

MODEL CONTRACT #

BETWEEN

COUNTY OF ORANGE

AND

CONTRACTOR

FOR

**WIA/WIOA YOUTH EMPLOYMENT PROGRAM SERVICES
(Activity)**

FUNDING SOURCE: 100% FEDERAL

CFDA:

17.259 WIA Youth Activities

Funding Agency

Department of Labor



MODEL CONTRACT**Table of Contents**

| | |
|----------------|---|
| Recitals | 5 |
|----------------|---|

Additional Terms and Conditions

| | |
|---|----|
| 1. Coordination/Administration of CONTRACT | 6 |
| 2. Purpose | 6 |
| 3. Term of Contract | 6 |
| 4. Contingency of Funds | 6 |
| 5. Program Income | 6 |
| 6. Fiscal Appropriations | 7 |
| 7. Fiscal Accountability | 7 |
| 8. Non-Supplantation of Funds | 8 |
| 9. Amendments – Changes/Extra Work | 8 |
| 10. Nondiscrimination and Compliance Provisions | 8 |
| 11. Payments | 9 |
| 12. Performance Standards | 10 |
| 13. Satisfactory Work | 10 |
| 14. Modification of Program Components and Service Levels | 10 |
| 15. Access and Records | 11 |
| 16. Breach of Contract | 12 |
| 17. CONTRACTOR-Change in Ownership | 12 |
| 18. Conditions Affecting Work | 12 |
| 19. Conflict of Interest – CONTRACTOR'S Personnel | 12 |
| 20. Conflict of Interest – COUNTY Personnel | 12 |
| 21. Consulting Contract- Follow-On Work | 13 |
| 22. Contingent Fees | 13 |
| 23. CONTRACTOR Bankruptcy/Insolvency | 13 |
| 24. CONTRACTOR Personnel | 13 |
| 25. CONTRACTOR'S PROJECT MANAGER and Key Personnel | 13 |
| 26. County of Orange Child Support Enforcement Provision | 13 |
| 27. Data – Title To | 14 |
| 28. Intellectual Property | 14 |
| 29. Disputes - CONTRACT | 19 |
| 30. Complaint Handling Procedures | 20 |
| 31. EDD Independent Contractor Reporting Requirements | 20 |
| 32. Gratuities | 20 |
| 33. Sectarian Activities | 21 |
| 34. Drug Free Workplace | 21 |
| 35. Debarment | 21 |
| 36. Lobbying | 21 |
| 37. Fraud | 21 |
| 38. Standards of Conduct | 21 |
| 39. News/Information Release | 22 |
| 40. Notices | 22 |
| 41. Literature/Publicity | 22 |
| 42. Ownership of Documents | 23 |

| | |
|-----------------------------------|----|
| 43. Precedence | 23 |
| 44. COUNTY'S PROJECT MANAGER..... | 23 |
| 45. Reports/Meetings | 23 |
| 46. Termination-Orderly..... | 23 |
| 47. Errors and Omissions | 24 |

Program Terms and Conditions

| | |
|--|----|
| 48. Participants | 25 |
| 49. Pell Grants/HEA Title IV | 25 |
| 50. Policies and Procedures..... | 25 |
| 51. Budget Schedule | 25 |
| 52. Modification of Budget Schedule | 25 |
| 53. Sweat-free Code of Conduct | 26 |
| 54. Annual Audit..... | 26 |
| 55. Corporate Status | 26 |
| 56. Equipment..... | 26 |
| 57. Publication | 27 |
| 58. Other Requirements – Program Confidentiality | 27 |
| 59. Compliance with Law – CONTRACT | 28 |
| 60. Scope of Services | 29 |

General – Terms and Conditions

| | |
|---|----|
| A. Governing Law and Venue | 30 |
| B. Entire Contract | 30 |
| C. Amendments | 30 |
| D. Intentionally left blank | 30 |
| E. Delivery | 30 |
| F. Acceptance/Payment..... | 30 |
| G. Warranty..... | 30 |
| H. Patent/Copyright Materials/Proprietary Infringement..... | 31 |
| I. Assignment or Sub-Contracting | 31 |
| J. Non-Discrimination | 31 |
| K. Termination | 31 |
| L. Consent to Breach Not Waiver | 31 |
| M. Remedies Not Exclusive..... | 31 |
| N. Independent CONTRACTOR | 31 |
| O. Performance..... | 32 |
| P. Insurance..... | 32 |
| Q. Intentionally left blank | 34 |
| R. Changes..... | 34 |
| S. Change of Ownership..... | 34 |
| T. Force Majeure | 34 |
| U. Confidentiality..... | 35 |
| V. Compliance with Laws | 35 |
| W. Intentionally left blank | 35 |
| X. Pricing | 35 |
| Y. Intentionally left blank | 35 |

Z. Terms and Conditions 35
 AA. Headings 35
 BB. Severability 35
 CC. Calendar Days 35
 DD. Attorney Fees 35
 EE. Interpretation 35
 FF. Authority 36
 GG. Employee Eligibility Verification 36
 HH. Indemnification Provisions 36
 II. Audits/Inspections 36

Signature Page 38

ATTACHMENTS / EXHIBITS

- Attachment A – General Program Requirements
- Attachment B – Scope of Services
- Attachment C – Budget Schedule
- Attachment D – Performance Standards
- Attachment E – Proposal Narrative
- Exhibit 1 – Child Support Enforcement Provision
- Exhibit 2 – Drug Free Workplace Certification
- Exhibit 3 – Debarment and Suspension Certification
- Exhibit 4 – Certification Regarding Lobbying
- Exhibit 5 – Disclosure Form to Report Lobbying
- Exhibit 6 – EDD Independent Contractor Reporting Requirements
- Exhibit 7 – OC Community Resources Contract Reimbursement Policy
- Exhibit 8 – Authorized Signature Form

This Agreement # _____, hereinafter referred to as "CONTRACT," is made and entered into as of the date fully executed by and between the County of Orange, a political subdivision of the State of California; hereinafter referred to as "COUNTY," and "_____" with a place of business at _____ (Payment/Ordering address at _____) hereinafter referred to as "CONTRACTOR," with COUNTY and CONTRACTOR sometimes referred to as "PARTY," or collectively as "PARTIES."

