

GOAL 1: The target population (Supplemental Nutrition Assistance Program-Education (SNAP-Ed)/Nutrition Education and Obesity Prevention (NEOP) participants and those eligible up to 185% Federal Poverty Level (FPL)) is empowered and enabled to select healthy foods and beverages and increase physical activity through nutrition education, social marketing and environmental supports.

Objective 1: (Infrastructure) Annually, grantee will complete and submit all required reports and forms on or before each deadline, comply with all onsite and desk reviews, and participate in a minimum of three *Network*-sponsored community events and trainings.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Complete all required programmatic documentation such as Survey Monkeys, the Semi-Annual Progress Report, Annual Progress and Final Reports, which includes progress reports, progress report narratives, labeled attachments and deliverables, and completed Education Administrative Reporting System (EARS) Activity Tracking Forms (ATF) on or before the requested deadline.</p> <p>Comply with required <i>Network</i> fiscal Documents and Reports such as; Monthly Fiscal reports along with supporting documentation & attachments, and other required <i>Network</i> forms as necessary on or before the requested deadline.</p>	<p>City of Riverside Community Development Department (CDD) & Wellness Coordinator</p>	<p>Documents completed and submitted to Riverside County DOPH</p>	<p>10/01/2013-09/30/2016</p>
<p>2. Comply with all requests from County of Riverside, Department of Public Health (DOPH) including programmatic and fiscal onsite or desk reviews. Upon request, provide documentation to the County of Riverside and follow protocols to ensure compliance with requirements.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Documents upon request Onsite request</p>	<p>10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>3. Comply with all fiscal requests from the County of Riverside, DOPH.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Documents upon request</p>	<p>10/01/2013-09/30/2016</p>
<p>4. Sub-grantee is required to separate, batch and label each set of documentation according to one of the nine line items to which the expense is billed. Batch , attach vendor invoices, bills, receipts for all purchases and label the documentation according to the following line items:</p> <ul style="list-style-type: none"> a. Personnel Salaries b. Fringe Benefits c. Operating Expenses d. Equipment Expenses e. Travel and Per Diem f. Subcontracts g. Other Costs h. Indirect Costs 	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Documents completed and submitted to Riverside County DOPH</p>	<p>10/01/2013-09/30/2016 (Monthly Invoices)</p>
<p>5. Monthly Invoices Due Dates: Monthly invoices are due by the 25th of the following month to pay prior monthly expenditures. Failure to submit invoices within the required time may cause delays in the payment of your invoice.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Documents completed and submitted to Riverside County DOPH</p>	<p>10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>6. Upon execution of any sub-grants and/or consultant agreement, Sub-grantees are required to submit a copy of the fully executed sub-grant agreement and/or consultant agreement to Riverside County DOPH.</p> <p>The following key elements must be included in the sub-grant agreements:</p> <ol style="list-style-type: none"> a. Name of the parties entering into the agreement. b. Terms of the agreement. c. Scope of services or work to be completed. d. Maximum amount payable. e. Cancellation clause. f. Record retention clause g. Copy of the California Department of Public Health (CDPH) – Special Terms and Conditions Exhibit D (F). h. Information confidentiality and security requirements. i. Information systems security requirements for projects <p>The County of Riverside, DOPH will need to review and approve the sub-grant for compliance with the United States Department of Agriculture (USDA) and State guidelines. Prior written authorization is required before the sub-grantee enters into or is reimbursed for any sub-grant services costing \$5,000 or more.</p> <p>All sub-grantee(s) must be in place and fully implementing nutrition education obesity prevention strategies (NEOP) to low-income population particularly reaching ethnic groups with health disparities.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Sub-grantee bidding documentation Sub-grantee agreement</p>	<p>10/01/2013-09/30/2016</p> <p>Sub-grantee(s) implementing NEOP 11/01/2013</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>7. Comply with the United States Department of Agriculture (USDA) regulations and guidelines to ensure all activities are allowable and appropriately documented. Must submit updated USDA Plan documents annually. Comply with the <i>Network</i> Guideline Manual and Program Letter updates.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Documents</p>	<p>10/01/2013-09/30/2016</p>
<p>8. Participate in ongoing local activities supporting statewide social marketing campaign. Provide nutrition education/physical activity promotion resources to local programs, including collaboration with the following existing programs:</p> <ul style="list-style-type: none"> a. University of California Cooperative Extension Cal Fresh Education Program b. Supplemental Nutrition Assistance Program (SNAP/Cal Fresh) c. SNAP-Ed funded projects d. Local social services agency and e. Organizations conducting Cal Fresh outreach and nutrition education and obesity prevention efforts when appropriate. 	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Record of participation in activities</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>9. Annually, attend a minimum of three <i>Network</i>-sponsored meetings, trainings and conferences that may include the following:</p> <ul style="list-style-type: none"> a. Community Engagement trainings b. <i>Regional Network</i> Collaborative meetings c. <i>Network</i> Conference and other <i>Network</i>-sponsored regional trainings d. California Conference of Local Health Department Nutritionists (GCLHDN) annual conference– (Not Applicable) e. <i>Rethink Your Drink</i> trainings f. <i>Communities of Excellence in Nutrition, Physical Activity and Obesity Prevention (CX³)</i> trainings g. Non-<i>Network</i> sponsored trainings pre-approved by Riverside County DOPH and the <i>Network</i> Program Manager (PM). 	<p>City of Riverside CDD & Wellness Coordinator in partnership with City of Riverside Parks & Recreation (P&R), Riverside Unified School District (RUSD), & Alford Unified School District (AUSD)</p>	<p>Copies of agendas, Record of participation</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>10. Attend Geographic Information Systems (GIS) basic or advanced trainings offered by the <i>Network</i> and or the County of Riverside, DOPH. Apply GIS as a tool to strategically plan interventions in qualifying community sites.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Record of participation site list</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>11. Report community changes that have been directly influenced by SNAP-Ed intervention. Describe the impact they have had on providing access to healthy foods, beverages and physical activity (PA) to the target population. Report findings by way of online database or other mechanism provided by the County of Riverside, DOPH.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Template form</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>12. Develop and sustain at least one partnership with each of the following:</p> <ul style="list-style-type: none"> a. Ethnic communities b. Local-city governments (Not applicable) c. Community-based organizations (CBOs) and d. School channels. e. Healthcare partnerships such as federally-qualified health centers <p>Report Semi-Annually and annually names of partners, roles or partners, types of partners (hunger, equity, minority, low-income, faith, business, public sector, community leaders and/or other).</p>	<p>City of Riverside CDD & Wellness Coordinator in partnership with P&R</p>	<p>Partnership spreadsheet Dated log of contacts</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Objective 2: (Process) Annually, the County Nutrition Action Plan (CNAP) team will convene at least four times to implement the CNAP through coordinated partnerships, which include Food and Nutrition Service (FNS) funded and unfunded partners, to develop a plan of action that increase consistent nutrition messaging and access across all programs.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Not applicable (N/A) not part of this grant; content intentionally omitted.</p> <p>2. Participate in CNAP group at a minimum of four times per year to implement the plan of action. Collaborate and participate with USDA food program interventions and efforts to increase food security in the target population.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>N/A Activity Tracking Form (ATF)</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>3. Apply public health approaches to identify, track, and promote existing policies in the City of Riverside related to access to healthy foods and beverages and physical activity.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Summary of efforts template</p>	<p>Report Annually: 10/01/2013- 09/30/2016</p>

Objective 3: (Process) By September 30, 2014, complete the *Communities of Excellence in Nutrition, Physical Activity and Obesity Prevention (CX³)* neighborhood assessment or reassessment process in (2-4) SNAP-Ed-eligible neighborhoods.

Social Ecological Model:

- Individual Interpersonal: Social/Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. CX³ Training/Meetings: Participate in all Network-sponsored CX³ assessment related trainings and meetings: a. CX³ orientation, b. Geographic Information System (GIS) mapping c. Survey/Field work, d. Data collection on reading your data e. Others as needed</p> <p>The trainings shall prepare for the neighborhood assessment of the food and physical activity environment including: a. Walk ability assessments b. Access to healthy foods c. Opportunities for PA, d. Identify food deserts in the eligible community etc.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>		<p>Trainings: 10/1/2013- 09/30/2014</p>

**Exhibit A
Scope of Work**

<p>2. Provide at least (2-4) CX³ presentations to a variety of the target stakeholders explaining the project, encourage participation, and utilization of data. Stakeholders include: health department leadership, community organizations (e.g., coalitions, collaborative), and events with neighborhood residents, city/county officials.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Presentation Outline(s)</p>	<p>Presentations: 10/01/2013-09/30/2014</p>
<p>3. Tier 1 (GIS mapping)—identify qualifying neighborhoods: a. Identify (2-4) qualifying neighborhoods using the Network's GIS, complete Tier 1 mapping worksheet using GIS and other on-line data sources, and share with appropriate stakeholders. Note: reassessing grantees are required to re-survey all neighborhoods where interventions are conducted as a result of CX³ findings.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Completed mapping worksheet submitted to County of Riverside List of stakeholders</p>	<p>Identification: 10/01/2013-12/1/13 Tier 1 and 2 Assessment complete no later than 3/1/2014</p>
<p>4. Tier 2 (Field work/surveying) - assessing and reassessing a. Organize health department staff and community partners to assist in the CX³ neighborhood data collection using CX³ tools and methods, and analyze, interpret and share local data and information b. Conduct trainings of surveyors, which should include the involvement of adult and youth community members from qualifying neighborhoods, as well as community leaders. Oversee Tier 2 field work utilizing all appropriate CX³ surveys and tools. Organize survey data, provide to the Network CX³ team for analysis c. After receipt of data analysis, complete all template Communications Tools for each neighborhood surveyed</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Training agendas, Sign-in sheets Completed Tier 2 data surveys, Data analysis Communication tools</p>	<p>Tier 1 and 2 Assessment complete no later than 3/1/2014 Templates: Complete no later than 7/1/14</p>

Objective 4: By September 30, 2016, prioritize identified problem areas based on CX³ findings and feedback from at least (2-3) community forums to reach (35-40) community members, and utilize to develop and implement at least (1) Network allowable interventions with environmental support.

Social Ecological Model:

Individual Interpersonal: Social/Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Using communications tools (e.g., fact sheets, briefs) present findings to a variety of stakeholders, involving community members where appropriate.</p> <p>a. Host (2-3) nutrition education obesity prevention community forums/town halls reaching at least (35-40) neighborhood residents or individuals from the target population to review CX³ findings and determine greatest areas of concern as well as provide dynamic nutrition education obesity prevention strategies</p> <p>b. Provide CX³ findings to all relevant city/county level departments and officials (e.g., planners, etc.) where data on the CX³ neighborhoods would guide/inform decisions and promote increased access to healthy food</p> <p>c. Identify potential neighborhood Champions including Champion retail food sources for future intervention work and campaigns.</p> <p>d. As relevant, share CX³ findings with local media to highlight areas of concern and opportunities for action (e.g. newspaper, television)</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Forum/Town hall Agenda</p> <p>List of county/city officials with contact dates</p> <p>List of Champions</p> <p>CX³ Media highlights</p>	<p>10/01/2013-03/01/2014</p> <p>10/01/2015-03/01/2016</p>
<p>2. Work with the County of Riverside, DOPH to create and submit a CX³ Implementation Strategy Narrative to Network Program Manager for review and approval prior to implementation. Implementation Strategy Narrative is a working document to be revised throughout the contract period.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Strategic Narrative submitted to County of Riverside DOPH</p>	<p>Complete and Submit Annually: beginning 10/01/2013 – 09/30/2016</p>

<p>3. Implement and market nutrition and obesity prevention strategies using public health approaches and <i>Network</i> allowable interventions implemented in the eligible neighborhoods.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Promotion plan of action</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
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Objective 5: (Process) Collaborate with (2-3) community groups and (2-3) other organizations to engage (35-40) neighborhood members to identify at least one food and beverage strategy in qualifying communities to increase access and consumption of healthy foods and beverages.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Create a sub group of CNAP, made up of community partners in the City of Riverside area. Meet at least four times per year to improve the food and nutrition environment in the City of Riverside. Examples of key partners include:</p> <ul style="list-style-type: none"> a. Agriculture Commission b. Hunger Advocates c. Social Justice groups d. Residents e. Youth 	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>List of members, Summary of meeting results</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>2. Through CX³ assessment in qualifying neighborhoods identify gaps in access and consumption of healthy foods and beverages and physical activity opportunities.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Assessment results</p>	<p>10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>3. Co-host with the County of Riverside, DOPH at least one county health forum to address primary prevention of diseases through healthier eating patterns and more physical activity. Recruit community leaders and members to participate in the forum from schools, after schools, worksites, Cal Fresh and WIC offices, faith-based channels etc. Some strategies may include:</p> <ul style="list-style-type: none"> a. Identify health disparities in communities related to nutrition and physical activity barriers and propose solutions b. Increase awareness of existing food policies in qualifying neighborhoods c. Use CX³ assessment findings to promote the need for farmers markets to increase access to fresh fruits and vegetables, increased healthy food availability in corner stores, healthier options at local worksites, schools and churches and increased access to physical activity opportunities in qualifying neighborhoods. 	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Flyers, Agenda, Summary of meeting results</p>	<p>10/01/2014-03/31/2015</p>
<p>4. Not applicable (N/A) not part of this grant: content intentionally omitted.</p>	<p>N/A</p>		
<p>5. Not applicable (N/A) not part of this grant: content intentionally omitted.</p>	<p>N/A</p>		
<p>6. Provide technical assistance to neighborhood members for monitoring and evaluating neighborhood changes.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Summary of changes</p>	<p>10/01/2014-09/30/2015</p>

Objective 6: (Process) Annually, a minimum of (1,200-2,100) unduplicated SNAP-Ed-eligible individuals in the community will participate in (50-60) evidence-based nutrition-education classes designed to increase consumption of healthy foods and improve self-efficacy to promote change at the individual, family and organizational level.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Assess the attitudes, knowledge, beliefs and skills related to nutrition education and develop a plan of action. Specifically focused on increasing the access and consumption of healthy foods, <i>Harvest of the Month</i>, My Plate, the 2010 Dietary Guidelines for Americans (DGAs), and the needs of the target population.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Results of the Assessment, Plan of Action</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>2. Make preparations for conducting a minimum of (50-60) nutrition education classes. If classes are utilized as part of the Impact/Outcome Evaluation, a minimum of a five-class series is required. Each class will include skill-based lessons/activities, such as cooking activities, label reading etc. Each class will use <i>Network-</i> approved materials and follow 2010 Dietary Guidelines. Preparations may include:</p> <ul style="list-style-type: none"> a. Organizing materials, b. Selecting class assessment survey c. Purchasing food samples 	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Copies of lesson plans</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>N/A</p>			
<p>3. Not applicable (N/A) not part of this grant: content intentionally omitted.</p>			
<p>4. Recruit participants through Champion Moms, Community-Based Organizations (CBOs), Cal Fresh offices, schools, WIC or other CNAP partners to increase participation in classes. Recruit ethnic minorities, (Latinos, African Americans, Native Americans and Asian Pacific Islanders) with health disparities to attend classes that are linguistically and culturally appropriate.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Documentation of recruitment efforts</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>5. Conduct (50-60) nutrition education classes to reach minimum of (1,200-2,100) unduplicated SNAP-Ed-eligible individuals.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Sign-in sheets ATF</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Objective 7: (Process) Annually, conduct a minimum of (3-4) community events to reach (2,800) SNAP-Ed-eligible individuals promoting healthy foods and beverages and physical activity and invite local media outlets to highlight (1-2) of these events.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Conduct a minimum of (3-4) nutrition education obesity prevention promotional events. Coordinate at least (1-2) local media and public relations effort that highlights Network-signature promotions, which may include :</p> <ul style="list-style-type: none"> a. Fruit and Veggie Fest b. Juneteenth c. Latino Health Awareness Month d. Food Day 	<p>City of Riverside P&R in partnership with CDD & Wellness Coordinator</p>	<p>List of coordinated events</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>2. Provide local support for the minimum of one Network media-related effort. Activities may include:</p> <ul style="list-style-type: none"> a. Participation in launch event b. Serving as local spokesperson c. Providing comment and feedback on media-related materials d. Participating on relevant workgroups e. Collaborate with partners when planning nutrition/physical activity promotion events 	<p>City of Riverside P&R in partnership with CDD & Wellness Coordinator</p>	<p>Log or list of support activities provided for events</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>3. Prepare for each event by identifying target audience, organizing materials and intervention strategies to be used, training staff, selecting Network Research and Evaluation Section (RES)-approved method of event evaluation, and promotion methods of event such as use of flyers and update of webpage.</p>	<p>City of Riverside P&R in partnership with CDD & Wellness Coordinator</p>	<p>Samples of materials, flyers, website. Training sign in sheets, Event planning outline</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Objective 8: (Process) Annually, provide two nutrition-education activities, inclusive of kick-off event, in support of local and regional *Rethink Your Drink* healthy beverage education efforts to reach (1,000–1,950) SNAP-Ed-eligible individuals in qualifying communities and promote and support the minimum of one environmental change that enhances *Rethink Your Drink* efforts.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<ol style="list-style-type: none"> 1. Attend a minimum of one <i>Network Rethink Your Drink</i> nutrition education Train the Trainer workshop and one <i>Rethink Your Drink</i> media and spokesperson training. <ol style="list-style-type: none"> a. Integrate approved <i>Rethink Your Drink</i> nutrition education materials from your Regional Collaborative and messages from the Regional Media training into designated county's <i>Rethink Your Drink</i> nutrition education activities and events. 	City of Riverside P&R in partnership with CDD & Wellness Coordinator	Training agendas, list of training materials used in activities	Report Annually: 10/01/2013-09/30/2016
<ol style="list-style-type: none"> 2. Not applicable (N/A) not part of this grant: content intentionally omitted. 	N/A		
<ol style="list-style-type: none"> 3. Not applicable (N/A) not part of this grant: content intentionally omitted. 	N/A		

