

**SUBMITTAL TO THE BOARD OF SUPERVISORS  
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

629



**FROM:** Office on Aging

**SUBMITTAL DATE:**  
July 1, 2015

**SUBJECT:** Ratification of FY 2015/2016 Standard Agreement AP-1516-21 between California Department of Aging (CDA) and the County of Riverside for Title III/VII Programs Administered by the Office on Aging and Approval of Budget Adjustment. All Districts; [\$7,073,619 Total Cost]; Federal 93%, State 7%

**RECOMMENDED MOTION:** That the Board of Supervisors:

1. Ratify and Authorize Chair to execute FY 2015/2016 Standard Agreement AP-1516-21 between California Department of Aging (CDA) and County of Riverside for Title III/VII Programs Administered by Riverside County Office on Aging in the amount of \$7,073,619;
2. Authorize the Purchasing Agent, in accordance with Ordinance No. 459, based on the availability of fiscal funding, and to sign amendments that do not change the substantive terms of the agreement, as approved by County Counsel;
3. Approve and direct the Auditor-Controller to make budget adjustments as shown in Schedule A; and
4. Return all four (4) copies of the Agreement to the Office on Aging for further processing.

**BACKGROUND:**

Summary  
Continued on Page 2

**FISCAL PROCEDURES APPROVED**  
PAUL ANGULO, CPA, AUDITOR-CONTROLLER  
BY: Susana Garcia-Bocanegra 7/14/15  
Susana Garcia-Bocanegra

*Rachelle Roman*  
Rachelle Roman, Deputy Director for  
Michele Haddock, Director

FINANCIAL DATA	Current Fiscal Year:	Next Fiscal Year:	Total Cost:	Ongoing Cost:	POLICY/CONSENT (per Exec. Office)
COST	\$ 7,073,619	\$ 0	\$ 7,073,619	\$ 0	Consent <input type="checkbox"/> Policy <input checked="" type="checkbox"/>
NET COUNTY COST	\$ 0	\$ 0	\$ 0	\$ 0	

**SOURCE OF FUNDS:** Federal 93%, State 7%  
Budget Adjustment: Yes  
For Fiscal Year: 2015/2016

**C.E.O. RECOMMENDATION:**

APPROVE  
BY: *Lari Sioson*  
Lari Sioson

County Executive Office Signature

**MINUTES OF THE BOARD OF SUPERVISORS**

PURCHASING & FLEET SERVICES  
 Lisa Brandl, Director  
 Departmental Concurrence  
 GREGORY P. PRIAMOS  
 DATE: 7/14/15  
 FORM APPROVED COUNTY COUNSEL

- A-30
- 4/5 Vote
- Positions Added
- Change Order

Prev. Agn. Ref.: 6/15/15, 1-0 | District: ALL | Agenda Number:

**3-31**

## **SUBMITTAL TO THE BOARD OF SUPERVISORS, COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

**FORM 11:** Ratification of FY 2015/2016 Standard Agreement AP-1516-21 between California Department of Aging (CDA) and the County of Riverside for Title III/VII Programs Administered by the Office on Aging and Approval of Budget Adjustment. All Districts; [\$7,073,619 Total Cost]; Federal 93%, State 7%

**DATE:** July 1, 2015

**PAGE:** Page 2 of 3

### **BACKGROUND:**

#### **Summary (continued)**

Annually, the County of Riverside enters into an agreement with the California Department of Aging. Office on Aging administers the funds provided under this Agreement to support the provision of services, programs and other activities for senior citizens countywide in accordance with Title III & Title VII of the Older Americans Act and the Older Californians Act. The services include Supportive Services and Senior Centers (IIIB), Congregate and Home Delivered Nutrition (IIIC & NSIP), Preventive Health and Medication Management (IIID), National Family Caregiver Support (IIIE), Long Term Care Ombudsman Services (VII-a), and Elder Abuse Prevention (VII-b).

The term of this agreement is 12 months, July 1, 2015 to June 30, 2016.

This agreement reflects the current contract from California Department of Aging and could be subject to some modifications based on the State final legislative process.

The current agreement is in the amount of \$7,073,619, which is \$14,592 less than what was estimated by Office on Aging when they submitted their FY 15/16 Budget. Therefore, the Board of Supervisors is requested to approve the attached budget adjustment (Schedule A) to reflect the actual revenue and expenses expected in FY 15/16. The department does not anticipate that this difference will require any substantive changes to any programs or services.

#### **Impact on Citizens and Businesses**

These funds are to be utilized in accordance with the targeting requirements of the Older Americans Act, to persons aged 60 and older with the greatest social and economic need; with considerable emphasis on programs and services that help older adults find employment, support older and disabled individuals to live as independently as possible in the community, promote healthy aging and community involvement, and assist family members in their vital care giving role.

### **SUPPLEMENTAL:**

#### **Additional Fiscal Information**

The FY 2015/16 Standard Agreement AP-1516-21 between California Department of Aging (CDA) and Riverside County Office on Aging for Title III/VII Programs for a 12 month period, July 1, 2015 – June 30, 2016 is for the total amount of \$7,073,619. Office on Aging included an estimated funding amount of \$7,088,211 in the FY15/16 Recommended Budget. The attached budget adjustment in the amount of \$14,592 is necessary to reflect the actual revenue and expenditures under this agreement. The department does not anticipate that this difference will require any substantive changes to any programs or services.

There is no impact to County General Funds and we are requesting no additional matching requirements.

### **ATTACHMENTS:**

- A. **Budget Adjustment** – Attached.
- B. **Contract between CDA and OoA**: Attached.

**SUBMITTAL TO THE BOARD OF SUPERVISORS, COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**  
**FORM 11:** Ratification of FY 2015/2016 Standard Agreement AP-1516-21 between California Department of Aging (CDA) and the County of Riverside for Title III/VII Programs Administered by the Office on Aging and Approval of Budget Adjustment. All Districts; [\$7,073,619 Total Cost]; Federal 93%, State 7%

**DATE:** July 1, 2015

**PAGE:** Page 3 of 3

Office on Aging  
 Schedule A  
 FY 2015/16

Increase Office on Aging Estimated Revenue:

21450-5300100000-751600	CA-Other Aid to Health	\$	1,941
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Decrease Office on Aging Estimated Revenue:

21450-5300100000-751220	CA - Congregate Nutrition	\$	522
21450-5300100000-755260	CA - Home Delivered Meals	\$	4,265
21450-5300100000-767140	Fed - Misc Reimbursement		11,746

	Total:	(14,592)
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Increase Office on Aging Appropriation:

21450-5300100000-510040	Regular Salaries	\$	19,158
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Decrease Office on Aging Appropriation:

21450-5300100000-536200	Contrib. to Other Non-County Agency	\$	33,750
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	Total:	\$ (14,592)
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AGREEMENT NUMBER <b>AP-1516-21</b>
REGISTRATION NUMBER

1. This Agreement is entered into between the State Agency and the Contractor named below:

STATE AGENCY'S NAME  
 California Department of Aging

CONTRACTOR'S NAME  
 COUNTY OF RIVERSIDE

2. The term of this Agreement is: July 1, 2015 Through June 30, 2016

3. The maximum amount of this Agreement is: **\$ 7,073,619.00**  
 Seven million, seventy-three thousand, six hundred nineteen and 00/100 dollars

4. The parties agree to comply with the terms and conditions of the following exhibits which are by this reference made a part of the Agreement.

Exhibit A – Scope of Work	14 page(s)
Exhibit B – Budget Detail, Payment Provisions, and Closeout	12 page(s)
Exhibit C* – General Terms and Conditions	GTC 610
Check mark one item below as Exhibit D:	
<input checked="" type="checkbox"/> Exhibit - D Special Terms and Conditions (Attached hereto as part of this agreement)	28 page(s)
<input type="checkbox"/> Exhibit - D* Special Terms and Conditions	
Exhibit E – Additional Provisions	15 page(s)

Items shown with an Asterisk (\*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at [www.ols.dgs.ca.gov/Standard+Language](http://www.ols.dgs.ca.gov/Standard+Language)

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		California Department of General Services Use Only
CONTRACTOR'S NAME (if other than an individual, state whether a corporation, partnership, etc.) COUNTY OF RIVERSIDE		
BY (Authorized Signature) 	DATE SIGNED (Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING NEAL R. KIPNIS		
ADDRESS 6296 Rivercrest Drive, Suite K Riverside CA 92507-0738		
STATE OF CALIFORNIA		
AGENCY NAME California Department of Aging		
BY (Authorized Signature) 	DATE SIGNED (Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING Glenn Wallace, Manager, Contracts and Business Services Section		
ADDRESS 1300 National Drive, Suite 200, Sacramento CA. 95834		
		<input checked="" type="checkbox"/> Exempt per: AG OP 80-111

**CALIFORNIA DEPARTMENT OF AGING**

1300 NATIONAL DRIVE, SUITE 200  
 SACRAMENTO, CA 95834-1992  
 Internet Home Page: [www.aging.ca.gov](http://www.aging.ca.gov)  
 TDD Only 1-800-735-2929  
 FAX Only (916) 928-2267  
 Phone Number (916) 419-7500

**PROGRAM MEMO**

CDA 1014 (Rev. 02/14)

<b>TO: Area Agencies on Aging Directors</b>		<b>NO.: PM 15-07 (P)</b>	
<b>SUBJECT: Area Plan</b>		<b>DATE ISSUED: June 5, 2015</b>	
<b>Area Plan Contracts, Budget Displays, and Budget Instructions SFY 2015-16</b>		<b>EXPIRES: June 30, 2016</b>	
<b>REFERENCES:</b>		<b>SUPERSEDES: PM 14-11 (P)</b>	
<b>PROGRAMS AFFECTED:</b>	<input type="checkbox"/> All <input checked="" type="checkbox"/> Title III-B <input checked="" type="checkbox"/> Title III-C1/C2 <input checked="" type="checkbox"/> Title III-D <input checked="" type="checkbox"/> Title III-E <input checked="" type="checkbox"/> Title VII <input type="checkbox"/> Title V <input type="checkbox"/> HICAP <input checked="" type="checkbox"/> Other: NSIP		

**Purpose**

This Program Memo (PM) transmits your Area Plan (AP) contracts and Budget Displays for State Fiscal Year (SFY) 2015-16. The California Department of Aging (CDA) transmitted planning estimates via email on April 16, 2015.

**Allocation Information**

To determine each Area Agency on Aging's (AAA) Title III/VII allocation, CDA used the methodology described below.

**Federal Title III/VII Funding**

To allocate federal funds, CDA used:

- Population factors consistent with federal requirements.
- The best available data to determine each Planning and Service Area's (PSA) relative proportion of persons with characteristics corresponding to each population factor.
- The following data sources to determine the number of persons statewide and in each PSA with characteristics corresponding to each population factor:

<b>Population Factors</b>	<b>Data Source</b>
Non-Minority 60+	2010 Census - Department of Finance Projections - 2014
Minority 60+	2010 Census - Department of Finance Projections - 2014
Low Income	2010 Census
Geographic Isolation	2010 Census
Medi-Cal eligible	Department of Health Care Services - 2014

Continued on next page

**Allocation Information,**  
*Continued*

**State Funding**

To allocate State Title III General Fund (GF), CDA:

- First, allocated GF to match designated federal funds as mandated by federal regulations, and
- Second, allocated the remaining GF for Maintenance of Effort to bring AAAs to a funding level consistent with the previous year's total allocation for selected funds. CDA makes this Maintenance of Effort adjustment to the degree possible with available funds per Welfare and Institutions (W&I) Code Section 9112(c).

**Ombudsman Federal Funding**

To allocate federal funds for the Ombudsman Program, CDA:

- Allocated \$35,000 in baseline funding to each AAA, *unless*
  - The number of long-term care facility beds (i.e., skilled nursing facility, intermediate care facility, and residential care facility) in its PSA is below 500 beds;
  - The number of long-term care facilities is fewer than 10.

AAAs that fell below this threshold received a lower baseline allocation.

- Allocated the balance of federal funds pursuant to W&I Code Section 9179.5 using the following factors:

<b>Factor</b>	<b>Percentage</b>
Number of Long-Term Care Facilities	50 percent
Number of Long-Term Care Beds	40 percent
Square Miles in PSA	10 percent

This formula proportionally weights data on each PSA's number of facilities, facility beds, and square miles.

*Continued on next page*

**Budget Display**

The AP Budget Display format enables AAAs to specify from which Federal Fiscal Year (FFY) funds are both requested and reported as expended for SFY 2015-16.

The first page of the AP Budget Display shows the final three (3) months of FFY 2015 federal funds and the first 3 months of SFY 2015-16 State funds.

- All funds on this page are available from July 1, 2015 through June 30, 2016; however, funds displayed on the first page for each funding category should be expended before funds for each funding category shown on the second page.
- None of these funds can be carried over into SFY 2016-17.

The second page of the AP Budget Display shows nine (9) months of FFY 2016 federal funds and the last 9 months of SFY 2015-16 State funds.

- AAAs can request FFY 2016 federal funds after October 1, 2015, which is the beginning of FFY 2016.
- All State funds are available from July 1, 2015 through June 30, 2016.

The third page of the AP Budget Display shows 12 months of Area Plan Contract funds for SFY 2015-16. This page shows both 3 months of FFY 2015 and 9 months of FFY 2016 federal funds and all SFY 2015-16 State funds.

**Budget Submission Instructions & Due Date**

AAAs must submit one Original Area Plan Budget for SFY 2015-16 incorporating the amounts shown in their corresponding Budget Display.

Transfer requests must correspond to the funding shown on the first and second pages of the Budget Display.

The Area Plan Budget is due to each AAA's assigned CDA Fiscal Analyst no later than July 6, 2015.

**Request for Funds and Expenditure Reporting**

When submitting an Area Plan contract Request for Funds, the 3-month period or 9-month period must be identified on the Supplemental Report (CDA 151), as shown on your Budget Display.

- FFY 2015 federal funds are available during the first 3 months of your Area Plan Contract, as shown on the first page of your Budget Display.
- FFY 2016 federal funds are available beginning October 1, 2015, as shown on the second page of the Budget Display.
- CDA will not process any SFY 2015-16 Area Plan Contract payments until your Original Area Plan Budget is approved and your contract fully executed.

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**2014-15  
Closeouts and  
Carry Over**

AAAs wishing to carry over unspent federal funds from the last 9 months of the SFY 2014-15 Area Plan Contract into the SFY 2015-16 Area Plan contract must submit a closeout by July 30, 2015.

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**Fiscal Inquires**

Please contact your assigned CDA AAA Fiscal Team Analyst if you have questions.

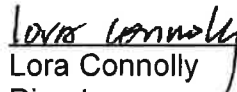
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**Attachment**

The SFY 2015-16 Area Plan Budget Displays and Statewide Summary are posted to CDA's website at:

[http://www.aging.ca.gov/ProgramsProviders/AAA/AAA\\_Budget\\_Displays/](http://www.aging.ca.gov/ProgramsProviders/AAA/AAA_Budget_Displays/)

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Lora Connolly  
Director



**CONTRACTOR/VENDOR CONFIDENTIALITY STATEMENT**

CDA 1024 (REV 1/07)

CERTIFICATION	
I hereby certify that I have reviewed this Confidentiality Statement and will comply with the following Statements.	
CONTRACTOR/VENDOR NAME: COUNTY OF RIVERSIDE	CONTRACT NUMBER: AP-1516-21
AUTHORIZED SIGNATURE:	PRINTED NAME AND TITLE OF PERSON SIGNING:
<p><b>In compliance with Government Code 11019.9, Civil Code 1798 Et. Seq., Management Memo 06-12 and Budget Letter 06-34 the California Department of Aging (CDA) hereby requires the Contractor/Vendor to certify that:</b></p> <ul style="list-style-type: none"><li>• confidential information shall be protected from disclosure in accordance with all applicable laws, regulations and policies.</li><li>• all access codes which allow access to confidential information will be properly safeguarded.</li><li>• activities by any individual or entity that is suspected of compromising confidential information will be reported to CDA by completing a Security Incident Report, CDA 1025.</li><li>• any wrongful access, inspection, use, or disclosure of confidential information is a crime and is prohibited under State and federal laws, including but not limited to California Penal Code Section 502; California Government Code Section 15619, California Civil Code Section 1798.53 and 1798.55, and Health Insurance Portability and Accountability Act.</li><li>• any wrongful access, inspection, use, disclosure, or modification of confidential information may result in termination of this Contract/Agreement.</li><li>• obligations to protect confidential information obtained under this Contract/Agreement will continue after termination of the Contract/Agreement with CDA.</li><li>• all employees/subcontractors of the Contractor/Vendor will complete the required Security Awareness Training module located at <a href="http://www.aging.ca.gov">www.aging.ca.gov</a>, within 30 days of the start date of this Contract/Agreement or within 30 days of the start date of any new employee or subcontractor. Contractor/Vendor may substitute CDA's Security Awareness Training program with its Security Training provided such training meets or exceeds CDA's training requirement.</li><li>• all employees/subcontractors of the Contractor/Vendor will be notified of CDA's confidentiality and data security requirements.</li><li>• CDA or its designee will be granted access by the Contractor or Vendor to any computer-based confidential information within the scope of the Contract.</li></ul>	

**CONTRACTOR/VENDOR CONFIDENTIALITY STATEMENT**

CDA 1024 (REV 1/07)

- I agree to protect the following types of confidential information which include but not limited to:
  - Social Security number
  - Medical information
  - Claimant and employer information
  - Driver License information
  - Information about individuals that relate to their personal life or identifies or describes an individual
  - Other agencies' confidential and proprietary information
  - Criteria used for initiating audit selection
  - Methods agencies use to safeguard their information (computer systems, networks, server configurations, etc.)
  - Any other information that is considered proprietary, a copyright or otherwise protected by law or contract.
  
- I agree to protect confidential information by:
  - Accessing, inspecting, using, disclosing or modifying information only for the purpose of performing official duties
  - Never accessing, inspecting, using, disclosing, or modifying information for curiosity, personal gain, or any non-business related reason
  - Securing confidential information in approved locations
  - Never removing confidential information from the work site without authorization.