RECITALS

WHEREAS, Congress enacted the "Workforce Investment Act of 1998," subsequently reauthorized on July 22, 2014 as the Workforce Innovation and Opportunity Act (WIOA), hereinafter referred to as "the Act," to provide workforce investment activities, through statewide and local workforce investment systems, that increase employment, retention and earnings of participants, and increase occupational skill attainment by participants, and, as a result, improve the quality of the workforce and enhance the productivity and competitiveness of the Nation; Workforce Investment Act citations, rules, and regulations cited herein shall continue to be implemented until such time Workforce Innovation and Opportunity Act issued guidance and/or regulations supersede such citations, rules, and regulations; and

WHEREAS, CONTRACTOR responded to a Request for Proposal (RFP) for FY 2014-15 Workforce Investment Act (WIA) Youth Employment Program Services RFP and was deemed eligible for funding; and

WHEREAS, COUNTY, acting as the Administrator of the Act funds, is empowered to make a portion of the funds available pursuant to the Act (hereinafter referred to as "grant funds") to CONTRACTOR, for the purpose of implementing the provisions of the Act; and

WHEREAS, COUNTY approved an allocation of \$ _____.00 (_____ Dollars and 00 Cents) in Program funding to CONTRACTOR for Fiscal Year 2015-16 to carry out certain program services/activities; and

WHEREAS, CONTRACTOR, in order to receive grant funds, is agreeable to the terms and conditions hereinafter set forth;

NOW, THEREFORE, the PARTIES mutually agree as follows:

Terms and Conditions:

1. **Coordination/Administration of CONTRACT:** COUNTY'S OC Community Resources Director or designee (hereinafter referred to as "DIRECTOR"), and OC Community Services/Community Investment Division/Orange County Workforce Investment Board Executive Director or Designee (hereinafter referred to as "COUNTY'S PROJECT MANAGER") shall assume responsibilities through coordinating the grant under the Act, its Regulations, and the WIA/WIOA services provided by the COUNTY. The COUNTY'S CONTRACT MANAGER (hereinafter referred to as "CONTRACT MANAGER") shall administer this CONTRACT as is necessary or reasonable to comply with COUNTY policies.
2. **Purpose:** The purpose of the program funded by this CONTRACT is to provide workforce investment activities that increase employment, retention, earnings and occupations skill attainment through local workforce investment systems to those seeking employment. Additionally, this program is funded to increase the effectiveness of local and regional business through business improvement and development activities, job matching, and other services. All services are intended to improve the quality of the workforce and enhance the productivity and competitiveness of Orange County and the United States. CONTRACTOR shall ensure that the program funded hereby shall comply with this purpose.
3. **Term of Contract:** The effective term of this CONTRACT shall commence on [REDACTED] and terminate on June 30, 2016 subject to the provisions of this CONTRACT; however, CONTRACTOR shall perform such duties extending beyond this term, including but not limited to obligations with respect to indemnification, audits, monitoring, reporting and accounting. CONTRACTOR and CONTRACT MANAGER may mutually agree in writing to extend the CONTRACT for a period of up to six (6) months, provided that COUNTY'S maximum obligation stated in this CONTRACT does not increase as a result, and on the same terms and conditions upon mutual CONTRACT of the PARTIES in writing without further Board action. Funding may not be renewed. Pursuant to the provisions contained herein, the CONTRACT may be terminated earlier.
4. **Contingency of Funds:** CONTRACTOR acknowledges that the obligations of COUNTY under this CONTRACT are contingent upon the availability of Federal and/or State funds as applicable and inclusion of sufficient funds for the services hereunder remains in effect or operation. In the event that such funding is terminated or reduced, CONTRACT MANAGER may immediately terminate this CONTRACT, reduce COUNTY'S maximum obligation, or modify this CONTRACT, without penalty. The decision of CONTRACT MANAGER shall be binding on CONTRACTOR. CONTRACT MANAGER shall provide CONTRACTOR with written notification of such determination. CONTRACTOR shall immediately comply with DIRECTOR'S or CONTRACT MANAGER'S decision.
5. **Program Income:** COUNTY'S maximum obligation herein shall be reduced by the amount of any program income earned by CONTRACTOR, from sources other than COUNTY, as a result of this CONTRACT or the services provided by CONTRACTOR pursuant to this CONTRACT.

It shall be the responsibility of CONTRACTOR to inform the COUNTY in writing of any income earned as a result of this CONTRACT.

It is mutually understood that the State or Federal agency responsible for providing the funding for this CONTRACT may designate certain revenue of CONTRACTOR as Program Income. To be designated as Program Income and therefore, as other than a cost off-set. CONTRACTOR shall do all of the following:

- A. Submit a plan to the PROJECT MANAGER for use of any all proposed Program Income; and
- B. Set-up and maintain a separate bank account for any proposed Program Income and account for any and all such income received;
- C. Report to PROJECT MANAGER any and all Program Income received no later than thirty (30) days from the date of receipt; record the amount received on Internal financial records; and indicate the amount received on the monthly claim submitted to PROJECT MANAGER.