Activities	Responsible Party	Deliverables	Timeframe
<p>4. Provide nutrition education promoting healthy beverage options at least four times during the course of the grant year to SNAP-Ed-eligible adults. Sample activities may include:</p> <ul style="list-style-type: none"> a. Instruction on <i>Rethink Your Drink</i> nutrition education lessons and optional taste testing of healthy beverages <ul style="list-style-type: none"> i. Include education of the sugar content of beverages ii. Benefits and safety of drinking water b. Strategically display <i>Rethink Your Drink</i> nutrition education materials: posters, pamphlets, flyers, etc. to reach target audience. c. Host a Healthy Beverage interactive booth, exhibit, display or table at qualifying events; reference the <i>Community Events Manual</i> as a guide d. Use template state developed <i>Rethink Your Drink</i> media pieces such as press releases, articles, etc. in local publications that reach the target audience e. Provide guidance for organizational policies and environmental supports for activities promoting healthy beverage options in qualifying settings to county and community programs <p>Note: all nutrition education materials must be approved by the Network prior to distribution, with preference for use of existing State Network <i>Rethink Your Drink</i> branded materials.</p>	<p>City of Riverside P&R in partnership with CDD & Wellness Coordinator</p>	<p>Flyers, Lesson Plans, Photos</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>5. Identify priorities and develop a list of environmental support strategies with local partners to increase and promote access to healthy beverage options through public health approaches. Submit summary of local strategies to County of Riverside, DOPH for review and approval. Some strategies may include:</p> <ul style="list-style-type: none"> a. Collaborate with local school district to update their wellness policy to reduce access to sugar-sweeten beverages and provide more healthy beverages option in appropriate serving sizes on campus b. Reduce sugar-sweeten beverages (SSBs) from county welfare offices, public housing units, city parks and recreational facilities and/or school vending machines in eligible settings serving low-income populations and provide healthy beverage alternatives in appropriate serving sizes c. Encourage partners to provide free drinking water to the public in common areas at such eligible venues: <ul style="list-style-type: none"> i. city and county facilities, ii. worksites, schools, iii. preschools, iv. after school programs v. community organizations d. Collaborate with local youth serving organizations working with low-income populations (such as parks and rec, sports leagues, booster clubs, etc.) to ensure that healthy beverages are available at community events for purchase e. Encourage organizations to seek healthy beverage sponsorships <p>6. Advance and market the minimum of one environmental support strategy in an eligible local setting serving the low-income population that increases healthy beverage options and enhances the <i>Rethink Your Drink</i> campaign efforts.</p>	<p>City of Riverside P&R in partnership with CDD & Wellness Coordinator</p>	<p>Summary of local strategies</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>6. Advance and market the minimum of one environmental support strategy in an eligible local setting serving the low-income population that increases healthy beverage options and enhances the <i>Rethink Your Drink</i> campaign efforts.</p>	<p>City of Riverside P&R in partnership with CDD & Wellness Coordinator</p>	<p>Local strategies implemented</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>7. Conduct evaluation activities, to assess all <i>Rethink Your Drink</i> efforts which may include:</p> <ul style="list-style-type: none"> a. Obtaining input from intermediaries via electronic or printed surveys b. Conducting informal consumer testing of new materials, and/or implementing brief consumer surveys 	<p>City of Riverside P&R in partnership with CDD & Wellness Coordinator</p>	<p>Analysis of Survey results (includes future revisions needed)</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Objective 9: (Formative, Outcome) By September 30, 2016, create an evaluation plan and annually modify the plan based on the previous year's evaluation results and compile a final report on two targeted nutrition education and obesity prevention interventions that include environmental support; one focusing on reducing consumption of sugar sweetened beverages and the other focusing on increasing access and consumption of healthy foods through formative, process and outcome evaluations.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Collaborate with the County of Riverside, DOPH to determine, develop, and implement evaluation method appropriate to the stage of the two interventions that the organization has chosen to focus their work on. The evaluation will be formative in the first year, but as the work progresses, outcomes could possibly be generated. The first year's work cannot begin until the topics have been identified for change including the community engagement process.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Annual evaluation plan An evaluation instrument (s) — structured interview, moderator's guide, survey, etc.</p>	<p>Report Annually: 10/01/2013 - 09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>2. Work with the County of Riverside, DOPH to implement initial method for assessing status of each key intervention effort. The method may be key informant interview, focus group, observation, policy record, public opinion poll, knowledge survey, or other type of survey that will give the baseline needed to move forward with change.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Year 1 Report of findings from initial baseline evaluation instrument; description of status of topic in the community; recommendations for direction of policy work on the topic</p> <p>Successive years Report of evaluation findings; status; recommendations</p>	<p>Report Annually: 10/01/2013 – 09/30/2016</p>
<p>3. Work with the County of Riverside, DOPH to evaluate results to update and modify targeted intervention Plans of Action.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Policy Plans of Action for both interventions</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>4. Work with the County of Riverside, DOPH to report results of the year's two in-depth targeted intervention evaluation projects. A template will be provided by the County of Riverside, DOPH.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Interim report of findings from evaluation with description of changes, challenges, and plans regarding proceeding evaluation intervention steps.</p>	<p>Report Annually: 10/01/2014 – 09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>5. Based on Plan developed in collaboration with the County of Riverside, DOPH, determine, develop, and implement evaluation method appropriate to monitor implementation and evaluate outcome of work on the two targeted interventions. Develop evaluation questions to assess the reach, adoption, and fidelity of implementation of the intervention components and core elements (process measures), as well as the effect (outcome). Two final reports must be done 9/1/16-9/15/16. If implementation has not occurred, the report should be directed at describing challenges and strategies for addressing them and offer alternative solutions for achieving the same goals as the unsuccessful targeted intervention. A final report structure will be provided by the County of Riverside, DOPH.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Final policy evaluation report</p>	<p>Final Report: 09/01/2016-09/15/2016</p>

Objective 10: (Process) Annually, a minimum of (3-4) Peer Educators will be recruited from the SNAP-Ed-eligible members in the community to reach a minimum of (25- 50) peers in a minimum of (2-3) nutrition education/obesity prevention class series promoting food security as well as individual, family and organizational changes.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Recruit Peer Educators in qualified communities from:</p> <ul style="list-style-type: none"> a. Skill-based nutrition education/obesity prevention series classes b. CBO participants c. Cal Fresh offices d. CNAP partners e. Community based health centers f. Faith-based organizations g. Parents at early childcare sites h. School/afterschool sites. <p>Target ethnic specific minorities with health disparities identified in the LHD Infrastructure Assessment.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Documentation of recruitment efforts</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>2. Participate in all required Network training related to Peer-to-Peer Education.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Agendas</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>3. Project Coordinator and (1-2) Peer Educator will attend, in person, a one- to two-day training provided by the County of Riverside, DOPH and/or the Network. The training will share different peer-to-peer models and best practices.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Training agenda</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>4. Peer Educators will promote and conduct at least (2-3) education series to reach a minimum of (25-50) unduplicated SNAP-Ed-eligible individuals.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Class sign in sheets, approved lesson plans</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>5. Contact and invite local Cal Fresh outreach organizations to attend at least one education session in the series providing information on how to apply for the Cal Fresh program.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Participation Log</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>6. Not applicable (N/A) not part of this grant: content intentionally omitted.</p>	<p>N/A</p>		

Objective 11: (Impact/Outcome) Annually, conduct and report on Impact Outcome Evaluation (IOE) to assess change in healthy food and beverage consumption and related factors such as perceived benefits of eating healthier foods and beverages, perceived control, self-efficacy, readiness to consume healthier foods and beverages, and perceived diet quality among a group of at least 100 adults.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Grantee can apply this objective to work done to meet Baseline Objective 6 if sufficient participants would be taking part to demonstrate statistically significant results (n = 100 or more). Identify population for Outcome/Impact Evaluation. Determine if project will include a control group (n ~100). Develop Impact Outcome Evaluation (IOE) plan with the County of Riverside, DOPH and Network Research and Evaluation staff (RES).</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Description of IOE Plan</p>	<p>Annually by: 10/2013 10/2014 10/2015</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>2. Administer the appropriate survey depending on the age and type of interventions to target audience at intervention sites:</p> <p>For Adult:</p> <ul style="list-style-type: none"> • Network Food Behavior Checklist • Fruit and Vegetable Checklist • Rethink Your Drink surveys <p>For Youth</p> <ul style="list-style-type: none"> • Network Youth (children to grade 8) • Network High School Survey • Rethink Your Drink survey (high school) <p>Use identification numbers (not names) to protect participant privacy. Pre-tests are to be administered prior to intervention and post-tests afterwards to measure change in consumption and related factors.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Matched surveys</p>	<p>Pre-test Annually by:</p> <p>11/2013 11/2014 11/2015</p> <p>Post-test Annually after: Intervention completed:</p> <p>05/2014 05/2015 05/2016</p>
<p>3. Create a data file with pre-test and post-test survey data using Network-provided code sheets and Network provided data entry templates. The data file must contain a minimum of 100 matched pre- and post-tests. Complete data analysis.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Data file</p>	<p>Annually 11/01/2013-5/30//2016</p>
<p>4. Each grant year, develop an evaluation plan in concert with the County of Riverside, DOPH and the Network state staff for the following grant year. Findings from current and prior evaluations will be used to refine nutrition education activities and increase rigor of the subsequent evaluation.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>IOE Plan</p>	<p>Report Annually: 10/01/2013-7/05/2016</p>
<p>5. Submit a set of IOE report documents, using Network templates, by July 5th to the County of Riverside, DOPH. This will include:</p> <ol style="list-style-type: none"> a. IOE Final Report b. Data file c. IOE Plan for upcoming year <p>Use separate IOE report and plan templates for children and adults. If conducting multiple evaluations, such as one of children and one of adults, a separate report and plan must be submitted for each evaluation.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>IOE Report, data file, IOE Plan</p>	<p>Report Annually: 10/01/2013-7/05/2016</p>

Objective 12: (Process) Annually, engage a minimum (4-7) of qualifying schools and (3-8) qualifying afterschool/extended break programs to reach (3,400 – 5,300) children and (40-190) parents to increase nutrition education and physical activity opportunities and social marketing strategies that increase access and consumption of healthy food and beverages at each site.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Attend all Network required trainings and webinars regarding resources and tools for the school and afterschool setting annually.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Record of participation</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>2. Recruit schools as sub-grantees through local procurement procedures. (Refer to Objective 1 for sub-granting requirements.)</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>List of sub-grantees</p>	<p>11/01/2013</p>
<p>3. Establish relationships and commitment of support for nutrition education interventions, wellness policy expansion and staff development in these areas from County Office of Education, school district and after school administrators. Facilitate ongoing communication with identified administrators supporting healthy school/afterschool campaigns.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>List of Contacts ATF</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>4. Establish relationships and commitment of support for nutrition education interventions, wellness policy expansion and staff development in identified areas from school and afterschool site administrators to increase healthy food and beverage access and availability, increase opportunities for physical activity throughout the school day and during the afterschool program. Facilitate ongoing communication throughout the school year providing nutrition education resources and maintain support for healthy school/afterschool campaigns.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>List of Contacts ATF</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>5. Recruit and assign staff for each school site to assist in the scheduling and training of teachers and afterschool staff on Network nutrition education interventions, campaigns, and resources.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Staff assignment/Job description</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>6. Staff will provide participating schools and afterschool sites with posters, recipes, materials and food supplies to conduct nutrition education and tasting demonstrations for students at least six times per year. Grantee shall ensure staff meets required activities and report outcomes.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Invoice records List of materials provided with dates</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
7. Conduct a healthy school and/or afterschool assessment of the school and/or afterschool site applying assessment tools provided by the County of Riverside, DOPH and compile a comprehensive report.	RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator	Assessment report results	Report Annually: 10/01/2013- 09/30/2016

Activities	Responsible Party	Deliverables	Timeframe
<p>8. Staff will provide (1) training for teachers, afterschool staff and other personnel who are conducting nutrition education obesity prevention intervention. Teachers and afterschool leaders can apply training knowledge to the students. Some topics may include the following:</p> <ul style="list-style-type: none"> a. Orientation to the <i>Network</i> program, The results of the school assessment and School Wellness Policy including information on new policies b. Utilizing <i>Harvest of the Month</i> and <i>Farmer of the Month</i> materials in the classroom, after school program, parent education, and the cafeteria such as: posters, displays, Farm to School/<i>Harvest of the Month</i> workbooks etc. c. Information on promotion of evidence based physical activity programs and how they can be linked with nutrition education, such as Sports, Play, and Active Recreation for Kids (SPARK), and Coordinated Approach to Child Health (CATCH). d. Creating a healthy school environment such as healthy school parties, not using food for rewards, modeling healthy eating behaviors etc. e. Effective nutrition education resources and strategies including but not limited to: <i>Harvest of the Month</i>, <i>ReThink Your Drink</i>, <i>Children's Power Play! Campaign</i> materials, garden-based nutrition education, integrating physical activity, food safety, and how to conduct cooking lessons and food demonstrations. Model teaching strategies, lessons, and share best practices. 	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Log of trainings conducted Training materials ATF</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>9. Staff will set up a tracking system to collect data on the nutrition education obesity prevention interventions at each school site.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>ATF</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>10. Attend School and afterschool events such as Back-to-School nights, Open House, health fairs, PTA meetings. Inform and engage parents on classroom and afterschool nutrition education obesity prevention interventions and campaigns, and provide the results of the healthy school's assessment.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Log of meetings and activities completed ATF</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>11. Staff will provide technical support to classroom teachers, child nutrition personnel, administrators on school wellness policy updates that support the nutrition education obesity prevention messages.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Log of technical support</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>12. Conduct an evaluation using a survey tool completed by school administration and teachers. Determine the effectiveness of the trainings, resources and tools provided and applicable usage to classroom teaching assessing challenges, successes and soliciting topics for the next year's trainings.</p>	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Report on evaluation results</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>13. At school sites collaborate and coordinate with school administration, teachers, school wellness committee, parent organizations, after school administrators, School Nutrition Program and community partners. Promote implementation of the following strategies to increase access and consumption of healthy foods which may include wellness policy updates:</p> <ul style="list-style-type: none"> a. Actively engage local farmers and growers to establish a Farm to School program and provide <i>Harvest of the Month</i> produce items in the school cafeterias b. Develop a school gardening project that includes garden-base nutrition education c. Provide information and training to school food service and schools on how to make use of garden grown produce in school cafeterias d. Support implementation of salad bars at school sites e. Support implementation of healthy food procurement policies in vending machines, fundraiser activities, school events f. Encourage participation in Child and Adult Care Food Program (CACFP) snack and meal programs in afterschool programs g. Promote Implementation of healthy food and beverage standards for competitive foods at schools and afterschool sites h. Encourage implementation of marketing strategies to increase healthier food selection and consumption 	<p>RUSD & AUSD in partnership with City of Riverside CDD & Wellness Coordinator</p>	<p>Collaboration Log Copy of districts updated wellness policy (if applicable) Success story</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Objective 13: (Process) Conduct a youth engagement (YE) project engaging at least (1) SNAP-Ed-eligible youth team to engage in leadership, critical thinking, problem-solving, community-based research and to address an identified issue with consumption and access to healthy foods and beverages and physical activity opportunities in their environment and identify solutions applying public health approaches.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Recruit youth serving agency, Community Based Organization (CBO), park and recreation group or middle/high school or after schools to conduct the youth engagement project (target: agencies/schools that work with youth, ages 12-18).</p>	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Name of youth serving agency or school recruited/ confirmed and contact person(s) confirmed</p>	<p>10/01/2013-12/30/2013</p>
<p>2. Recruit an Adult Ally at a youth serving agency, CBO, park and recreation department or middle/high school or afterschool qualifying site to work directly with youth team. The Adult Ally and the project coordinator will participate in all Network sponsored webinars, conference calls and in-person Youth Engagement trainings offered by Network Youth Initiatives Consultant.</p>	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Participant Log</p>	<p>01/01/2014-09/30/2014</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>3. Adult Ally recruits youth and forms team(s) with a minimum of six students. Collect parent-permission slips and photo releases from youth.</p>	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Youth roster and permission slips</p>	<p>01/01/2014-09/30/2014</p>
<p>4. Provide orientation to members of the youth team. Orientation to include basic nutrition education information, importance of physical activity (through integration into comprehensive nutrition education lessons), taste testing, overview of youth-led participatory action research, and overview of youth development principles.</p>	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Attendance sheets for meetings with youth team, orientation outline</p>	<p>01/01/2014-09/30/2014</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>5. Following orientation, Adult Ally will meet with the youth team guiding them through the process of conducting youth-led projects. Additional technical assistance, training and support to Adult Ally and youth teams on conducting youth-led nutrition will be provided as needed by the County of Riverside and/or State Network Youth Initiatives Consultant. With the support/guidance of the Adult Ally, the youth-led nutrition education project process includes the youth team:</p> <ul style="list-style-type: none"> a. Selecting the issue(s) to research b. Creating research tool and conducting the research project around selected issue(s) (the tool can be a survey, photo voice or video voice project, interviews etc.) c. Gathering information/data via the research tool and analyzing the data. Identifying public health approaches to reach solutions d. Preparing presentation/reports presenting to key stakeholders (such as PTA, School Staff, District Staff, Community Agencies, etc.) based on the data/information discovered by the research tool e. Conducting presentations to those leaders/stakeholders to share the findings from their research, in order to bring about necessary changes/improvement f. Documenting any changes in system or policy based on their project g. Conducting nutrition education and awareness activities to their peers, family members and the qualifying community to advance solutions 	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Attendance sheets from meetings, copies of research tool, project and presentation/ reports created by youth team, document participation in activities via photos, press releases, media attention, or various newsletters, ATF</p>	<p>10/01/2014-09/30/2015</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>6. Adult Ally and Youth Leaders will participate in annual statewide or regional youth forum/meetings offered by the <i>Network for a Healthy California</i> – in which Youth Leaders from all Youth Engagement sites attend in order to strengthen their skills in youth-led participatory action research, public speaking skills, etc., in relationship to nutrition education and obesity prevention.</p>	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Attendance sheet</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>7. Project Coordinator and Adult Ally will re-engage/recruit new team of youth, as well as include any continuing Youth Leaders (if interested), in the process under <u>Activities 3, 4 and 5</u> as outlined above, to conduct project again, with a new team of Youth Leaders and examine new issue to address for the research project.</p>	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Youth roster, parent permission slips, attendance sheets from meetings, copies of research tool, project and presentation/ reports created by youth team, document participation in activities via photos, press releases, media attention, or various newsletters, ATF</p>	<p>10/01/2014-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>8. Adult Ally and Youth Leaders will participate in annual statewide or regional youth forum/meetings offered by the <i>Network for a Healthy California</i>, in which Youth Leaders from all Youth Engagement sites attend in order to strengthen their skills in youth-led participatory action research, public speaking skills, etc., in relationship to nutrition education and obesity prevention.</p>	<p>City of Riverside – Parks & Recreation in partnership with CDD, Wellness Coordinator, RUSD & AUSD</p>	<p>Attendance sheet</p>	<p>10/01/2015-09/30/2016</p>

Objective 14: Worksite Objective - Not Applicable (N/A) not part of this grant: content intentionally omitted.