**Exhibit B - Budget Detail, Payment Provisions, and Closeout**

**AREA PLAN  
 Budget Display  
 Fiscal Year 2015-16 (Federal Funding Year 2015)  
 County of Riverside**

**3 months (July 1, 2015 - September 30, 2015)**

	Project Number	Baseline	Other Baseline Adjustments	Cumulative Transfers	Updated Baseline	Cumulative OTO	Updated Total	Net Change	Expenditures	Remaining Balance
<b>Supportive Services</b>										
Federal Title IIIB	3BSL15-15	372,250	-	-	372,250	-	372,250	-	-	372,250
<b>Total Supportive Services</b>		<b>372,250</b>	<b>-</b>	<b>-</b>	<b>372,250</b>	<b>-</b>	<b>372,250</b>	<b>-</b>	<b>-</b>	<b>372,250</b>
<b>Ombudsman</b>										
Federal Title IIIB	3BOL15-15	12,446	-	-	12,446	-	12,446	-	-	12,446
Federal Title VIIa	7OFL15-15	15,673	-	-	15,673	-	15,673	-	-	15,673
Special Deposit (SDF)	SDFL15-15	10,751	-	-	10,751	-	10,751	-	-	10,751
SNF Quality & Accountability	SNFL15-15	25,198	-	-	25,198	-	25,198	-	-	25,198
<b>Total Ombudsman</b>		<b>64,068</b>	<b>-</b>	<b>-</b>	<b>64,068</b>	<b>-</b>	<b>64,068</b>	<b>-</b>	<b>-</b>	<b>64,068</b>
<b>Congregate Nutrition</b>										
Federal Title IIIC1	3C1L15-15	518,982	-	-	518,982	-	518,982	-	-	518,982
General Fund C1	C1GL15-15	45,604	-	-	45,604	-	45,604	-	-	45,604
NSIP C1	NC1L15-15	36,337	-	-	36,337	-	36,337	-	-	36,337
<b>Total Congregate Nutrition</b>		<b>600,923</b>	<b>-</b>	<b>-</b>	<b>600,923</b>	<b>-</b>	<b>600,923</b>	<b>-</b>	<b>-</b>	<b>600,923</b>
<b>Home-Delivered Meals</b>										
Federal Title IIIC2	3C2L15-15	261,833	-	-	261,833	-	261,833	-	-	261,833
General Fund C2	C2GL15-15	45,232	-	-	45,232	-	45,232	-	-	45,232
NSIP C2	NC2L15-15	67,082	-	-	67,082	-	67,082	-	-	67,082
<b>Total Home Delivered Meals</b>		<b>374,147</b>	<b>-</b>	<b>-</b>	<b>374,147</b>	<b>-</b>	<b>374,147</b>	<b>-</b>	<b>-</b>	<b>374,147</b>
<b>Disease Prevention</b>										
Federal Title IIID	3DFL15-15	27,000	-	-	27,000	-	27,000	-	-	27,000
<b>Total Disease Prevention</b>		<b>27,000</b>	<b>-</b>	<b>-</b>	<b>27,000</b>	<b>-</b>	<b>27,000</b>	<b>-</b>	<b>-</b>	<b>27,000</b>
<b>Family Caregiver</b>										
Federal Title IIIE	3EFL15-15	174,366	-	-	174,366	-	174,366	-	-	174,366
<b>Total Title IIIE</b>		<b>174,366</b>	<b>-</b>	<b>-</b>	<b>174,366</b>	<b>-</b>	<b>174,366</b>	<b>-</b>	<b>-</b>	<b>174,366</b>
<b>Elder Abuse</b>										
Federal Title VII	7EFL15-15	6,521	-	-	6,521	-	6,521	-	-	6,521
<b>Total Elder Abuse</b>		<b>6,521</b>	<b>-</b>	<b>-</b>	<b>6,521</b>	<b>-</b>	<b>6,521</b>	<b>-</b>	<b>-</b>	<b>6,521</b>
<b>Administration</b>										
Federal Title IIIB	3BAL15-15	45,162	-	-	45,162	-	45,162	-	-	45,162
Federal Title IIIC1	C1AL15-15	56,330	-	-	56,330	-	56,330	-	-	56,330
Federal Title IIIC2	C2AL15-15	28,420	-	-	28,420	-	28,420	-	-	28,420
Federal Title IIIE	3EAL15-15	18,879	-	-	18,879	-	18,879	-	-	18,879
General Fund C1	1GAL15-15	269	-	-	269	-	269	-	-	269
General Fund C2	2GAL15-15	72	-	-	72	-	72	-	-	72
<b>Total Administration</b>		<b>149,132</b>	<b>-</b>	<b>-</b>	<b>149,132</b>	<b>-</b>	<b>149,132</b>	<b>-</b>	<b>-</b>	<b>149,132</b>
<b>Funding Summary</b>										
Federal Funds		1,641,281	-	-	1,641,281	-	1,641,281	-	-	1,641,281
General Fund		91,177	-	-	91,177	-	91,177	-	-	91,177
SNF Quality & Accountability		25,198	-	-	25,198	-	25,198	-	-	25,198
Special Deposit		10,751	-	-	10,751	-	10,751	-	-	10,751
<b>Grand Total - All Funds</b>		<b>1,768,407</b>	<b>-</b>	<b>-</b>	<b>1,768,407</b>	<b>-</b>	<b>1,768,407</b>	<b>-</b>	<b>-</b>	<b>1,768,407</b>

**Comments:**

The maximum amount of Title IIIE expenditures allowable for supplemental services is: 51,532  
 The maximum amount of Title IIIE expenditures allowable for Grandparents is: 25,766  
 The minimum General Fund to be expended for State Match in Title III is: 69,416

CFDA NUMBER	Year	Award #	Award Name
93.041	2015	15AACAT7EA	Older Americans Act Title VII-Allotments for Vulnerable Elder Rights Protection Activities
93.042	2015	15AACAT7OM	Older Americans Act Title VII-Allotments for Vulnerable Elder Rights Protection Activities
93.043	2015	15AACAT3PH	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.044	2015	15AACAT3SS	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2015	15AACAT3CM	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2015	15AACAT3HD	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.052	2015	15AACAT3FC	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.053	2015	15AACANSIP	Older Americans Act Section 311-Nutrition Services Incentive Program

**Exhibit B - Budget Detail, Payment Provisions, and Closeout**

**AREA PLAN  
 Budget Display  
 Fiscal Year 2015-16 (Federal Funding Year 2016)  
 County of Riverside**

**9 months (October 1, 2015 - June 30, 2016)**

	Project Number	Baseline	Other Baseline Adjustments	Cumulative Transfers	Updated Baseline	Cumulative OTO	Updated Total	Net Change
<b>Supportive Services</b>								
Federal Title IIIB	3BSL16-15	1,116,750	-	-	1,116,750	-	1,116,750	-
<b>Total Supportive Services</b>		1,116,750	-	-	1,116,750	-	1,116,750	-
<b>Ombudsman</b>								
Federal Title IIIB	3BOL16-15	37,337	-	-	37,337	-	37,337	-
Federal Title VIIa	7OFL16-15	47,017	-	-	47,017	-	47,017	-
Special Deposit (SDF)	SDFL16-15	32,254	-	-	32,254	-	32,254	-
SNF Quality & Accountability	SNFL16-15	75,595	-	-	75,595	-	75,595	-
<b>Total Ombudsman</b>		192,203	-	-	192,203	-	192,203	-
<b>Congregate Nutrition</b>								
Federal Title IIIC1	3C1L16-15	1,556,944	-	-	1,556,944	-	1,556,944	-
General Fund C1	C1GL16-15	136,812	-	-	136,812	-	136,812	-
NSIP C1	NC1L16-15	109,011	-	-	109,011	-	109,011	-
<b>Total Congregate Nutrition</b>		1,802,767	-	-	1,802,767	-	1,802,767	-
<b>Home-Delivered Meals</b>								
Federal Title IIIC2	3C2L16-15	785,499	-	-	785,499	-	785,499	-
General Fund C2	C2GL16-15	135,696	-	-	135,696	-	135,696	-
NSIP C2	NC2L16-15	201,247	-	-	201,247	-	201,247	-
<b>Total Home Delivered Meals</b>		1,122,442	-	-	1,122,442	-	1,122,442	-
<b>Disease Prevention</b>								
Federal Title IIID	3DFL16-15	80,998	-	-	80,998	-	80,998	-
<b>Total Disease Prevention</b>		80,998	-	-	80,998	-	80,998	-
<b>Family Caregiver</b>								
Federal Title IIIE	3EFL16-15	523,099	-	-	523,099	-	523,099	-
<b>Total Title IIIE</b>		523,099	-	-	523,099	-	523,099	-
<b>Elder Abuse</b>								
Federal Title VII	7EFL16-15	19,562	-	-	19,562	-	19,562	-
<b>Total Elder Abuse</b>		19,562	-	-	19,562	-	19,562	-
<b>Administration</b>								
Federal Title IIIB	3BAL16-15	135,485	-	-	135,485	-	135,485	-
Federal Title IIIC1	C1AL16-15	168,991	-	-	168,991	-	168,991	-
Federal Title IIIC2	C2AL16-15	85,258	-	-	85,258	-	85,258	-
Federal Title IIIE	3EAL16-15	56,635	-	-	56,635	-	56,635	-
General Fund C1	1GAL16-15	808	-	-	808	-	808	-
General Fund C2	2GAL16-15	214	-	-	214	-	214	-
<b>Total Administration</b>		447,391	-	-	447,391	-	447,391	-
<b>Funding Summary</b>								
Federal Funds		4,923,833	-	-	4,923,833	-	4,923,833	-
General Fund		273,530	-	-	273,530	-	273,530	-
SNF Quality & Accountability		75,595	-	-	75,595	-	75,595	-
Special Deposit		32,254	-	-	32,254	-	32,254	-
<b>Grand Total - All Funds</b>		5,305,212	-	-	5,305,212	-	5,305,212	-

**Comments:**

The maximum amount of Title IIIE expenditures allowable for supplemental services is: 154,596  
 The maximum amount of Title IIIE expenditures allowable for Grandparents is: 77,298  
 The minimum General Fund to be expended for State Match in Title III is: 206,247

CFDA NUMBER	Year	Award #	Award Name
93.041	2016	16AACAT7EA	Older Americans Act Title VII-Allotments For Vulnerable Elder Rights Protection Activities
93.042	2016	16AACAT7OM	Older Americans Act Title VII-Allotments For Vulnerable Elder Rights Protection Activities
93.043	2016	16AACAT3PH	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.044	2016	16AACAT3SS	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2016	16AACAT3CM	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2016	16AACAT3HD	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.052	2016	16AACAT3FC	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.053	2016	16AACANSIP	Older Americans Act Title III-Grants for State & Community Programs on Aging

**Exhibit B - Budget Detail, Payment Provisions, and Closeout**

**AREA PLAN  
 Budget Display  
 Fiscal Year 2015-16  
 County of Riverside**

**12 Month Total (July 1, 2015 - June 30, 2016)**

	Baseline	Other Baseline Adjustments	Cumulative Transfers	Updated Baseline	Cumulative OTO	Updated Total	Net Change
<b>Supportive Services</b>							
Federal Title IIIB	1,489,000	-	-	1,489,000	-	1,489,000	-
Total Supportive Services	1,489,000	-	-	1,489,000	-	1,489,000	-
<b>Ombudsman</b>							
Federal Title IIIB	49,783	-	-	49,783	-	49,783	-
Federal Title VIIa	62,690	-	-	62,690	-	62,690	-
Special Deposit (SDF) SNF Quality & Accountability	43,005	-	-	43,005	-	43,005	-
Total Ombudsman	256,271	-	-	256,271	-	256,271	-
<b>Congregate Nutrition</b>							
Federal Title IIIC1	2,075,926	-	-	2,075,926	-	2,075,926	-
General Fund C1	182,416	-	-	182,416	-	182,416	-
NSIP C1	145,348	-	-	145,348	-	145,348	-
Total Congregate Nutrition	2,403,690	-	-	2,403,690	-	2,403,690	-
<b>Home-Delivered Meals</b>							
Federal Title IIIC2	1,047,332	-	-	1,047,332	-	1,047,332	-
General Fund C2	180,928	-	-	180,928	-	180,928	-
NSIP C2	268,329	-	-	268,329	-	268,329	-
Total Home Delivered Meals	1,496,589	-	-	1,496,589	-	1,496,589	-
<b>Disease Prevention</b>							
Federal Title IIID	107,998	-	-	107,998	-	107,998	-
Total Disease Prevention	107,998	-	-	107,998	-	107,998	-
<b>Family Caregiver</b>							
Federal Title IIIE	697,465	-	-	697,465	-	697,465	-
Total Title IIIE	697,465	-	-	697,465	-	697,465	-
<b>Elder Abuse</b>							
Federal Title VII	26,083	-	-	26,083	-	26,083	-
Total Elder Abuse	26,083	-	-	26,083	-	26,083	-
<b>Administration</b>							
Federal Title IIIB	180,647	-	-	180,647	-	180,647	-
Federal Title IIIC1	225,321	-	-	225,321	-	225,321	-
Federal Title IIIC2	113,678	-	-	113,678	-	113,678	-
Federal Title IIIE	75,514	-	-	75,514	-	75,514	-
General Fund C1	1,077	-	-	1,077	-	1,077	-
General Fund C2	286	-	-	286	-	286	-
Total Administration	596,523	-	-	596,523	-	596,523	-
<b>Funding Summary</b>							
Federal Funds	6,565,114	-	-	6,565,114	-	6,565,114	-
General Fund	364,707	-	-	364,707	-	364,707	-
SNF Quality & Accountability	100,793	-	-	100,793	-	100,793	-
Special Deposit	43,005	-	-	43,005	-	43,005	-
<b>Grand Total - All Funds</b>	<b>7,073,619</b>	-	-	<b>7,073,619</b>	-	<b>7,073,619</b>	-

**Comments:**

The maximum amount of Title IIIE expenditures allowable for supplemental services is: 206,128  
 The maximum amount of Title IIIE expenditures allowable for Grandparents is: 103,064  
 The minimum General Fund to be expended for State Match in Title III is: 277,663

Exhibit A – Scope of Work

**SCOPE OF WORK**

1. Contractor agrees to provide to the California Department of Aging services under Agreement No. AP-1516-21, in accordance with this Agreement.
2. The services shall be performed in Planning and Service Area(s): 21.
3. The services shall be provided as needed.
4. The project representatives during the term of this agreement will be:

State Agency: California Department of Aging	Contractor COUNTY OF RIVERSIDE
Name: June Ditgen	Name: Ricardo Hiestroza
Phone (916) 419-7556	Phone: (951) 867-3847
Fax: (916) 928-2510	Fax: (951) 697-3896

Direct all contract inquiries to:

State Agency: California Department of Aging	Contractor: COUNTY OF RIVERSIDE
Section/Unit: Business Services and Contracts	Section/Unit: Administration
Attention: Don Fingado	Attention: Rachelle Roman
Address: 1300 National Drive, Suite 200 Sacramento, CA 95834	Address: 6296 Rivercrest Drive, Suite K Riverside CA 92507-0738
Phone: (916) 419-7157	Phone: (951) 867-3839
Fax: (916) 928-2500	Fax: (951) 867-3830
Email: don.fingado@aging.ca.gov	Email: rroman@co.riverside.ca.us

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

**ARTICLE I. PROGRAM DEFINITIONS**

**A. Definitions Specific to Title III and Title VII Programs**

1. **Child** means an individual who is not more than 18 years of age or who is an individual with a disability. [OAA §372(a)(1)]
2. **Coordination** means activities that involve the active participation of the Area Agency on Aging (AAA) staff to include liaison with non-Older Americans Act (OAA) funded agencies and organizations for the purpose of avoiding duplication, improving services, resolving problems related to service delivery, and addressing the service needs of the eligible service population.
3. **Eligible Service Population for Title III B and D** means individuals 60 years of age or older, with emphasis on those in greatest economic and social need with particular attention to low-income minority older individuals, older individuals with Limited English Proficiency (LEP), and older individuals residing in rural areas. [OAA §305 (a)(2)(E); 22 CCR 7125, 7127, 7130, 7135 and 7638.7]
4. **Eligible Service Population for Title III C-1 and C-2** means individuals 60 years of age or older, with emphasis on those in greatest economic and social need with particular attention to low-income minority older individuals, older individuals with LEP, and older individuals residing in rural areas. [OAA §305 (a)(2)(E); 22 CCR 7125, 7127, 7130, 7135]

Individuals eligible to receive a meal at a congregate nutrition site are:

- a. Any older individual.
  - b. The spouse of any older individual.
  - c. A person with a disability, under age sixty (60) who resides in housing facilities occupied primarily by older individuals at which congregate nutrition services are provided.
  - d. A disabled individual who resides at home with and accompanies an older individual who participates in the program.
5. **Eligible Service Population for Title III E** means an adult family member, or another individual, who is an informal provider of in-home and community care to an older individual or to an individual with Alzheimer's disease or a related disorder with neurological and organic brain dysfunction. [OAA §302(3)]

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. PROGRAM DEFINITIONS (Continued)

6. **Grandparent or Older Individual Who is a Relative Caregiver** means a grandparent or step-grandparent of a child, or a relative of a child by blood, marriage, or adoption, who is 55 years of age or older, and who:
- a. Lives with the child;
  - b. Is the primary caregiver of the child because the biological or adoptive parents are unable or unwilling to serve as the primary caregiver of the child; and
  - c. Has a legal relationship with the child, such as legal custody or guardianship, or is raising the child informally.

[OAA §372(a)(2)(A)-(C)]

7. **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.
8. **Individual with Severe Disability(ies)** means a person with a severe, chronic disability attributable to mental or physical impairment, that is likely to continue indefinitely and results in substantial functional limitation in three or more major life activities. [OAA §102(a)(48)]
9. **In-kind Contributions** means the value of non-cash contributions donated to support the project or program (e.g., property, service, etc.).
10. **Matching Contributions** means local cash and/or in-kind contributions made by the Contractor, a subcontractor, or other local resources that qualify as match for the contract funding.
11. **Non-Matching Contributions** means local funding that does not qualify as matching contributions and/or is not being budgeted as matching contributions (e.g., federal funds, overmatch, etc.).
12. **Nutrition Services Incentive Program (NSIP)** means the program whose purpose is to provide incentives to encourage and reward effective performance by AAAs in the efficient delivery of nutritious meals to older individuals. The program consists of a cash allotment based on the ratio of the number of meals served by each Planning and Service Area (PSA) compared to the total number of meals served in the State in the prior federal fiscal year.