PROJECT MANAGER shall then forward the plan for the requested use of the proposed Program Income to the appropriate State and/or Federal agencies for approval.

CONTRACTOR shall not spend any of the proposed Program Income unless or until such time as PROJECT MANAGER obtains authorization for the use of the Program Income from the responsible State and/or Federal agency and provides CONTRACTOR with prior written approval for the use of the funds.

PROJECT MANAGER may, in its sole discretion, issue future policy statements and/or instructions with respect to Program Income. CONTRACTOR shall immediately comply with such policy statements and/or instructions.

6. **Fiscal Appropriations:** This CONTRACT is subject to and contingent upon applicable budgetary appropriations being approved by the County of Orange Board of Supervisors for each fiscal year during the term of this CONTRACT. If such appropriations are not approved, the CONTRACT will be terminated, without penalty to the COUNTY.

7. **Fiscal Accountability:**

- A. Financial Management System: CONTRACTOR shall establish and maintain a sound financial management system, based upon generally accepted accounting principles. CONTRACTOR'S system shall provide fiscal control and accounting procedures that will include the following:
 - i. Information pertaining to tuition rates, payments, and educational assistance payments;; and
 - ii. Source documentation to support accounting records; and
 - iii. Proper charging of costs and cost allocation.
- B. CONTRACTOR'S Record: CONTRACTOR'S records shall be sufficient to:
 - i. Permit preparation of required reports; and
 - ii. Permit tracking of funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of such funds; and
 - iii. Permit the tracking of program income, or profits earned, and any costs incurred (such as stand-in costs) that are otherwise allowable except for;
 - iv. Permit tracking and reporting of leveraging as required by SB734.

- C. **Costs Charged:** Cost shall be charged to this CONTRACT only in accordance with the following:
- .i. The Act; and
 - ii. 20 C.F.R. Part 667; and
 - iii. State implementing legislation;.
 - iv. Requirements of Other Funding Sources

8. Non-Supplantation of Funds: CONTRACTOR shall not supplant any Federal, State, or COUNTY funds intended for the purposes of this CONTRACT with any funds made available under this CONTRACT. CONTRACTOR shall not claim reimbursement from COUNTY for, or apply sums received from COUNTY with respect to, that portion of its obligations which have been paid by another source of revenue. CONTRACTOR agrees that it shall not use funds received pursuant to this CONTRACT, either directly or indirectly, as a contribution or compensation for the purposes of obtaining federal, State, or COUNTY funds under any federal, State, or COUNTY program without prior written approval from COUNTY.

9. Amendments – Changes/Extra Work: The CONTRACTOR shall make no changes to this CONTRACT without the COUNTY'S written consent. In the event that there are new or unforeseen requirements, the COUNTY with the CONTRACTOR'S concurrence has the discretion to request official changes at any time without changing the intent of this CONTRACT.

If COUNTY-initiated changes or changes in laws or government regulations affect price, the CONTRACTOR'S ability to deliver services, or the CONTRACT schedule, the CONTRACTOR shall give the COUNTY written notice no later than seven (7) calendar days from the date the law or regulation went into effect or the date the change was proposed by the COUNTY and the CONTRACTOR was notified of the change. Such changes shall be agreed to in writing and incorporated into a CONTRACT Amendment; said Amendment shall be issued by the COUNTY CONTRACT MANAGER, shall require the mutual consent of all PARTIES, and may prohibit the CONTRACTOR from proceeding with the work as set forth in this CONTRACT.

10. Nondiscrimination and Compliance Provisions:

A. CONTRACTOR shall comply fully with the nondiscrimination and equal opportunity provisions; the Nontraditional Employment for Women Act of 1991; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; the Age Discrimination Act of 1975, as amended; the Americans with Disabilities Act of 1990; Title IX of the Education Amendments of 1972, as amended; the Equal Opportunity provisions in Executive Order 11246, as amended by Executive Order 11375 and supplemented by the requirements of 41 C.F.R. Part 60; and with all applicable requirements imposed by or pursuant to regulations or Executive Order implementing those laws, including, but not limited to, 29 C.F.R. Part 33 and 37. The United States, the State of California and COUNTY have the right to seek judicial enforcement of this requirement.

B. CONTRACTOR shall comply with the provisions of the Fair Employment and Housing Act (California Government Code, Section 12900 et seq.) and the regulations promulgated there under (California Code of Regulations, Title 2, Section 7285.0 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set

forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations are incorporated into this CONTRACT by reference and made a part hereof as if set forth in full.

- C. In the performance of this CONTRACT, CONTRACTOR and its subcontractors shall not deny the CONTRACT'S benefits to any person on the basis of race, ancestry, national origin, religion, color, ethnic group identification, sex, age, mental or physical disability (including HIV and AIDS), medical condition (including cancer), marital status, denial of family care leave, political affiliation or belief, nor will they unlawfully discriminate, harass or allow harassment against any employee or applicant for employment because of race, ancestry, national origin, religion, color, ethnic group identification, sex, age, mental or physical disability (including HIV and AIDS), medical condition (including cancer), marital status, denial of family care leave, political affiliation or belief. CONTRACTOR shall insure that the evaluation and treatment of employees and applicants for employment are free from such discrimination and harassment.
- D. CONTRACTOR will include the non-discrimination and compliance provisions of this Paragraph of the CONTRACT in all subcontracts to perform work under this CONTRACT.
- E. CONTRACTOR will give written notice of its obligations under this Paragraph of the CONTRACT to labor organizations with which CONTRACTOR has a collective bargaining or other CONTRACT.
- F. CONTRACTOR shall furnish any and all information requested by PROJECT MANAGER and shall permit PROJECT MANAGER access, during business hours, to books, records and accounts in order to ascertain CONTRACTOR'S compliance with the above non-discrimination requirements.
11. **Payments:** CONTRACTOR agrees that any and all funds received under this CONTRACT shall be disbursed or encumbered on or before _____, and that any and all funds remaining as of _____ which have not been disbursed shall be returned by CONTRACTOR to COUNTY within thirty (30) days of the expiration or earlier termination of the CONTRACT as provided herein. No expense of CONTRACTOR will be reimbursed by COUNTY if incurred after _____. No CONTRACTOR expense shall be paid if billing is received by COUNTY after _____.