Objective 15:(Process) Annually, engage a minimum of (4-10) qualifying grocery retailers (such as: supermarkets, grocery stores, and/or independent grocers) in the City of Riverside to reach (2,000- 5,000) SNAP-Ed-eligible residents through nutrition education materials, food demonstrations, store tours, and point of purchase strategies.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Participate in all required <i>Network for a Healthy California -Retail Program</i> trainings in person and/or via webinars.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Record of attendance, training agendas</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>2. Develop partnerships and Plan of Action with (4-10) retail owners, managers, and/or staff and work with retail owners, managers and staff on healthy retail strategies including: nutrition education, benefits to the neighborhood, economic benefits of accepting food-assistance programs, and healthy point of purchase strategies. Target and prioritize retail stores based on CX³ assessment.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Partnership Agreements, Plans of Action document</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>3. Acquire food handling certification (such as ServSafe) that meets the county's requirements for the staff responsible for engaging the retail sites. Each food demonstration must be appropriately staffed to meet the requirements of the county. Food demonstrations should promote and market healthy food products available for purchase at the retailer.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Copy of Certification for staff</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>4. Coordinate, promote, and conduct (1) promotional event at participating stores that highlight healthy changes in GIS-qualified communities. Collaborate with the produce industry, food security organizations, and/or local decision makers, if available, on these events. Secure donations for events.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Calendar of events, photos of events, evaluation summary of promotional activities</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>5. Distribute and maintain appropriate nutrition-education materials such as the <i>Harvest of the Month</i> community newsletters, posters, signage, recipe cards, wobblers, magnets, window clings, <i>Rethink Your Drink</i> materials, hardware, in-store audio, Cal Fresh materials, etc., to qualifying stores, based on the size of the store. Update monthly.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Evaluation summary of promotional activities</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>6. Partner with (1-2) local farmers, farmers' markets, wholesale distributors, and/or community supported agriculture programs to facilitate business connections to the (1-2) qualifying retailers, with the goal of increasing access to fresh local, affordable produce.</p>	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Partnership Agreements and Plans of Action</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>7. Provide technical assistance to (1-2) qualifying retailers on approaches to increase availability and promotion of healthy food and beverage purchases, such as:</p> <ul style="list-style-type: none"> a. Promoting healthy items through placement/promotion strategies b. Promoting healthy items through reduced pricing strategies c. Improving the selection, quantity, and quality of more healthy food items throughout the store d. Actively engaging in Farm to Fork efforts that promote seasonal produce items matching the monthly <i>Harvest of the Month</i> education elements e. Encouraging corner store conversion projects with other funding sources 	<p>City of Riverside CDD & Wellness Coordinator</p>	<p>Log of technical assistance activities, summary of outcomes</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Objective 16: Early Childhood Objective - Not Applicable (N/A) not part of this grant: content intentionally omitted

Objective 17: (Process) Annually, engage (3-4) qualifying churches in predominantly African-American and/or Latino communities to implement the *Body and Soul* program, and culturally relevant nutrition education and physical activity promotion to reach (250 - 575) participants and to influence organizational and systems changes in the church community.

Social Ecological Model:

Individual Interpersonal: Social Groups Institutional/Organizational Community Policy/Environmental

Activities	Responsible Party	Deliverables	Timeframe

Activities	Responsible Party	Deliverables	Timeframe
<p>1. Recruit and assign qualified staff member to engage the faith-based community; this person should be culturally competent. Possess knowledge of cross-cultural skills, awareness of cultural worldviews as well as cultural differences, attitudes and practices. Understand faith-based organization operations.</p>	<p>City of Riverside CDD & Wellness Coordinator in partnership with Riverside Neighborhood Partnership (RNP) and Today's Urban Renewal Network (TURN)</p>	<p>Documentation of recruitment efforts</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>2. Assigned staff will attend all required County of Riverside, DOPH and/or Network training on how to engage church leaders and implement and track <i>Body and Soul</i> program and complementary nutrition-education components. Trainings will include a minimum of two Network webinars providing updates, evidence based practices and showcasing successful faith-based interventions.</p>	<p>City of Riverside CDD & Wellness Coordinator in partnership with RNP & TURN</p>	<p>Summary of participation</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>3. Assigned staff will recruit qualifying church sites and engage church leadership to support the program. Include key members such as the pastor's spouse, cooking staff and church groups to increase participation in the program.</p>	<p>City of Riverside CDD & Wellness Coordinator in partnership with RNP & TURN</p>	<p>List of leadership and key contacts list</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>4. Assigned staff will train church sites to conduct interventions using the <i>Body and Soul</i> program and <i>Toolbox for Community Educators, Health Ministry Guide</i> and other <i>Network</i> resources. Provide technical assistance and support to churches. Ensure the efficient and effective delivery of the comprehensive program.</p>	<p>City of Riverside CDD & Wellness Coordinator in partnership with RNP & TURN</p>	<p>Class sign in sheets, Activity Tracking Form</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>5. Assigned staff will provide technical support to church members. Conduct walk ability assessment and conduct assessment of foods prepared, provided, and sold at church events applying <i>Network</i>-provided tools. Apply assessment results to develop strategies for improving the quality of foods served at church-related functions and events, and increase physical activity opportunities. Strategies may include:</p> <ul style="list-style-type: none"> a. Implement and promote healthier fundraisers such as healthy food items, jog-a-thons, dance-a-thons, fruit stands etc. b. Implement cooking classes referencing the <i>African American Cookbook</i> or <i>Latino Flavors of My Kitchen Cookbook</i> c. Include nutrition education and physical activity in children's programs, youth meetings, Sunday-School classes, Vacation Bible School, etc. d. Actively engage in Farm to Fork initiatives to increase fruit and vegetable consumption which may include hosting farmers markets on site or using local fresh ingredients in the church's food preparations. 	<p>City of Riverside CDD & Wellness Coordinator in partnership with RNP & TURN</p>	<p>Technical assistance Log Assessment results Strategies and timeline</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>

Activities	Responsible Party	Deliverables	Timeframe
<p>6. Assigned staff will provide technical assistance to the site based on the results of the assessments (outlined in Activity 5). The site leadership will advance, implement and promote healthy environmental changes at the church, such as:</p> <ul style="list-style-type: none"> a. Create an overarching healthy food and beverage policy for church celebrations and meetings. Ensure healthy foods and beverages are provided and limit choices high in fat, sugar, and sodium. b. Initiate a community garden at the church c. Initiate on-going walking clubs for church members. Pursue and establish joint-use agreements with city-schools to create opportunities for increased community physical activity d. Develop a healthy donation and distribution policy for churches operating food pantries or food closets 	<p>City of Riverside CDD & Wellness Coordinator in partnership with RNP & TURN</p>	<p>Copies of implemented policies Pictures</p>	<p>Report Annually: 10/01/2013-09/30/2016</p>
<p>7. Engage church leadership in County Nutrition Action Plan (CNAP), other faith-based work and neighborhood organizations and schools to support and advance healthy changes.</p>	<p>City of Riverside CDD & Wellness Coordinator in partnership with RNP & TURN</p>	<p>Meeting agendas, contact logs</p>	<p>Report Annually: 10/01/2013 - 09/30/2016</p>

Special Terms and Conditions

(For federally funded service contracts or agreements and grant agreements)

The use of headings or titles throughout this exhibit is for convenience only and shall not be used to interpret or to govern the meaning of any specific term or condition.

The terms "contract", "Contractor" and "Subcontractor" shall also mean, "agreement", "grant", "grant agreement", "Grantee" and "Subgrantee" respectively.

The terms "California Department of Public Health" and "CDPH" shall have the same meaning and refer to the California State agency that is a party to this Agreement.

This exhibit contains provisions that require strict adherence to various contracting laws and policies. Some provisions herein are conditional and only apply if specified conditions exist (i.e., agreement total exceeds a certain amount, agreement is federally funded, etc.). The provisions herein apply to this Agreement unless the provisions are removed by reference on the face of this Agreement, the provisions are superseded by an alternate provision appearing elsewhere in this Agreement, or the applicable conditions do not exist.

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1. Federal Equal Opportunity Requirements

(Applicable to all federally funded agreements entered into by the California Department of Public Health (CDPH) formerly known as California Department of Health Services (CDHS).)

- a. The Contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era. The Contractor will take affirmative action to ensure that qualified applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, national origin, physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era. Such action shall include, but not be limited to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and career development opportunities and selection for training, including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Federal Government or CDPH, setting forth the provisions of the Equal Opportunity clause, Section 503 of the Rehabilitation Act of 1973 and the affirmative action clause required by the Vietnam Era Veterans' Readjustment Assistance Act of 1974 (38 U.S.C. 4212). Such notices shall state the Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified applicants without discrimination based on their race, color, religion, sex, national origin physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era and the rights of applicants and employees.
- b. The Contractor will, in all solicitations or advancements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era.
- c. The Contractor will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding a notice, to be provided by the Federal Government or the State, advising the labor union or workers' representative of the Contractor's commitments under the provisions herein and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- d. The Contractor will comply with all provisions of and furnish all information and reports required by Section 503 of the Rehabilitation Act of 1973, as amended, the Vietnam Era Veterans' Readjustment Assistance Act of 1974 (38 U.S.C. 4212) and of the Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and of the rules, regulations, and relevant orders of the Secretary of Labor.
- e. The Contractor will furnish all information and reports required by Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and the Rehabilitation Act of 1973, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to its books, records, and accounts by the State and its designated representatives and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- f. In the event of the Contractor's noncompliance with the requirements of the provisions herein or with any federal rules, regulations, or orders which are referenced herein, this Agreement may be cancelled, terminated, or suspended in whole or in part and the Contractor may be declared ineligible for further federal and state contracts in accordance with procedures authorized in Federal Executive Order No. 11246 as amended and such other sanctions may be imposed and remedies invoked as provided in Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal

Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

- g. The Contractor will include the provisions of Paragraphs a through g in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or Section 503 of the Rehabilitation Act of 1973 or (38 U.S.C. 4212) of the Vietnam Era Veteran's Readjustment Assistance Act, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as the Director of the Office of Federal Contract Compliance Programs or CDPH may direct as a means of enforcing such provisions including sanctions for noncompliance provided, however, that in the event the Contractor becomes involved in, or is threatened with litigation by a subcontractor or vendor as a result of such direction by CDPH, the Contractor may request in writing to CDPH, who, in turn, may request the United States to enter into such litigation to protect the interests of the State and of the United States.

2. Travel and Per Diem Reimbursement

(Applicable if travel and/or per diem expenses are reimbursed with agreement funds.)

Reimbursement for travel and per diem expenses from CDPH under this Agreement shall, unless otherwise specified in this Agreement, be at the rates currently in effect, as established by the California Department of Personnel Administration (DPA), for nonrepresented state employees as stipulated in CDPH's Travel Reimbursement Information Exhibit. If the DPA rates change during the term of the Agreement, the new rates shall apply upon their effective date and no amendment to this Agreement shall be necessary. Exceptions to DPA rates may be approved by CDPH upon the submission of a statement by the Contractor indicating that such rates are not available to the Contractor. No travel outside the State of California shall be reimbursed without prior authorization from CDPH. Verbal authorization should be confirmed in writing. Written authorization may be in a form including fax or email confirmation.

3. Procurement Rules

(Applicable to all agreements in which equipment, property, commodities and/or supplies are furnished by CDPH or expenses for said items are reimbursed with state or federal funds.)

a. Equipment definitions

Wherever the term equipment /property is used, the following definitions shall apply:

- (1) **Major equipment/property:** A tangible or intangible item having a base unit cost of **\$5,000 or more** with a life expectancy of one (1) year or more and is either furnished by CDPH or the cost is reimbursed through this Agreement. Software and videos are examples of intangible items that meet this definition.
- (2) **Minor equipment/property:** A tangible item having a base unit cost of **less than \$5,000** with a life expectancy of one (1) year or more and is either furnished by CDPH or the cost is reimbursed through this Agreement.
- b. **Government and public entities** (including state colleges/universities and auxiliary organizations), whether acting as a contractor and/or subcontractor, may secure all commodities, supplies, equipment and services related to such purchases that are required in performance of this Agreement. Said procurements are subject to Paragraphs d through h of Provision 3. Paragraph c of Provision 3 shall also apply, if equipment purchases are delegated to subcontractors that are nonprofit organizations or commercial businesses.
- c. **Nonprofit organizations and commercial businesses**, whether acting as a contractor and/or subcontractor, may secure commodities, supplies, equipment and services related to such purchases for performance under this Agreement.

- (1) Equipment purchases shall not exceed \$50,000 annually.

To secure equipment above the annual maximum limit of \$50,000, the Contractor shall make arrangements through the appropriate CDPH Program Contract Manager, to have all remaining equipment purchased through CDPH's Purchasing Unit. The cost of equipment purchased by or through CDPH shall be deducted from the funds available in this Agreement. Contractor shall submit to the CDPH Program Contract Manager a list of equipment specifications for those items that the State must procure. The State may pay the vendor directly for such arranged equipment purchases and title to the equipment will remain with CDPH. The equipment will be delivered to the Contractor's address, as stated on the face of the Agreement, unless the Contractor notifies the CDPH Program Contract Manager, in writing, of an alternate delivery address.

- (2) All equipment purchases are subject to Paragraphs d through h of Provision 3. Paragraph b of Provision 3 shall also apply, if equipment purchases are delegated to subcontractors that are either a government or public entity.
- (3) Nonprofit organizations and commercial businesses, shall use a procurement system that meets the following standards:
- (a) Maintain a code or standard of conduct that shall govern the performance of its officers, employees, or agents engaged in awarding procurement contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a procurement, or bid contract in which, to his or her knowledge, he or she has a financial interest.
 - (b) Procurements shall be conducted in a manner that provides, to the maximum extent practical, open, and free competition.
 - (c) Procurements shall be conducted in a manner that provides for all of the following:
 - [1] Avoid purchasing unnecessary or duplicate items.
 - [2] Equipment solicitations shall be based upon a clear and accurate description of the technical requirements of the goods to be procured.
 - [3] Take positive steps to utilize small and veteran owned businesses.
- d. Unless waived or otherwise stipulated in writing by CDPH, prior written authorization from the appropriate CDPH Program Contract Manager will be required before the Contractor will be reimbursed for any purchase of \$5,000 or more for commodities, supplies, equipment, and services related to such purchases. The Contractor must provide in its request for authorization all particulars necessary, as specified by CDPH, for evaluating the necessity or desirability of incurring such costs. The term "purchase" excludes the purchase of services from a subcontractor and public utility services at rates established for uniform applicability to the general public.
- e. In special circumstances, determined by CDPH (e.g., when CDPH has a need to monitor certain purchases, etc.), CDPH may require prior written authorization and/or the submission of paid vendor receipts for any purchase, regardless of dollar amount. CDPH reserves the right to either deny claims for reimbursement or to request repayment for any Contractor and/or subcontractor purchase that CDPH determines to be unnecessary in carrying out performance under this Agreement.
- f. The Contractor and/or subcontractor must maintain a copy or narrative description of the procurement system, guidelines, rules, or regulations that will be used to make purchases under this Agreement. The State reserves the right to request a copy of these documents and to inspect the purchasing practices of the Contractor and/or subcontractor at any time.
- g. For all purchases, the Contractor and/or subcontractor must maintain copies of all paid vendor

invoices, documents, bids and other information used in vendor selection, for inspection or audit. Justifications supporting the absence of bidding (i.e., sole source purchases) shall also be maintained on file by the Contractor and/or subcontractor for inspection or audit.

- h. CDPH may, with cause (e.g., with reasonable suspicion of unnecessary purchases or use of inappropriate purchase practices, etc.), withhold, cancel, modify, or retract the delegated purchase authority granted under Paragraphs b and/or c of Provision 3 by giving the Contractor no less than 30 calendar days written notice.

4. Equipment Ownership / Inventory / Disposition

(Applicable to agreements in which equipment and/or property is furnished by CDPH and/or when said items are purchased or reimbursed with state or federal funds.)

- a. Wherever the terms equipment and/or property are used in Provision 4, the definitions in Provision 3, Paragraph a, shall apply.

Unless otherwise stipulated in this Agreement, all equipment and/or property that are purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement shall be considered state equipment and the property of CDPH.

- (1) CDPH requires the reporting, tagging and annual inventorying of all equipment and/or property that is furnished by CDPH or purchased/reimbursed with funds provided through this Agreement.

Upon receipt of equipment and/or property, the Contractor shall report the receipt to the CDPH Program Contract Manager. To report the receipt of said items and to receive property tags, Contractor shall use a form or format designated by CDPH's Asset Management Unit. If the appropriate form (i.e., Contractor Equipment Purchased with CDPH Funds) does not accompany this Agreement, Contractor shall request a copy from the CDPH Program Contract Manager.

- (2) If the Contractor enters into an agreement with a term of more than twelve months, the Contractor shall submit an annual inventory of state equipment and/or property to the CDPH Program Contract Manager using a form or format designated by CDPH's Asset Management Unit. If an inventory report form (i.e., Inventory/Disposition of CDPH-Funded Equipment) does not accompany this Agreement, Contractor shall request a copy from the CDPH Program Contract Manager. Contractor shall:

- (a) Include in the inventory report, equipment and/or property in the Contractor's possession and/or in the possession of a subcontractor (including independent consultants).
 - (b) Submit the inventory report to CDPH according to the instructions appearing on the inventory form or issued by the CDPH Program Contract Manager.
 - (c) Contact the CDPH Program Contract Manager to learn how to remove, trade-in, sell, transfer or survey off, from the inventory report, expired equipment and/or property that is no longer wanted, usable or has passed its life expectancy. Instructions will be supplied by CDPH's Asset Management Unit.
- b. Title to state equipment and/or property shall not be affected by its incorporation or attachment to any property not owned by the State.
 - c. Unless otherwise stipulated, CDPH shall be under no obligation to pay the cost of restoration, or rehabilitation of the Contractor's and/or Subcontractor's facility which may be affected by the removal of any state equipment and/or property.
 - d. The Contractor and/or Subcontractor shall maintain and administer a sound business program for ensuring the proper use, maintenance, repair, protection, insurance and preservation of state equipment and/or property.

- (1) In administering this provision, CDPH may require the Contractor and/or Subcontractor to repair or replace, to CDPH's satisfaction, any damaged, lost or stolen state equipment and/or property. Contractor and/or Subcontractor shall immediately file a theft report with the appropriate police agency or the California Highway Patrol and Contractor shall promptly submit one copy of the theft report to the CDPH Program Contract Manager.
- e. Unless otherwise stipulated by the program funding this Agreement, equipment and/or property purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, shall only be used for performance of this Agreement or another CDPH agreement.
- f. Within sixty (60) calendar days prior to the termination or end of this Agreement, the Contractor shall provide a final inventory report of equipment and/or property to the CDPH Program Contract Manager and shall, at that time, query CDPH as to the requirements, including the manner and method, of returning state equipment and/or property to CDPH. Final disposition of equipment and/or property shall be at CDPH expense and according to CDPH instructions. Equipment and/or property disposition instructions shall be issued by CDPH immediately after receipt of the final inventory report. At the termination or conclusion of this Agreement, CDPH may at its discretion, authorize the continued use of state equipment and/or property for performance of work under a different CDPH agreement.

g. Motor Vehicles

(Applicable only if motor vehicles are purchased/reimbursed with agreement funds or furnished by CDPH under this Agreement.)