**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. PROGRAM DEFINITIONS (Continued)

13. **One-Time-Only Funds** means:
  - a. Titles III and VII federal funds allocated to the AAA 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 California Department of Aging (CDA) in the Area Plan Financial Closeout Report. [22 CCR 7314(a)(6)]
  - b. Title III and VII federal funds recovered from an AAA as a result of a fiscal audit determination and resolution by the Department. [22 CCR 7314(a)(7)]
  - c. 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)]
14. **Priority Services for Title III B** means those services associated with access to services (transportation, outreach, information and assistance, and case management); in-home services including supportive services such as respite and visiting, for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction; and legal assistance.
15. **Priority Services for Title III E** means services provided to family caregivers who care for individuals with Alzheimer's disease or related disorders with neurological and organic brain dysfunction, and to grandparents or older individuals, who are relative caregivers who care for children with severe disabilities. [OAA §372(b)(1)-(2)]
16. **Program Development** means activities that either establish a new service or expand or integrate existing services.
17. **Program Income** means revenue generated by the Contractor or the Subcontractor from contract-supported activities. Program income is:
  - a. Voluntary contributions received from a participant or other party for services received.
  - 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.

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. PROGRAM DEFINITIONS (Continued)

- d. Proceeds from the sale of items created under a contract agreement.
18. **Program Requirements** means Title III program requirements found in the OAA (42 U.S.C. 3001-3058); the Code of Federal Regulations (45 CFR 1321); the California Code of Regulations (22 CCR 7000 et seq.); and CDA Program Memoranda.
19. **Title III B (Supportive Services)** means a variety of services including, but not limited to: personal care, homemaker, chore, adult day health care, case management, assisted transportation, transportation, legal assistance, information and assistance, outreach, and long-term care ombudsman advocacy, as defined in the National Aging Programs Information Systems (NAPIS) categories and the National Ombudsman Reporting System (NORS). [OAA §321(a)]
20. **Title III C-1 (Congregate Nutrition Services)** means nutrition services for older individuals in a congregate setting. Services include meals, nutrition and health promotion education, health promotion programs, nutrition risk screening, and opportunities for socialization. Each meal shall provide one-third (1/3) of the Dietary Reference Intakes (DRI) and comply with the current Dietary Guidelines for Americans, 2010. To be an eligible Title III C-1 congregate nutrition site, the site must meet all of the following criteria:
- a. Be open to the public. [45 CFR 1321.53(b)(3)]
  - b. Not means test. [OAA §315(b)(3)]
  - c. Provide participants the opportunity to make voluntary contributions and not deny service for not contributing to the cost of the service. [OAA §315(b)(4); 22 CCR 7638.9]
  - d. Not receive funds from another source for the cost of the same meal, equipment, or services. [2 CFR 200.403(f)]
21. **Title III C-2 (Home-Delivered Nutrition Services)** means nutrition services provided to homebound older individuals including meals, nutrition and health promotion education, and nutrition risk screening. Each meal shall provide one-third (1/3) of the DRI and comply with the current Dietary Guidelines for Americans, 2010.
22. **Title III D (Disease Prevention and Health Promotion Services)** means program activities that have been demonstrated through rigorous

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. PROGRAM DEFINITIONS (Continued)

evaluation to be evidence-based and effective. Programs may include a variety of activities to maintain or improve the physical, mental, and nutritional health of older persons.

23. **Title III E Family Caregiver Support Program (FCSP) Categories are:**

- a. Information Services
- b. Access Assistance
- c. Support Services
- d. Respite Care
- e. Supplemental Services

B. Definitions Specific to Title VII-A (Allotments for Vulnerable Elder Rights Protection Activities)

1. **Eligible Service Population** means older individuals, 60 years of age or older, 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(a)(35), 321(a)(10); Welf. & Inst. Code §9701(b),(e)]

The Local Ombudsman Program may serve residents under 60 years of age if:

- a. A majority of the residents of the facility where the younger person resides are over age 60 and
- b. Such service does not weaken or decrease service to older individuals covered by the OAA.

[Policy of the Office of Elder Rights Protection, Administration on Aging; July 15, 1996]

2. **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 manage the day-to-day operations, including implementation of federal and State requirements. The Local Ombudsman Coordinator is required to be a State Certified Ombudsman Representative; complete State

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

**ARTICLE I. PROGRAM DEFINITIONS (Continued)**

training for new Coordinators, and participate in State Ombudsman sponsored meetings at least twice each year. 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 §§712(a)(5)(A), 712(h)(5)]  
[Welf. & Inst. Code §§9701(d), 9719]

3. **Local Ombudsman Program** means either a program of the AAA or its Subcontractor that is designated by the State Ombudsman to carry out the duties of the State Long-Term Care Ombudsman Program with respect to the PSA. The selection is in accordance with policies and procedures established by the State Ombudsman and which meets the State Ombudsman's criteria for designation and concurrence.  
[OAA §§711(3), 712(a)(5)(D)] [Welf. & Inst. Code §9701(a)]
4. **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 AAAs. As a program of CDA, the OSLTCO is responsible for activities that promote the development, coordination, and utilization of Ombudsman services. The OSLTCO establishes and maintains effective communication with programs that provide legal services for the elderly and advocacy services of a similar nature that receive funding or official designation from the State. The OSLTCO analyzes data, monitors government actions, and provides recommendations pertaining to long-term care facilities and services. The OSLTCO periodically updates training procedures for Local Ombudsman Programs and provides them with administrative and technical assistance.  
[OAA §§712(a)(1)(A), 712(a)(3)(C),(F), 712(h)]  
[Welf. & Inst. Code §§9710, 9716, 9717]
5. **State Certified 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 representative of the State Long-Term Care Ombudsman Program. Prior to certification by the State Ombudsman, the individual is required to pass State and federal criminal background clearance, complete a minimum of 36 hours of training, and complete a mentorship in accordance with policies and procedures established by the State Ombudsman.  
[OAA §§711(5), 712(a)(5)(A), 712(h)(5)]  
[Welf. & Inst. Code §§9712.5, 9719]

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. PROGRAM DEFINITIONS (Continued)

6. **State Long-Term Care Ombudsman Program** means the CDA program that is recognized by the State Legislature and is in compliance with the OAA and the Older Californians Act. The legislative intent of this program is to use volunteers and volunteer programs to effectively assist older individuals residing in long-term care facilities in the assertion of their civil and human rights. [OAA §712(a)(1)(B)] [Welf. & Inst. Code §9700]
7. **State Ombudsman** means the individual who serves as the full-time head of the OSLTCO. The State Ombudsman is appointed by the CDA Director and reports directly to this Director. With the participation of the AAAs, the State Ombudsman develops policies and procedures for the State Ombudsman Program, including AAAs' responsibilities for the provision of Ombudsman services in each PSA – including their resolution of concerns with respect to Local Ombudsman Program activity. [OAA §§712(a)(2)-(3), 712(a)(5)(D)(ii), 712(e); Welf. & Inst. Code §§9701(f), 9711]

C. Definitions Specific to Title VII-A (Allotments for Vulnerable Elder Rights Protection Activities – Programs for Prevention of Elder Abuse, Neglect, and Exploitation)

**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) [42 U.S.C. 3058i] [OAA §721], including:

1. Providing for public education and outreach to identify and prevent elder abuse, neglect, and exploitation;
2. Providing for public education and outreach to promote financial literacy and prevent identity theft and financial exploitation of older individuals;
3. Ensuring the coordination of services provided by AAAs with services instituted under the State adult protective service program, State and local law enforcement systems, and courts of competent jurisdiction;
4. Promoting 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;

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. PROGRAM DEFINITIONS (Continued)

5. Conducting 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. Conducting 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;
7. Providing 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. Conducting 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.

ARTICLE II. SCOPE OF WORK

A. The Contractor shall:

1. Implement the statutory provisions of the Title III and Title VII Programs [OAA §306] in accordance with State and federal laws and regulations. The Contractor shall make every effort to meet the goals and objectives stipulated in the four-year Area Plan and annual updates of the Area Plan's Goals, Objectives, and Service Unit Plan, herein incorporated into this Agreement by reference. Performance shall not be unilaterally reduced or otherwise changed without prior consultation with, and written approval from CDA. A service unit reduction of greater than 10 percent (10%) requires written approval from CDA. A service unit reduction of greater than 20 percent (20%) is a major change that effects Area Plan goals and objectives and requires an Area Plan Amendment. [22 CCR 7306(a)]
2. Establish and maintain an organization that shall have the ultimate accountability for funds received from the Department and for the effective and efficient implementation of the activities as described in the Area Plan and all pertinent State and federal laws and regulations including data reporting requirements.

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. SCOPE OF WORK (Continued)

3. Meet the adequate proportion requirements for priority services as required under OAA §306(a)(2); 22 CCR 7312.
4. Maintain staff time records and documentation to identify the allocation of Program Development or Coordination activities to determine the amount of Program Development or Coordination expenditures. Records and documentation shall:
  - a) Include a written description for each Program Development or Coordination activity in the staff time records that is of sufficient detail to define the event or type of activity.
  - b) Be traceable back to the Program Development or Coordination objectives as approved in the Area Plan.
5. Keep on file a written record/documentation supporting expenditures of Program Development or Coordination activities for three years or until any audit is resolved, whichever is longer.
6. Meet the requirements under OAA §301(a)(1)(A) to secure and maintain maximum independence and dignity in a home environment for the eligible service population capable of self-care with appropriate supportive and nutrition services.
7. Remove individual and social barriers to economic and personal independence for the eligible service population to the extent possible as required under OAA §301(a)(1)(B).
8. Provide a continuum of care for the vulnerable eligible service population as required under OAA §301(a)(1)(C).
9. Secure the opportunity for the eligible service population to receive managed in-home services as required under OAA §301(a)(1)(D).
10. Conduct and/or promote activities for the prevention and treatment of elder abuse, neglect, and exploitation, as required under OAA §721.
11. Enter into contracts with subcontractors that require them to provide services pursuant to 22 CCR 7352 to 7364, and ensure all applicable provisions required within this Agreement are included in the subcontract(s).
12. Review, approve, and monitor subcontractor budgets and expenditures and any subsequent amendments and revisions to budgets. The

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. SCOPE OF WORK (Continued)

Contractor shall, to the extent feasible, ensure that all budgeted funds are expended by the end of each fiscal year.

13. Monitor, on an ongoing basis, the Subcontractor's use of federal and State funds through reporting, site visits, regular contact, or other means to assure the Subcontractor administers federal and State awards in compliance with laws, regulations, and the provisions of contracts and that performance goals are achieved. [2 CFR 200.331] Onsite program monitoring must be conducted every two years for all programs except Title III C-1 and Title III C-2 which must be conducted every year. Onsite Fiscal monitoring must be conducted every two years for all programs including Title III C-1 and Title III C-2.
14. Monitor nutrition programs. Non-food preparation congregate dining sites must be inspected using a standardized procedure developed by the AAA that assures all sites are seen systematically, but not necessarily every year. The AAA Registered Dietician (RD), annually, must physically inspect each food preparation site (central kitchen). AAA policies and procedures must guarantee the following:
  - a) Inspection of non-food preparation nutrition sites at least every other year.
  - b) Inspection of non-food preparation nutrition sites more often if they are seen to have an increased risk for food safety violations or a history of corrective actions.
  - c) Inspection of central kitchens sites annually on-site.  
[22 CCR 7634.3(d)]
15. Maintain or increase the number of Title III C-1 and C-2 meals served if federal and/or State funds for meal programs increase. This contract shall promote and maintain high standards of food safety and sanitation as required by the California Retail Food Code (CalCode).
16. Provide support and technical assistance to subcontractors and respond in writing to all written requests for direction, guidance, and interpretation of instructions to include client and performance data.
17. Distribute and maintain up-to-date CDA requirements so that all responsible persons have ready access to standards, policies, and procedures.
18. Provide program information and assistance to the public.



**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. SCOPE OF WORK (Continued)

19. Maintain a four-year Area Plan, with annual updates, as specified in 22 CCR 7300 to 7320. The Area Plan and annual updates are due by May 1 of each year. The annual update shall be effective during the same term as this Agreement.
20. Maintain a program data collection and reporting system as specified in Exhibit E of this contract.
21. Contract Title III case management services only to a public or non-profit agency, as required by 42 U.S.C. 3026(a)(8)(C).
22. Offer to each older individual seeking Title III case management services, a list of agencies that provide similar services within the jurisdiction of the AAA as specified in 42 U.S.C. 3026(a)(8)(C)(i)-(iii).
23. Include the identity of each designated community focal point in subcontracts as specified in 42 U.S.C. 3026(a)(3)(B).
24. Ensure that meal counts associated with Title III C1, C2 and NSIP are in accordance 22 CCR 7638.7(a)(1)-(4).
25. Offer a meal to a volunteer under age of sixty (60) if doing so will not deprive an older individual of a meal. [22 CCR 7638.7(b)(1)] The Contractor or the Subcontractor shall develop and implement a written policy for providing and accounting for volunteer meals. [22 CCR 7638.7(b)(2)]
26. Provide a home-deliver meal to an eligible individual who is:
  - a. An older individual who is frail as defined by 22 CCR 7119, and homebound by reason of illness, disability, or isolation.
  - b. A spouse of a person in 22 CCR 7638.7(c)(1), regardless of age or condition, if an assessment concludes that is in the best interest of the homebound older individual.
  - c. An individual with a disability who resides at home with older individuals if an assessment concludes that it is in the best interest of the homebound older individual who participates in the program.
  - d. Priority shall be given to older individuals identified in 22 CCR 7638.7(c)(1).

22 CCR 7638.7(c)

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. SCOPE OF WORK (Continued)

27. Report a meal only once either as a Title III meal or a Title VI meal.
28. Adhere to 48 CFR 3.908, implementing section 828, entitled “Pilot Program for Enhancement of Contractor Whistleblower Protections,” of the National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this Agreement.
29. Recognize any same-sex marriage legally entered into in a United States (U.S.) jurisdiction that recognizes their marriage, including one of the 50 states, the District of Columbia, or a U.S. territory, or in a foreign country so long as that marriage would also be recognized by a U.S. jurisdiction. This applies regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. However, this does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage. Accordingly, recipients must review and revise, as needed, any policies and procedures which interpret or apply federal statutory or regulatory references to such terms as “marriage,” “spouse,” family,” “household member” or similar references to familial relationships to reflect inclusion of same-sex spouse and marriages. Any similar familial terminology references in the U.S. Department of Health and Human Services’ (HHS) statutes, regulations, or policy transmittals will be interpreted to include same-sex spouses and marriages legally entered into as described herein.  
[1 U.S.C. 7 - Section 3 of the Defense of Marriage Act]

- B. The Contractor shall ensure that the Local Ombudsman Program, in accordance with policies and procedures established by the State Ombudsman, will:
1. Provide services to protect the health, safety, welfare and rights of residents. [OAA §712(a)(5)(B)(i)]  
[Welf. & Inst. Code §§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)]  
[Welf. & Inst. Code §9712.5(d)]
  3. Identify, investigate, and seek to resolve complaints made by or on behalf of residents that relate to their rights and well-being as 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

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. SCOPE OF WORK (Continued)

- complainant shall be notified in writing of the decision not to investigate and the reasons for the decision.  
[OAA §712(a)(5)(B)(iii)] [Welf. & Inst. Code §§9701(a), 9712.5(a)]
4. Receive and investigate reports of suspected abuse, neglect and exploitation of elder or dependent adults occurring in long-term care facilities. [Welf. & Inst. Code §15630 et seq.]
  5. 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.]
  6. 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), Welf. & Inst. Code §9716(a)].
  7. Represent the interests of residents before governmental agencies and seek administrative, legal, and other remedies to protect the rights and well-being of residents. [OAA §712(a)(5)(B)(iv), Welf. & Inst. Code §9712.5(e)]
  8. 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)] [Welf. & Inst. Code §9712.5(g)(i)]
  9. Support the development of resident and family councils. [OAA §712(a)(5)(B)(vi)] [Welf. & Inst. Code §9726.1(a)(3)]
  10. Carry out other activities that the State Ombudsman determines to be appropriate, including the following services [OAA §712(a)(5)(B)(vii):
    - a. Update, periodically, a plan for maintaining an ongoing presence in long-term care facilities. [OAA §712(a)(3)(D); Welf. & Inst. Code §9712.5(d)(1)]
    - b. 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. [Welf. & Inst. Code §9726.1(a)(1)]

**Scope of Work – Exhibit A**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. SCOPE OF WORK (Continued)

- c. Promote visitation programs and other community involvement in long-term care facilities within the service area. [Welf. & Inst. Code §9726.1(a)(2), (4)]
  - d. Establish (in addition to support) resident, family and friends' councils. [Welf. & Inst. Code §9726.1(a)(3)]
  - e. 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. [Welf. & Inst. Code §9726.1(a)(5)]
  - f. Refer to the appropriate governmental agency the complaints and concerns of other residents in long-term care facilities that are not eligible to receive the services of the State Long-Term Care Ombudsman Program. [Welf. & Inst. Code §9712.5(a)(2)]
- 11. Ensure that the Local Ombudsman Program, in accordance with policies and procedures established by the State Ombudsman, will use Citation Penalties Account funds and Skilled Nursing Facility Quality and Accountability funds to support activities for the overall program.
  - 12. Review and approve claims for Citation Penalties Account funds and Skilled Nursing Facility Quality and Accountability funds.
  - 13. Submit monthly fiscal documents to CDA, as determined by CDA, for Citation Penalties Account funds and Skilled Nursing Facility Quality and Accountability funds.

