone number at which the supporting data is available; and (c) include a statement that "The conclusions and opinions expressed may not be those of the Stanislaus County Area Agency on Aging and that the publication may not be based upon or inclusive of all raw data."

ARTICLE XIX. SANCTION

- A. If it becomes necessary to withhold Agreement funds, suspend or terminate this Agreement, the AAA may proceed in accordance with its adopted sanction policy.
- B. Contractor may appeal any denial of funding, decreased funding, or sanction affecting a Title III or Title VII Older Americans Act project under this Agreement through use of the fair hearing procedure contained in the AAA Sanction Policy. Notification of sanction will be given in writing to Contractor at least ten (10) working days before the Board of Supervisors' session at which the recommendations for sanction are presented. A written request for a fair hearing must be made at least four (4) working days before the Board of Supervisors' session. Testimony and information may be presented to the Board of Supervisors at that time. The Board of Supervisors may issue a decision at that meeting or hold it over for more information. If the Contractor is not satisfied with said decision, a request for a hearing may be made with the California Department of Aging, 1300 National Drive, Suite 200, Sacramento, CA, 95834, in accordance with 22 CCR §7700 et. seq. Contractor may be represented by another person or organization at any stage in the proceedings. In the event that Contractor fails to exhaust its remedies under the appeals procedure above, or fails to abide by its time limits with respect to each step, the claim shall be presumed to be abandoned and the matter settled in accordance with the last decision rendered. A time limit may be extended by written agreement of Contractor and the reviewing body. In the event that the reviewing body fails to give its answer at any step within the time limit prescribed, Contractor shall have the right to proceed immediately to the next step.

ARTICLE XX. APPEAL PROCESS

- A. The Contractor may appeal the County's final adverse determination relating to Title III and VII programs using the appeal process established in Title 22 CCR, Sections 7700 through 7710. Such appeal shall be filed within thirty (30) days of receipt of the AAA's notice of adverse determination.
- B. Appeal costs or costs associated with any court review are not reimbursable.

ARTICLE XXI. ENACTMENT

- A. This Agreement shall not be considered effective until it has been signed by the Contractor and approved by the Stanislaus County Board of Supervisors and signed by the Director of the Stanislaus County Department of Aging and Veterans Services (Area Agency on Aging).
- B. The term of the grant shall be limited to a maximum period of one year unless a shorter period or term is specified elsewhere in this Agreement.

ARTICLE XXI. ENACTMENT (Continued)

- C. The initial contract period of July 1, 2018 through June 30, 2019 may be renegotiated with the Contractor annually for one additional one-year period. The current contract covers fiscal year July 1, 2017 through June 30, 2018. The AAA retains the right to use the competitive request for proposal process at the end of any one-year period if the Contractor's performance and service quality are unacceptable as determined by the AAA.
- D. This Agreement is subject to the availability of funds intended for the project.

ARTICLE I. ASSURANCES SPECIFIC TO TITLE III and TITLE VII PROGRAMS

- A. **General Assurances.** The Contractor shall assure that the following conditions are met:
1. An individual's receipt of services under the In-Home Supportive Services Program shall not be the sole cause for denial of any services provided by the AAA or its contractors.
 2. Services shall not be denied to any Title III or Title VII client that does not contribute toward the cost of the services received.
 3. Methods used to solicit voluntary contributions for Title III and Title VII services shall be non-coercive.
 4. The Contractor will:
 - a. Provide each recipient with an opportunity to voluntarily contribute to the cost of the service.
 - b. Clearly inform each recipient that there is no obligation to contribute and that the contribution is purely voluntary.
 - c. Protect the privacy and confidentiality of each recipient with respect to the recipient's contribution or lack of contribution; and
 - d. Establish appropriate procedures to safe guard and account for all contributions.
 - e. Use all collected contributions to expand the services for which the contributions were given and to supplement (not supplant) funds received under this Act.
 5. The Contractor shall participate in the preparation and implementation of a disaster plan that ensures provision of critical services to meet the emergency needs of consumers they are charged to serve during man-made, or natural disasters such as earthquakes or floods. This plan shall be coordinated with the overall County Office of Emergency Services Plan and shall conform to any statewide requirements issued by the Stanislaus County Area Agency on Aging (AAA), the California Department of Aging (CDA), or any other appropriate federal agency.
 6. The Contractor shall not require proof of age, citizenship, or disability as a condition of receiving services.
- B. **Assurances Specific to the Ombudsman Program:**

ARTICLE I. ASSURANCES SPECIFIC TO TITLE III & TITLE VII PROGRAMS (Continued)

The Contractor shall assure the following:

1. Long-Term Care Ombudsman Services in the Planning and Service Area will be carried out by the agency that has been designated by the State Ombudsman to provide those services. [OAA 712(a)(5)(A); 45 CFR 1324.13(c)]
2. The Local Ombudsman Program, its governing board members, representatives of the Local Ombudsman Program and members of their immediate families shall be free of actual and perceived conflicts of interest. [OAA 712(f)(1)(B); 45 CFR 1324.21]
3. Representatives of the Local Ombudsman Program shall have unescorted, unhindered access to long-term care facilities and long-term care facility residents between the hours of 7:00 a.m. and 10:00 p.m. seven days a week [OAA 712(b)(1)(A)] [45 CFR 1324.11(e)(2)(i)][W&I 9722(a)][22 CCR 8020(a)]. Authorization is required by the State Ombudsman for entry outside of these hours [W&I 9722(a)][22 CCR 8020(b)].
4. Representatives of the Local Ombudsman Program shall have access to medical and personal records of residents with appropriate documentation of consent; and when authorized by the State Ombudsman, in accordance with policies developed by the State Ombudsman. [OAA 712(b)(1)(B)] [45 CFR 1324.11 (e)(2)(iv)] [W&I 9724]
5. Representatives of the Local Ombudsman Program upon request to a long-term care facility staff, shall be provided with a roster, census, or other list of the names and room numbers or room locations of all current residents. [W&I 9722(d)]
6. Representatives of the Local Ombudsman Program shall not carry out the responsibilities of the Program until the State Ombudsman accepts them for certification [OAA 712(h)(5)(B)] [[45CFR 1324.13 (c)(3)] [WIC 9719(a)].
7. All records and files maintained by the local Ombudsman Program relating to any complaint or investigation shall remain confidential unless disclosure is authorized by the resident, resident representative, State Ombudsman, or local Ombudsman Program Coordinator in compliance with OSLTCO policies and procedures. [OAA 705(a)(6)(C); 712(d)(2)] [45 CFR 1327.11(e)(3); 1324.19(b)(6-9)] [W&I 9725].
8. The Local Ombudsman Program shall enter into a Memorandum of

ARTICLE I. ASSURANCES SPECIFIC TO TITLE III & TITLE VII PROGRAMS (Continued)

Understanding (MOU) with the Legal Services Provider (LSP) which will address conflict of interest, provision of legal advice, procedures for referral, and other technical assistance. The LSP may assist the State in providing legal representation to the Program when an Ombudsman Representative has been subpoenaed or in a suit or other legal action threatened or brought against the performance of the official duties of the Ombudsman Representative. [OAA 712(h)(7)] [45 CFR 1324.13(h)(10)] [WIC 9717(c)] [Statewide Standards for Legal Assistance in California].

9. Each Local Ombudsman Program shall maintain a separate budget. The Local Ombudsman Program Coordinator shall be responsible for managing the day-to-day operation of the Program, including managing all paid staff and volunteers in the Program. The Local Ombudsman Coordinator shall determine budget priorities, develop or participate in budget preparation, and be informed of budget allocations by the Contractor specific to the Ombudsman Program. [45 CFR 1324.13(f)]
10. The Local Ombudsman Program Coordinator shall provide the Office of the State Long-Term Care Ombudsman (OSLTCO) with an organizational chart that includes:
 - a. All local staff who are wholly or partly funded by Ombudsman Program resources.
 - b. Their titles/roles within the Program.
 - c. The number of hours per week charged to the Local Ombudsman Program for each position.[45 CFR 1324.13(b)]
11. The Local Ombudsman Program Coordinator will attend OSLTCO New Coordinator Training when initially designated as coordinator and OSLTCO biannual training conferences. [45 CFR 1324.13(c)(2); W&I 9719(a)(1)]
12. The Local Ombudsman Program Coordinator shall inform the OSLTCO of issues with local Ombudsman representatives, complex cases, situations with potential legal implications, changes in staffing, emerging regional issues with statewide impact, breaches of confidentiality, and conflict of interest issues. [45 CFR 1324.13(b),(c)]
13. Representatives of the Local Ombudsman Program shall conduct interviews / investigations in a confidential manner and the Program shall have office space and telecommunications that protect the confidentiality

ARTICLE I. ASSURANCES SPECIFIC TO TITLE III & TITLE VII PROGRAMS (Continued)

of all complaint-related communications and records. [OAA 705(a)(6)(C)]
[45 CFR 1324.19(b)(2)(i)] [W&I 9725 and 15633(c)]

14. Each Local Ombudsman Program shall have information systems sufficient to run State-approved database systems and to receive and send confidential e-mail messages to and from CDA. [OAA 712(c)] [45CFR 1324.13(d)] [W&I 9716(a)].
15. The Contractor must be insured for professional liability covering all Ombudsman activities including, but limited to, investigation of resident complaints.

ARTICLE II. REPORTING PROVISIONS

- A. The Contractor shall submit program performance reports in accordance with AAA requirements to the Stanislaus County Area Agency on Aging, 3500 Coffee Rd, Suite19, Modesto, CA, 95355
- B. The Contractor shall assure that all data submitted is timely, complete, accurate, and verifiable.
- C. The Contractor shall take the following actions to enter data into the Internet-based NORS utilizing software provided by CDA, as required.
 1. Data entry for quarterly NORS reports must be completed no later than one month following the end of the reporting quarter (i.e. October 31, January 31, April 30, and July 31) with copies of the aggregate data sent to the AAA.
 2. On or before the reporting dates, the Contractor must submit the Quarterly Ombudsman Data Reporting Form (OSLTCO S301), indicating that data for the quarter has been completed, or the reason for any delay, to the OSLTCO mailbox (stateomb@aging.ca.gov) with a copy to the AAA.
- D. Contractor shall train and orient staff regarding program data collection and reporting requirements.
- E. Reporting provisions specific to Title VII, Elder Abuse Prevention:
 1. The Contractor must submit program data reports, the Elder Abuse Prevention Quarterly Activity Report (CDA1037), electronically to the AAA quarterly.
 2. Quarterly reports are due October 17, January 17, April 17, and July 17.

ARTICLE II. REPORTING PROVISIONS (Continued)

3. For late reports, the Contractor shall submit a written explanation to the AAA by the 15th of the following month. This written explanation shall include the reasons for the delay and the date the report will be submitted.