- (1) If motor vehicles are purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, within thirty (30) calendar days prior to the termination or end of this Agreement, the Contractor and/or Subcontractor shall return such vehicles to CDPH and shall deliver all necessary documents of title or registration to enable the proper transfer of a marketable title to CDPH.
- (2) If motor vehicles are purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, the State of California shall be the legal owner of said motor vehicles and the Contractor shall be the registered owner. The Contractor and/or a subcontractor may only use said vehicles for performance and under the terms of this Agreement.
- (3) The Contractor and/or Subcontractor agree that all operators of motor vehicles, purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, shall hold a valid State of California driver's license. In the event that ten or more passengers are to be transported in any one vehicle, the operator shall also hold a State of California Class B driver's license.
- (4) If any motor vehicle is purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, the Contractor and/or Subcontractor, as applicable, shall provide, maintain, and certify that, at a minimum, the following type and amount of automobile liability insurance is in effect during the term of this Agreement or any extension period during which any vehicle remains in the Contractor's and/or Subcontractor's possession:

Automobile Liability Insurance

- (a) The Contractor, by signing this Agreement, hereby certifies that it possesses or will obtain automobile liability insurance in the amount of \$1,000,000 per occurrence for bodily injury and property damage combined. Said insurance must be obtained and made effective upon the delivery date of any motor vehicle, purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, to the Contractor and/or Subcontractor.

- (b) The Contractor and/or Subcontractor shall, as soon as practical, furnish a copy of the certificate of insurance to the CDPH Program Contract Manager. The certificate of insurance shall identify the CDPH contract or agreement number for which the insurance applies.
- (c) The Contractor and/or Subcontractor agree that bodily injury and property damage liability insurance, as required herein, shall remain in effect at all times during the term of this Agreement or until such time as the motor vehicle is returned to CDPH.
- (d) The Contractor and/or Subcontractor agree to provide, at least thirty (30) days prior to the expiration date of said insurance coverage, a copy of a new certificate of insurance evidencing continued coverage, as indicated herein, for not less than the remainder of the term of this Agreement, the term of any extension or continuation thereof, or for a period of not less than one (1) year.
- (e) The Contractor and/or Subcontractor, if not a self-insured government and/or public entity, must provide evidence, that any required certificates of insurance contain the following provisions:
 - [1] The insurer will not cancel the insured's coverage without giving thirty (30) calendar days prior written notice to the State (California Department of Public Health (CDPH)).
 - [2] The State of California, its officers, agents, employees, and servants are included as additional insureds, but only with respect to work performed for the State under this Agreement and any extension or continuation of this Agreement.
 - [3] The insurance carrier shall notify CDPH, in writing, of the Contractor's failure to pay premiums; its cancellation of such policies; or any other substantial change, including, but not limited to, the status, coverage, or scope of the required insurance. Such notices shall contain a reference to each agreement number for which the insurance was obtained.
- (f) The Contractor and/or Subcontractor is hereby advised that copies of certificates of insurance may be subject to review and approval by the Department of General Services (DGS), Office of Risk and Insurance Management. The Contractor shall be notified by CDPH, in writing, if this provision is applicable to this Agreement. If DGS approval of the certificate of insurance is required, the Contractor agrees that no work or services shall be performed prior to obtaining said approval.
- (g) In the event the Contractor and/or Subcontractor fails to keep insurance coverage, as required herein, in effect at all times during vehicle possession, CDPH may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event.

5. Subcontract Requirements

(Applicable to agreements under which services are to be performed by subcontractors including independent consultants.)

- a. Prior written authorization will be required before the Contractor enters into or is reimbursed for any subcontract for services costing \$5,000 or more. Except as indicated in Paragraph a(3) herein, when securing subcontracts for services exceeding \$5,000, the Contractor shall obtain at least three bids or justify a sole source award.
 - (1) The Contractor must provide in its request for authorization, all information necessary for evaluating the necessity or desirability of incurring such cost.
 - (2) The State may identify the information needed to fulfill this requirement.

(3) Subcontracts performed by the following entities or for the service types listed below are exempt from the bidding and sole source justification requirements:

- (a) A local governmental entity or the federal government,
- (b) A State college or university from any State,
- (c) A Joint Powers Authority,
- (d) An auxiliary organization of a California State University or a California community college,
- (e) A foundation organized to support the Board of Governors of the California Community Colleges,
- (f) An auxiliary organization of the Student Aid Commission established under Education Code § 69522,
- (g) Entities of any type that will provide subvention aid or direct services to the public,
- (h) Entities and/or service types identified as exempt from advertising in State Contracting Manual 5.80. View this publication at the following Internet address:

<http://www.ols.dgs.ca.gov/Contract+Manual/Chapters4through6.htm>

b. CDPH reserves the right to approve or disapprove the selection of subcontractors and with advance written notice, require the substitution of subcontractors and require the Contractor to terminate subcontracts entered into in support of this Agreement.

(1) Upon receipt of a written notice from CDPH requiring the substitution and/or termination of a subcontract, the Contractor shall take steps to ensure the completion of any work in progress and select a replacement, if applicable, within 30 calendar days, unless a longer period is agreed to by CDPH.

c. Actual subcontracts (i.e., written agreement between the Contractor and a subcontractor) of \$5,000 or more are subject to the prior review and written approval of CDPH. CDPH may, at its discretion, elect to waive this right. All such waivers shall be confirmed in writing by CDPH.

d. Contractor shall maintain a copy of each subcontract entered into in support of this Agreement and shall, upon request by CDPH, make copies available for approval, inspection, or audit.

e. CDPH assumes no responsibility for the payment of subcontractors used in the performance of this Agreement. Contractor accepts sole responsibility for the payment of subcontractors used in the performance of this Agreement.

f. The Contractor is responsible for all performance requirements under this Agreement even though performance may be carried out through a subcontract.

g. The Contractor shall ensure that all subcontracts for services include provision(s) requiring compliance with applicable terms and conditions specified in this Agreement.

h. The Contractor agrees to include the following clause, relevant to record retention, in all subcontracts for services:

"(Subcontractor Name) agrees to maintain and preserve, until three years after termination of (Agreement Number) and final payment from CDPH to the Contractor, to permit CDPH or any duly authorized representative, to have access to, examine or audit any pertinent books, documents, papers and records related to this subcontract and to allow interviews of any employees who might reasonably have information related to such records."

i. Unless otherwise stipulated in writing by CDPH, the Contractor shall be the subcontractor's sole point of contact for all matters related to performance and payment under this Agreement.

j. Contractor shall, as applicable, advise all subcontractors of their obligations pursuant to the following numbered provisions of this Exhibit: 1, 2, 3, 4, 5, 6, 7, 8, 10, 11, 12, 13, 14, 17, 19, 20, 24, and 31 or other numbered provisions herein that deemed applicable.

6. Income Restrictions

Unless otherwise stipulated in this Agreement, the Contractor agrees that any refunds, rebates, credits, or other amounts (including any interest thereon) accruing to or received by the Contractor under this Agreement shall be paid by the Contractor to CDPH, to the extent that they are properly allocable to costs for which the Contractor has been reimbursed by CDPH under this Agreement.

7. Audit and Record Retention

(Applicable to agreements in excess of \$10,000.)

- a. The Contractor and/or Subcontractor shall maintain books, records, documents, and other evidence, accounting procedures and practices, sufficient to properly reflect all direct and indirect costs of whatever nature claimed to have been incurred in the performance of this Agreement, including any matching costs and expenses. The foregoing constitutes "records" for the purpose of this provision.
- b. The Contractor's and/or subcontractor's facility or office or such part thereof as may be engaged in the performance of this Agreement and his/her records shall be subject at all reasonable times to inspection, audit, and reproduction.
- c. Contractor agrees that CDPH, the Department of General Services, the Bureau of State Audits, or their designated representatives including the Comptroller General of the United States shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. Contractor agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Contractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (GC 8546.7, CCR Title 2, Section 1896).
- d. The Contractor and/or Subcontractor shall preserve and make available his/her records (1) for a period of three years from the date of final payment under this Agreement, and (2) for such longer period, if any, as is required by applicable statute, by any other provision of this Agreement, or by subparagraphs (1) or (2) below.
 - (1) If this Agreement is completely or partially terminated, the records relating to the work terminated shall be preserved and made available for a period of three years from the date of any resulting final settlement.
 - (2) If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.
- e. The Contractor and/or Subcontractor shall comply with the above requirements and be aware of the penalties for violations of fraud and for obstruction of investigation as set forth in Public Contract Code § 10115.10, if applicable.
- f. The Contractor and/or Subcontractor may, at its discretion, following receipt of final payment under this Agreement, reduce its accounts, books and records related to this Agreement to microfilm, computer disk, CD ROM, or other data storage medium. Upon request by an authorized representative to inspect, audit or obtain copies of said records, the Contractor and/or Subcontractor must supply or make available applicable devices, hardware, and/or software necessary to view, copy and/or print said records. Applicable devices may include, but are not limited to, microfilm readers and microfilm printers, etc.
- g. The Contractor shall, if applicable, comply with the Single Audit Act and the audit reporting requirements set forth in OMB Circular A-133.

8. Site Inspection

The State, through any authorized representatives, has the right at all reasonable times to inspect or otherwise evaluate the work performed or being performed hereunder including subcontract supported activities and the premises in which it is being performed. If any inspection or evaluation is made of the premises of the Contractor or Subcontractor, the Contractor shall provide and shall require Subcontractors to provide all reasonable facilities and assistance for the safety and convenience of the authorized representatives in the performance of their duties. All inspections and evaluations shall be performed in such a manner as will not unduly delay the work.

9. Federal Contract Funds

(Applicable only to that portion of an agreement funded in part or whole with federal funds.)

- a. It is mutually understood between the parties that this Agreement may have been written before ascertaining the availability of congressional appropriation of funds, for the mutual benefit of both parties, in order to avoid program and fiscal delays which would occur if the Agreement were executed after that determination was made.
- b. This agreement is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the fiscal years covered by the term of this Agreement. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by the Congress or any statute enacted by the Congress which may affect the provisions, terms or funding of this Agreement in any manner.
- c. It is mutually agreed that if the Congress does not appropriate sufficient funds for the program, this Agreement shall be amended to reflect any reduction in funds.
- d. CDPH has the option to invalidate or cancel the Agreement with 30-days advance written notice or to amend the Agreement to reflect any reduction in funds.

10. Intellectual Property Rights

a. Ownership

- (1) Except where CDPH has agreed in a signed writing to accept a license, CDPH shall be and remain, without additional compensation, the sole owner of any and all rights, title and interest in all Intellectual Property, from the moment of creation, whether or not jointly conceived, that are made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement.
- (2) For the purposes of this Agreement, Intellectual Property means recognized protectable rights and interest such as: patents, (whether or not issued) copyrights, trademarks, service marks, applications for any of the foregoing, inventions, trade secrets, trade dress, logos, insignia, color combinations, slogans, moral rights, right of publicity, author's rights, contract and licensing rights, works, mask works, industrial design rights, rights of priority, know how, design flows, methodologies, devices, business processes, developments, innovations, good will and all other legal rights protecting intangible proprietary information as may exist now and/or here after come into existence, and all renewals and extensions, regardless of whether those rights arise under the laws of the United States, or any other state, country or jurisdiction.
 - (a) For the purposes of the definition of Intellectual Property, "works" means all literary works, writings and printed matter including the medium by which they are recorded or reproduced, photographs, art work, pictorial and graphic representations and works of a similar nature, film, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, educational materials, interactive videos and any other materials or products created, produced, conceptualized and fixed in a tangible medium of expression. It includes preliminary and final products and any materials and information developed for the purposes of producing

those final products. Works does not include articles submitted to peer review or reference journals or independent research projects.

- (3) In the performance of this Agreement, Contractor will exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this Agreement. In addition, under this Agreement, Contractor may access and utilize certain of CDPH's Intellectual Property in existence prior to the effective date of this Agreement. Except as otherwise set forth herein, Contractor shall not use any of CDPH's Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of CDPH. **Except as otherwise set forth herein, neither the Contractor nor CDPH shall give any ownership interest in or rights to its Intellectual Property to the other Party.** If during the term of this Agreement, Contractor accesses any third-party Intellectual Property that is licensed to CDPH, Contractor agrees to abide by all license and confidentiality restrictions applicable to CDPH in the third-party's license agreement.
- (4) Contractor agrees to cooperate with CDPH in establishing or maintaining CDPH's exclusive rights in the Intellectual Property, and in assuring CDPH's sole rights against third parties with respect to the Intellectual Property. If the Contractor enters into any agreements or subcontracts with other parties in order to perform this Agreement, Contractor shall require the terms of the Agreement(s) to include all Intellectual Property provisions. Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to CDPH all rights, title and interest in Intellectual Property made, conceived, derived from, or reduced to practice by the subcontractor, Contractor or CDPH and which result directly or indirectly from this Agreement or any subcontract.
- (5) Contractor further agrees to assist and cooperate with CDPH in all reasonable respects, and execute all documents and, subject to reasonable availability, give testimony and take all further acts reasonably necessary to acquire, transfer, maintain, and enforce CDPH's Intellectual Property rights and interests.

b. Retained Rights / License Rights

- (1) Except for Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement, Contractor shall retain title to all of its Intellectual Property to the extent such Intellectual Property is in existence prior to the effective date of this Agreement. Contractor hereby grants to CDPH, without additional compensation, a permanent, non-exclusive, royalty free, paid-up, worldwide, irrevocable, perpetual, non-terminable license to use, reproduce, manufacture, sell, offer to sell, import, export, modify, publicly and privately display/perform, distribute, and dispose Contractor's Intellectual Property with the right to sublicense through multiple layers, for any purpose whatsoever, to the extent it is incorporated in the Intellectual Property resulting from this Agreement, unless Contractor assigns all rights, title and interest in the Intellectual Property as set forth herein.
- (2) Nothing in this provision shall restrict, limit, or otherwise prevent Contractor from using any ideas, concepts, know-how, methodology or techniques related to its performance under this Agreement, provided that Contractor's use does not infringe the patent, copyright, trademark rights, license or other Intellectual Property rights of CDPH or third party, or result in a breach or default of any provisions of this Exhibit or result in a breach of any provisions of law relating to confidentiality.

c. Copyright

- (1) Contractor agrees that for purposes of copyright law, all works [as defined in Paragraph a, subparagraph (2)(a) of this provision] of authorship made by or on behalf of Contractor in connection with Contractor's performance of this Agreement shall be deemed "works made for hire". Contractor further agrees that the work of each person utilized by Contractor in connection with the performance of this Agreement will be a "work made for hire," whether that person is an employee of Contractor or that person has entered into an agreement with Contractor to perform the work. Contractor shall enter into a written agreement with any such

person that: (i) all work performed for Contractor shall be deemed a "work made for hire" under the Copyright Act and (ii) that person shall assign all right, title, and interest to CDPH to any work product made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement.

- (2) All materials, including, but not limited to, visual works or text, reproduced or distributed pursuant to this Agreement that include Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement, shall include CDPH's notice of copyright, which shall read in 3mm or larger typeface: "© [Enter Current Year e.g., 2007, etc.], Department of Health Care Services. This material may not be reproduced or disseminated without prior written permission from the Department of Health Care Services." This notice should be placed prominently on the materials and set apart from other matter on the page where it appears. Audio productions shall contain a similar audio notice of copyright.

d. Patent Rights

With respect to inventions made by Contractor in the performance of this Agreement, which did not result from research and development specifically included in the Agreement's scope of work, Contractor hereby grants to CDPH a license as described under Section b of this provision for devices or material incorporating, or made through the use of such inventions. If such inventions result from research and development work specifically included within the Agreement's scope of work, then Contractor agrees to assign to CDPH, without additional compensation, all its right, title and interest in and to such inventions and to assist CDPH in securing United States and foreign patents with respect thereto.

e. Third-Party Intellectual Property

Except as provided herein, Contractor agrees that its performance of this Agreement shall not be dependent upon or include any Intellectual Property of Contractor or third party without first: (i) obtaining CDPH's prior written approval; and (ii) granting to or obtaining for CDPH, without additional compensation, a license, as described in Section b of this provision, for any of Contractor's or third-party's Intellectual Property in existence prior to the effective date of this Agreement. If such a license upon the these terms is unattainable, and CDPH determines that the Intellectual Property should be included in or is required for Contractor's performance of this Agreement, Contractor shall obtain a license under terms acceptable to CDPH.

f. Warranties

(1) Contractor represents and warrants that:

- (a) It is free to enter into and fully perform this Agreement.
- (b) It has secured and will secure all rights and licenses necessary for its performance of this Agreement.
- (c) Neither Contractor's performance of this Agreement, nor the exercise by either Party of the rights granted in this Agreement, nor any use, reproduction, manufacture, sale, offer to sell, import, export, modification, public and private display/performance, distribution, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement will infringe upon or violate any Intellectual Property right, non-disclosure obligation, or other proprietary right or interest of any third-party or entity now existing under the laws of, or hereafter existing or issued by, any state, the United States, or any foreign country. There is currently no actual or threatened claim by any such third party based on an alleged violation of any such right by Contractor.
- (d) Neither Contractor's performance nor any part of its performance will violate the right of privacy of, or constitute a libel or slander against any person or entity.

- (e) It has secured and will secure all rights and licenses necessary for Intellectual Property including, but not limited to, consents, waivers or releases from all authors of music or performances used, and talent (radio, television and motion picture talent), owners of any interest in and to real estate, sites, locations, property or props that may be used or shown.
 - (f) It has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to CDPH in this Agreement.
 - (g) It has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.
 - (h) It has no knowledge of any outstanding claims, licenses or other charges, liens, or encumbrances of any kind or nature whatsoever that could affect in any way Contractor's performance of this Agreement.
- (2) CDPH MAKES NO WARRANTY THAT THE INTELLECTUAL PROPERTY RESULTING FROM THIS AGREEMENT DOES NOT INFRINGE UPON ANY PATENT, TRADEMARK, COPYRIGHT OR THE LIKE, NOW EXISTING OR SUBSEQUENTLY ISSUED.

g. Intellectual Property Indemnity

- (1) Contractor shall indemnify, defend and hold harmless CDPH and its licensees and assignees, and its officers, directors, employees, agents, representatives, successors, and users of its products, ("Indemnitees") from and against all claims, actions, damages, losses, liabilities (or actions or proceedings with respect to any thereof), whether or not rightful, arising from any and all actions or claims by any third party or expenses related thereto (including, but not limited to, all legal expenses, court costs, and attorney's fees incurred in investigating, preparing, serving as a witness in, or defending against, any such claim, action, or proceeding, commenced or threatened) to which any of the Indemnitees may be subject, whether or not Contractor is a party to any pending or threatened litigation, which arise out of or are related to (i) the incorrectness or breach of any of the representations, warranties, covenants or agreements of Contractor pertaining to Intellectual Property; or (ii) any Intellectual Property infringement, or any other type of actual or alleged infringement claim, arising out of CDPH's use, reproduction, manufacture, sale, offer to sell, distribution, import, export, modification, public and private performance/display, license, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement. This indemnity obligation shall apply irrespective of whether the infringement claim is based on a patent, trademark or copyright registration that issued after the effective date of this Agreement. CDPH reserves the right to participate in and/or control, at Contractor's expense, any such infringement action brought against CDPH.
- (2) Should any Intellectual Property licensed by the Contractor to CDPH under this Agreement become the subject of an Intellectual Property infringement claim, Contractor will exercise its authority reasonably and in good faith to preserve CDPH's right to use the licensed Intellectual Property in accordance with this Agreement at no expense to CDPH. CDPH shall have the right to monitor and appear through its own counsel (at Contractor's expense) in any such claim or action. In the defense or settlement of the claim, Contractor may obtain the right for CDPH to continue using the licensed Intellectual Property; or, replace or modify the licensed Intellectual Property so that the replaced or modified Intellectual Property becomes non-infringing provided that such replacement or modification is functionally equivalent to the original licensed Intellectual Property. If such remedies are not reasonably available, CDPH shall be entitled to a refund of all monies paid under this Agreement, without restriction or limitation of any other rights and remedies available at law or in equity.
- (3) Contractor agrees that damages alone would be inadequate to compensate CDPH for breach of any term of this Intellectual Property Exhibit by Contractor. Contractor acknowledges

CDPH would suffer irreparable harm in the event of such breach and agrees CDPH shall be entitled to obtain equitable relief, including without limitation an injunction, from a court of competent jurisdiction, without restriction or limitation of any other rights and remedies available at law or in equity.

h. Federal Funding

In any agreement funded in whole or in part by the federal government, CDPH may acquire and maintain the Intellectual Property rights, title, and ownership, which results directly or indirectly from the Agreement; except as provided in 37 Code of Federal Regulations part 401.14; however, the federal government shall have a non-exclusive, nontransferable, irrevocable, paid-up license throughout the world to use, duplicate, or dispose of such Intellectual Property throughout the world in any manner for governmental purposes and to have and permit others to do so.

i. Survival

The provisions set forth herein shall survive any termination or expiration of this Agreement or any project schedule.