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. FUNDS

A. Expenditure of Funds

1. The Contractor shall expend all funds received hereunder in accordance with this Agreement.
2. Any reimbursement for authorized travel and per diem shall be at rates not to exceed those amounts paid by the State in accordance with the California Department of Human Resources' (CalHR) rules and regulations.

In State:

- Mileage - <http://www.calhr.ca.gov/employees/Pages/travel-personal-vehicle.aspx>
- Per Diem (meals and incidentals) - <http://www.calhr.ca.gov/employees/Pages/travel-meals.aspx>
- Lodging - <http://www.calhr.ca.gov/employees/Pages/travel-lodging-reimbursement.aspx>

Out of State:

- <http://www.calhr.ca.gov/employees/Pages/travel-out-of-state.aspx>

This is not to be construed as limiting the Contractor from paying any differences in costs, from funds other than those provided by this Department, between the CalHR rates and any rates the Contractor is obligated to pay under other contractual agreements. No travel outside the State of California shall be reimbursed unless prior written authorization is obtained from the State. [2 CCR 599.615 et seq]

The Contractor agrees to include these requirements in all contracts it enters into with subcontractors to provide services pursuant to this Agreement.

3. CDA reserves the right to refuse payment to the Contractor or disallow costs for any expenditure, as determined by CDA 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.

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. FUNDS (Continued)

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 (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards [2 CFR Part 200].

2. Financial Management Systems

The Contractor shall meet the following standards for its financial management systems, as stipulated in [45 CFR 92.20 (governmental) or 45 CFR 74.21] (non-profits) as well as those stipulated in [2 CFR 200.302] Financial management:

- a. Financial Reporting
- b. Accounting Records
- c. Complete Disclosure
- d. Source Documentation
- e. Internal Control
- f. Budgetary Control
- g. Cash Management (written procedures)
- h. Allowable Costs (written procedures)

C. Unexpended Funds

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

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. FUNDS (Continued)

D. Availability of Funds

1. It is understood between the parties that this Agreement may have been written before ascertaining the availability or 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 US Government or the Budget Acts of the appropriate fiscal years for purposes of these programs. 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 an itemized Area Plan Budget (CDA 122). No legal liability on the part of the State for any payment may arise under this contract until funds are made available; the itemized budget is received and approved by the State 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 Department of Finance, Legislature, or Congress for the purposes of this program, the State shall have the option to either:
  - i. Terminate the contract pursuant to Exhibit D, Article XII, A of this Agreement, or
  - ii. Offer a contract amendment to the Contractor to reflect the reduced funding for this contract.
- b. In the event that the State elects to offer an amendment, it shall be mutually understood by both parties that (1) the State reserves the right to determine which contracts, if any, under this program shall be reduced, (2) some contracts may be reduced by a greater amount than others, and (3) the State shall determine at its sole

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. FUNDS (Continued)

discretion the amount that any or all of the contracts shall be reduced for the fiscal year.

E. Interest Earned

1. Interest earned on federal advance payments deposited in interest-bearing accounts must be remitted annually to CDA. Interest amounts up to \$500 per year may be retained by the Contractor and Subcontractors for administrative expense [2 CFR 200.305(b)(9)].
2. Interest earned on advances of federal and non-federal funds shall be identified as non-match cash.
3. The Contractor must maintain advance payments of federal awards in interest-bearing accounts, unless the following apply: [2 CFR 200.305(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

F. 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. For Title IIIB, IIIC, IIID, IIIE, VII Ombudsman, and VII Elder Abuse Prevention programs, 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. For Title IIIB, IIIC, IIID, IIIE, VII Ombudsman, and VII Elder Abuse Prevention programs, if Program Income is earned in excess of the amount reported in the Area Plan Budget the excess amount may be



**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. FUNDS (Continued)

deferred for use in the first quarter of the following contract period, which is the last quarter of the federal fiscal year.

5. If Program Income is deferred for use it must be used by the last day of the federal fiscal year and reported when used.
6. Program Income may not be used to meet the matching requirements of this Agreement.
7. Program Income must be used to expand baseline services.

G. 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. OTO funds can only be awarded to a subcontractor that has a valid contract with the AAA. All contracts shall be procured either through an open and competitive procurement process pursuant to 22 CCR 7352 or through a non-competitive award pursuant to 22 CCR 7360.
3. Titles III and VII federal Program OTO funds shall only be used for the following purposes:
  - a. The purchase of equipment that enhances the delivery of services to the eligible service population.
  - b. Home and community-based projects that are approved in advance by CDA, and are designed to address the unmet needs of the eligible service population identified in the Area Plan.
  - c. Innovative pilot projects that are approved in advance by CDA, and are designed for the development or enhancement of a comprehensive and coordinated system of services as defined in 45 CFR 1321.53(a) (b).
  - d. 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 CDA approval.
4. NSIP OTO funds shall only be used to purchase food used in the Elderly Nutrition Program.

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. FUNDS (Continued)

H. Matching Contributions

"Matching Contributions" means local cash and/or in-kind contributions made by the Contractor, a subcontractor, 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 or a subcontractor.
3. Matching contributions must be used for allowable costs in accordance with the OMB cost principles.

I. Area Plan Administration

Area Plan Administration may be combined into one cost objective for purposes of documenting charges for salaries and wages funded from federal fund Titles IIIB, IIIC-1, IIIC-2, IIIE, and IIIC-1 and IIIC-2 General Fund administration allocations.

ARTICLE II. BUDGET AND BUDGET REVISION

- A. The Contractor shall be compensated for expenses only as itemized in the approved Budget with the exception of line item budget transfers as noted in G.1 of this Article and shall not be entitled to payment for these expenses until this Agreement is approved and executed by CDA. The approved Area Plan Budget is hereby incorporated by reference into this Agreement as a part of Exhibit B.
- 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.
  3. Contractual Costs – subcontract and consultant cost detail.
  4. Indirect Costs.

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. BUDGET AND BUDGET REVISION (Continued)

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.
  10. Other Costs - a detailed list of other operating expenses.
- C. The Contractor shall submit electronically the original Area Plan Budget with the Area Plan and Area Plan annual updates, by May 1, unless otherwise instructed by the Department.
- D. The Contractor shall submit electronically a budget revision thirty (30) calendar days after receiving an amended Area Plan Budget Display with changes in funding levels, unless otherwise instructed by CDA.
- E. The Contractor shall ensure that the Subcontractor shall submit a budget, which shall be incorporated by reference into the subcontract and will have, at a minimum, the categories listed in Section B. above.
- F. The final date to submit a budget revision is April 30 of the contract period unless otherwise specified by CDA.
- G. Line Item Transfers

The Contractor may transfer contract funds between line items under the following terms and conditions:

1. The Contractor shall submit a revised budget to the Department for any line item transfer of funds which exceeds 10 percent (10%) of the total budget for each funding source. [Title III-B, C-1, C-2, D, E], [Title VIIA and B]
2. The Contractor shall maintain a written record of all budget changes and clearly document line item changes. The record shall include the date of the transfer, the amount, and the purpose. This record shall be available to CDA upon request and shall be maintained in the same manner as all other financial records.

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. BUDGET AND BUDGET REVISION (Continued)

H. Allocation Transfers

1. Requests to transfer federal or State funds shall be submitted to CDA for approval with the original or revised Area Plan Budget.
  - a. Transfer of federal baseline funds is allowable between Titles IIIB and IIIC in accordance with OAA 308(b)(5)(A) and between Titles, IIIC-1, and IIIC-2 in accordance with OAA Section 308(b)(4)(A).
  - b. Transfer of State funds is allowable between Title IIIC-1 General Fund and Title IIIC-2 General Fund.
2. Approved transfers and Area Plan Budgets will be incorporated by reference into the current Agreement.
3. Transfer of funds cannot be processed or approved after the end of the specified contract period.

I. Matching Requirements

1. The required minimum administration matching contributions for Title IIIB, IIIC, & IIIE combined is 25 percent (25%).
2. The required minimum program matching contributions for Title IIIB, IIIC, & IIID is 10 percent (10%).
3. The required minimum program matching contributions for Title IIIE is 25 percent (25%).
4. Minimum matching requirements are calculated on net costs, which are total costs less program income, non-matching contributions, and State funds.
5. Program matching contributions for Title IIIB, IIIC, & IIID can be pooled to meet the minimum requirement of 10 percent (10%).
6. Matching contributions generated in excess of the minimum required are considered overmatch.
7. Program overmatch from Title IIIB, IIIC, or IIID cannot be used to meet the program match requirement for IIIE.

**Budget Detail, Payment Provisions, and Closeout – Exhibit B  
AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. BUDGET AND BUDGET REVISION (Continued)

8. Of the total minimum match required for Title III at least 25 percent (25%) must be from local public agencies (e.g., city and county governments, school districts, special districts, and water districts).
9. Expend not more than 10 percent (10%) of the total Title III E federal and matching non-federal share to provide support services to grandparents and older individuals who are relative caregivers of a child who is not more than 18 years of age in accordance with OAA 373(g)(2)(C).
10. Limit expenditures for Title III E Supplemental Services to 20 percent (20%) of the total Title III E federal and matching non-federal share.

J. Program Development or Coordination

The Contractor shall not budget or fund Program Development or Coordination activities as a cost of Title III B Supportive Services until it has first budgeted and spent the total of its Title III B, III C, & III E funds allocated for area plan administration costs. During the contract period, Program Development or Coordination activities and area plan administration activities can occur simultaneously. (See Article IV. of this Exhibit of this Agreement for reconciliation during the closeout period.)

K. Indirect Costs

1. The maximum reimbursement amount allowable for indirect costs is 10 percent (10%) of the Contractor's and/or Subcontractor's direct costs, excluding in-kind contributions and nonexpendable equipment.
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.
3. Indirect costs exceeding the 10 percent (10%) maximum may be budgeted as in-kind and used to meet the minimum matching requirements
4. For major Institutes of Higher Education and major nonprofit organizations, indirect costs must be classified within two broad categories: "Facilities" and "Administration." "Facilities" is defined as depreciation on buildings, equipment and capital improvement, interest on debt associated with certain buildings, equipment and capital improvements, and operations and maintenance expenses. "Administration" is defined as general administration and general expenses such as the director's office, accounting, personnel and all other types of expenditures not listed specifically under one of the subcategories

**Budget Detail, Payment Provisions, and Closeout – Exhibit B  
AREA PLAN – Fiscal Year 2015-16**

**ARTICLE II. BUDGET AND BUDGET REVISION (Continued)**

of "Facilities" (including cross allocations from other pools, where applicable). [2 CFR 200.414]

**ARTICLE III. PAYMENTS**

**A. Title IIIB, IIIC, IIID, IIIE, VII Ombudsman and VII Elder Abuse Prevention**

The Contractor shall prepare and submit a monthly expenditure report and a request for funds to the online California Aging Reporting System (CARS) Fiscal Module by the 30<sup>th</sup> of each month as follows, or unless otherwise specified by the Department.

**Monthly Fiscal Reporting Due Dates**

<b>RFF Month</b>	<b>July</b>	<b>Aug</b>	<b>Sept</b>	<b>Oct</b>	<b>Nov</b>	<b>Dec</b>	<b>Jan</b>	<b>Feb</b>	<b>Mar</b>	<b>Apr</b>	<b>May</b>	<b>June</b>
<b>RFF Due Date</b>	5/30	6/30	7/30	8/30	9/30	10/30	11/30	12/30	1/30	2/28	3/30	4/30
<b>Expenditure Report Month</b>	<b>Apr</b>	<b>May</b>	<b>June</b>	<b>July</b>	<b>Aug</b>	<b>Sept</b>	<b>Oct</b>	<b>Nov</b>	<b>Dec</b>	<b>Jan</b>	<b>Feb</b>	<b>Mar</b>
<b>Expenditure Report Due Date</b>	5/30	6/30	7/30	8/30	9/30	10/30	11/30	12/30	1/30	2/28	3/30	4/30

\*The table is a standard request for funds (RFF) and expenditure reporting schedule. If the effective date of this contract is not July 1, the Contractor's RFF and expenditure reporting will commence with the first month of the term of this contract period and end with the month preceding the last full month of the contract.

**B. Ombudsman Citation Penalties Account and Skilled Nursing Facility Quality and Accountability Funds**

The Contractor shall submit a monthly expenditure report and a request for funds by the 30<sup>th</sup> of each month unless otherwise specified by CDA.

**C. During the contract period, CDA shall advance funds based on an analysis of current cash needs.**

**Budget Detail, Payment Provisions, and Closeout – Exhibit B**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE III. PAYMENTS (Continued)

- D. Upon execution of this Agreement, CDA will make quarterly advances of Nutrition Services Incentive Program (NSIP) funding to the Contractor during the first month of each quarter.
- E. CDA 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 CDA determines that the financial management standards are met.

ARTICLE IV. CLOSEOUT

- A. The Area Plan Financial Closeout Report and Report of Property Purchased with Agreement Funds (CDA 32) shall be submitted annually to the CDA Fiscal Team. All contractors must submit to CDA, Closeout Reports as instructed by CDA.
- B. Federal funds will be reduced proportionately to maintain the required matching ratios if the Contractor fails to report sufficient match.
- C. During the review and approval of the closeout, administration costs will be increased to the total amount allocated before approving final costs for Program Development or Coordination activities.
- D. Closeout reporting documents must be addressed to the CDA Fiscal Team.

**Exhibit B - Budget Detail, Payment Provisions, and Closeout**

**AREA PLAN  
 Budget Display  
 Fiscal Year 2015-16 (Federal Funding Year 2015)  
 County of Riverside**

**3 months (July 1, 2015 - September 30, 2015)**

Project Number	Baseline	Other Baseline Adjustments	Cumulative Transfers	Updated Baseline	Cumulative OTO	Updated Total	Net Change	Expenditures	Remaining Balance
<b>Supportive Services</b>									
Federal Title IIIB	3BSL15-15	372,250	-	-	372,250	-	372,250	-	372,250
<b>Total Supportive Services</b>		372,250	-	-	372,250	-	372,250	-	372,250
<b>Ombudsman</b>									
Federal Title IIIB	3BOL15-15	12,446	-	-	12,446	-	12,446	-	12,446
Federal Title VIIa	7OFL15-15	15,673	-	-	15,673	-	15,673	-	15,673
Special Deposit (SDF)	SDFL15-15	10,751	-	-	10,751	-	10,751	-	10,751
SNF Quality & Accountability	SNFL15-15	25,198	-	-	25,198	-	25,198	-	25,198
<b>Total Ombudsman</b>		64,068	-	-	64,068	-	64,068	-	64,068
<b>Congregate Nutrition</b>									
Federal Title IIIC1	3C1L15-15	518,982	-	-	518,982	-	518,982	-	518,982
General Fund C1	C1GL15-15	45,604	-	-	45,604	-	45,604	-	45,604
NSIP C1	NC1L15-15	36,337	-	-	36,337	-	36,337	-	36,337
<b>Total Congregate Nutrition</b>		600,923	-	-	600,923	-	600,923	-	600,923
<b>Home-Delivered Meals</b>									
Federal Title IIIC2	3C2L15-15	261,833	-	-	261,833	-	261,833	-	261,833
General Fund C2	C2GL15-15	45,232	-	-	45,232	-	45,232	-	45,232
NSIP C2	NC2L15-15	67,082	-	-	67,082	-	67,082	-	67,082
<b>Total Home Delivered Meals</b>		374,147	-	-	374,147	-	374,147	-	374,147
<b>Disease Prevention</b>									
Federal Title IIID	3DFL15-15	27,000	-	-	27,000	-	27,000	-	27,000
<b>Total Disease Prevention</b>		27,000	-	-	27,000	-	27,000	-	27,000
<b>Family Caregiver</b>									
Federal Title IIIE	3EFL15-15	174,366	-	-	174,366	-	174,366	-	174,366
<b>Total Title IIIE</b>		174,366	-	-	174,366	-	174,366	-	174,366
<b>Elder Abuse</b>									
Federal Title VII	7EFL15-15	6,521	-	-	6,521	-	6,521	-	6,521
<b>Total Elder Abuse</b>		6,521	-	-	6,521	-	6,521	-	6,521
<b>Administration</b>									
Federal Title IIIB	3BAL15-15	45,162	-	-	45,162	-	45,162	-	45,162
Federal Title IIIC1	C1AL15-15	56,330	-	-	56,330	-	56,330	-	56,330
Federal Title IIIC2	C2AL15-15	28,420	-	-	28,420	-	28,420	-	28,420
Federal Title IIIE	3EAL15-15	18,879	-	-	18,879	-	18,879	-	18,879
General Fund C1	1GAL15-15	269	-	-	269	-	269	-	269
General Fund C2	2GAL15-15	72	-	-	72	-	72	-	72
<b>Total Administration</b>		149,132	-	-	149,132	-	149,132	-	149,132
<b>Funding Summary</b>									
Federal Funds		1,641,281	-	-	1,641,281	-	1,641,281	-	1,641,281
General Fund		91,177	-	-	91,177	-	91,177	-	91,177
SNF Quality & Accountability		25,198	-	-	25,198	-	25,198	-	25,198
Special Deposit		10,751	-	-	10,751	-	10,751	-	10,751
<b>Grand Total - All Funds</b>		<b>1,768,407</b>	-	-	<b>1,768,407</b>	-	<b>1,768,407</b>	-	<b>1,768,407</b>

**Comments:**

The maximum amount of Title IIIE expenditures allowable for supplemental services is: 51,532  
 The maximum amount of Title IIIE expenditures allowable for Grandparents is: 25,766  
 The minimum General Fund to be expended for State Match in Title III is: 69,416

CFDA NUMBER	Year	Award #	Award Name
93.041	2015	15AACAT7EA	Older Americans Act Title VII-Allotments for Vulnerable Elder Rights Protection Activities
93.042	2015	15AACAT7OM	Older Americans Act Title VII-Allotments for Vulnerable Elder Rights Protection Activities
93.043	2015	15AACAT3PH	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.044	2015	15AACAT3SS	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2015	15AACAT3CM	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2015	15AACAT3HD	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.052	2015	15AACAT3FC	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.053	2015	15AACANSIP	Older Americans Act Section 311-Nutrition Services Incentive Program