Upon the effective date of this CONTRACT, COUNTY shall make payments to CONTRACTOR in accordance with the following payment schedule:

- A. Monthly Payments. Beginning _____, upon receipt and approval by OC Community Services/Community Investment Division (CID) of CONTRACTOR'S invoice showing the prior month's actual expenditures, COUNTY shall make monthly reimbursement payments based on CONTRACTOR'S invoice so long as the total payments under this CONTRACT do not exceed \$.00 (_____ Dollars and _____ 00 Cents).
- B. COUNTY Discretion. At the sole discretion of COUNTY, payments to CONTRACTOR may be made more frequently than monthly, but such payments shall always be in arrears and not in advance of the provision of services by CONTRACTOR
- C. Advance. Notwithstanding (b) above, upon written request and justification from CONTRACTOR, COUNTY may advance to CONTRACTOR a sum not to exceed one sixth (1/6) of COUNTY'S maximum obligation hereunder. PROJECT

MANAGER shall reduce the amount of monthly payments in the seventh, eighth, ninth, tenth, and eleventh months by twenty percent (20%) of any advance payment, under (A) above, to recover any outstanding advance or part thereof. Such recovery may not exceed the total of all outstanding advances. No monthly payment shall be made to CONTRACTOR which would result in less money remaining unpaid to CONTRACTOR than the total of advances made to CONTRACTOR.

- D. Invoices. COUNTY will reimburse CONTRACTOR for eligible CONTRACT-related costs only. CONTRACTOR shall submit requests for reimbursement to COUNTY on a monthly basis beginning on _____, and must provide adequate documentation as required by COUNTY in accordance with the OC Community Resources Contract Reimbursement Policy for documenting CONTRACTOR costs, incorporated herein by reference as Exhibit 7. Failure to provide any of the required documentation will cause COUNTY to withhold all or a portion of a request for reimbursement, or return the entire reimbursement package to CONTRACTOR, until such documentation has been received and approved by COUNTY. Invoices are due on the 20th of each month for prior month's expenses.

12. Performance Standards: CONTRACTOR shall comply with and adhere to the performance accountability standards and general program requirements described in Sections 136 (Performance Accountability System) and 195 (General Program Requirements) of the Act and applicable regulations and as contained in Attachment D. Should the Performance Requirements defined in the Agreement between the State of California and the County of Orange be changed, COUNTY shall have the right to unilaterally modify this CONTRACT to meet such requirements.

13. Satisfactory Work: Services rendered hereunder are to be performed to the written satisfaction of PROJECT MANAGER. COUNTY'S staff will interpret all reports and determine the quality, acceptability and progress of the services rendered.

14. Modification of Program Components and Service Levels: The PARTIES hereto agree that those program components and service levels detailed in Attachments A, B, C and/or D may be modified upon mutual written agreement of the DIRECTOR and CONTRACTOR so long as the total payments under this CONTRACT are not increased and the basic goals and objectives of the program are not altered. Should the Federal Government and/or the State of California modify any program component and/or service level detailed in Attachment A, B, C and/or D then the COUNTY shall have the right to unilaterally modify this CONTRACT to meet such requirements.

- A. CONTRACT MANAGER may at any time, by written change order to CONTRACTOR, make changes within the general scope of this CONTRACT, including, in the definition of services and tasks to be performed, the manner in which services are performed, the time and place of performance thereof and additional related provisions, and CONTRACT term. Such change orders may be made when necessitated by changes in the WIA/WIOA Youth Employment Program operations or performance, the operations or performance of CONTRACTOR, or changes in applicable statutes, regulations or State of California or federal mandates or directives.

CONTRACTOR and CONTRACT MANAGER shall make a good faith effort to reach agreement with respect to change orders, which affect the price of services under the CONTRACT. CONTRACTOR's protest or failure to agree to the amount of any adjustment to be made as a result of a change order shall be a dispute for which an appeal may be made pursuant to this CONTRACT.

Notwithstanding the foregoing, the price of services under this CONTRACT shall not be increased except by written modification of this CONTRACT indicating the new services and price of this CONTRACT if applicable. Until the PARTIES reach agreement, CONTRACTOR shall not be obligated to assume increased performance under the change order beyond the limitation of funds established within this CONTRACT.

- B. CONTRACTOR may request changes in the scope of performance or services under this CONTRACT, by submitting a written request to PROJECT MANAGER describing the request and its impact on the Scope of Services and Budget Schedule. PROJECT MANAGER will review the request and respond in writing within ten (10) business days. PROJECT MANAGER'S decision whether to approve the request or request Board of Supervisors' approval shall be final. COUNTY CONTRACT MANAGER may approve a request that meets all of the following criteria:
- I. It does not materially change the terms of this CONTRACT, and
 - II. It is supported by adequate consideration to COUNTY.