11. Air or Water Pollution Requirements

Any federally funded agreement and/or subcontract in excess of \$100,000 must comply with the following provisions unless said agreement is exempt under 40 CFR 15.5.

- a. Government contractors agree to comply with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act [42 U.S.C. 1857(h)], section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15).
- b. Institutions of higher education, hospitals, nonprofit organizations and commercial businesses agree to comply with all applicable standards, orders, or requirements issued under the Clean Air Act (42 U.S.C. 7401 et seq.), as amended, and the Federal Water Pollution Control Act (33 U.S.C. 1251 et seq.), as amended.

12. Prior Approval of Training Seminars, Workshops or Conferences

Contractor shall obtain prior CDPH approval of the location, costs, dates, agenda, instructors, instructional materials, and attendees at any reimbursable training seminar, workshop, or conference conducted pursuant to this Agreement and of any reimbursable publicity or educational materials to be made available for distribution. The Contractor shall acknowledge the support of the State whenever publicizing the work under this Agreement in any media. This provision does not apply to necessary staff meetings or training sessions held for the staff of the Contractor or Subcontractor to conduct routine business matters.

13. Confidentiality of Information

- a. The Contractor and its employees, agents, or subcontractors shall protect from unauthorized disclosure names and other identifying information concerning persons either receiving services pursuant to this Agreement or persons whose names or identifying information become available or are disclosed to the Contractor, its employees, agents, or subcontractors as a result of services performed under this Agreement, except for statistical information not identifying any such person.
- b. The Contractor and its employees, agents, or subcontractors shall not use such identifying information for any purpose other than carrying out the Contractor's obligations under this Agreement.
- c. The Contractor and its employees, agents, or subcontractors shall promptly transmit to the CDPH Program Contract Manager all requests for disclosure of such identifying information not emanating from the client or person.

- d. The Contractor shall not disclose, except as otherwise specifically permitted by this Agreement or authorized by the client, any such identifying information to anyone other than CDPH without prior written authorization from the CDPH Program Contract Manager, except if disclosure is required by State or Federal law.
- e. For purposes of this provision, identity shall include, but not be limited to name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or a photograph.
- f. As deemed applicable by CDPH, this provision may be supplemented by additional terms and conditions covering personal health information (PHI) or personal, sensitive, and/or confidential information (PSCI). Said terms and conditions will be outlined in one or more exhibits that will either be attached to this Agreement or incorporated into this Agreement by reference.

14. Documents, Publications and Written Reports

(Applicable to agreements over \$5,000 under which publications, written reports and documents are developed or produced. Government Code Section 7550.)

Any document, publication or written report (excluding progress reports, financial reports and normal contractual communications) prepared as a requirement of this Agreement shall contain, in a separate section preceding the main body of the document, the number and dollar amounts of all contracts or agreements and subcontracts relating to the preparation of such document or report, if the total cost for work by nonemployees of the State exceeds \$5,000.

15. Dispute Resolution Process

- a. A Contractor grievance exists whenever there is a dispute arising from CDPH's action in the administration of an agreement. If there is a dispute or grievance between the Contractor and CDPH, the Contractor must seek resolution using the procedure outlined below.
 - (1) The Contractor should first informally discuss the problem with the CDPH Program Contract Manager. If the problem cannot be resolved informally, the Contractor shall direct its grievance together with any evidence, in writing, to the program Branch Chief. The grievance shall state the issues in dispute, the legal authority or other basis for the Contractor's position and the remedy sought. The Branch Chief shall render a decision within ten (10) working days after receipt of the written grievance from the Contractor. The Branch Chief shall respond in writing to the Contractor indicating the decision and reasons therefore. If the Contractor disagrees with the Branch Chief's decision, the Contractor may appeal to the second level.
 - (2) When appealing to the second level, the Contractor must prepare an appeal indicating the reasons for disagreement with Branch Chief's decision. The Contractor shall include with the appeal a copy of the Contractor's original statement of dispute along with any supporting evidence and a copy of the Branch Chief's decision. The appeal shall be addressed to the Deputy Director of the division in which the branch is organized within ten (10) working days from receipt of the Branch Chief's decision. The Deputy Director of the division in which the branch is organized or his/her designee shall meet with the Contractor to review the issues raised. A written decision signed by the Deputy Director of the division in which the branch is organized or his/her designee shall be directed to the Contractor within twenty (20) working days of receipt of the Contractor's second level appeal.
- b. If the Contractor wishes to appeal the decision of the Deputy Director of the division in which the branch is organized or his/her designee, the Contractor shall follow the procedures set forth in Division 25.1 (commencing with Section 38050) of the Health and Safety Code and the regulations adopted thereunder. (Title 1, Subchapter 2.5, commencing with Section 251, California Code of Regulations.)
- c. Disputes arising out of an audit, examination of an agreement or other action not covered by subdivision (a) of Section 20204, of Chapter 2.1, Title 22, of the California Code of Regulations,

and for which no procedures for appeal are provided in statute, regulation or the Agreement, shall be handled in accordance with the procedures identified in Sections 51016 through 51047, Title 22, California Code of Regulations.

- d. Unless otherwise stipulated in writing by CDPH, all dispute, grievance and/or appeal correspondence shall be directed to the CDPH Program Contract Manager.
- e. There are organizational differences within CDPH's funding programs and the management levels identified in this dispute resolution provision may not apply in every contractual situation. When a grievance is received and organizational differences exist, the Contractor shall be notified in writing by the CDPH Program Contract Manager of the level, name, and/or title of the appropriate management official that is responsible for issuing a decision at a given level.

16. Financial and Compliance Audit Requirements

- a. The definitions used in this provision are contained in Section 38040 of the Health and Safety Code, which by this reference is made a part hereof.
- b. Direct service contract means a contract or agreement for services contained in local assistance or subvention programs or both (see Health and Safety [H&S] Code section 38020). Direct service contracts shall not include contracts, agreements, grants, or subventions to other governmental agencies or units of government nor contracts or agreements with regional centers or area agencies on aging (H&S Code section 38030).
- c. The Contractor, as indicated below, agrees to obtain one of the following audits:
 - (1) If the Contractor is a nonprofit organization (as defined in H&S Code section 38040) and receives \$25,000 or more from any State agency under a direct service contract or agreement; the Contractor agrees to obtain an annual single, organization wide, financial and compliance audit. Said audit shall be conducted according to Generally Accepted Auditing Standards. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the Contractor's fiscal year, **and/or**
 - (2) If the Contractor is a nonprofit organization (as defined in H&S Code section 38040) and receives less than \$25,000 per year from any State agency under a direct service contract or agreement, the Contractor agrees to obtain a biennial single, organization wide financial and compliance audit, unless there is evidence of fraud or other violation of state law in connection with this Agreement. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the Contractor's fiscal year, **and/or**
 - (3) If the Contractor is a State or Local Government entity or Nonprofit organization (as defined by the Federal Office of Management and Budget [OMB] Circular A-133) and expends \$500,000 or more in Federal awards, the Contractor agrees to obtain an annual single, organization wide, financial and compliance audit according to the requirements specified in OMB Circular A-133 entitled "Audits of States, Local Governments, and Non-Profit Organizations". An audit conducted pursuant to this provision will fulfill the audit requirements outlined in Paragraphs c(1) and c(2) above. The audit shall be completed by the end of the ninth month following the end of the audit period. The requirements of this provision apply if:
 - (a) The Contractor is a recipient expending Federal awards received directly from Federal awarding agencies, or
 - (b) The Contractor is a subrecipient expending Federal awards received from a pass-through entity such as the State, County or community based organization.
 - (4) If the Contractor submits to CDPH a report of an audit other than an OMB A-133 audit, the Contractor must also submit a certification indicating the Contractor has not expended \$500,000 or more in federal funds for the year covered by the audit report.

- d. Two copies of the audit report shall be delivered to the CDPH program funding this Agreement. The audit report must identify the Contractor's legal name and the number assigned to this Agreement. The audit report shall be due within 30 days after the completion of the audit. Upon receipt of said audit report, the CDPH Program Contract Manager shall forward the audit report to CDPH's Audits and Investigations Unit if the audit report was submitted under Section 16.c(3), unless the audit report is from a City, County, or Special District within the State of California whereby the report will be retained by the funding program.
- e. The cost of the audits described herein may be included in the funding for this Agreement up to the proportionate amount this Agreement represents of the Contractor's total revenue. The CDPH program funding this Agreement must provide advance written approval of the specific amount allowed for said audit expenses.
- f. The State or its authorized designee, including the Bureau of State Audits, is responsible for conducting agreement performance audits which are not financial and compliance audits. Performance audits are defined by Generally Accepted Government Auditing Standards.
- g. Nothing in this Agreement limits the State's responsibility or authority to enforce State law or regulations, procedures, or reporting requirements arising thereto.
- h. Nothing in this provision limits the authority of the State to make audits of this Agreement, provided however, that if independent audits arranged for by the Contractor meet Generally Accepted Governmental Auditing Standards, the State shall rely on those audits and any additional audit work and shall build upon the work already done.
- i. The State may, at its option, direct its own auditors to perform either of the audits described above. The Contractor will be given advance written notification, if the State chooses to exercise its option to perform said audits.
- j. The Contractor shall include a clause in any agreement the Contractor enters into with the audit firm doing the single organization wide audit to provide access by the State or Federal Government to the working papers of the independent auditor who prepares the single organization wide audit for the Contractor.
- k. Federal or state auditors shall have "expanded scope auditing" authority to conduct specific program audits during the same period in which a single organization wide audit is being performed, but the audit report has not been issued. The federal or state auditors shall review and have access to the current audit work being conducted and will not apply any testing or review procedures which have not been satisfied by previous audit work that has been completed.

The term "expanded scope auditing" is applied and defined in the U.S. General Accounting Office (GAO) issued Standards for *Audit of Government Organizations, Programs, Activities and Functions*, better known as the "yellow book".

17. Human Subjects Use Requirements

(Applicable only to federally funded agreements/grants in which performance, directly or through a subcontract/subaward, includes any tests or examination of materials derived from the human body.)

By signing this Agreement, Contractor agrees that if any performance under this Agreement or any subcontract or subagreement includes any tests or examination of materials derived from the human body for the purpose of providing information, diagnosis, prevention, treatment or assessment of disease, impairment, or health of a human being, all locations at which such examinations are performed shall meet the requirements of 42 U.S.C. Section 263a (CLIA) and the regulations thereunder.

18. Novation Requirements

If the Contractor proposes any novation agreement, CDPH shall act upon the proposal within 60 days after receipt of the written proposal. CDPH may review and consider the proposal, consult and negotiate with the Contractor, and accept or reject all or part of the proposal. Acceptance or rejection of the proposal may be made orally within the 60-day period and confirmed in writing within five days of said decision. Upon written acceptance of the proposal, CDPH will initiate an amendment to this Agreement to formally implement the approved proposal.

19. Debarment and Suspension Certification

(Applicable to all agreements funded in part or whole with federal funds.)

- a. By signing this Agreement, the Contractor/Grantee agrees to comply with applicable federal suspension and debarment regulations including, but not limited to 7 CFR Part 3017, 45 CFR 76, 40 CFR 32 or 34 CFR 85.
- b. By signing this Agreement, the Contractor certifies to the best of its knowledge and belief, that it and its principals:
 - (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency;
 - (2) Have not within a three-year period preceding this application/proposal/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;
 - (3) 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 b(2) herein; and
 - (4) Have not within a three-year period preceding this application/proposal/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.
 - (5) Shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under federal regulations (i.e., 48 CFR part 9, subpart 9.4), debarred, suspended, declared ineligible, or voluntarily excluded from participation in such transaction, unless authorized by the State.
 - (6) Will include a clause entitled, "Debarment and Suspension Certification" that essentially sets forth the provisions herein, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- c. If the Contractor is unable to certify to any of the statements in this certification, the Contractor shall submit an explanation to the CDPH Program Contract Manager.
- d. The terms and definitions herein have the meanings set out in the Definitions and Coverage sections of the rules implementing Federal Executive Order 12549.
- e. If the Contractor knowingly violates this certification, in addition to other remedies available to the Federal Government, the CDPH may terminate this Agreement for cause or default.

20. Smoke-Free Workplace Certification

(Applicable to federally funded agreements/grants and subcontracts/subawards, that provide health, day care, early childhood development services, education or library services to children under 18 directly or through local governments.)

- a. Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by federal programs either directly or through state or local governments, by federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed.
- b. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible party.
- c. By signing this Agreement, Contractor or Grantee certifies that it will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act. The prohibitions herein are effective December 26, 1994.
- d. Contractor or Grantee further agrees that it will insert this certification into any subawards (subcontracts or subgrants) entered into that provide for children's services as described in the Act.

21. Covenant Against Contingent Fees

(Applicable only to federally funded agreements.)

The Contractor warrants that no person or selling agency has been employed or retained to solicit/secure this Agreement upon an agreement of understanding for a commission, percentage, brokerage, or contingent fee, except *bona fide* employees or *bona fide* established commercial or selling agencies retained by the Contractor for the purpose of securing business. For breach or violation of this warranty, CDPH shall have the right to annul this Agreement without liability or in its discretion to deduct from the Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage, and brokerage or contingent fee.

22. Payment Withholds

(Applicable only if a final report is required by this Agreement. Not applicable to government entities.)

Unless waived or otherwise stipulated in this Agreement, CDPH may, at its discretion, withhold 10 percent (10%) of the face amount of the Agreement, 50 percent (50%) of the final invoice, or \$3,000 whichever is greater, until CDPH receives a final report that meets the terms, conditions and/or scope of work requirements of this Agreement.

23. Performance Evaluation

(Not applicable to grant agreements.)

CDPH may, at its discretion, evaluate the performance of the Contractor at the conclusion of this Agreement. If performance is evaluated, the evaluation shall not be a public record and shall remain on file with CDPH. Negative performance evaluations may be considered by CDPH prior to making future contract awards.

24. Officials Not to Benefit

No members of or delegate of Congress or the State Legislature shall be admitted to any share or part of this Agreement, or to any benefit that may arise therefrom. This provision shall not be construed to extend to this Agreement if made with a corporation for its general benefits.

25. Four-Digit Date Compliance

(Applicable to agreements in which Information Technology (IT) services are provided to DHCS or if IT equipment is procured.)

Contractor warrants that it will provide only Four-Digit Date Compliant (as defined below) Deliverables and/or services to the State. "Four Digit Date compliant" Deliverables and services can accurately process, calculate, compare, and sequence date data, including without limitation date data arising out of or relating to leap years and changes in centuries. This warranty and representation is subject to the warranty terms and conditions of this Contract and does not limit the generality of warranty obligations set forth elsewhere herein.

26. Prohibited Use of State Funds for Software

(Applicable to agreements in which computer software is used in performance of the work.)

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 Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.

27. Use of Small, Minority Owned and Women's Businesses

(Applicable to that portion of an agreement that is federally funded and entered into with institutions of higher education, hospitals, nonprofit organizations or commercial businesses.)

Positive efforts shall be made to use small businesses, minority-owned firms and women's business enterprises, whenever possible (i.e., procurement of goods and/or services). Contractors shall take all of the following steps to further this goal.

- (1) Ensure that small businesses, minority-owned firms, and women's business enterprises are used to the fullest extent practicable.
- (2) Make information on forthcoming purchasing and contracting opportunities available and arrange time frames for purchases and contracts to encourage and facilitate participation by small businesses, minority-owned firms, and women's business enterprises.
- (3) Consider in the contract process whether firms competing for larger contracts intend to subcontract with small businesses, minority-owned firms, and women's business enterprises.
- (4) Encourage contracting with consortiums of small businesses, minority-owned firms and women's business enterprises when a contract is too large for one of these firms to handle individually.
- (5) Use the services and assistance, as appropriate, of such organizations as the Federal Small Business Administration and the U.S. Department of Commerce's Minority Business Development Agency in the solicitation and utilization of small businesses, minority-owned firms and women's business enterprises.

28. Alien Ineligibility Certification

(Applicable to sole proprietors entering federally funded agreements.)

By signing this Agreement, the Contractor certifies that he/she is not an alien that is ineligible for state and local benefits, as defined in Subtitle B of the Personal Responsibility and Work Opportunity Act. (8 U.S.C. 1601, et seq.)

29. Union Organizing

(Applicable only to grant agreements.)

Grantee, by signing this Agreement, hereby acknowledges the applicability of Government Code Sections 16645 through 16649 to this Agreement. Furthermore, Grantee, by signing this Agreement, hereby certifies that:

- a. No state funds disbursed by this grant will be used to assist, promote or deter union organizing.
- b. Grantee shall account for state funds disbursed for a specific expenditure by this grant, to show those funds were allocated to that expenditure.
- c. Grantee shall, where state funds are not designated as described in b herein, allocate, on a pro-rata basis, all disbursements that support the grant program.
- d. If Grantee makes expenditures to assist, promote or deter union organizing, Grantee will maintain records sufficient to show that no state funds were used for those expenditures, and that Grantee shall provide those records to the Attorney General upon request.

30. Contract Uniformity (Fringe Benefit Allowability)

(Applicable only to nonprofit organizations.)

Pursuant to the provisions of Article 7 (commencing with Section 100525) of Chapter 3 of Part 1 of Division 101 of the Health and Safety Code, CDPH sets forth the following policies, procedures, and guidelines regarding the reimbursement of fringe benefits.