**Exhibit B - Budget Detail, Payment Provisions, and Closeout**

**AREA PLAN  
 Budget Display  
 Fiscal Year 2015-16 (Federal Funding Year 2016)  
 County of Riverside**

**9 months (October 1, 2015 - June 30, 2016)**

	Project Number	Baseline	Other Baseline Adjustments	Cumulative Transfers	Updated Baseline	Cumulative OTO	Updated Total	Net Change
<b>Supportive Services</b>								
	Federal Title IIIB	3BSL16-15	1,116,750	-	-	1,116,750	-	-
	Total Supportive Services		1,116,750	-	-	1,116,750	1,116,750	-
<b>Ombudsman</b>								
	Federal Title IIIB	3BOL16-15	37,337	-	-	37,337	-	-
	Federal Title VIIa	7OFL16-15	47,017	-	-	47,017	-	-
	Special Deposit (SDF)	SDFL16-15	32,254	-	-	32,254	-	-
	SNF Quality & Accountability	SNFL16-15	75,595	-	-	75,595	-	-
	Total Ombudsman		192,203	-	-	192,203	192,203	-
<b>Congregate Nutrition</b>								
	Federal Title IIIC1	3C1L16-15	1,556,944	-	-	1,556,944	-	-
	General Fund C1	C1GL16-15	136,812	-	-	136,812	-	-
	NSIP C1	NC1L16-15	109,011	-	-	109,011	-	-
	Total Congregate Nutrition		1,802,767	-	-	1,802,767	1,802,767	-
<b>Home-Delivered Meals</b>								
	Federal Title IIIC2	3C2L16-15	785,499	-	-	785,499	-	-
	General Fund C2	C2GL16-15	135,696	-	-	135,696	-	-
	NSIP C2	NC2L16-15	201,247	-	-	201,247	-	-
	Total Home Delivered Meals		1,122,442	-	-	1,122,442	1,122,442	-
<b>Disease Prevention</b>								
	Federal Title IIID	3DFL16-15	80,998	-	-	80,998	-	-
	Total Disease Prevention		80,998	-	-	80,998	80,998	-
<b>Family Caregiver</b>								
	Federal Title IIIE	3EFL16-15	523,099	-	-	523,099	-	-
	Total Title IIIE		523,099	-	-	523,099	523,099	-
<b>Elder Abuse</b>								
	Federal Title VII	7EFL16-15	19,562	-	-	19,562	-	-
	Total Elder Abuse		19,562	-	-	19,562	19,562	-
<b>Administration</b>								
	Federal Title IIIB	3BAL16-15	135,485	-	-	135,485	-	-
	Federal Title IIIC1	C1AL16-15	168,991	-	-	168,991	-	-
	Federal Title IIIC2	C2AL16-15	85,258	-	-	85,258	-	-
	Federal Title IIIE	3EAL16-15	56,635	-	-	56,635	-	-
	General Fund C1	1GAL16-15	808	-	-	808	-	-
	General Fund C2	2GAL16-15	214	-	-	214	-	-
	Total Administration		447,391	-	-	447,391	447,391	-
<b>Funding Summary</b>								
	Federal Funds		4,923,833	-	-	4,923,833	4,923,833	-
	General Fund		273,530	-	-	273,530	273,530	-
	SNF Quality & Accountability		75,595	-	-	75,595	75,595	-
	Special Deposit		32,254	-	-	32,254	32,254	-
	<b>Grand Total - All Funds</b>		<b>5,305,212</b>	-	-	<b>5,305,212</b>	<b>5,305,212</b>	-

**Comments:**

The maximum amount of Title IIIE expenditures allowable for supplemental services is: 154,596  
 The maximum amount of Title IIIE expenditures allowable for Grandparents is: 77,298  
 The minimum General Fund to be expended for State Match in Title III is: 208,247

CFDA NUMBER	Year	Award #	Award Name
93.041	2016	16AACAT7EA	Older Americans Act Title VII-Allotments For Vulnerable Elder Rights Protection Activities
93.042	2016	16AACAT7OM	Older Americans Act Title VII-Allotments For Vulnerable Elder Rights Protection Activities
93.043	2016	16AACAT3PH	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.044	2016	16AACAT3SS	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2016	16AACAT3CM	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.045	2016	16AACAT3HD	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.052	2016	16AACAT3FC	Older Americans Act Title III-Grants for State & Community Programs on Aging
93.053	2016	16AACANSIP	Older Americans Act Title III-Grants for State & Community Programs on Aging

**Exhibit B - Budget Detail, Payment Provisions, and Closeout**

**AREA PLAN  
 Budget Display  
 Fiscal Year 2015-16  
 County of Riverside**

**12 Month Total (July 1, 2015 - June 30, 2016)**

	Baseline	Other Baseline Adjustments	Cumulative Transfers	Updated Baseline	Cumulative OTO	Updated Total	Net Change
<b>Supportive Services</b>							
Federal Title IIIB	1,489,000	-	-	1,489,000	-	1,489,000	-
<b>Total Supportive Services</b>	<b>1,489,000</b>	<b>-</b>	<b>-</b>	<b>1,489,000</b>	<b>-</b>	<b>1,489,000</b>	<b>-</b>
<b>Ombudsman</b>							
Federal Title IIIB	49,783	-	-	49,783	-	49,783	-
Federal Title VIIa	62,690	-	-	62,690	-	62,690	-
Special Deposit (SDF) SNF Quality & Accountability	43,005	-	-	43,005	-	43,005	-
<b>Total Ombudsman</b>	<b>100,793</b>	<b>-</b>	<b>-</b>	<b>100,793</b>	<b>-</b>	<b>100,793</b>	<b>-</b>
<b>Congregate Nutrition</b>							
Federal Title IIIC1	2,075,926	-	-	2,075,926	-	2,075,926	-
General Fund C1	182,416	-	-	182,416	-	182,416	-
NSIP C1	145,348	-	-	145,348	-	145,348	-
<b>Total Congregate Nutrition</b>	<b>2,403,690</b>	<b>-</b>	<b>-</b>	<b>2,403,690</b>	<b>-</b>	<b>2,403,690</b>	<b>-</b>
<b>Home-Delivered Meals</b>							
Federal Title IIIC2	1,047,332	-	-	1,047,332	-	1,047,332	-
General Fund C2	180,928	-	-	180,928	-	180,928	-
NSIP C2	268,329	-	-	268,329	-	268,329	-
<b>Total Home Delivered Meals</b>	<b>1,496,589</b>	<b>-</b>	<b>-</b>	<b>1,496,589</b>	<b>-</b>	<b>1,496,589</b>	<b>-</b>
<b>Disease Prevention</b>							
Federal Title IIID	107,998	-	-	107,998	-	107,998	-
<b>Total Disease Prevention</b>	<b>107,998</b>	<b>-</b>	<b>-</b>	<b>107,998</b>	<b>-</b>	<b>107,998</b>	<b>-</b>
<b>Family Caregiver</b>							
Federal Title IIIE	697,465	-	-	697,465	-	697,465	-
<b>Total Title IIIE</b>	<b>697,465</b>	<b>-</b>	<b>-</b>	<b>697,465</b>	<b>-</b>	<b>697,465</b>	<b>-</b>
<b>Elder Abuse</b>							
Federal Title VII	26,083	-	-	26,083	-	26,083	-
<b>Total Elder Abuse</b>	<b>26,083</b>	<b>-</b>	<b>-</b>	<b>26,083</b>	<b>-</b>	<b>26,083</b>	<b>-</b>
<b>Administration</b>							
Federal Title IIIB	180,647	-	-	180,647	-	180,647	-
Federal Title IIIC1	225,321	-	-	225,321	-	225,321	-
Federal Title IIIC2	113,678	-	-	113,678	-	113,678	-
Federal Title IIIE	75,514	-	-	75,514	-	75,514	-
General Fund C1	1,077	-	-	1,077	-	1,077	-
General Fund C2	286	-	-	286	-	286	-
<b>Total Administration</b>	<b>596,523</b>	<b>-</b>	<b>-</b>	<b>596,523</b>	<b>-</b>	<b>596,523</b>	<b>-</b>
<b>Funding Summary</b>							
Federal Funds	6,565,114	-	-	6,565,114	-	6,565,114	-
General Fund	364,707	-	-	364,707	-	364,707	-
SNF Quality & Accountability	100,793	-	-	100,793	-	100,793	-
Special Deposit	43,005	-	-	43,005	-	43,005	-
<b>Grand Total - All Funds</b>	<b>7,073,619</b>	<b>-</b>	<b>-</b>	<b>7,073,619</b>	<b>-</b>	<b>7,073,619</b>	<b>-</b>

**Comments:**

The maximum amount of Title IIIE expenditures allowable for supplemental services is: 206,128  
 The maximum amount of Title IIIE expenditures allowable for Grandparents is: 103,064  
 The minimum General Fund to be expended for State Match in Title III is: 277,663

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

**ARTICLE I. DEFINITIONS AND RESOLUTIONS OF LANGUAGE CONFLICTS**

**A. General Definitions**

1. “Agreement” or “Contract” means the Standard Agreement (Std. 213), Exhibits A, B, C, D, and E, and an approved Area Plan Budget, all of which are hereby incorporated by reference, amendments, and any other documents incorporated by reference, unless otherwise provided for in this Article.
2. “Contractor” means the Area Agency on Aging AAA awarded funds under this Agreement and is accountable to the State and/or federal government for use of these funds and is responsible for executing the provisions for services provided under this Agreement.
3. “CCR” means California Code of Regulations.
4. “CFR” means Code of Federal Regulations.
5. “Data Universal Numbering System (DUNS) number” means the nine-digit number established and assigned by Dun and Bradstreet, Inc. to uniquely identify business entities.
6. “Cal. Gov. Code” means California Government Code.
7. “HSC” means California Health and Safety Code.
8. “PC” means California Probate Code.
9. “OMB” means Office of Management and Budget.
10. “PCC” means the Public Contract Code.
11. “Reimbursable item” also means “allowable cost” and “compensable item.”
12. “State” and “Department” mean the State of California and the California Department of Aging (CDA) interchangeably.
13. “Subcontractor” means the legal entity that receives funds from the Contractor to carry out part of a federal award identified in this Agreement.
14. “Subcontract” means any form of legal agreement between the Contractor and the Subcontractor, including an agreement that the Contractor considers a contract, including vendor type Agreements that provide for the provision of goods or services under this Agreement.

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE I. DEFINITIONS AND RESOLUTIONS OF LANGUAGE CONFLICTS (Continued)

15. "U.S.C." means United States Code.
16. "Welf. & Inst. Code" means Welfare and Institutions Code.

B. 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 American Act Amendments of 2006 (OAA as amended)
2. Other applicable federal statutes and their implementing regulations
3. Older Californians Act
4. 22 CCR 7000 et.seq.
5. Standard Agreement (Std. 213), all Exhibits and any amendments thereto
6. Any other documents incorporated herein by reference, including the federal HHS terms and conditions found in Part II of the HHS Grant Policy Statement (<http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf>)
7. Program memos and other guidance issued by CDA

ARTICLE II. ASSURANCES

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

The Contractor agrees to administer this Agreement and require any subcontractors to administer their subcontracts in accordance with this Agreement and 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 and its subcontractors shall keep in effect all licenses, permits, notices, and certificates that are required by law.

B. Subcontracts

The Contractor shall require language in all subcontracts to require all subcontractors to comply with all applicable State and federal laws.

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. ASSURANCES (Continued)

C. Nondiscrimination

The Contractor shall comply with all federal statutes relating to nondiscrimination. These include those statutes and laws contained in the Contractor Certification Clauses (CCC 307) which is hereby incorporated by reference. In addition, the Contractor shall comply with the following:

1. Equal Access to Federally Funded Benefits, Programs and Activities

The Contractor shall ensure compliance with Title VI of the Civil Rights Act of 1964 [42 U.S.C. 2000d; 45 CFR 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

The Contractor shall, unless exempted, ensure compliance with the requirements of Cal. Gov. Code § 11135 to 11139.5; 22 CCR 98000 et seq., which prohibit recipients of state financial assistance from discriminating against persons based on race, national origin, ethnic group identification, religion, age, sex, sexual orientation, color, or disability. [22 CCR 98323, Chapter 182, Statutes of 2006]

3. The 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. 12101 et seq.]

4. The Contractor agrees to include these requirements in all contracts it enters into with subcontractors to provide services pursuant to this Agreement.

D. 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.

E. Conflict of Interest

1. The Contractor shall prevent employees, consultants, or members of governing bodies from using their positions for purposes including, but not limited to, the selection of subcontractors that are, or give the appearance of being, motivated by a desire for private gain for themselves or others, such as

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. ASSURANCES (Continued)

family, business, or other ties. In the event that the State determines that a conflict of interest exists, any increase in costs associated with the conflict of interest 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.

F. 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 State 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.

G. 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 as required by law.

H. Facility Construction or Repair (This section only applies to Title III.)

1. When applicable for purposes of construction or repair of facilities, the Contractor shall comply with the provisions contained in the following and shall include such provisions in any applicable agreements with subcontractors:
  - a. Copeland "Anti-Kickback" Act [18 U.S.C. 874, 40 U.S.C. 276c] [29 CFR Part 3]
  - b. Davis-Bacon Act [40 U.S.C. 276a to 276a-7] [29 CFR Part 5]

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. ASSURANCES (Continued)

- c. Contract Work Hours and Safety Standards Act [40 U.S.C. 327 to 333] [29 CFR Parts 5, 6, 7, 8]
    - d. Executive Order 11246 of September 14, 1965, entitled "Equal Employment Opportunity" as amended by Executive Order 11375 of October 13, 1967, as supplemented in Department of Labor Regulations [41 CFR Part 60]
  2. Payments are not permitted for construction, renovation, alteration, improvement, or repair of privately-owned property which would enhance the owner's value of such property except where permitted by law and by CDA.
  3. When funding is provided for construction and non-construction activities, the Contractor must obtain prior written approval from the State before making any fund or budget transfers between construction and non-construction.
- I. 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 U.S.C. 7401]
  2. Clean Water Act, as amended [33 U.S.C. 1251]
  3. Federal Water Pollution Control Act, as amended [33 U.S.C. 1251 et seq.]
  4. Environmental Protection Agency Regulations [40 CFR Part 29] [Executive Order 11738]
  5. Public Contract Code Section 10295.3
- J. Debarment, Suspension, and Other Responsibility Matters
  1. The Contractor certifies to the best of its knowledge and belief, that it and its subcontractors:
    - a. Are not presently debarred, suspended, proposed for disbarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency. [45 CFR 92.35]

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. ASSURANCES (Continued)

- b. Have 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; 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. Are 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.
  - d. Have not, within a three-year period preceding this Agreement, had one or more public transactions (federal, State, or local) terminated for cause or default.
2. The Contractor shall report immediately to CDA in writing, any incidents of alleged fraud and/or abuse by either the Contractor or subcontractors.
  3. The Contractor shall maintain any records, documents, or other evidence of fraud and abuse until otherwise notified by CDA.
  4. The Contractor agrees to timely execute any and all amendments to this Agreement or other required documentation relating to the Subcontractor's debarment/suspension status.

K. Agreement Authorization

1. If a public entity, the Contractor shall submit to CDA a copy of an approved resolution, order, or motion referencing this Agreement number authorizing execution of this Agreement. If a private nonprofit entity, the Contractor shall submit to CDA an authorization by the Board of Directors to execute this Agreement, referencing this Agreement number.
2. These documents, including minute orders, must also identify the action taken.
3. Documentation in the form of a resolution, order, or motion by the Governing Board of the AAA is required for the original and each subsequent amendment to this Agreement. This requirement may also be met by a single resolution from the Governing Board of the Contractor



**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. ASSURANCES (Continued)

authorizing the AAA Director or designee to execute the original and all subsequent amendments to this Agreement.

L. 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 State for training and meetings which the State may find necessary from time to time.

M. DUNS Number and Related Information

1. The DUNS number must be provided to CDA prior to the execution of this Agreement.
2. The Contractor must keep the DUNS number and related updates on the website at: <https://www.sam.gov/portal/SAM/#1>
3. The Contractor shall review all DUNS information to ensure it is up to date and the DUNS number status is "active".
4. If CDA cannot access the Contractor's DUNS information related to this federal subaward on the Federal Funding Accountability and Transparency Act Subaward Reporting System (SAM.gov) due to errors in the Contractor's data entry for its DUNS number, the Contractor must immediately update the information as required.

N. Corporate Status

1. The Contractor shall be a public entity, private nonprofit entity, or Joint Powers Authority (JPA). If a private nonprofit corporation or JPA, the Contractor shall be in good standing with the Secretary of State of California and shall maintain that status throughout the term of this Agreement.
2. The Contractor shall ensure that any subcontractors providing services under this Agreement shall be of sound financial status. Any subcontracting private entity or JPA shall be in good standing with the Secretary of State of California and shall maintain that status throughout the term of this Agreement.
3. Failure to maintain good standing by the contracting entity shall result in suspension or termination of this Agreement with CDA until satisfactory

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE II. ASSURANCES (Continued)

status is restored. Failure to maintain good standing by a subcontracting entity shall result in suspension or termination of the subcontract by the Contractor until satisfactory status is restored.

O. Lobbying Certification

The Contractor, by signing this Agreement, hereby certifies to the best of its knowledge and belief, that:

1. No federally 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, 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 federally 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 Contractor shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.
3. The Contractor shall require that the language of this certification be included in the award documents for all subcontracts at all tiers (including contracts under grants, loans, and cooperative agreements which exceed \$100,000) and that all subcontractors shall certify and disclose accordingly.
4. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into.
5. This certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352.
6. 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.

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

**ARTICLE III. AGREEMENT**

A copy of this executed Agreement is on file and available for inspection at the California Department of Aging, 1300 National Drive, Suite 200, Sacramento, California 95834.

**ARTICLE IV. COMMENCEMENT OF WORK**

The Contractor shall not begin work in advance of receipt of the approved contract. If the contract is not approved and the Contractor has begun work, the Contractor may be considered to be a volunteer or the Contractor may have to pursue a claim for payment by filing with the Victim Compensation and Government Claims Board. The State has no legal obligation unless and until the contract is approved.