Board of Supervisors' action is necessary to approve a request from CONTRACTOR that does not satisfy all of the criteria listed above.

15. Access and Records:

- A. Access. COUNTY, the State of California and the United States Government and/or their representatives, shall have access, for purposes of monitoring, auditing, and examining, to CONTRACTOR'S activities, books, documents and papers (including computer records and emails) and to records of CONTRACTOR'S SUBCONTRACTORS, consultants, contracted employees, bookkeepers, accountants, employees and participants related to this CONTRACT. CONTRACTOR shall insert this condition in each CONTRACT between CONTRACTOR and a subcontractor that is pursuant to this CONTRACT shall require the subcontractor to agree to this condition. Such agencies or representatives shall have the right to make excerpts, transcripts and photocopies of such records and to schedule on site monitoring at their discretion. Monitoring activities also may include, but are not limited to, questioning employees and participants and entering any premises or onto any site in which any of the services or activities funded hereunder are conducted or in which any of the records of CONTRACTOR are kept. CONTRACTOR shall make available its books, documents, papers, financial records, etc., within twenty-four (24) hours after receipt of written demand by DIRECTOR which shall be deemed received upon date of sending. In the event CONTRACTOR does not make the above referenced documents available within the County of Orange, California, CONTRACTOR agrees to pay all necessary and reasonable expenses incurred by COUNTY, or COUNTY'S designee, in conducting any audit at the location where said records and books of account are maintained.
- B. Records Retention. All accounting records and evidence pertaining to all costs of CONTRACTOR and all documents related to this CONTRACT shall be kept available at CONTRACTOR'S office or place of business for the duration of this CONTRACT and thereafter as specified in 29 C.F.R. 97.42 or 29 C.F.R. 95.53, whichever is more restrictive. Records which relate to: (1) complaints, claims, administrative proceedings or litigation arising out of the performance of this CONTRACT; or (2) costs and expenses of this CONTRACT to which COUNTY or any other governmental agency takes exception, shall be retained until final resolution or disposition of such appeals, litigation, claims, or exceptions.

- C. Liability. CONTRACTOR shall pay to COUNTY the full amount of COUNTY'S liability to the State or Federal government or any agency thereof resulting from any disallowance or other audit exceptions to the extent that such liability is attributable to CONTRACTOR'S failure to perform under this CONTRACT.
16. **Breach of Contract:** The failure of the CONTRACTOR to comply with any of the provisions, covenants or conditions of this CONTRACT shall be a material breach of this CONTRACT. In such event the COUNTY may, and in addition to any other remedies available at law, in equity, or otherwise specified in this CONTRACT:
- A. Terminate the CONTRACT immediately, pursuant to Paragraph K herein; and
 - B. Afford the CONTRACTOR written notice of the breach and ten calendar days or such shorter time that may be specified in this CONTRACT within which to cure the breach; and
 - C. Discontinue payment to the CONTRACTOR for and during the period in which the CONTRACTOR is in breach;
 - D. Offset against any monies billed by the CONTRACTOR but yet unpaid by the COUNTY those monies disallowed pursuant to the above.
17. **CONTRACTOR – Change in Ownership:** The CONTRACTOR agrees that if there is a change in ownership prior to completion of this CONTRACT, the new owner will be required, under terms of sale, to assume this CONTRACT and complete it to the satisfaction of the COUNTY.
18. **Conditions Affecting Work:** CONTRACTOR shall be responsible for taking all steps reasonably necessary, to ascertain the nature and location of the work to be performed under this CONTRACT; and to know the general conditions which can affect the work or the cost thereof. Any failure by the CONTRACTOR to do so will not relieve CONTRACTOR from responsibility for successfully performing the work without additional cost to the COUNTY. The COUNTY assumes no responsibility for any understanding or representations concerning the nature, location(s) or general conditions made by any of its officers or agents prior to the execution of this CONTRACT, unless such understanding or representations by the COUNTY are expressly stated in the CONTRACT.
19. **Conflict of Interest – CONTRACTOR'S Personnel:** The CONTRACTOR shall exercise reasonable care and diligence to prevent any actions or conditions that could result in a conflict with the best interests of the COUNTY. This obligation shall apply to the CONTRACTOR; the CONTRACTOR'S employees, agents, and relatives; sub-tier CONTRACTORS; and third parties associated with accomplishing work and services hereunder. The CONTRACTOR'S efforts shall include, but not be limited to establishing precautions to prevent its employees or agents from making, receiving, providing or offering gifts, entertainment, payments, loans or other considerations which could be deemed to appear to influence individuals to act contrary to the best interests of the COUNTY.
20. **Conflict of Interest – COUNTY Personnel:** The County of Orange Board of Supervisors policy prohibits its employees from engaging in activities involving a conflict of interest. The CONTRACTOR shall not, during the period of this CONTRACT, employ any COUNTY employee for any purpose.