- a. As used herein fringe benefits shall mean an employment benefit given by one's employer to an employee in addition to one's regular or normal wages or salary.
- b. As used herein, fringe benefits do not include:
 - (1) Compensation for personal services paid currently or accrued by the Contractor for services of employees rendered during the term of this Agreement, which is identified as regular or normal salaries and wages, annual leave, vacation, sick leave, holidays, jury duty and/or military leave/training.
 - (2) Director's and executive committee member's fees.
 - (3) Incentive awards and/or bonus incentive pay.
 - (4) Allowances for off-site pay.
 - (5) Location allowances.
 - (6) Hardship pay.
 - (7) Cost-of-living differentials
- c. Specific allowable fringe benefits include:
 - (1) Fringe benefits in the form of employer contributions for the employer's portion of payroll taxes (i.e., FICA, SUI, SDI), employee health plans (i.e., health, dental and vision), unemployment insurance, worker's compensation insurance, and the employer's share of pension/retirement plans, provided they are granted in accordance with established written organization policies and meet all legal and Internal Revenue Service requirements.
- d. To be an allowable fringe benefit, the cost must meet the following criteria:
 - (1) Be necessary and reasonable for the performance of the Agreement.
 - (2) Be determined in accordance with generally accepted accounting principles.
 - (3) Be consistent with policies that apply uniformly to all activities of the Contractor.
- e. Contractor agrees that all fringe benefits shall be at actual cost.
- f. Earned/Accrued Compensation
 - (1) Compensation for vacation, sick leave and holidays is limited to that amount earned/accrued within the agreement term. Unused vacation, sick leave and holidays earned from periods

prior to the agreement term cannot be claimed as allowable costs. See Provision f (3)(a) for an example.

- (2) For multiple year agreements, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the Agreement. Holidays cannot be carried over from one agreement year to the next. See Provision f (3)(b) for an example.
- (3) For single year agreements, vacation, sick leave and holiday compensation that is earned/accrued but not paid, due to employee(s) not taking time off within the term of the Agreement, cannot be claimed as an allowable cost. See Provision f (3)(c) for an example.

(a) **Example No. 1:**

If an employee, John Doe, earns/accrues three weeks of vacation and twelve days of sick leave each year, then that is the maximum amount that may be claimed during a one year agreement. If John Doe has five weeks of vacation and eighteen days of sick leave at the beginning of an agreement, the Contractor during a one-year budget period may only claim up to three weeks of vacation and twelve days of sick leave as actually used by the employee. Amounts earned/accrued in periods prior to the beginning of the Agreement are not an allowable cost.

(b) **Example No. 2:**

If during a three-year (multiple year) agreement, John Doe does not use his three weeks of vacation in year one, or his three weeks in year two, but he does actually use nine weeks in year three; the Contractor would be allowed to claim all nine weeks paid for in year three. The total compensation over the three-year period cannot exceed 156 weeks (3 x 52 weeks).

(c) **Example No. 3:**

If during a single year agreement, John Doe works fifty weeks and used one week of vacation and one week of sick leave and all fifty-two weeks have been billed to CDPH, the remaining unused two weeks of vacation and seven days of sick leave may not be claimed as an allowable cost.

31. Lobbying Restrictions and Disclosure Certification

(Applicable to federally funded agreements in excess of \$100,000 per Section 1352 of the 31, U.S.C.)

a. Certification and Disclosure Requirements

- (1) Each person (or recipient) who requests or receives a contract or agreement, subcontract, grant, or subgrant, which is subject to Section 1352 of the 31, U.S.C., and which exceeds \$100,000 at any tier, shall file a certification (in the form set forth in Attachment 1, consisting of one page, entitled "Certification Regarding Lobbying") that the recipient has not made, and will not make, any payment prohibited by Paragraph b of this provision.
- (2) Each recipient shall file a disclosure (in the form set forth in Attachment 2, entitled "Standard Form-LLL 'disclosure of Lobbying Activities'") if such recipient has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered federal action) in connection with a contract, or grant or any extension or amendment of that contract, or grant, which would be prohibited under Paragraph b of this provision if paid for with appropriated funds.
- (3) Each recipient shall file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affect the accuracy of the information contained in any disclosure form previously filed by such person under Paragraph a(2) herein. An event that materially affects the accuracy of the information reported includes:

- (a) A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered federal action;
 - (b) A change in the person(s) or individuals(s) influencing or attempting to influence a covered federal action; or
 - (c) A change in the officer(s), employee(s), or member(s) contacted for the purpose of influencing or attempting to influence a covered federal action.
- (4) Each person (or recipient) who requests or receives from a person referred to in Paragraph a(1) of this provision a contract or agreement, subcontract, grant or subgrant exceeding \$100,000 at any tier under a contract or agreement, or grant shall file a certification, and a disclosure form, if required, to the next tier above.
- (5) All disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the person referred to in Paragraph a(1) of this provision. That person shall forward all disclosure forms to CDPH Program Contract Manager.

b. Prohibition

Section 1352 of Title 31, U.S.C., provides in part that no appropriated funds may be expended by the recipient of a federal contract or agreement, grant, loan, or cooperative agreement to pay 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 any of the following covered federal actions: the awarding of any federal contract or agreement, the making of any federal grant, the making of any federal loan, entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract or agreement, grant, loan, or cooperative agreement.

STATE OF CALIFORNIA
CALIFORNIA DEPARTMENT OF PUBLIC HEALTH
CERTIFICATION REGARDING LOBBYING

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making, awarding or entering into of this Federal contract, Federal grant, or cooperative agreement, and the extension, continuation, renewal, amendment, or modification of this Federal contract, grant, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency of the United States Government, 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, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities" in accordance with its instructions.


(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontractors, subgrants, and contracts under grants and cooperative agreements) of \$100,000 or more, and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C., 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.

City of Riverside
Name of Contractor

Scott Barber
Printed Name of Person Signing for Contractor

14-044
Contract / Grant Number


Signature of Person Signing for Contractor

11/19/13
Date

City Manager
Title

After execution by or on behalf of Contractor, please return to:

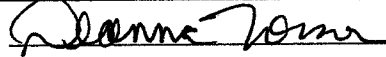
California Department of Public Health

CDPH reserves the right to notify the contractor in writing of an alternate submission address.

CERTIFICATION REGARDING LOBBYING

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

Approved by OMB
0348-0046

<p>1. Type of Federal Action:</p> <p>[b] <input checked="" type="radio"/> a. contract <input type="radio"/> b. grant <input type="radio"/> c. cooperative agreement <input type="radio"/> d. loan <input type="radio"/> e. loan guarantee <input type="radio"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p>[b] <input type="radio"/> a. bid/offer/application <input checked="" type="radio"/> b. initial award <input type="radio"/> c. post-award</p>	<p>3. Report Type:</p> <p>[a] <input checked="" type="radio"/> a. initial filing <input type="radio"/> b. material change</p> <p>For Material Change Only: Year _____ quarter _____ date of last report _____</p>
<p>4. Name and Address of Reporting Entity:</p> <p><input type="checkbox"/> Prime <input checked="" type="checkbox"/> Subawardee Tier _____, if known:</p> <p>CITY of RIVERSIDE 3900 MAIN ST. RIVERSIDE, CA 92522</p> <p>Congressional District, If known: 41 and 42</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>CA Department of Public Health NETWORK FOR A HEALTHY CALIFORNIA 1616 CAPITOL AVE. SUITE 74-516 MS 7204 SACRAMENTO, CA 95899</p> <p>Congressional District, If known:</p>	
<p>6. Federal Department/Agency</p> <p>United States Department of Agriculture</p>	<p>7. Federal Program Name/Description:</p> <p>Supplemental Nutrition Assistance Program</p> <p>CDFA Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ 2,151,310⁰⁰</p>	
<p>10.a. Name and Address of Lobbying Registrant (If individual, last name, first name, MI):</p> <p>N/A</p>	<p>b. Individuals Performing Services (including address if different from 10a. (Last name, First name, MI):</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. required disclosure shall be subject to a not more than \$100,000 for each such failure.</p>	<p>Signature: </p> <p>Print Name: Scott Barber</p> <p>Title: City Manager</p> <p>Telephone No.: 951-826-5771 Date: 11/19/13</p>	
<p>Federal Use Only</p>		<p>Authorized for Local Reproduction Standard Form-LLL (Rev. 7-97)</p>

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

Exhibit E
Additional Provisions

1. Additional Incorporated Documents

- A. The following documents and any subsequent updates are not attached, but are incorporated herein and made a part hereof by this reference. These documents may be updated periodically by CDPH, as required by program directives. CDPH shall provide the Grantee with copies of said documents and any periodic updates thereto, under separate cover. CDPH will maintain on file, all documents referenced herein and any subsequent updates.
1. Network Local Projects *Network for a Healthy California* Guidelines Manual and any revisions thereto. (Revision October 2011)
<http://www.cdph.ca.gov/programs/cpns/Pages/GuidelinesManual.aspx>
 2. *Network for a Healthy California* Program Letters and any revisions thereto.
<http://www.cdph.ca.gov/programs/cpns/Pages/ProgramLetters.aspx>
 3. United States Department of Agriculture, Supplemental Nutrition Assistance Program Education (SNAP-Ed) Plan Guidance. (Revision Date FFY 2013)
<http://www.nal.usda.gov/fsn/Guidance/FY2013SNAP-EdPlanGuidance.pdf>

2. Cancellation / Termination

- A. This agreement may be cancelled by CDPH without cause upon 30 calendar days advance written notice to the Grantee.
- B. CDPH reserves the right to cancel or terminate this agreement immediately for cause. The Grantee may submit a written request to terminate this agreement only if CDPH substantially fails to perform its responsibilities as provided herein.
- C. The term "for cause" shall mean that the Grantee fails to meet the terms, conditions, and/or responsibilities of this agreement. Causes for termination include, but are not limited to the following occurrences:
- 1) If the Grantee knowingly furnishes any statement, representation, warranty, or certification in connection with the agreement, which representation is materially false, deceptive, incorrect, or incomplete.
 - 2) If the Grantee fails to perform any material requirement of this agreement or defaults in performance of this agreement.
 - 3) If the Grantee files for bankruptcy, or if CDPH determines that the Grantee becomes financially incapable of completing this agreement.
- D. Agreement termination or cancellation shall be effective as of the date indicated in CDPH's notification to the Grantee. The notice shall stipulate any final performance, invoicing or payment requirements.
- E. In the event of early termination or cancellation, the Grantee shall be entitled to compensation for services performed satisfactorily under this agreement and expenses incurred up to the date of cancellation and any non-cancelable obligations incurred in support of this agreement.

Exhibit E
Additional Provisions

- F. In the event of termination, and at the request of CDPH, the Grantee shall furnish copies of all proposals, specifications, designs, procedures, layouts, copy, and other materials related to the services or deliverables provided under this agreement, whether finished or in progress on the termination date.
- G. The Grantee will not be entitled to reimbursement for any expenses incurred for services and deliverables pursuant to this agreement after the effective date of termination.
- H. Upon receipt of notification of termination of this agreement, and except as otherwise specified by CDPH, the Grantee shall:
 - 1) Place no further order or subgrants for materials, services, or facilities.
 - 2) Settle all outstanding liabilities and all claims arising out of such termination of orders and subgrants.
 - 3) Upon the effective date of termination of the agreement Grantee shall transfer, assign and make available to CDPH all property and materials belonging to CDPH, all rights and claims to any and all reservations, grants, and arrangements with owners of media/PR materials, or others, and shall make available to CDPH all written information regarding CDPH's media/PR materials, and no extra compensation is to be paid to Grantee for its services.
 - 4) Take such action as may be necessary, or as CDPH may specify, to protect and preserve any property related to this agreement which is in the possession of the Grantee and in which CDPH has or may acquire an interest.
- I. CDPH may, at its discretion, require the Grantee to cease performance of certain components of the Scope of Work as designated by CDPH and complete performance of other components prior to the termination date of the agreement.

3. Avoidance of Conflicts of Interest by Grantee

- A. CDPH intends to avoid any real or apparent conflict of interest on the part of the Grantee, subgrantees, or employees, officers and directors of the Grantee or subgrantees. Thus, CDPH reserves the right to determine, at its sole discretion, whether any information, assertion, or claim received from any source indicates the existence of a real or apparent conflict of interest; and, if a conflict is found to exist, to require the Grantee to submit additional information or a plan for resolving the conflict, subject to prior CDPH review and approval.
- B. Conflicts of interest include, but are not limited to:
 - 1) An instance where the Grantee or any of its subgrantees, or any employee, officer, or director of the Grantee or any subgrantee has an interest, financial or otherwise, whereby the use or disclosure of information obtained while performing services under the agreement would allow for private or personal benefit or for any purpose that is contrary to the goals and objectives of the agreement.
 - 2) An instance where the Grantee's or any subgrantee's employees, officers, or directors use their positions for purposes that are, or give the appearance of being, motivated by a

Exhibit E
Additional Provisions |

desire for private gain for themselves or others, such as those with whom they have family, business or other ties.

- C. If CDPH is or becomes aware of a known or suspected conflict of interest, the Grantee will be given an opportunity to submit additional information or to resolve the conflict. A Grantee with a suspected conflict of interest under this agreement will have five (5) working days from the date of notification of the conflict by CDPH to provide complete information regarding the suspected conflict. If a conflict of interest is determined to exist by CDPH and cannot be resolved to the satisfaction of CDPH, the conflict will be grounds for terminating the agreement. CDPH may, at its discretion upon receipt of a written request from the Grantee, authorize an extension of the timeline indicated herein.

Contractor's Release

Instructions to Contractor:

With final invoice(s) submit one (1) original and one (1) copy. The original must bear the original signature of a person authorized to bind the Contractor. The additional copy may bear photocopied signatures.

Submission of Final Invoice

Pursuant to contract number _____ entered into between the California Department of Public Health (CDPH) and the Contractor (identified below), the Contractor does acknowledge that final payment has been requested via invoice number(s) _____, in the amount(s) of \$ _____ and dated _____. If necessary, enter "See Attached" in the appropriate blocks and attach a list of invoice numbers, dollar amounts and invoice dates.

Release of all Obligations

By signing this form, and upon receipt of the amount specified in the invoice number(s) referenced above, the Contractor does hereby release and discharge the State, its officers, agents and employees of and from any and all liabilities, obligations, claims, and demands whatsoever arising from the above referenced contract.

Repayments Due to Audit Exceptions / Record Retention

By signing this form, Contractor acknowledges that expenses authorized for reimbursement does not guarantee final allowability of said expenses. Contractor agrees that the amount of any sustained audit exceptions resulting from any subsequent audit made after final payment will be refunded to the State.

All expense and accounting records related to the above referenced contract must be maintained for audit purposes for no less than three years beyond the date of final payment, unless a longer term is stated in said contract.

Recycled Product Use Certification

By signing this form, Contractor certifies under penalty of perjury that a minimum of 0% unless otherwise specified in writing of post consumer material, as defined in the Public Contract Code Section 12200, in products, materials, goods, or supplies offered or sold to the State regardless of whether it meets the requirements of Public Contract Code Section 12209. Contractor specifies that printer or duplication cartridges offered or sold to the State comply with the requirements of Section 12156(e).

Reminder to Return State Equipment/Property (If Applicable)

(Applies only if equipment was provided by CDPH or purchased with or reimbursed by contract funds)

Unless CDPH has approved the continued use and possession of State equipment (as defined in the above referenced contract) for use in connection with another CDPH agreement, Contractor agrees to promptly initiate arrangements to account for and return said equipment to CDPH, at CDPH's expense, if said equipment has not passed its useful life expectancy as defined in the above referenced contract.

Patents / Other Issues

By signing this form, Contractor further agrees, in connection with patent matters and with any claims that are not specifically released as set forth above, that it will comply with all of the provisions contained in the above referenced contract, including, but not limited to, those provisions relating to notification to the State and related to the defense or prosecution of litigation.

ONLY SIGN AND DATE THIS DOCUMENT WHEN ATTACHING IT TO THE FINAL INVOICE

Contractor's Legal Name (as on contract): _____

Signature of Contractor or Official Designee: _____ Date: _____

Printed Name/Title of Person Signing: _____

Distribution: Accounting (Original) Program

Travel Reimbursement Information
(*Mileage Reimbursement Increase Effective 7/1/11*)

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract. The terms "contract" and/or "subcontract" have the same meaning as "grantee" and/or "subgrantee" where applicable.
 - a. Reimbursement for travel and/or per diem shall be at the rates established for nonrepresented/excluded state employees. Exceptions to Department of Personnel Administration (DPA) lodging rates may be approved by *the California Department of Public Health (CDPH)* upon the receipt of a statement on/with an invoice indicating that such rates are not available.
 - b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract or subcontract employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of assignments. Headquarters may be individually established for each traveler and approved verbally or in writing by the program funding the agreement. Verbal approval shall be followed up in writing or email.
 - c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on Page 2 of this exhibit to determine the reimbursement allowance. All lodging reimbursement claims must be supported by a receipt*. If a contractor does not or cannot present receipts, lodging expenses will not be reimbursed.

(1) Lodging (with receipts*):

Travel Location / Area	Reimbursement Rate
Statewide (excluding the counties identified below)	\$ 84.00 plus tax
Counties of Los Angeles and San Diego	\$110.00 plus tax
Counties of Alameda, San Francisco, San Mateo, and Santa Clara	\$140.00 plus tax

Reimbursement for actual lodging expenses that exceed the above amounts may be allowed with the advance approval of the Deputy Director of the California Department of *Public Health (CDPH)* or his or her designee. Receipts are required.

*Receipts from Internet lodging reservation services such as Priceline.com which require prepayment for that service, ARE NOT ACCEPTABLE LODGING RECEIPTS and are not reimbursable without a valid lodging receipt from a lodging establishment.

- (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum for each full 24-hour period of travel.

Meal / Expense	Reimbursement Rate
Breakfast	\$ 6.00
Lunch	\$ 10.00
Dinner	\$ 18.00
Incidental expenses	\$ 6.00

- d. Out-of-state travel may only be reimbursed if such travel is necessitated by the scope or statement of work and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors/subcontractors must have prior CDPH written or verbal approval. Verbal approval shall be confirmed in writing (email or memo).
- e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on Page 2 of this exhibit.
- f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.

2. If any of the reimbursement rates stated herein is changed by DPA, no formal contract amendment will be required to incorporate the new rates. However, CDPH shall inform the contractor, in writing, of the revised travel reimbursement rates and the applicable effective date of any rate change.