**ARTICLE V. SUBCONTRACTS**

- A. An AAA shall obtain goods and services through open and competitive awards. Each AAA shall have written policies and procedures, including application forms, for conducting an open and competitive process, and any protests resulting from the process. At a minimum, the procedures shall include the requirements set forth in 22 CCR 7352. The only exception is contained in 22 CCR 7360(a). An AAA issuing a noncompetitive award must comply with 22 CCR 7360(b)-(d).
- B. The Contractor is responsible for carrying out the terms of this Agreement, including the satisfaction, settlement, and resolution of all administrative, programmatic, and fiscal aspects of the program(s), including issues that arise out of any subcontracts, and shall not delegate or contract these responsibilities to any other entity. This includes, but is not limited to, disputes, claims, protests of award, or other matters of a contractual nature. The Contractor's decision is final and the Subcontractor has no right of appeal to CDA.
- C. In the event any subcontractor is utilized by the Contractor for any portion of this Agreement, the Contractor shall retain the prime responsibility for all the terms and conditions set forth, including but not limited to, the responsibility for preserving the State's copyrights and rights in data in accordance with Article XIX., of this Exhibit, for handling property in accordance with Article VII. of this Exhibit, and ensuring the keeping of, access to, availability of, and retention of records of subcontractors in accordance with Article VI. of this Exhibit. Funds for this Agreement shall not be obligated in any subcontracts for services beyond the ending date of this Agreement.
- D. The Contractor shall have no authority to contract for, or on behalf of, or incur obligations on behalf of the State.

**Special Terms and Conditions - Exhibit D**  
**AREA PLAN – Fiscal Year 2015-16**

ARTICLE V. SUBCONTRACTS (Continued)

- E. Copies of subcontracts, Memorandums and/or Letters of Understanding shall be on file with the Contractor and shall be made available for review at the request of CDA.
- F. The Contractor shall monitor the insurance requirements of its subcontractors in accordance with Article XI., of this Exhibit.
- G. The Contractor shall require language in all subcontracts to require all subcontractors to indemnify, defend, and save harmless the Contractor, its officers, agents, and employees from any and all claims and losses accruing to or resulting from any subcontractors, 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 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 Subcontractor in the performance of this Agreement.
- H. The Contractor shall ensure that the Subcontractor will complete all reporting and expenditure documents requested by CDA. These reporting and expenditure documents shall be sent to the Contractor in a timely manner and at intervals as determined by CDA.
- I. Prior to the awarding of a subcontract to any for-profit entity, the Contractor shall submit the following to CDA for review and approval:
  - 1. The Request For Proposal or Invitation For Bid
  - 2. All bid proposals received
  - 3. The proposal or bid evaluation documentation, along with the Contractor's rationale for awarding the subcontract to a for-profit entity

[22 CCR 7362]

Where a program may be subcontracted to a for-profit organization, the Contractor should include in its contract with the for-profit entity a requirement for performance of a program-specific audit of the subcontracted program by an independent audit firm.

- J. The Contractor shall require all subcontractors to maintain adequate staff to meet the Subcontractor's Agreement with the Contractor. This staff shall be available to the State for training and meetings which the State may find necessary from time to time.

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ARTICLE V. SUBCONTRACTS (Continued)

- K. If a private nonprofit corporation, the Subcontractor shall be in good standing with the Secretary of State of California and shall maintain that status throughout the term of the Agreement.
- L. The Contractor shall refer to 2 CFR Part 200, Subpart F—Audit Requirements [formerly OMB Circular A-133] in making a determination if a subcontractor relationship exists. If such a relationship exists, then the Contractor shall follow the procurement requirements in the applicable OMB Circular.

ARTICLE VI. RECORDS

- A. The Contractor shall maintain complete records which shall include, but not be limited to, accounting records, contracts, agreements, a reconciliation of the "Financial Closeout Report" (CDA Closeout) to the audited financial statements, single audit report, and general ledgers, and a summary worksheet identifying the results of performing audit resolution of its subcontractors in accordance with Article X. of this Exhibit. This includes the following: letters of agreement, insurance documentation, Memorandums and/or Letters of Understanding, patient or client records, and electronic files of its activities and expenditures hereunder in a form satisfactory to the State. All records pertaining to this Agreement must be made available for inspection and audit by the State or its duly authorized agents, at any time during normal business hours.

All such records must be maintained and made available by the Contractor (1) until an audit has occurred and an audit resolution has been issued or unless otherwise authorized in writing by CDA's Audit Branch; (2) 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 (3) for such longer period as 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 CDA upon termination of this Agreement, and are returned to CDA or transferred to another contractor as instructed by CDA.
- 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 State and is so stated in writing to the Contractor.

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ARTICLE VI. RECORDS (Continued)

- D. Adequate source documentation of each transaction shall be maintained relative to the allowability of expenditures reimbursed by the State 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 2 CFR 200.302, the expenditures will be questioned in the audit and may be disallowed by the State during the audit resolution process.
- E. 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.
  - 1. Property includes land, buildings, improvements, machinery, vehicles, furniture, tools, intangibles, etc.
  - 2. Property does not include consumable office supplies such as paper, pencils, toner cartridges, file folders, etc.
- B. Property meeting all of the following criteria is subject to the reporting requirements:
  - 1. Has a normal useful life of at least one (1) year
  - 2. Has a unit acquisition cost of at least \$500 (a desktop or laptop setup, including all peripherals is considered a unit, if purchased as a unit)
  - 3. Is used to conduct business under this Agreement
- C. 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

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ARTICLE VII. PROPERTY (Continued)

(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 keep track of property purchased with funds from this Agreement, and submit to CDA annually with the Closeout, in electronic form, a cumulative inventory of all property furnished or purchased by either the Contractor or the Subcontractor with funds awarded under the terms of this Agreement or any predecessor Agreement for the same purpose. The Contractor shall use the electronic version of the Report of Property Furnished/Purchased with Agreement Funds (CDA 32), to report property to CDA unless otherwise directed by CDA.

The Contractor shall record the following information when property is acquired:

1. Date acquired
2. Item description (include model number)
3. CDA tag number or other tag identifying it as CDA property
4. Serial number (if applicable)
5. Purchase cost or other basis of valuation
6. Fund source

F. Disposal of Property

1. Prior to disposal of any property purchased by the Contractor or the Subcontractor with funds from this Agreement or any predecessor Agreement, the Contractor must obtain approval from CDA for all items with a unit cost of \$500 or more. Disposition, which includes sale, trade-in, discarding, or transfer to another agency may not occur until approval is received from CDA. The Contractor shall email to CDA the electronic version of the Request to Dispose of Property (CDA 248). CDA will then instruct the AAA on disposition of the property. Once approval for disposal has been received from CDA, the item(s) shall be removed from the Contractor's inventory report.
2. The Contractor must remove all confidential, sensitive, or personal information from CDA property prior to disposal, including removal or

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ARTICLE VII. PROPERTY (Continued)

destruction of data on computing devices with digital memory and storage capacity. This includes, but is not limited to magnetic tapes, flash drives, personal computers, personal digital assistants, cell or smart phones, multi-function printers, and laptops.

- G. The Contractor shall immediately investigate and within five (5) days fully document the loss, destruction, or theft of such property.
- H. The State reserves title to all State-purchased or financed property not fully consumed in the performance of this Agreement, unless otherwise required by federal law or regulations or as otherwise agreed by the parties.
- I. The Contractor shall exercise due care in the use, maintenance, protection, and preservation of such property during the period of the project, and shall assume responsibility for replacement or repair of such property during the period of the project, or until the Contractor has complied with all written instructions from CDA 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 State. The State reserves the right to require the Contractor to transfer such property to another entity or to the State.
- K. To exercise the above right, no later than 120 days after termination of this Agreement or notification of the Contractor's dissolution, the State 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 State for other purposes in this order:
  - 1. Another CDA program providing the same or similar service
  - 2. Another CDA-funded program
- M. The Contractor may share use of the property and equipment or allow use by other programs, upon written approval from CDA. As a condition of the approval, CDA may require reimbursement under this Agreement for its use.
- N. The Contractor or subcontractors 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.



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ARTICLE VII. PROPERTY (Continued)

- O. If purchase of equipment is a reimbursable item, the equipment to be purchased will be specified in the budget.
- P. The Contractor shall include the provisions contained in this Article in all its subcontracts awarded under this Agreement.

ARTICLE VIII. ACCESS

The Contractor shall provide access to the federal or State contracting agency, the California State Auditor, the Comptroller General of the United States, or any of their duly authorized federal or State representatives to any books, documents, papers, and records, of the Contractor or subcontractor which are directly pertinent to this specific Agreement for the purpose of an audit, examination, excerpts, and transcriptions. The Contractor shall include this requirement in its subcontracts.

ARTICLE IX. MONITORING AND EVALUATION

- A. Authorized State representatives shall have the right to monitor and evaluate the Contractor's administrative, fiscal and program performance pursuant to this Agreement. Said monitoring and evaluation may include, but is not limited to, administrative processes, fiscal data, and procurement components. This will include policies, procedures, procurement audits, inspections of project premises, inspection of food preparation sites, and interviews of project staff and participants.
- B. The Contractor shall cooperate with the State in the monitoring and evaluation processes, which include making any administrative, program, and fiscal staff available during any scheduled process.
- C. The Contractor shall monitor contracts and subcontracts to ensure compliance with laws, regulations, and the provisions of contracts that may have a direct and/or material effect on each of its major programs.
- D. 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 funds shall arrange for an audit to be performed as required by the Single Audit Act of 1984 (Public Law 98-502); the Single Audit Act Amendments of 1996 (Public Law 104-156); and 2 CFR 200.501 to 200.521 [formerly OMB Circular A-133].

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**ARTICLE X. AUDITS (Continued)**

A copy shall be submitted to the:

California Department of Aging  
Attention: Audit Branch  
1300 National Drive, Suite 200  
Sacramento, California 95834

The copy shall be submitted within thirty (30) days after receipt of the Auditor's report or nine (9) months after the end of the audit period, whichever occurs first, or 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 discretely along with the related federal expenditures in the single audit report's "Schedule of Expenditures of Federal Awards" (SEFA) under the appropriate Catalog of Federal Domestic Assistance (CFDA) number as referenced in Section B. of this Article.

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

**B. Section B. applies only to Title III and Title VII.**

The following closely related programs identified by CFDA number are to be considered as an "other cluster" for purposes of determining major programs or whether a program-specific audit may be elected. The Contractor shall identify the CFDA titles and numbers to the independent auditor conducting the organization's single audit along with each of its subcontractors. The funding source (Federal Grantor) for the following programs is the U.S. Department of Health and Human Services, Administration for Community Living.

- |        |                                                                                                                                       |
|--------|---------------------------------------------------------------------------------------------------------------------------------------|
| 93.041 | Special Programs for the Aging-Title VII, Chapter 3 – Programs for Prevention of Elder Abuse, Neglect, and Exploitation (Title VII-B) |
| 93.042 | Special Programs for the Aging-Title VII, Chapter 2 – Long-Term Care Ombudsman Services for Older Individuals (Title VII-A)           |
| 93.043 | Special Programs for the Aging-Title III, Part D – Disease Prevention and Health Promotion Services (Title III-D)                     |

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ARTICLE X. AUDITS (Continued)

- 93.044 Special Programs for the Aging-Title III, Part B – Grants for Supportive Services and Senior Centers (Title III-B)
- 93.045 Special Programs for the Aging-Title III, Part C – Nutrition Services (Title III-C)
- 93.052 National Family Caregiver Support Program-Title III, Part E
- 93.053 Nutrition Services Incentive Program

“Cluster of programs” means a grouping of closely-related programs that share common compliance requirements. The types of clusters of programs are research and development, student financial aid, and other clusters. “Other clusters” are defined by the consolidated CFR in the Compliance Supplement or as designated by a State for federal awards provided to its subcontractors 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 subcontractors of compliance requirements applicable to the cluster. A “cluster of programs” shall be considered as one program for determining major programs, as described in 2 CFR 200.501 to 200.521 [formerly OMB Circular A-133], whether a program-specific audit may be elected. (Federal Office of Management and Budget, [2 CFR Part 200, Subpart F Audit Requirements] [formerly OMB Circular A-133], Audits of States, Local Governments, and Non-Profit Organizations)

- C. The Contractor shall perform a reconciliation of the “Financial Closeout Report” to the audited financial statements, single audit, and general ledgers. The reconciliation shall be maintained and made available for CDA review.
- D. The Contractor shall have the responsibility for resolving its contracts with subcontractors to determine whether funds provided under this Agreement are expended in accordance with applicable laws, regulations, and provisions of contracts or agreements.

Contract resolution includes:

- 1. Ensuring that subcontractors expending \$750,000 or more in federal awards during the Subcontractor’s fiscal year have met the audit requirements of 2 CFR 200.501 to 200.521 [formerly OMB Circular A-133] as summarized in Section D and E of this Article.

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ARTICLE X. AUDITS (Continued)

2. Issuing a management decision on audit findings within six (6) months after receipt of the Subcontractor's single audit report and ensuring that the Subcontractor takes appropriate and timely corrective action.
3. Reconciling expenditures reported to the Contractor to the amounts identified in the single audit or other type of audit, if the Subcontractor was not subject to the single audit requirements. For a subcontractor who was not required to obtain a single audit and did not obtain another type of audit, the reconciliation of expenditures reported to the Contractor must be accomplished through performing alternative procedures (e.g., risk assessment [2 CFR 200.331]; documented review of financial statements; and documented expense verification, including match; etc.).
4. When alternative procedures are used, the Contractor shall perform financial management system testing which provides, in part, for the following:
  - a. Accurate, current, and complete disclosure of the financial results of each federal award or program.
  - b. Records that identify adequately the source and application of funds for each federally funded activity.
  - c. Effective control over, and accountability for, all funds, property, and other assets to ensure these items are used solely for authorized purposes.
  - d. Comparison of expenditures with budget amounts for each federal award.
  - e. Written procedures to implement the requirements of 2 CFR 200.305.
  - f. Written procedures for determining the allowability of costs in accordance with 2 CFR Part 200, Subpart E—Cost Principles.

[2 CFR 200.302]
5. The Contractor shall document system and expense testing to show an acceptable level of reliability, including a review of actual source documents.
6. Determining whether the results of the reconciliations performed necessitate adjustment of the Contractor's own records.

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ARTICLE X. AUDITS (Continued)

- E. The Contractor shall ensure that subcontractor single audit reports meet 2 CFR Part 200, Subpart F—Audit Requirements [formerly OMB Circular A-133] requirements:
1. Performed timely – not less frequently than annually and a report submitted timely. The audit is required to be submitted within thirty (30) days after receipt of the auditor's report or nine (9) months after the end of the audit period, whichever occurs first. [2 CFR 200.512]
  2. Properly procured – use procurement standards for auditor selection. [2 CFR 200.509]
  3. Performed in accordance with Generally Accepted Government Auditing Standards. [2 CFR 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; 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 [formerly OMB Circular A-133 Compliance Supplement].
- F. Requirements identified in Sections D and E of this Article shall be included in contracts with the Subcontractor. Further, the Subcontractor shall be required to include in its contract with the independent auditor that the auditor will comply with all applicable audit requirements/standards; CDA shall have access to all audit reports and supporting work papers and CDA has the option to perform additional work, as needed.
- G. The Contractor shall prepare a summary worksheet of results from the contract resolutions performed of all subcontractors. The summary worksheet shall include, but not be limited to, contract amounts; amounts resolved; amounts of match verified; resolution of variances; recovered amounts; whether an audit was relied upon or the Contractor performed an independent expense verification review (alternative procedures) of the Subcontractor in making a determination; whether audit findings were issued; and, if applicable, issuance date of the management letter and any communication or follow-up performed to resolve the findings.
- H. A reasonably proportionate share of the costs of audits required by, and performed in accordance with, the Single Audit Act Amendments of 1996, as

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**ARTICLE X. AUDITS (Continued)**

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 subcontractors 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]

- I. The Contractor shall cooperate with and participate in any further audits which may be required by the State.

**ARTICLE XI. INSURANCE**

- A. Prior to commencement of any work under this Agreement, the Contractor shall provide for the term of this Agreement, the following insurance:
  1. General liability of not less than \$1,000,000 per occurrence for bodily injury and property damage combined. Higher limits may be required by CDA in cases of higher than usual risks.

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ARTICLE XI. INSURANCE (Continued)

2. Automobile liability, including non-owned auto liability, of not less than \$1,000,000 for volunteers and paid employees providing services supported by this Agreement.
  3. If applicable, or unless otherwise amended by future regulation, the Contractor and subcontractors shall comply with the Public Utilities Commission General Order No. 115-F which requires higher levels of insurance for charter-party carriers of passengers and is based on seating capacity as follows:
    - a. \$750,000 if seating capacity is under 8
    - b. \$1,500,000 if seating capacity is 8 – 15
    - c. \$5,000,000 if seating capacity is over 15
  4. Professional liability of not less than \$1,000,000 as it appropriately relates to the services rendered. Coverage shall include medical malpractice and/or errors and omissions.
- B. The insurance will be obtained from an insurance company acceptable to the Department of General Services, Office of Risk and Insurance Management (DGS, ORIM), or be provided through partial or total self-insurance acceptable to the Department of General Services (DGS).
- C. Evidence of insurance shall be in a form and content acceptable to DGS, ORIM.
- D. The Contractor shall notify the State within five (5) business days of any cancellation, non-renewal, or material change that affects required insurance coverage.
- E. Insurance obtained through commercial carriers shall meet the following requirements:
1. The Certificate of Insurance shall provide the statement: "The Department of Aging, State of California, its officers, agents, employees, and servants are included as additional insureds, with respect to work performed for the State of California under this Agreement." Professional liability coverage is exempt from this requirement.
  2. CDA shall be named as the certificate holder and CDA's address must be listed on the certificate.