- 21. Consulting Contract – Follow-On Work:** No person or firm or subsidiary thereof who has been awarded a consulting services contract or a contract which includes a consulting component may be awarded a contract for the provision of services, the delivery of goods or supplies, or the provision of any other related action which is required, suggested, or otherwise deemed appropriate as an end product of the consulting services contract. Therefore, any consultant that contracts with a COUNTY agency/department to develop a feasibility study or to provide formal recommendations is precluded from contracting for any work recommended in the study or included in the recommendations.
- 22. Contingent Fees:** The CONTRACTOR warrants that no person or selling agency has been employed or retained to solicit or secure this CONTRACT upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, except bona fide employees of the CONTRACTOR or bona fide established commercial or selling agencies maintained by the CONTRACTOR for the purpose of securing business.
- For breach or violation of this warranty, the COUNTY shall have the right to terminate this CONTRACT in accordance with the termination clause and at its sole discretion to deduct from the CONTRACT price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee from the CONTRACTOR.
- 23. CONTRACTOR Bankruptcy/Insolvency:** If the CONTRACTOR should be adjudged bankrupt or should have a general assignment for the benefit of its creditors or if a receiver should be appointed on account of the CONTRACTOR'S insolvency, the COUNTY may terminate this CONTRACT.
- 24. CONTRACTOR Personnel:** The CONTRACTOR warrants that all persons employed to provide service under this CONTRACT have satisfactory past work records indicating their ability to accept the kind of responsibility anticipated under this CONTRACT.
- 25. CONTRACTOR'S PROJECT MANAGER and Key Personnel:** The CONTRACTOR'S PROJECT MANAGER shall be assigned to this CONTRACT for the duration of this CONTRACT and shall pursue all work and services to meet the CONTRACT timelines. Key personnel are those individual who report directly to the CONTRACTOR'S PROJECT MANAGER.
- COUNTY'S PROJECT MANAGER shall have the discretion to direct replacement or reassignment of any CONTRACTOR personnel during the term of this CONTRACT to ensure that all services and deliverables are provided in accordance with Attachment B, Scope of Services.
- 26. County of Orange Child Support Enforcement Provision:** In order to comply with the child support enforcement requirements of the County of Orange, within ten (10) days of notification of selection of award of CONTRACT but prior to official award of CONTRACT, the selected CONTRACTOR agrees to furnish to the CONTRACT MANAGER, the Purchasing Agent, or the agency/department deputy purchasing agent:
- A. In the case of an individual CONTRACTOR, his/her name, date of birth, Social Security number, and residence address;

- B. In the case of a CONTRACTOR doing business in a form other than as an individual, the name, date of birth, Social Security number, and residence address of each individual who owns an interest of ten (10) percent or more in the contracting entity;
- C. A certification that the CONTRACTOR has fully complied with all applicable federal and state reporting requirements regarding its employees; and
- D. A certification that the CONTRACTOR has fully complied with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment and will continue to so comply.

Failure of the CONTRACTOR to timely submit the data and/or certifications required may result in the CONTRACT being awarded to another CONTRACTOR. In the event a CONTRACT has been issued, failure of the CONTRACTOR to comply with all federal, state, and local reporting requirements for child support enforcement or to comply with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment shall constitute a material breach of the CONTRACT. Failure to cure such breach within sixty (60) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.

- 27. Data – Title To:** All materials, documents, data or information obtained from the COUNTY data files or any COUNTY medium furnished to the CONTRACTOR in the performance of this CONTRACT will at all times remain the property of the COUNTY. Such data or information may not be used or copied for direct or indirect use by the CONTRACTOR after completion or termination of this contract without the express written consent of the COUNTY. All materials, documents, data or information, including copies, must be returned to the COUNTY at the end of this CONTRACT (or final renewal), as applicable.

28. Intellectual Property

- A. Federal Funding. In any Agreement funded in whole or in part by the Federal government, COUNTY may acquire and maintain the Intellectual Property rights, title, and ownership, which result directly or indirectly from the CONTRACT, except as provided in 37 Code of Federal Regulations Part 401.14. CONTRACTOR agrees to grant the COUNTY, Federal and State governments a royalty-free, non-exclusive, 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.
- B. Ownership.
 - i. Except where COUNTY has agreed in a signed writing to accept a license, COUNTY 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 COUNTY and which result directly or indirectly from this CONTRACT.
 - ii. For the purposes of this CONTRACT, 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, any data or information maintained, collected or stored in the ordinary course of business by COUNTY, and all other legal rights protecting intangible proprietary information as may exist now and/or hereafter 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, computer software 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.
- iii. In the performance of this CONTRACT, CONTRACTOR may exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this CONTRACT. In addition, under this CONTRACT, CONTRACTOR may access and utilize certain of COUNTY's Intellectual Property in existence prior to the effective date of this CONTRACT. Except as otherwise set forth herein, CONTRACTOR shall not use any of COUNTY's Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of COUNTY. Except as otherwise set forth herein, neither the CONTRACTOR nor COUNTY shall give any ownership interest in or rights to its Intellectual Property to the other Party. If, during the term of this CONTRACT, CONTRACTOR accesses any third-party Intellectual Property that is licensed to COUNTY, CONTRACTOR agrees to abide by all license and confidentiality restrictions applicable to COUNTY in the third-party's license CONTRACT.
- iv. CONTRACTOR agrees to cooperate with COUNTY in establishing or maintaining COUNTY's exclusive rights in the Intellectual Property, and in assuring COUNTY'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 CONTRACT, CONTRACTOR shall require the terms of the agreement(s) to include all Intellectual Property provisions of paragraphs twenty-eight (28)(A) through twenty-eight (28)(I). Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to COUNTY all rights, title and interest in Intellectual Property made, conceived, derived from, or reduced to practice by the subcontractor, CONTRACTOR or COUNTY and which result directly or indirectly from this CONTRACT or any subcontract.