At CDPH's discretion, changes or revisions made by CDPH to this exhibit, excluding travel reimbursement policies established by DPA may be applied retroactively to any agreement to which a Travel Reimbursement Information exhibit is attached, incorporated by reference, or applied by CDPH program policy. Changes to the travel reimbursement rates stated herein may not be applied earlier than the date a rate change is approved by DPA.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
4. **Note on use of autos:** If a contractor uses his/her or a company car for transportation, the rate of reimbursement will be **55.5 cents** maximum per mile. If a contractor uses his/her or a company car "in lieu of" airfare, the air coach fare will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the State. Gasoline and routine automobile repair expenses are not reimbursable.
5. The contractor is required to furnish details surrounding each period of travel. Travel expense reimbursement detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc. Reimbursement for travel expenses may be withheld pending receipt of adequate travel documentation.
6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

Per Diem Reimbursement Guide

Length of travel period	This condition exists...	Allowable Meal(s)
Less than 24 hours	Trip begins at or before 6 a.m. and ends at or after 9 a.m.	Breakfast may be claimed.
Less than 24 hours	Trip begins at or before 4 p.m. and ends at or after 7 p.m.	Dinner may be claimed.
<i>Contractor may not claim lunch or incidentals on one-day trips. When trips are less than 24 hours and there's no overnight stay, meals claimed are taxable.</i>		
24 hours	Trip begins at or before 6 a.m.	Breakfast may be claimed.
24 hours	Trip begins at or before 11 a.m.	Lunch may be claimed.
24 hours	Trip begins at or before 5 p.m.	Dinner may be claimed.
More than 24 hours	Trip ends at or after 8 a.m.	Breakfast may be claimed.
More than 24 hours	Trip ends at or after 2 p.m.	Lunch may be claimed.
More than 24 hours	Trip ends at or after 7 p.m.	Dinner may be claimed.
<i>Contractor may not claim meals provided by the State, meals included in hotel expenses or conference fees, meals included in transportation costs such as airline tickets, or meals that are otherwise provided. Snacks and continental breakfasts such as rolls, juice, and coffee are not considered to be meals.</i>		

SUBCONTRACT AGREEMENT FORM

Complete and submit this transmittal form to obtain *Network* approval of subcontracts. Attach the following as additional components of the complete Subcontract Agreement Package:

1. A brief (one page or less) explanation of the award process including all information necessary to evaluate the reasonableness of the price or cost and the necessity or desirability of incurring such cost.
2. Subcontract agreement consisting of:
 - A. Subcontractor/Agency Agreement
 - B. Proposed SOW
 - C. Detailed Budget & Budget Justification

Review of subcontracts is done on a case-by-case basis and may require additional information.

AGENCY IDENTIFICATION

Agency Name: DOPH / NUTRITION SERVICES
Agreement Number: 12-10194/13-20527
Agreement and Budget Term: 10/1/13 - 9/30/16 Approved Program Budget: _____
Project Coordinator Name: NANCY AUENDE Phone Number: 95-358-5889

SUBCONTRACTOR IDENTIFICATION

Subcontractor or Consultant Name: CITY OF RIVERSIDE
Address: 3900 MAIN ST., RIVERSIDE, CA 92522
Total Subcontract Amount: \$2,151,310.00 Is Subcontract: Single Year Agreement
Multi-Year Agreement:
If multiple year agreement, what is the entire term of the subcontract: 3 YEARS
Current Fiscal Year Subcontract Amount: \$754,509 Current Fiscal Year Subcontract Term: 1 YEAR
Federal I.D. Number or Social Security Number: 95-6000769
Subcontractor's Project Coordinator: ERIN GETTIS Phone Number: 951-826-5371
(N/A for consultants)
Type of Subcontractor: For-profit organization
 Governmental Agency
 Non-profit Organization
 University

The Agency certifies that, for the above named subcontractor, all applicable terms and conditions are included within the subcontract.

[Signature] Project Coordinator Signature 11/19/13
Date

**Network for a Healthy California
Contractor Information Form**

Date Form Completed:

Organization	This is the information that will appear on your contract (Standard Agreement).	
	Federal Tax ID #	<u>95-6000769</u> Contract # <u>14-044</u>
	Name	<u>CITY OF RIVERSIDE</u>
	Mailing Address	<u>3900 MAIN ST, RIVERSIDE CA 92522</u>
	Street Address (If Different)	<u>C/O COMMUNITY DEV. DEPT.</u>
	County	<u>RIVERSIDE</u>
	Phone	<u>951-826-5371</u> Fax <u>951-826-5981</u>
Website	<u>WWW.RIVERSIDeca.GOV</u>	
Contract Signatory	The Contract Signatory has authority to sign a contract.	
	Name	<u>SCOTT BARBER</u>
	Title	<u>CITY MANAGER</u>
	<i>If address(es) are the same as the organization above, just check this box and go to Phone</i> <input checked="" type="checkbox"/>	
	Mailing Address	_____
	Street Address (If Different)	_____
Phone	<u>951-826-5171</u> Fax <u>951-826-5470</u>	
Email	<u>Sbarber@riversideca.gov</u>	
Project Coordinator	The Project Coordinator is responsible for all of the day-to-day activities of project implementation and for seeing that all contractual requirements are met. This person will be in contact with State staff, will receive all programmatic, budgetary, and accounting mail for the project and will be responsible for the proper dissemination of program information.	
	Name	<u>ERIN GETTIS</u>
	Title	<u>PRINCIPAL PLANNER</u>
	<i>If address(es) are the same as the organization above, just check this box and go to Phone</i> <input checked="" type="checkbox"/>	
	Mailing Address	_____
	Street Address (If Different)	_____
	Phone	<u>951-826-5371</u> Fax <u>826-5981</u>
Email	<u>egettis@riversideca.gov</u>	

Budget Coversheet

Prime Grantee Name:

City of Riverside

Grant Number:

12-10194

Budget Categories	FFY 13 Total	FFY 14 Total	Difference	% Difference
1 Salaries	\$0.00	\$147,018.22	\$147,018.22	100.00%
2 Benefits	\$0.00	\$77,724.36	\$77,724.36	100.00%
3 Operating	\$0.00	\$1,650.00	\$1,650.00	100.00%
4 Equipment	\$0.00	\$0.00	\$0.00	0.00%
5 Travel & Per Diem	\$0.00	\$2,255.85	\$2,255.85	100.00%
6 Subcontractors	\$0.00	\$492,537.13	\$492,537.13	100.00%
7 Other Costs	\$0.00	\$33,323.44	\$33,323.44	100.00%
8 Indirect Costs	\$0.00	\$0.00	\$0.00	0.00%
Totals:	\$0.00	\$754,509.00	\$754,509.00	600.00%

Budget Categories	Reason for difference greater than 5%
1 Salaries	N/A
2 Benefits	N/A
3 Operating	N/A
4 Equipment	N/A
5 Travel & Per Diem	N/A
6 Subcontractors	N/A
7 Other Costs	N/A
8 Indirect Costs	N/A

Prime Staffing

City of Riverside
12-10194

Prime Grantee Name:
Grant Number:

Position Title <small>Job Descriptions for each position can be found on the Job Descriptions tab.</small>	Position/Names	Description of Job Duties <small>% of SNAP-Ed Time spent on Mgmt/Admin Duties</small>	% of SNAP-Ed Time spent on Direct SNAP-Ed Delivery	FTEs charged to SNAP-Ed	Total Annual Salary	Total SNAP-Ed Salary	Benefit Rate	Benefits <small>Total SNAP-Ed Salary X Benefit Rate</small>	SNAP-Ed Salary, Benefits and Wages, Federal		
1	27 Project Coordinator	20.00%	80.00%	1	\$73,712.00	\$73,712.00	53.0000%	\$39,067.36	\$112,779.36		
2	8 Contract Manager	100.00%	0.00%	1	\$50,088.00	\$50,088.00	53.0000%	\$26,546.64	\$76,634.64		
3	26 Program Assistant	20.00%	20.00%	0.4	\$50,088.00	\$20,035.20	53.0000%	\$10,618.66	\$30,653.86		
4	1 Accountant/Finance Analyst	1.00%	0.00%	0.01	\$120,470.00	\$1,204.70	45.0000%	\$542.12	\$1,746.82		
5	3 Administrator (e.g., Director of Programs)	1.00%	1.00%	0.02	\$98,916.00	\$1,978.32	48.0000%	\$949.59	\$2,927.91		
6				0		\$0.00		\$0.00	\$0.00		
7				0		\$0.00		\$0.00	\$0.00		
8				0		\$0.00		\$0.00	\$0.00		
9				0		\$0.00		\$0.00	\$0.00		
10				0		\$0.00		\$0.00	\$0.00		
11				0		\$0.00		\$0.00	\$0.00		
12				0		\$0.00		\$0.00	\$0.00		
13				0		\$0.00		\$0.00	\$0.00		
14				0		\$0.00		\$0.00	\$0.00		
15				0		\$0.00		\$0.00	\$0.00		
16				0		\$0.00		\$0.00	\$0.00		
17				0		\$0.00		\$0.00	\$0.00		
18				0		\$0.00		\$0.00	\$0.00		
19				0		\$0.00		\$0.00	\$0.00		
20				0		\$0.00		\$0.00	\$0.00		
21				0		\$0.00		\$0.00	\$0.00		
24				0		\$0.00		\$0.00	\$0.00		
Totals:					142.00%	101.00%	2.43	\$393,274.00	\$147,018.22	\$77,724.36	\$224,742.58

Definition and basis for calculations of benefit rate(s): Includes payroll taxes and medical/dental benefits

Prime Budget Justification

Prime Grantee Name: City of Riverside
 Grant Number: 12-10194

Operating Expenses

Budget Item	Description/Justification	Unit Cost	Quantity	Months	Total
Office Supplies	Pens, notepads, paper clips, staples, tape, markers, etc... (general supplies @ \$50/month = \$600.00)	\$50.00	1.00	12.00	\$600.00
Office Supplies	Paper for printing worksheets, surveys, reports, various documents (5 boxes of 5,000 sheets x 50\$ per box = \$250)				
		\$50.00	5.00	1.00	\$250.00
Office Supplies	Ink Cartridges: Black and Color Cartridges (\$200 x 4 cartridges = \$800)	\$200.00	4.00	1.00	\$800.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
Total Operating Expenses:					\$1,650.00

Equipment Expenses

Budget Item	Description/Justification	Unit Cost	Quantity	FTE	Total
N/A	N/A				
N/A	N/A				\$0.00
N/A	N/A				\$0.00
Total Equipment Expenses:					\$0.00

Prime Budget Justification

Travel and Per Diem

Travel/Position Title	Location	Trips	FTE	Days	Nights	Per Diem	Lodging	Air	Miles	Reg. Fee	Other	Total
CX3/#3 - TBD (6 CX3 related trainings and meetings * 1 FTE * 75 miles = \$254.25)	Various	6	1						75.00	\$0.00		\$254.25
Network Meetings - General/#1 - TBD (3 General Network peer training meetings * 1 FTE * 75 miles = \$84.75)	Various	3	1						75.00	\$0.00		\$127.13
Peer to peer training/#1 - TBD With Peer Educator(s) (2 Peer to peer training meetings * 1 FTE * 75 miles = \$84.75)	Various	2	1						75.00	\$0.00		\$84.75
Retail related trainings/#1 - TBD (3 Retail related trainings * 1 FTE * 75 miles = \$127.13)	Various	3	1						75.00	\$0.00		\$127.13
Faith-Based Related Trainings/#1 - TBD (2 Faith-Based related Site Visits/#1 - TBD, #3 - TBD (10 SOW Site Visits * 2 FTE * 20 miles	Various	2	1						75.00	\$0.00		\$84.75
SOW General Meetings/#1 - TBD, #3 - TBD (10 SOW General Network Statewide Mileage pre approved by Mileage pre approved by network for Non-network related trainings and meetings/#2 - TBD Attendance at Local related meetings and events/trainings	Various	10	2						20.00	\$0.00		\$113.00
	Sacramento	1	1	2	2	\$40.00	\$110.00	\$415.00	0.00	\$0.00	\$100.00	\$815.00
	Various	3	1						75.00	\$35.00		\$232.13
	Various	3	0.4						75.00	\$35.00		\$169.13
	Various	12	2.43						20.00			\$135.60
Total Travel and Per Diem:											\$2,255.85	

Prime Budget Justification

Sub Grant(s)

Name	Description/Justification	Total
A Riverside Unified School	To carry out Objective 12 and assist with various objectives at 2 selected school sites & 2 after-school	\$132,000.00
B Alford Unified School District	To carry out Objective 12 and assist with various objectives at 2 selected school sites & 2 after-school programs	\$132,000.00
C City of Riverside: Parks & Nutrition Educator	To carry out Objectives 7, 8, and 13	\$165,463.68
D Nutrition Educator	Contract to teach 60 Nutrition Classes required by SOW Objective 6 (120 hours for classes/set-up and 296	\$15,302.45
E Fit, Fresh, Fun Forum	Sub-grant to assist with assessments and evaluations and to manage public relations and integration of grant	\$7,771.00
Community Garden Support	Subgrant for a person or group to establish and maintain community gardens in low income areas and to	\$40,000.00
Total Sub Grant(s):		\$492,537.13

Other Costs

Budget Item	Description/Justification	Unit Cost	Quantity	Misc.	Total
Printing	survey forms (600 B&W copies * .20/copy = \$120.00)	\$0.20	600.00	1.00	\$120.00
Printing	Class worksheets (2200 copies * .1351/copy = \$297.00)	\$0.14	2200.00	1.00	\$297.22
Printing	class participant data card (2200 pages * .1351/copy = \$297.00)	\$0.14	2200.00	1.00	\$297.22
Printing	flyers advertising nutrition classes and peer ed classes (15000 color pages on	\$0.05	15000.00	1.00	\$684.00
Printing	flyers advertising CX3 forums, public meetings (2500 color pages on gloss	\$0.08	2500.00	1.00	\$200.00
Printing	80lb @ .07/copy * 2500 = \$184.94)				
Printing	Agenda sheets, reports, sign in sheets (300 B&W pages * .20/print = \$60.00)	\$0.20	300.00	1.00	\$60.00
Food for class taste testing and retail store demos	\$2.50 per sample * 2150 samples for class attendees + 400 samples for 4 retail store demos = \$6,375.00	\$2.50	2550.00	1.00	\$6,375.00
Food Demonstration Supplies (for classes and retail)	ice chests, plates, forks, napkins, serving bowls, serving spoons etc... (\$30 supplies set * 64 [66 classes + 4 retail store demos] = \$2,100.00)	\$30.00	70.00	1.00	\$2,100.00
Food Demonstration Supplies (for retail)	3 EZ-Up Canopies (\$100 * 3 = \$300), 3 tables (\$50.00 * 3 = \$150), 6 chairs (\$25 * 6 = \$150) [\$300+\$150+\$150 = \$600]	600.00	1.00	1.00	\$600.00
Food Demonstration Supplies (for classes and retail)	luggage carts for supplies (2 carts * \$50 = \$100.00)				
Educational Materials	Posters, Banners for Classes, Events, and Placement in various neighborhood settings (USDA SNAP-Ed and other approved non-Network provided materials @ \$5 each * 500 = \$2500)	\$5.00	500.00	1.00	\$2,500.00

Prime Budget Justification

Educational Materials	Small physical activity items (jump ropes, balls, etc...) for promotion of PA during Nutrition Classes (\$5 * 35 students/class = \$175.00)	\$5.00	35.00	1.00	\$175.00
Educational Materials	Small anthropometric measuring devices for use during Nutrition classes for Pre-approved supplemental materials to incorporate food systems, gardening, and physical activity concepts as part of nutrition education	\$40.00	1.00	1.00	\$40.00
Educational Materials	Servsafe Training and Food Handler Cards for 3 staff for food demos (3 staff * \$25/card = \$75.00)	\$1.00	2150.00	1.00	\$2,150.00
Educational Materials	Props, Easels, and Visual aids in support of promoting consumption of healthy foods for use in Nutrition Classes and events (\$10 unit cost * 25	\$25.00	3.00	1.00	\$75.00
Rental Space	Room rental for CX3 related and various public meetings (10 * 150 rental cost = \$1500)	\$10.00	25.00	1.00	\$250.00
Rental Space	Classroom rental for survey and assessment administration (6 * 150 rental cost = \$900)	\$150.00	10.00	1.00	\$1,500.00
Rental Space	Classroom rental for 60 Nutrition Classes + 6 Peer Ed. Nutrition Classes (66 * \$150 rental cost = \$9900)	\$150.00	66.00	1.00	\$9,900.00
Community Garden Supplies	Seeds, small gardening tools and supplies for 3 Community Gardens to be used during City provided NEOP classes (\$500 for seeds, tools, supplies * 3	\$500.00	3.00	1.00	\$1,500.00
Postage	Mailing out flyers for Nutrition class promotion ([see attached quote gotprint.net] 10000 flyers * 24-.29 metered postage per envelope =	\$0.30	10000.00	1.00	\$3,000.00
Shipping	Misc. shipping charges for print products, educational materials and props, other items in line item budget (\$50 charge * estimated 10 online purchase	\$50.00	10.00	1.00	\$500.00
Total Other Costs:					\$33,323.44

Indirect Costs

Calculation/Method	%	\$ of Method	Total
No indirect costs	0.00%	\$0.00	\$0.00
Total Indirect Costs:			\$0.00

Total Budget: \$754,509.00



INFORMATION SECURITY OFFICE

Information Systems Security Requirements for Projects (ISO/SR1)

Version 3.5

October 2007

Revision History

Doc No. / Rev No.	Revision Date	Revised By	Description of Revision / Change
S19 / R1.5	1/10/2007	A. Lancashire CDHS	Reformatting changes
SR1 / R1.0	9/12/2007	M. Serapio DHCS, B. Kelsey CDPH	Updated to address new best practices (previous version had dependencies to best practices from pre-SOA), fill existing regulatory gaps, remove vendor dependencies, reword language to make applicable to COTS/MOTS applications, and re-designated document number and name.
SR1/v1.5	9/14/2007	I. Sanford DHCS	Various grammatical and definition changes. Clarification of terms and responsibilities.
SR1/v2.0	9/21/2007	I. Sanford DHCS	Post team review updates
SR1/v2.1	10/17/2007	J. Cleveland CDPH	2 nd team review comments/changes
SR1/v2.2	10/21/2007	J. Cleveland CDPH	Added Admin User ID and password section from Ian Sanford and Data Query section from Brett Kelsey.
SR1/v2.3	10/22/2007	J. Cleveland CDPH	Modifications to Admin User ID and password section and Data Query section.
SR1/v3.0	10/25/2007	J. Cleveland CDPH	Minor grammatical changes, removal of dynamic web links, and added COTS language in C.8.
SR1/v3.5	10/26/2007	J. Cleveland CDPH	Addition of Sections A.13, A.14, B.12, B.13, B.14, B.15, and B.16 for the purpose of covering Privacy, when used in conjunction with BAAs.



<i>Type: ISO Requirements</i>	
<i>Issued: October 26, 2007</i>	<i>Doc Number: SR 1/v3.5</i>
<i>Revised:</i>	
<i>Title: Information Systems Security Requirements for Projects</i>	

I. Purpose

This document provides the minimum security requirements, mandated by the Information Security Office (ISO) from projects governed and/or subject to the policies and standards of the California Department of Public Health (CDPH). Projects that intend to deploy systems/applications into the Department's system infrastructure or will consume Department information system services are also subject to these minimum security requirements.