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ARTICLE XI. INSURANCE (Continued)

- F. The insurance provided herein shall be in effect at all times during the term of this Agreement. In the event the insurance coverage expires during the term of this Agreement, the Contractor agrees to provide CDA, at least thirty (30) days prior to the expiration date, a new Certificate of Insurance evidencing insurance coverage as provided herein for a period not less than the remaining Agreement term or for a period not less than one (1) year. In the event the Contractor fails to keep in effect at all times said insurance coverage, CDA may, in addition to any other remedies it may have, terminate this Agreement.
- G. The Contractor shall require its subcontractors under this Agreement, other than units of local government which are similarly self-insured, to maintain adequate insurance coverage for general liability, Worker's Compensation liabilities, and if appropriate, auto liability, including non-owned auto and professional liability, and further, the Contractor shall require all of its subcontractors to hold the Contractor harmless. The Subcontractor's Certificate of Insurance for general and auto liability shall also name the Contractor, not the State, as the certificate holder and additional insured. The Contractor shall maintain Certificates of Insurance for all of its subcontractors.
- H. A copy of each appropriate Certificate of Insurance or letter of self-insurance, referencing this Agreement number, shall be submitted to CDA with this Agreement.
- I. The Contractor shall be insured against liability for Worker's Compensation or undertake self-insurance in accordance with the provisions of the Labor Code, and the Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement [Labor Code Section 3700].
- J. The entity providing Ombudsman services must be insured or self-insured for professional liability covering all Ombudsman activities including, but not limited to, investigation of patient complaints.

ARTICLE XII. TERMINATION

A. Termination Without Cause

CDA may terminate performance of work under this Agreement, in whole or in part, without cause, if CDA determines that a termination is in the State's best interest. CDA may terminate the Agreement upon ninety (90) days written notice to the Contractor. The Notice of Termination shall specify the extent of the termination and shall be effective ninety (90) days from the delivery of the Notice. The parties agree that if the termination of the contract is due to a reduction or deletion of funding by the Department of Finance (DOF), Legislature or



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ARTICLE XII. TERMINATION (Continued)

Congress, the Notice of Termination shall be effective thirty (30) days from the delivery of the notice. The Contractor shall submit to CDA a Transition Plan as specified in Exhibit E of this Agreement. 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.

B. Termination for Cause

CDA may terminate, in whole or in part, for cause the performance of work under this Agreement. CDA may terminate the Agreement upon thirty (30) days written notice to the Contractor. The Notice of Termination shall be effective thirty (30) days from the delivery of the Notice of Termination unless the grounds for termination are due to threat to life, health or safety of the public and in that case, the termination shall take effect immediately. The Contractor shall submit to CDA a Transition Plan as specified in Exhibit E of this Agreement. The grounds for termination for cause shall include, but are not limited to, the following:

1. In case of threat of life, health or safety of the public, termination of the 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 Contractor 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.

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ARTICLE XII. TERMINATION (Continued)

10. Finding of debarment or suspension.
11. The Contractor's organizational structure has materially changed.
12. CDA determines that the Contractor may be considered a "high risk" agency as described in 45 CFR 92.12 for local government and 45 CFR 74.14 for non-profit organizations. 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 CDA, 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 subcontracts for materials, or services, except as necessary to complete the continued portion of the contract.
3. Terminate all subcontracts to the extent they relate to the work terminated.
4. Settle all outstanding liabilities and termination settlement proposals arising from the termination of subcontracts (the approval or ratification of which will be final for purposes of this clause).

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 CDA, the reason for such action, and any conditions of the termination, including the date of termination.

E. Voluntary Termination of Area Plan Agreement

Pursuant to 22 CCR 7210, the Contractor may voluntarily terminate its contract prior to its expiration either by mutual agreement with CDA or upon thirty (30) days written notice to CDA. In case of voluntary termination, the Contractor shall

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ARTICLE XII. TERMINATION (Continued)

allow CDA up to 180 days to transition services. The Contractor shall submit a Transition Plan in accordance with Exhibit E of this Agreement.

- F. In the event of a termination, CDA 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 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 CDA 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 CDA immediately of any intention to discontinue existence of the entity or to bring an action for dissolution.

ARTICLE XV. AMENDMENTS, REVISIONS OR MODIFICATIONS

- A. No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed, and approved through the State amendment process in accordance with the State Contract Manual. No oral understanding or agreement not incorporated in this Agreement is binding on any of the parties.
- B. The State 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, provided the Contractor retains receipt, and shall be communicated as of actual receipt.
- B. Any notice given to CDA for the Contractor's change of legal name, main address, or name of the Director shall be addressed to the Director of CDA on the Contractor's letterhead.
- C. All other notices with the exception of those identified in Section B. of this Article shall be addressed to the California Department of Aging, AAA Based Teams,

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ARTICLE XVI. NOTICES (Continued)

1300 National Drive, Suite 200, Sacramento, California, 95834. Notices mailed to the Contractor shall be to the address indicated on the coversheet of this Agreement.

- D. Either party may change its address by written notice to the other party in accordance with this Article.

ARTICLE XVII. DEPARTMENT CONTACT

- A. The name of CDA's contact to request revisions, waivers, or modifications affecting this Agreement, will be provided by the State to the Contractor upon full execution of this Agreement.
- B. The Contractor shall, upon request from CDA, submit the name of its Agency Contract Representative (ACR), for this Agreement by submitting an Agency Contract Representative form to CDA's Contracts and Business Services Section. This form requires the ACR's address, phone number, email address, and FAX number to be included on this form. For any change in this information, the Contractor shall submit an amended Agency Contract Representative form to the same address. This form may be requested from CDA's Contracts and Business Services Section.

ARTICLE XVIII. INFORMATION INTEGRITY AND SECURITY

A. Information Assets

The Contractor shall have in place operational policies, procedures, and practices to protect State information assets (i.e., public, confidential, sensitive and/or personal information) as specified in the State Administrative Manual, Section 5300 to 5365.3; Cal. Gov. Code § 11019.9; DGS Management Memo 06-12; DOF Budget Letter 06-34; and CDA Program Memorandum 07-18 Protection of Information Assets.

Information assets include (but are not limited to):

1. Information collected and/or accessed in the administration of the State programs and services.
2. Information stored in any media form, paper or electronic.

B. Encryption on Portable Computing Devices

The Contractor is required to encrypt data collected under this Agreement that is confidential, sensitive, and/or personal including data stored on portable

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ARTICLE XVIII. INFORMATION INTEGRITY AND SECURITY (Continued)

computing devices (including, but not limited to, laptops, personal digital assistants, notebook computers, and backup media) and/or portable electronic storage media (including, but not limited to, discs, thumb/flash drives, portable hard drives, and backup media).

C. Disclosure

1. The Contractor shall ensure that personal, sensitive and confidential information is protected from inappropriate or unauthorized access or disclosure in accordance with applicable laws, regulations and State policies. The requirement to protect information shall remain in force until superseded by laws, regulations, or policies.
2. The Contractor shall protect from unauthorized disclosure names and other identifying information, concerning persons receiving services pursuant to this Agreement, except for statistical information not identifying any participant.
3. "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; and symbol or other identifying characteristic assigned to the individual, such as finger or voice print or a photograph.
4. The Contractor shall not use the identifying information in paragraph 3 above for any purpose other than carrying out the Contractor's obligations under this Agreement. The Contractor and its subcontractors are 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 CDA without prior written authorization from CDA. The Contractor may be authorized, in writing, by a participant to disclose identifying information specific to the authorizing participant.
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.

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ARTICLE XVIII. INFORMATION INTEGRITY AND SECURITY (Continued)

D. Training/Education

1. The Contractor must provide ongoing education and training, at least annually, to all employees and subcontractors who handle personal, sensitive, or confidential information. The Contractor's employees, subcontractors, and volunteers must complete the required Security Awareness Training module located at [www.aging.ca.gov](http://www.aging.ca.gov) within thirty (30) days of the start date of the Contract/Agreement or within thirty (30) days of the start date of any new employee, subcontractor or volunteer. The Contractor must maintain certificates of completion on file and provide them to CDA upon request. Training may be provided on an individual basis or in groups. A sign-in sheet is acceptable documentation for group training in lieu of individual certificates. If internet access is not available, a hardcopy of the training module may be provided to employees and/or volunteers for their completion.
2. The Contractor may substitute CDA's Security Awareness Training program with its own Security Training provided such training meets or exceeds CDA's training requirement. Contractors shall maintain documentation of training and education provided to their staff, volunteers, and/or subcontractors.
3. All employees and volunteers who handle personal, sensitive, or confidential information relating to CDA's programs must participate in Security Awareness Training.

E. Health Insurance Portability and Accountability Act (HIPAA)

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

F. Contractor Confidentiality Statement

The Contractor shall sign and return a Contractor Confidentiality Statement (CDA 1024) form with this Agreement. This is to ensure that the Contractor is aware of, and agrees to comply with, their obligations to protect CDA information assets from unauthorized access and disclosure.

G. Security Incident Reporting

A security incident occurs when CDA information assets are accessed, modified, destroyed, or disclosed without proper authorization, or are lost, or stolen. The

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ARTICLE XVIII. INFORMATION INTEGRITY AND SECURITY (Continued)

Contractor must report all security incidents to the appropriate CDA Program Manager immediately upon detection. A Security Incident Report (CDA 1025) form must be submitted to the CDA Information Security Officer within five (5) business days of the date the incident was detected.

H. Notification of Security Breach to Data Subjects

1. Notice must be given by the Contractor or subcontractors to any data subject whose personal information could have been breached.
2. Notice must be given in the most expedient time possible and without unreasonable delay except when notification would impede a criminal investigation, or when necessary, measures to restore system integrity are required.
3. Notice may be provided in writing, electronically, or by substitute notice in accordance with State law, regulation, or policy.

I. Software Maintenance

The Contractor shall apply security patches and upgrades and keep virus software up-to-date on all systems on which State data may be used.

J. Electronic Backups

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

K. Provisions of this Article

The provisions contained in this Article shall be included in all contracts of both the Contractor and its subcontractors.

ARTICLE XIX. COPYRIGHTS AND RIGHTS IN DATA

A. Copyrights

1. If any material funded by this Agreement is subject to copyright, the State 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.

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ARTICLE XIX. COPYRIGHTS AND RIGHTS IN DATA (Continued)

2. The Contractor may request permission to copyright material by writing to the Director of CDA. The Director shall consent to, or give the reason for denial to the Contractor in writing within sixty (60) days of receipt of the request.
3. If the material is copyrighted with the consent of CDA, the State reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, prepare derivative works, publish, distribute and use such materials, in whole or in part, and to authorize others to do so, provided written credit is given to the author.
4. The Contractor certifies that it has appropriate systems and controls in place to ensure that State 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 paragraph 2 below, produced or resulting from activities supported by this Agreement without the express written consent of the Director of the CDA. 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 CDA. CDA may request a copy of the material for review prior to approval of the request. This subsection is not intended to prohibit the Contractor 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, or the exchange of that information between AAAs to facilitate uniformity of contract and program administration on a statewide basis.
3. Subject only to the provisions of this Exhibit, the State 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.



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ARTICLE XIX. COPYRIGHTS AND RIGHTS IN DATA (Continued)

4. Materials published or transferred by the Contractor shall: (a) state “The materials or product were a result of a project funded by a contract with the California Department of 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 California Department of Aging and that the publication may not be based upon or inclusive of all raw data.”

ARTICLE XX. BILINGUAL AND LINGUISTIC PROGRAM SERVICES

[Cal. Gov. Code § 11135 to 11139.5] [22 CCR 98211, 98310 to 98314, 98324 to 98326, 98340 to 98370]

A. Needs Assessment

1. The Contractor shall conduct a cultural and linguistic group-needs assessment of the eligible client population in the Contractor’s service area to assess the language needs of the population and determine what reasonable steps are necessary to ensure meaningful access to services and activities to eligible individuals. [22 CCR 98310, 98314]

The group-needs assessment shall take into account the following four factors:

- a. Number or proportion of persons with Limited English Proficiency (LEP) speaking persons eligible to be served or encountered by the program.
- b. Frequency with which LEP individuals come in contact with the program.
- c. Nature and importance of the services provided.
- d. Local or frequently used resources available to the Contractor.

This group-needs assessment will serve as the basis for the Contractor’s determination of “reasonable steps” and provide documentary evidence of compliance with Cal. Gov. Code § 11135 et seq.; 22 CCR 98000 to 98382.

2. The Contractor shall prepare and make available a report of the findings of the group-needs assessment that summarizes:
  - a. Methodologies used.

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**ARTICLE XX. BILINGUAL AND LINGUISTIC PROGRAM SERVICES (Continued)**

- b. The linguistic and cultural needs of non-English speaking or LEP groups.
  - c. Services proposed to address the needs identified and a timeline for implementation. [22 CCR 98310]
3. The Contractor shall maintain a record of the group-needs assessment on file at the Contractor's headquarters at all times during the term of this Agreement. [22 CCR 98310, 98313]

**B. Provision of Services**

1. The Contractor shall take reasonable steps, based upon the group-needs assessment identified in Section A. of this Article, to ensure that "alternative communication services" are available to non-English speaking or LEP beneficiaries of services under this Agreement.
- [22 CCR 98211]
2. "Alternative communication services" include, but are not limited to, the provision of services and programs by means of the following:
- a. Interpreters or bilingual providers and provider staff.
  - b. Contracts with interpreter services.
  - c. Use of telephone interpreter lines.
  - d. Sharing of language assistance materials and services with other providers.
  - e. Translated written information materials, including but not limited to, enrollment information and descriptions of available services and programs.
  - f. Referral to culturally and linguistically appropriate community service programs.
3. Based upon the findings of the group needs assessment, the Contractor shall ensure that reasonable alternative communication services are available to meet the linguistic needs of identified eligible client population groups at key points of contact. Key points of contact include, but are not limited to, telephone contacts, office visits, and in-home visits.
- [22 CCR 98211]

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ARTICLE XX. BILINGUAL AND LINGUISTIC PROGRAM SERVICES (Continued)

4. The Contractor shall self-certify to compliance with the requirements of this section and shall maintain the self-certification record on file at the Contractor's office at all times during the term of this Agreement. [22 CCR 98310]
5. The Contractor shall notify its employees of clients' rights regarding language access and the Contractor's obligation to ensure access to alternative communication services where determined appropriate based upon the needs assessment conducted by the Contractor. [22 CCR 98324]
6. Noncompliance with this section may result in suspension or termination of funds and/or termination of this Agreement. [22 CCR 98370]

C. Compliance Monitoring

1. The Contractor shall develop and implement policies and procedures for assessing and monitoring the performance of individuals and entities that provide alternative communication services to non-English and LEP clients. [22 CCR 98310]
2. The Contractor shall monitor, evaluate, and take effective action to address any needed improvement in the delivery of culturally and linguistically appropriate services. [22 CCR 98310]
3. The Contractor shall permit timely access to all records of compliance with this section. Failure to provide access to such records may result in appropriate sanctions. [22 CCR 98314]

D. Notice to Eligible Beneficiaries of Contracted Services

1. The Contractor shall designate an employee to whom initial complaints or inquiries regarding national origin can be directed. [22 CCR 98325]
2. The Contractor shall make available to ultimate beneficiaries of contracted services and programs information regarding CDA's procedure for filing a complaint and other information regarding the provisions of Cal. Gov. Code § 11135 et seq. [22 CCR 98326]
3. The Contractor shall notify CDA immediately of a complaint alleging discrimination based upon a violation of State or federal law. [22 CCR 98211, 98310, 98340]

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**ARTICLE I. ASSURANCES SPECIFIC TO THIS AGREEMENT**

A. General Assurances

The Contractor shall assure that the following conditions are met:

1. Services are provided only to the defined Eligible Service Population.
2. If the Contractor makes any award of funds to a public or private nonprofit agency, for the following purposes: (1) acquiring, altering, leasing, or renovating a facility, including a mobile facility, for use as a multipurpose senior center or (2) constructing a facility, including a mobile facility, for use as a multipurpose senior center, the Contractor shall adhere to the program requirements and to 45 CFR Part 74, "Procurement Standards" (procurement by contractors and subcontractors for nonprofit organizations), and 45 CFR 92.36 (procurement for State and local governments), as applicable.
3. The Contractor shall comply with the standards and guidelines for procurement of supplies, equipment, construction, and services as provided in 45 CFR 92.36.
4. The Contractor assures that when an existing facility has been altered (with funds made available by this Agreement) and is used as a multipurpose senior center, the period of time in which such facility shall be used as a center is as follows:
  - a. Not less than three (3) years from the date the Agreement terminates where the amount of the Agreement, including the non-federal share, does not exceed \$30,000.
  - b. If the Agreement amount exceeds \$30,000, the fixed period of time shall be not less than three (3) years from the date of Agreement plus one (1) year for each additional \$10,000, or part thereof, to a maximum of \$75,000.
  - c. For Agreement amounts which exceed \$75,000, the fixed period of time shall be no less than ten (10) years.
5. Any multipurpose senior center constructed with funds made available by this Agreement shall be used for that purpose for at least 20 years after completion of that construction.
6. Any facility to be used as a senior center and acquired with funds made available by this Agreement shall be used for that purpose for at least ten (10) years from the date of acquisition.

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ARTICLE I. ASSURANCES SPECIFIC TO THIS AGREEMENT (Continued)

7. Any agency awarded Title III funds for senior center acquisition or construction will have a completed and notarized Notice of Assurances to the State of California of the Use of Property and the United States' Right of Recapture (CDA 214) recorded with the county recorder. The Contractor shall periodically validate continuing use of such facility as a senior center during the recapture period.
8. CDA will make funds available only for the support of activities specified in an approved and current Area Plan that is in compliance with State and federal laws and regulations.
9. The Contractor and/or Subcontractor shall make use of trained volunteers to expand the provision of FCSP activities in accordance with OAA §373(d).
10. 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.
11. Funds made available under Title III E shall be budgeted and expended in accordance with the five federal support service components specified in OAA §373(b); and distinguished between "caregiver" and "grandparent" support services, as required for NAPIS.
12. Funds made available under Title III E shall enable comprehensive and multifaceted systems of support services that include the five federal support service components for both "family caregiver" and "grandparent caregiver" [OAA §373(a)-(b)], unless the AAA has documented through the Area Plan process that one or more of these components is being addressed by other sources.
13. Funds made available under this Agreement shall supplement, and not supplant, any federal, State, or local funds expended by a State or unit of general purpose local government to provide Title III (excluding III E) and Title VII services.
14. Funds made available under Title III E shall supplement and not supplant other services that may directly or indirectly support unpaid caregiving, such as Medicaid waiver programs (e.g., the Multipurpose Senior Services Program, etc.) or other caregiver services such as those provided through the Department of Social Services' Kinship Support Service Programs, the California Community Colleges' Foster and Kinship Care Education Programs, the Department of Developmental Services' Regional Centers,

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ARTICLE I. ASSURANCES SPECIFIC TO THIS AGREEMENT (Continued)

the California Caregiver Resource Centers and other Title III funded providers.