- v. Pursuant to paragraph twenty-eight (28)(B)(iv) of the Intellectual Property Provisions of this CONTRACT, the requirement for the CONTRACTOR to include all Intellectual Property Provisions of paragraphs twenty-eight (28)(A) through twenty-eight (28)(I) of the Intellectual Property Provisions in all contracts and subcontracts it enters into with other parties does not apply to contracts or subcontracts that are for customized and on-the-job training as authorized under 20 CFR 633.700-730.
 - vi. CONTRACTOR further agrees to assist and cooperate with COUNTY 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 COUNTY's Intellectual Property rights and interests.
- C. Retained Rights/License Rights:
- i. Except for Intellectual Property made, conceived, derived from, or reduced to practice by CONTRACTOR or COUNTY and which result directly or indirectly from this CONTRACT, 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 CONTRACT. CONTRACTOR hereby grants to COUNTY, 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 of 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 CONTRACT, unless CONTRACTOR assigns all rights, title and interest in the Intellectual Property as set forth herein.
 - ii. 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 CONTRACT, provided that CONTRACTOR's use does not infringe the patent, copyright, trademark rights, license or other Intellectual Property rights of COUNTY or third party, or result in a breach or default of any provisions of paragraphs twenty-eight (28)(A) through twenty-eight (28)(I) or result in a breach of any provisions of law relating to confidentiality.
- D. Copyright:
- i. CONTRACTOR agrees that for purposes of copyright law, all works (as defined in Ownership, paragraph twenty-eight (28)(B)(ii) of authorship made by or on behalf of CONTRACTOR in connection with CONTRACTOR's performance of this CONTRACT 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 CONTRACT will be a "work made for hire," whether that person is an employee of CONTRACTOR or that person has entered into a contract 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 COUNTY to any work product made, conceived, derived from or reduced to practice by CONTRACTOR or COUNTY and which result directly or indirectly from this CONTRACT.

- ii. All materials, including, but not limited to, computer software, visual works or text, reproduced or distributed pursuant to this CONTRACT that include Intellectual Property made, conceived, derived from, or reduced to practice by CONTRACTOR or COUNTY and which result directly or indirectly from this CONTRACT may not be reproduced or disseminated without prior written permission from COUNTY.

E. Patent Rights:

With respect to inventions made by CONTRACTOR in the performance of this CONTRACT, which did not result from research and development specifically included in the CONTRACT's Scope of Services, CONTRACTOR hereby grants to COUNTY a license as described under paragraph twenty-eight (28)(C) 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 CONTRACT's Scope of Services, then CONTRACTOR agrees to assign to COUNTY, without additional compensation, all its right, title and interest in and to such inventions and to assist COUNTY in securing United States and foreign patents with respect thereto.

F. Third Party Intellectual Property.

Except as provided herein, CONTRACTOR agrees that its performance of this CONTRACT shall not be dependent upon or include any Intellectual Property of CONTRACTOR or third party without first: (i) obtaining COUNTY's prior written approval; and (ii) granting to or obtaining for COUNTY's, without additional compensation, a license, as described in paragraph twenty-eight (28)(C), for any of CONTRACTOR's or third-party's Intellectual Property in existence prior to the effective date of this CONTRACT. If such a license upon these terms is unattainable, and COUNTY determines that the Intellectual Property should be included in or is required for CONTRACTOR's performance of this CONTRACT, CONTRACTOR shall obtain a license under terms acceptable to COUNTY.

G. Warranties.

- i. CONTRACTOR represents and warrants that:
 - a. CONTRACTOR has secured and will secure all rights and licenses necessary for its performance of this CONTRACT.
 - b. Neither CONTRACTOR's performance of this CONTRACT, nor the exercise by either Party of the rights granted in this CONTRACT, 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 COUNTY and which result directly or indirectly from this CONTRACT 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 are currently no actual or threatened claims by any such third party based on an alleged violation of any such right by CONTRACTOR.

- c. 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.
 - d. CONTRACTOR 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.
 - e. CONTRACTOR 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 COUNTY in this CONTRACT.
 - f. CONTRACTOR has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this CONTRACT for the acquisition, operation or maintenance of computer software in violation of copyright laws.
 - g. CONTRACTOR 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 CONTRACT.
- ii. COUNTY MAKES NO WARRANTY THAT THE INTELLECTUAL PROPERTY RESULTING FROM THIS CONTRACT DOES NOT INFRINGE UPON ANY PATENT, TRADEMARK, COPYRIGHT OR THE LIKE, NOW EXISTING OR SUBSEQUENTLY ISSUED.
- H. Intellectual Property Indemnity.
- i. CONTRACTOR shall indemnify, defend and hold harmless COUNTY and its licensees and assignees, and its officers, DIRECTOR, employees, agents, representatives, successors, and users of its products, ("Indemnities") 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 Indemnities may be subject, whether or not CONTRACTOR is a party to any pending or threatened litigation, which arise out of or are related to;
 - a. The incorrectness or breach of any of the representations, warranties, covenants or agreements of CONTRACTOR pertaining to Intellectual Property; or,
 - b. Any Intellectual Property infringement, or any other type of actual or alleged infringement claim, arising out of COUNTY'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 COUNTY and which result directly or indirectly from this CONTRACT. This indemnity obligation shall apply irrespective of whether the infringement claim is based on a patent, trademark or copyright registration that was issued after the effective date of this

CONTRACT. COUNTY reserves the right to participate in and/or control, at CONTRACTOR's expense, any such infringement action brought against COUNTY.

- ii. Should any Intellectual Property licensed by the CONTRACTOR to COUNTY under this CONTRACT become the subject of an Intellectual Property infringement claim CONTRACTOR will exercise its authority reasonably and in good faith to preserve COUNTY's right to use the licensed Intellectual Property in accordance with this CONTRACT at no expense to COUNTY. COUNTY 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 COUNTY 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, COUNTY may be entitled to a refund of all monies paid under this CONTRACT, without restriction or limitation of any other rights and remedies available at law or in equity.
 - iii. CONTRACTOR agrees that damages alone would be inadequate to compensate COUNTY for breach of any term of these Intellectual Property provisions of paragraphs twenty-eight (28)(A) through twenty-eight (28)(I) by CONTRACTOR. CONTRACTOR acknowledges COUNTY would suffer irreparable harm in the event of such breach and agrees COUNTY 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.
- I. Survival.
The provisions set forth herein shall survive any termination or expiration of this CONTRACT or any CONTRACT schedule.