This document is intended to assist the Department and its service consumers in understanding the criteria the Department will use when evaluating and certifying the system design and security features and protocols used by project solutions consuming Department services. The security requirements herewith will also be used in conjunction with the Department ISO's compliance review program of its information system services consumers.

This document will serve as a universal set of requirements which must be met regardless of physical hosting location or entities providing operations and maintenance responsibility. These requirements do not serve any specific project nor do they prescribe any specific implementation technology.

II. Scope of Requirements

The information security requirements herein are organized in five categories (sections) and address at a minimum:

- Administrative/Management Safeguards
- Technical and Operational Safeguards
- Solution Architecture
- Documentation of Solution
- ISO Notifications

III. Contact

Chief Information Security Officer
California Department of Public Health
Information Security Office
1615 Capital Avenue
Sacramento, Ca 95814

IV. Information Systems Security Requirements

A. Administrative / Management Safeguards

1. Workforce Confidentiality Statement

All persons working with Department information must sign a confidentiality statement. The statement must include at a minimum; General Use, Security and Privacy safeguards, Unacceptable Use, Audit, and Enforcement policies. (Contact the ISO for the current version of the Security & Confidentiality form in use.)

The statement must be signed by the project member prior to being granted access to the Department's information. The statement must be renewed annually.

2. Access Authorization

Project/Program must implement and document clear rules and processes for vetting and granting authorizations; and procedures for the supervision of workforce members who work with Department information or in locations where it might be accessed.

3. Access Authorization Maintenance

On at least a semi-annual basis, Project/Program will review and remove all authorizations for individuals who have left the department, transferred to another unit, or assumed new job duties within the department.

4. Information System Activity Review

Project/Program must implement and document procedures to regularly review records of information system activity, such as audit logs, access reports, and security incident tracking reports.

5. Periodic System Security Review

All systems shall allow for periodic system security reviews that provide assurance that management, operations, personnel, and technical controls are functioning effectively and providing adequate levels of protection.

The reviews may include technical tools and security procedures such as virus scanners, vulnerability assessment products (which look for known security problems, configuration errors, and the installation of the latest hardware/software "patches"), and penetration testing.

6. Periodic System Log Review

All systems processing and/or storing Department information shall have a method or procedure in place to create and review system logs for unauthorized access. Logs may be stored within the system or on a centralized logging server or service, and shall be maintained for a minimum of three years.

7. Business Impact Analysis

Project/Program will conduct annually a Business Impact Analysis of the application to determine the Maximum Acceptable Outage (MAO), cost of lost functionality, system component dependencies, business function dependencies, and business partner dependencies.

8. Change Control

All systems processing and/or storing Department information must have a documented change control procedure that ensures separation of duties and protects the confidentiality, integrity, and availability of information.

For those systems running within the Department's environment and/or are consuming Department services, those systems shall comply with DTS and Department standards for change control process and procedures.

9. Incident Response

Establish procedures for responding to an emergency or other occurrence (e.g., fire, vandalism, system failure, and natural disaster) that damages systems that contain electronic protected health information.

The emergency response procedures shall be added to the existing Operational Recovery Plan (ORP). The ORP shall address what to do if a computer system and/or the information files are violated, lost, damaged, or inaccessible.

10. Disaster Recovery

Establish procedures that allow facility access in support of restoration of lost information under the ORP and emergency mode operations plan in the event of an emergency.

The restoration/recovery support procedures shall be added to the existing Operational Recovery Plan (ORP) to restore any loss of information and assure continuity of computing operations for support of the application and information.

Recovery procedures shall be developed using Appendix "J" Template from the Department's ORP.

11. Emergency Mode Operation Plan

Establish an Emergency Mode Operation Plan to enable continuation of critical business processes for protection of the security of electronic protected health information while operating in emergency mode. This plan shall be added to the existing ORP.

12. Periodic System Recovery Testing

All systems, as part of a new or existing project, shall allow for periodic system recovery testing. The period between tests should be defined as part of the project and be consistent with relevant department disaster recovery standards. Such testing should provide assurances that plans (Incident Response, Disaster Recovery, Emergency Mode Operation, and Data Backup) and controls (management, operations, personnel, and technical) are functioning effectively and providing adequate levels of protection during an incident, disaster, or breach.

13. Supervision of Data

Public Health Information (PHI) in paper form shall not be left unattended at any time, unless it is locked in a file cabinet, file room, desk, or office. Unattended means that information is not being observed by an employee authorized to access the information. Department PHI in paper form shall not be left unattended at any time in vehicles or planes and shall not be contained in checked-in baggage on commercial airplanes.

14. Escorting Visitors

Visitors to areas where Department PHI is contained shall be escorted and Department PHI shall be kept out of sight while visitors are in the area.

B. Technical and Operational Safeguards

1. System Security Compliance

All project systems shall comply with applicable department security policies and requirements, as specified in the State Administrative Manual, Health Administrative Manual, HIPAA, Privacy Act, and any other applicable state or federal regulation. All security safeguards and precautions shall be subject to the approval of the Department ISO.

2. Virus Protection

All systems shall install and actively use comprehensive third-party anti-virus and virus protection software, and routinely update such software when updates are released. All security safeguards and precautions shall be subject to the approval of the Department ISO.

3. Patch Management

All systems shall install and actively use comprehensive third-party patch management program and routinely update system and application software when updates are released. All security safeguards and precautions shall be subject to the approval of the Department ISO.

4. Encrypted Electronic Transmissions

All information transmissions that contain confidential information must be encrypted end-to-end using an industry-recognized encryption standard. The electronic transport must utilize Secure Socket Layer (SSL) and Department information and confidential information shall be encrypted at the minimum of 128 bit AES or 3DES (Triple DES) if AES is unavailable. Equivalent or stronger algorithms may be used upon approval of the Department ISO.

5. Encrypted Data Storage

All confidential information must be encrypted when stored using a department approved encryption standard. Confidential information shall be encrypted at the minimum of 128 bit AES or 3DES (Triple DES) if AES is unavailable. Equivalent or stronger algorithms may be used upon approval of the Department ISO.

6. Workstation / Laptop Encryption

All workstations and laptops that process and/or store Department information must be encrypted with a Department approved solution or a solution using a vendor product specified on the California Strategic Sourced Initiative (CSSI) located at the following link:
www.pd.dgs.ca.gov/masters/EncryptionSoftware.html

7. Removable Media Encryption

All electronic files that contain Department information must be encrypted when stored on any removable media type device (i.e. USB thumb drives, floppies, CD/DVD, tape backup, etc.) with a Department approved solution or a solution using a vendor product specified on the California Strategic Sourced Initiative (CSSI) located at the following link:
www.pd.dgs.ca.gov/masters/EncryptionSoftware.html

8. Secure Connectivity

All transmission and data-links between the information and application/system and DBMS and the DTS WAN shall be secure between transmission systems as required by regulation, policy or standard and as prescribed for the given application/system.

9. Intrusion Detection and Prevention

All systems that are accessible via the Internet, are critical, or contain ePHI shall install and actively use a Department approved comprehensive third-party real-time host based intrusion detection and prevention program that reports security events directly to the Department ISO. All security safeguards and precautions shall be subject to the approval of Department ISO.

10. Minimum Data Downloads

In accordance with the principle of need-to-know, only the minimum amount of information required to perform necessary business functions should be copied or downloaded.

11. Data Destruction

All Department information must be wiped from systems when the information is no longer necessary. The wipe method must conform to Department of Defense and Department standards for information destruction. Once information has been destroyed, the Department contract manager must be notified. If an agency or other entity is unable to destroy media in accordance with Department standards and provide notification, the media must be returned to the Department after usage for destruction in an approved manner.

12. Confidential Destruction

Department PHI in paper form must be disposed of through confidential means, such as cross cut shredding and pulverizing.

13. Removal of Data

Department PHI in either electronic or paper form shall not be removed from Department premises or from the premises of an authorized vendor or contractor without the written permission of the Department ISO.

14. Faxing of Confidential Information

Facsimile transmissions containing PHI shall not be left unattended and fax machines shall be in secure areas. Faxes shall contain a confidentiality statement notifying persons receiving faxes in error to destroy them. Fax numbers must be verified before sending.

15. Mailing of Confidential Information

Department PHI shall only be mailed using secure methods. Large volume mailings of Department PHI must be by a secure, bonded courier with signature required on receipt. Disks and other transportable media sent through the mail must be encrypted with a Department approved solution or a solution using a vendor product specified on the CSSI.

C. Solution Architecture

1. System Security Compliance

The system shall comply with all applicable Department security policies and requirements, as well as those specified in the State Administrative Manual, Health Administrative Manual, HIPAA, Privacy Act, and any other applicable state or federal regulation. All security safeguards and precautions shall be subject to the approval of the Department ISO.

2. Access Point Warning Banner

All systems containing Department information shall display a warning banner stating that information is confidential, activity is logged, and system use is for business purposes only. User shall be directed to log off the system if they do not agree with these requirements.

The following warning banner shall be used for all access points (e.g., desktops, laptops, web applications, mainframe applications, servers and network devices):

WARNING: This is a State of California computer system that is for official use by authorized users and is subject to being monitored and/or restricted at any time. Unauthorized or improper use of this system may result in administrative disciplinary action and/or civil and criminal penalties. By continuing to use this system you indicate your awareness of and consent to these terms and conditions of use.

LOG OFF IMMEDIATELY, if you do not agree to the conditions stated in this warning.

3. Layered Application Design

Application must be able to be segmented into a layered application design separating at a minimum the Presentation, Application/Business Logic, and Data Access Logic, and Data Persistence/Database layers.

4. Separation of Layers

The Presentation, Application/Business Logic, and Data Access Logic layer must be separated physically by a firewall regardless of physical implementation.

Vendor-provided commercial off-the-shelf (COTS) packages or components where physical separation of layers is not possible requires ISO approval.

5. Business Logic Layer Communication

Any system request made to the Business logic layer must be authenticated.

6. Data Access Logic Layer Design

The Data Access Logic Layer may take the form of stored procedures, database API, Data Access Objects/Components, Data Access Middleware, Shared Data Services, or Secure Web Service.

7. Data Access Logic Layer Communication

Any system request made to the Data Access logic layer must be authenticated and authorized.

8. Data Persistence/Database Layer Isolation

No direct access to the Data Persistence/Database layer will be permitted, except through the Data Access logic layer.

All calls to the Data Persistence/Database layer will be made through the Data Access logic layer as a trusted sub-system that utilizes a single database access account to all transactions.

Vendor-provided commercial off-the-shelf (COTS) packages or components where physical separation of Data Access Logic layer from Data Persistence/Database layer is not possible require ISO approval.

9. User Input Validation

All user input must be validated. The system must manage client input controls from server side to the extent possible. All third-party client side input controls must be documented and approved by the Department ISO.

10. Data Input Validation

All user information input must be validated before being committed to the database or other application information repository.

11. Data Queries

All Data queries (including In-line SQL calls) will not be allowed from the Presentation or the Business Logic layers unless validated for appropriate use of query language and validated for appropriate quantity/quality of data input. All data queries solution must be approved by department CISO.

Database table names and column names must not be exposed. Applications must use an alias for every table and column.

Dynamic SQL will not be permitted from the Presentation Layer without prior approval from the department ISO.

12. Username/Password Based Authentication

When usernames and passwords are going to be used as the method for system authentication the following for each must be met:

- Username requirements:
 - Usernames are unique and are traceable to an individual worker.
 - Usernames are NOT to be shared and never hard-coded into system logic.
- Password requirements:
 - Are not to be shared.
 - Must be 8 characters or more in length.
 - Must NOT be a word found in the dictionary, regardless of language.
 - Password must NOT be stored in clear text.
 - Must be changed at least every 60 days.
 - Must be changed immediately if revealed or compromised.
 - Passwords must be encrypted using irreversible industry-accepted strong encryption.
 - Accounts must be locked after 3 failed logon attempts.
 - Account lock-out reset timers must be set for a minimum of 15 minutes.
 - Must be composed of characters from at least three of the following four groups from the standard keyboard:
 - Upper case letters (A-Z);
 - Lower case letters (a-z);
 - Arabic numerals (0 through 9); and
 - Non-alphanumeric characters (punctuation symbols).

13. Administrator Username/Password Based Authentication

- Username requirements:
 - Must be unique and are traceable to an individual person.
 - Must NOT be shared.
 - Must never be hard-coded into system logic.
 - Must NOT be the same across different zones (e.g. Web Zone, Internal network, and Test Labs / Environments).
 - The default built-in Administrator account must be renamed and disabled.
 - The naming convention for administrator usernames must not make it obvious that usernames belong to administrator accounts.
 - If a generic Administrator account is created:
 - It must only be used in an Emergency.
 - It is NOT to be used for routine maintenance.
 - The password storage and management process for generic administrator accounts must be approved by the Department ISO.
- Password requirements:
 - Must not be the same as any of the previous 10 passwords.
 - Must not to be shared.

- Must NOT be the same across different zones (e.g. Web Zone, Internal network, and Test Labs / Environments).
- Must be 12 characters or more in length.
- Must NOT be a word found in the dictionary, regardless of language.
- Password must NOT be stored in clear text.
- Must be changed at least every 60 days.
- Must be changed immediately if revealed, or compromised.
- Must be changed immediately upon the termination or transfer of an employee with knowledge of the password.
- Passwords must be encrypted using industry accepted, irreversible strong encryption.
- Accounts must be locked after 3 failed logon attempts.
- Account lock-out timers must be set for at least 60 minutes.
- Must be comprised of characters from at least three of the following four groups from the standard keyboard:
 - Upper case letters (A-Z);
 - Lower case letters (a-z);
 - Arabic numerals (0 through 9);
 - Non-alphanumeric characters (punctuation symbols).

14. Role - Based Access

Any system deployed during, or as a result of a project, shall provide secure role-based access for authorization utilizing the principle of least privilege at all layers/tiers.

15. User / Entity Authentication Logging

System must log success and failures of user authentication at all layers as well as log all user transactions at the database layer as required by regulation, policy or standard and as prescribed for the given application/system. This logging shall be included for all user privilege levels including but not limited to systems administrators. This requirement applies to systems that process, store, and/or interface with PII and/or confidential information.

16. Automatic System Session Expiration

The system must provide an automatic timeout of user sessions after 20 minutes of inactivity.

17. Automatic System Lock-out and Reporting

The system must provide an automatic lock-out of users and a means to audit a minimum of 3 failed log-in attempts. The means of providing audit information must be approved by the departmental ISO.

18. Role-based Access to Audit Functions and Data

All systems/applications will implement role-based access to auditing functions and audit trail information utilizing the principle of least privilege

19. Secure Online Access to Audit Functions

All systems / applications will implement a secure online interface to Audit Capabilities and Reporting by way of application programming interface (API) or network service (or Web Service); to allow Department ISO to view logs, auditing procedures, and audit reporting.

20. Audit Trails

This requirement delineates the (minimum) log information that audit trails should record for any system that contains or is involved in the transmission of confidential information. The information listed below should be available on every system running a production environment. Not only will this information assist with problem resolution efforts and system restore operations, it will also be invaluable to system penetration attack investigations, fraud investigations, and the like.

The system must record (at minimum) the following events and any other events deemed appropriate by the Department ISO:

Transaction Types

- Any and all administrative changes to the system (ie: administrative password changes (forgotten password resets), system variables, network configuration changes, disk subsystem modifications, etc).
- Logon failures.
- Logons during non-business hours.
- Program or file access denial.
- Addition, deletion, or modification of users or program access privileges.
- Changes in file access restrictions.
- Database addition, deletion, or modification.
- Copy of files before and after read and write changes.
- Transaction issued.

Individual audit trail records shall contain the information needed to associate each query transaction to its initiator and relevant business purpose. Individual audit trail records should capture at a minimum the following:

Minimum Audit Trail Record Content

- Date and Time Stamp.

- Unique Username of Transaction Initiator.
- Transaction Recorded.
- Success or Failure of Transaction Recorded.
- Relevant business process or application component involved.
- Data captured (if any).

Audit Trail logs shall be maintained at minimum for three years after the occurrence or a set period of time determined by the Program's ISO that would not hinder a detailed forensic investigation of the occurrence. The Department ISO has final approval authority.

D. Documentation of Solution

1. System Configuration

As part of each project, assigned staff will document and maintain a full inventory of the major hardware, software, and communications platforms in use; system configurations; all applications/components with descriptions encompassing the solution; and a description of the solution's security design features and user access control mechanisms. Project will ensure a custodian(s) is assigned to each application/component.

2. Data In Use Classifications

Project will document and maintain information classification matrix of all information elements accessed and/or processed by solution.

The matrix should identify at a minimum:

- information element.
- information classification/sensitivity.
- relevant function/process or where is it used.
- system and database or where is it stored.

3. System Roles and Relationships

Project will document the organizational structure and relationships between systems managers, systems security personnel, and users, including an estimate of the number of users that will have access to Department information within the system solution and an explanation of their job descriptions.

4. Audit Method Documentation

Project will document the solution's auditing features and provide samples of audit reporting.

5. Retention of Documentation

The system/application maintainers will retain documentation, including audit and activity logs, for a minimum of three years (up to seven years) from the date of its creation or the date it was last in effect, whichever is later.

E. ISO Notifications

1. Security Compliance Notification

As part of each project, assigned staff will document how proposed solution meets or addresses the requirements specified in this document and must be submitted to the Department ISO prior to taking custody of Department owned information.

2. Notification of Changes to Solution

Once a project is approved as final by the ISO, no changes will be made to the project scope, documentation, systems or components without a change approval by the ISO.

3. Notification of Breach or Compromise

The system/application maintainers shall immediately and in writing report to the ISO on any and all breaches or compromises of system and/or information security, and shall take such remedial steps as may be necessary to restore security and repair damage, if any.

In the event of a breach or compromise of system and/or information security, the ISO may require a system/application security audit. The ISO shall review the recommendations from the security audit, and make final decisions on the steps necessary to restore security and repair damage.

The system/application maintainers shall properly implement any and all recommendations of the security audit, as approved by the ISO.



INFORMATION SECURITY OFFICE

Information Systems Security IIS6.0 Security Requirements (ISO/SR5)

Version 1.0

August 2010

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I. Purpose

This document provides the Information Systems Security Internet Information Services (IIS) Workstation Security Requirements mandated by the CDPH Information Security Office (ISO) for applications, projects, and technology implementations subject to the policies and standards of the Department. All workstations that utilize IIS installations for web development and testing that are part of the Department's system infrastructure are subject to these IIS Workstation Security Requirements.

This document is intended to assist CDPH and its customers in understanding the IIS Workstation Security Requirements the Department will use when instituting the system design, security features, security protocols, technology implementations, and technology configurations, of Department services. The security standards and guidelines herewith will be used as the Department's ISO compliance review program for its information system services customers.

This document is intended to ensure Department information needs are satisfied by our technology organization consistent with the information criteria identified in relevant mandates and laws.

These requirements do not serve any specific project, nor do they prescribe any specific implementation technology.

II. Contact

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