15. The Contractor assures that voluntary contributions shall be allowed and may be solicited in accordance with the following requirements [OAA §315(b)]:
  - a. The Contractor or any subcontractors for any Title III or Title VII services shall not use means tests.
  - b. Any Title III or Title VII client that does not contribute toward the cost of the services received shall not be denied services.
  - c. Methods used to solicit voluntary contributions for Title III and Title VII services shall be non-coercive.
  - d. Each service provider will:
    - (i) Provide each recipient with an opportunity to voluntarily contribute to the cost of the service;
    - (ii) Clearly inform each recipient that there is no obligation to contribute and that the contribution is purely voluntary;
    - (iii) Protect the privacy and confidentiality of each recipient with respect to the recipient's contribution or lack of contribution; and
    - (iv) Establish appropriate procedures to safeguard and account for all contributions.
16. Any Title III and Title VII service shall not implement a Cost Sharing program unless approved by CDA.
17. The Contractor shall comply with OAA §306(a)(17), which requires an AAA to include in its Area Plan information on how it will coordinate activities and develop long-range emergency preparedness plans with local and State emergency response agencies, relief organizations, local and State governments, and any other institutions that have responsibility for disaster relief service delivery.
18. The Contractor, at a minimum, shall identify and make contact with its local Office of Emergency Services (OES) to define their respective roles and responsibilities. This contact shall include a discussion of the types of

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ARTICLE I. ASSURANCES SPECIFIC TO THIS AGREEMENT (Continued)

clients served by the AAA and how OES will address their needs in the community.

19. The Contractor shall furnish annually, or whenever a change occurs, the name of its Disaster Coordinator to the CDA Disaster Coordinator.
20. The Contractor shall assure that its Information and Assistance staff have written procedures in place and are trained at least annually on how to handle emergencies. As specified in 22 CCR §7547, the training shall consist of:
  - a. Familiarity with telephone numbers of fire, police, and ambulance services for the geographic area served by the provider. These telephone numbers shall be posted near the telephone for easy access when an emergency arises.
  - b. Techniques to obtain vital information from older individuals and persons with disabilities who require emergency assistance.
  - c. Making written emergency procedure instructions available to all staff who have contact with older individuals or persons with disabilities.
21. The Contractor shall not require proof of age, citizenship, or disability as a condition of receiving services.
22. The Contractor shall develop a policy and procedure to ensure that Title III C-1 and Title III C-2 meals are only received by eligible individuals.
23. The Contractor shall annually assess each Title III C-2 client's nutrition risk using the Determine Your Nutritional Risk checklist published by the Nutrition Screening Initiative. [OAA §339(2)(J)] [OAA §207(a)(3)]

B. Assurances Specific to the Ombudsman Program

The Contractor shall assure the following:

1. Representatives of the Local Ombudsman Program and members of their immediate family shall be free of actual and perceived conflicts of interest and not stand to gain financially through the following:
  - a. Remuneration (in cash or in-kind) received directly or indirectly under a compensation arrangement with a long-term care facility. [OAA §712(f)]

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ARTICLE I. ASSURANCES SPECIFIC TO THIS AGREEMENT (Continued)

- b. An action or potential action brought on behalf of individuals the Program serves. [OAA §712(a)(5)((C)(ii))]
2. 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)] [Welf. & Inst. Code §9722(a)] [22 CCR 8020(a)] Authorization is required by the State Ombudsman for entry outside of these hours. [Welf. & Inst. Code §9722(a)] [22 CCR 8020(b)]
3. Representatives of the Local Ombudsman Program shall have access to the medical and personal records of residents with appropriate documentation of consent; and when authorized by the State Ombudsman, access to resident records when a legal guardian refuses to give permission and there is reason to believe the guardian is not acting in the best interests of the resident. [OAA §712(b)(1)(B)] [Welf. & Inst. Code §9724]
4. 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. [Welf. & Inst. Code §9722(d)]
5. 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)]
6. All records and files maintained by the local Ombudsman Program relating to any complaint or investigation shall remain confidential unless disclosure is authorized pursuant to OAA §§705(a)(6)(C); 712(d)(2); Welf. & Inst. Code §9725.
7. The Local Ombudsman Program shall enter into a Memorandum of 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 a suit or other legal action has been threatened or brought against the performance of the official duties of the Ombudsman Representative. [OAA §712(h)(7)] [Welf. & Inst. Code §9717(c)] [Statewide Standards for Legal Assistance in California]



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ARTICLE I. ASSURANCES SPECIFIC TO THIS AGREEMENT (Continued)

8. Each Local Ombudsman Program shall maintain a separate budget. The Local Ombudsman 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.
9. The Local Ombudsman Program Coordinator shall provide the 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.

The Coordinator shall inform the OSLTCO of any staffing changes.

10. 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.
11. 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 of all complaint-related communications and records. [OAA §705(a)(6)(C)] [Welf. & Inst. Code §§9725; 15633(c)]
12. 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 the CDA. [OAA §712(c)] [Welf. & Inst. Code §9716(a)].

C. Assurances Specific to Legal Service Providers (LSPs)

In accordance with OAA §731, the Contractor shall assure that the following conditions are met:

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**ARTICLE I. ASSURANCES SPECIFIC TO THIS AGREEMENT (Continued)**

1. LSPs will coordinate with State-designated providers of Long-Term Care Ombudsman services by developing and executing an MOU which will address conflict of interest, provision of legal advice, procedures for referral and other technical assistance.
2. LSPs may provide direct legal assistance to residents of the long-term care facilities where the clients are otherwise eligible and services are appropriate.
3. Where both legal and Ombudsman services are provided by the same agency, providers must develop and follow policies and procedures to protect the integrity, resources, and confidentiality of both programs.
4. LSPs may assist the State in providing legal representation to the Ombudsman Program when an Ombudsman or the program is named as a party or witness, in a subpoena, civil suit or other legal action challenging the performance of the official duties of the Ombudsman.
5. LSPs are to coordinate with the local Legal Services Corporation (LSC) program, if the provider is not an LSC-funded program.
6. LSPs are to coordinate with the network of other service providers, including but not limited to, other LSPs, Long-Term Care Ombudsman Programs, Health Insurance Counseling and Advocacy Programs, senior information and assistance, Adult Protective Services, law enforcement, case management services and focal points.
7. LSPs are to coordinate legal assistance activities with the statewide hotline and private Bar, including groups within the private Bar furnishing services to older individuals on a pro bono or reduced fee basis.
8. LSPs are to use the Uniform Reporting System revised by CDA in July 2013 to collect data on legal services provided.
9. Waiver of this section of the contract may be obtained from CDA pursuant to Exhibit D, Article XV. of this Agreement entitled, Amendments, Revisions, or Modifications.

**ARTICLE II. REPORTING PROVISIONS**

- A. The Contractor shall submit program performance reports to the CDA Data Team for: Title III B, Title III C-1, Title III C-2, Title III D, Title III E, and Title VII Elder Abuse Prevention Programs in accordance with CDA requirements.  
[Welf. & Inst. Code §9102 (a)(5)]

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**ARTICLE II. REPORTING PROVISIONS (Continued)**

B. The Contractor shall have written procedures to assure that all submitted performance data is timely, complete, accurate, and verifiable.

1. Quarterly, the Contractor shall submit data reports for OAA-funded programs as follows:

Quarter	Reporting Period	Due Date
Quarter 1	July 1 - September 30	October 31
Quarter 2	October 1 - December 31	January 31
Quarter 3	January 1 - March 31	April 30
Quarter 4	April 1 - June 30	July 31

2. Annually, the Contractor shall submit performance reports as follows, or as instructed by CDA:

Reporting Period	Due Date
July 1 – June 30	September 30

3. For reports that will be submitted late, ten (10) calendar days prior to the report due date, the Contractor shall submit to the Data Team ([DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov)) a written explanation including the reasons for the delay and the estimated date of submission.

4. For web-based California Aging Report System (CARS) reports, the Contractor shall approve all data within ten (10) calendar days of receipt of notification of passed status. If data in the CARS report is not correct and approvable within ten (10) days, the Contractor will make a notation in the comments area of the CARS report and submit the data using the approved status button.

C. Reporting Requirements specific to Title III B, Title III C-1, Title III C-2, Title III D, Title III E, and Title VII Elder Abuse Prevention Program services

The Contractor shall submit program data reports electronically as follows:

1. Upload the NAPIS State Program Report (SPR) to CARS at <https://ca.getcare.com>.
2. Submit the California Legal Services Quarterly Aggregate Report Form (CDA 1022) via email to [DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov).

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ARTICLE II. REPORTING PROVISIONS (Continued)

3. Submit performance data reports quarterly.
  4. Submit NAPIS SPR reports annually.
- D. The Contractor shall verify the accuracy of all data submitted to CDA by reviewing and responding to the Annual Data Error Report in accordance with CDA requirements.
1. The Contractor shall, in accordance with CDA requirements, correct and/or explain all logic and questionable errors in the Annual Data Error Report.
    - a. The Contractor shall return the Annual Data Error Report to CDA, verifying that corrections have been made, via email to [DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov).
    - b. The Annual Data Error Reports are due to CDA by a date specified by the Department which can vary from year to year.
  2. The Contractor shall review and verify all quarterly and annual NAPIS SPR and CDA 1022 data for accuracy and make necessary corrections, in accordance with CDA requirements.
- E. Reporting Provisions Specific to the Ombudsman Program
- The Contractor shall take the following actions, or shall require its Subcontractor, the Local Ombudsman Program, to enter data into the Internet-based NORS utilizing software provided by CDA, as required. NORS data entry must be timely, complete, accurate, and verifiable.
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 corresponding AAA.
  2. On or before the reporting dates, the Local Ombudsman Program 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 Ombudsman Program mailbox ([stateomb@aging.ca.gov](mailto:stateomb@aging.ca.gov)) with a copy to the AAA.
- F. The Contractor shall have written reporting procedures specific to each program which include:

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ARTICLE II. REPORTING PROVISIONS (Continued)

1. Collection and reporting of program data for the Contractor and Subcontractor
  2. Ensuring accuracy of all data from the Contractor and Subcontractor
  3. Verification of the Contractor and Subcontractor data prior to submission to the CDA Data Team
  4. Procedures for the Contractor and Subcontractor on correcting data errors
  5. A methodology for calculating and reporting:
    - a. Total estimated unduplicated clients in each non-registered service
    - b. Total estimated unduplicated clients in all non-registered services
    - c. Total estimated unduplicated clients across all registered and non-registered services
  6. A performance data monitoring process.
- G. The Contractor shall orient and train staff and Subcontractor staff regarding program data collection and reporting requirements. The Contractor shall have cross-trained staff in the event of planned or unplanned, prolonged absences to ensure timely and accurate submission of data.
- H. Reporting Provisions Specific to Title VII Elder Abuse Prevention
1. Quarterly, the Contractor shall complete and submit the Elder Abuse Prevention Quarterly Activity Report (CDA 1037) to the State Ombudsman Program mailbox ([stateomb@aging.ca.gov](mailto:stateomb@aging.ca.gov)) on the following reporting due dates:

Quarter	Reporting Period	Due Date
Quarter 1	July 1 - September 30	October 31
Quarter 2	October 1 - December 31	January 31
Quarter 3	January 1 - March 31	April 30
Quarter 4	April 1 - June 30	July 31

2. The Contractor shall also enter the quarterly aggregate number of "Elder Abuse Prevention, Education and Training Sessions" and "Elder Abuse

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**ARTICLE II. REPORTING PROVISIONS (Continued)**

Prevention Educational Materials" into CARS on a quarterly basis.

3. The Contractor shall also report in CARS the total Elder Abuse Prevention, Education and Training sessions and Elder Abuse Prevention, Education Materials from the Elder Abuse Prevention Quarterly Activity Report.

**ARTICLE III. APPEAL PROCESS**

- A. The Contractor may appeal an adverse determination as defined in 22 CCR 7702 using the appeal process established by CDA in 22 CCR 7700 through 7710. Such appeal shall be filed within thirty (30) days of receipt of CDA's notice of adverse determination.
- B. Subcontractors of the Contractor may appeal the Contractor's final adverse determination relating to Title III and Title VII programs using the appeal process established in 22 CCR 7700 to 7710.
- C. Any dispute regarding an existing direct service contract or the procurement of the direct service contract shall be resolved locally, consistent with W&I §9535(k), and as specified in the procurement documents and contracts of the Contractor.
- D. Appeal costs or costs associated with any court review are not reimbursable.

**ARTICLE IV. TRANSITION PLAN**

- A. The Contractor shall submit a transition plan to the State within fifteen (15) days of delivery of a written Notice of Termination (pursuant to Exhibit D, Article XII. of this Agreement) for a service funded either by Title III or Title VII. The transition plan must be approved by the State and shall at a minimum include the following:
  1. Description of how clients will be notified about the change in their service provider.
  2. A plan to communicate with other organizations that can assist in locating alternative services.
  3. A plan to inform community referral sources of the pending termination of the service and what alternatives, if any, exist for future referrals.
  4. A plan to evaluate clients in order to assure appropriate placement.

**Additional Provisions - Exhibit E**  
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ARTICLE IV. TRANSITION PLAN (Continued)

5. A plan to transfer any confidential medical and client records to a new contractor.
  6. A plan to dispose of confidential records in accordance with applicable laws and regulations.
  7. A plan for adequate staff to provide continued care through the term of the contract. [22 CCR 7206(e)(4)]
  8. A full inventory and plan to dispose of, transfer, or return to the State all equipment purchased during the entire operation of the contract.
  9. Additional information as necessary to effect a safe transition of clients to other community service providers.
- B. The Contractor shall implement the transition plan as approved by the State. The State will monitor the Contractor's progress in carrying out all elements of the transition plan.
- C. If the Contractor fails to provide and implement a transition plan as required by Exhibit D, Article XII. of this Agreement, the Contractor will implement a transition plan submitted by CDA to the Contractor following the Notice of Termination.

ARTICLE V. OBLIGATIONS UPON TERMINATION SPECIFIC TO THE OMBUDSMAN PROGRAM

A. Transition of Local Ombudsman Services

1. The Contractor shall, upon notice of termination of Ombudsman services, do the following:
  - a. If Ombudsman services are subcontracted, notify CDA in writing within three (3) working days of a subcontractor's intent to terminate its contract to provide Ombudsman services.
  - b. Within one (1) working day, notify CDA of any change in local Ombudsman services.
2. The Contractor shall, upon notice of termination, implement one of the following options to ensure continuity of Ombudsman services in accordance with federal and State mandates:
  - a. Continue the provision of mandated Ombudsman services as a subcontract with a provider selected in response to a Request for

**Additional Provisions - Exhibit E  
AREA PLAN - Fiscal Year 2015-16**

**ARTICLE V. OBLIGATIONS UPON TERMINATION SPECIFIC TO THE OMBUDSMAN PROGRAM (Continued)**

Proposal (RFP). The Contractor shall require the Subcontractor to utilize experienced State Certified Ombudsman Representatives and a local Program Coordinator selected by the Subcontractor and designated by the State Ombudsman as the local Ombudsman Program Coordinator. CDA shall allow the contractor up to 180 days to transition services to a new Subcontractor.

- b. Continue the provision of mandated Ombudsman services as a direct service of the Contractor, utilizing experienced State Certified Ombudsman Representatives and a local Program Coordinator selected by the Contractor and designated by the State Ombudsman as the local Ombudsman Program Coordinator. CDA shall allow the Contractor up to 180 days to transition services from the Subcontractor to the Contractor.

**B. Transition Plan**

1. The Contractor shall submit a Transition Plan to the State Ombudsman within fifteen (15) days from the occurrence of any of the following:
  - a. The Contractor's receipt of written notice of the Subcontractor's intent to terminate Ombudsman services.
  - b. The Contractor's written notice to the Subcontractor of its intent to terminate the subcontract for Ombudsman services.
  - c. The Contractor's receipt of written notice of the State's intent to terminate the contract for Ombudsman services.
2. The Contractor shall identify in the Transition Plan which option it has chosen to ensure that there will be no break in continued services, based on the following:
  - a. Continue the mandated Ombudsman provisions as a direct service of the Contractor, utilizing experienced State Certified Ombudsman Representatives and a local Program Coordinator selected by the Contractor and designated by the State Ombudsman to represent the Local Ombudsman Program.
  - b. Continue the mandated Ombudsman provisions as a subcontracted service with a subsequent provider selected in response to an RFP requiring the utilization of experienced State Certified Ombudsman Representatives, and designated by the State Ombudsman to carry out Ombudsman duties with respect to the PSA.



**Additional Provisions - Exhibit E**  
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**ARTICLE V. OBLIGATIONS UPON TERMINATION SPECIFIC TO THE OMBUDSMAN PROGRAM (Continued)**

3. The Transition Plan shall at a minimum include the following:
  - a. 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.
  - b. 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.
  - c. Details of how the Contractor shall deliver to the subsequent Local Ombudsman Program a full inventory of updated confidential client records, public facility records, and records documenting Ombudsman certification and training.
  - d. A description of how the subsequent Local Ombudsman Program will be assisted in assessing the status of all active clients' records at the point of transfer to ensure timely continuation of Ombudsman services.
  - e. A description of how residents and their families will be notified about the changes in their Ombudsman services provider.
- C. 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.
- D. 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 Subcontractor or from a neighboring Local Ombudsman Program.