29. Disputes – CONTRACT:

- A. The PARTIES shall deal in good faith and attempt to resolve potential disputes informally. If the dispute concerning a question of fact arising under the terms of this CONTRACT is not disposed of in a reasonable period of time by the CONTRACTOR'S PROJECT MANAGER and the COUNTY'S PROJECT MANAGER, such matter shall be brought to the attention of the COUNTY PROJECT MANAGER by way of the following process:
 - i. The CONTRACTOR shall submit to the agency/department assigned COUNTY'S PROJECT MANAGER a written demand for a final decision regarding the disposition of any dispute between the PARTIES arising under, related to, or involving this CONTRACT, unless the COUNTY, on its own initiative, has already rendered such a final decision.
 - ii. The CONTRACTOR'S written demand shall be fully supported by factual information, and, if such demand involves a cost adjustment to the CONTRACT, the CONTRACTOR shall include with the demand a written statement signed by a senior official indicating that the demand is made in good faith, that the supporting data are accurate and complete, and that the amount requested accurately reflects the Contract adjustment for which the CONTRACTOR believes the COUNTY is liable.

- B. Pending the final resolution of any dispute arising under, related to, or involving this CONTRACT, the CONTRACTOR agrees to proceed with the provision of services under this CONTRACT. The CONTRACTOR'S failure to proceed shall be considered a material breach of this CONTRACT.

Any final decision of the COUNTY shall be expressly identified as such, shall be in writing, and shall be signed by the CONTRACT MANAGER. If the COUNTY fails to render a decision within ninety (90) days after receipt of the CONTRACTOR'S demand, it shall be deemed a final decision adverse to the CONTRACTOR'S contentions. Nothing in this Paragraph shall be construed as affecting the COUNTY'S right to terminate the CONTRACT for Cause or Terminate for Convenience as stated in Paragraph K herein.

- 30. Complaint Handling Procedures:** CONTRACTOR shall comply with grievance procedures, as defined by the program's funding stream. CONTRACTOR shall advise participants of their right to file complaints and of the procedures for resolution of complaints. CONTRACTOR shall follow program's procedures for handling complaints which is available from the COUNTY's PROJECT MANAGER for alleging a violation of regulations, grants or other agreements. Any decision of the COUNTY, the State or the Federal government relating to the complaint shall be binding on CONTRACTOR.
- 31. EDD Independent Contractor Reporting Requirements:** Effective January 1, 2001, the County of Orange is required to file federal Form 1099-Misc for services received from a "service provider" to whom the COUNTY pays \$600 or more or with whom the COUNTY enters into a contract for \$600 or more within a single calendar year attached hereto as Exhibit 6 and incorporated herein by this reference. The purpose of this reporting requirement is to increase child support collection by helping to locate parents who are delinquent in their child support obligations.

The term "service provider" is defined in California Unemployment Insurance Code Section 1088.8, subparagraph B.2 as "an individual who is not an employee of the service recipient for California purposes and who received compensation or executes a contract for services performed for that service recipient within or without the state." The term is further defined by the California Employment Development Department to refer specifically to independent CONTRACTORS. An independent CONTRACTOR is defined as "an individual who is not an employee of the ... government entity for California purposes and who receives compensation or executes a contract for services performed for that ... government entity either in or outside of California."

The reporting requirement does not apply to corporations, general partnerships, limited liability partnerships, and limited liability companies.

Additional information on this reporting requirement can be found at the California Employment Development Department web site located at www.edd.ca.gov/txicr.htm.

- 32. Gratuities:** The CONTRACTOR warrants that no gratuities, in the form of entertainment, gifts or otherwise, were offered or given by the CONTRACTOR or any agent or representative of the CONTRACTOR to any officer or employee of the COUNTY with a view toward securing the CONTRACT or securing favorable treatment with respect to any determinations concerning the performance of the CONTRACT. For breach or violation of this warranty, the COUNTY shall have the right to terminate the CONTRACT, either in whole or in part, and any loss or damage sustained by the COUNTY in procuring on the open market any services which the CONTRACTOR agreed to supply shall be borne and paid for by the CONTRACTOR. The rights and remedies of the COUNTY provided in the clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under the CONTRACT.

- 33. Sectarian Activities:** CONTRACTOR certifies that this CONTRACT does not aid or advance any religious sect, church or creed for a purpose that is sectarian in nature, nor does it help to support or sustain any school, college, university, hospital or other institution controlled by any religious creed, church, or sectarian denomination.
- 34. Drug Free Workplace:** CONTRACTOR shall execute and abide by the Drug Free Workplace Certification attached hereto as Exhibit 2 and incorporated herein by this reference.
- 35. Debarment:** CONTRACTOR shall execute and abide by the Debarment & Suspension Certification, attached hereto as Exhibit 3 and incorporated herein by this reference, and by so doing declares that it is not debarred or suspended or otherwise excluded from or ineligible for participation in Federal/State assistance programs in accordance with 29 C.F.R. Part 98.
- 36. Lobbying:**
- A. CONTRACTOR shall execute and abide by the terms of the "Certification Regarding Lobbying," which is attached hereto as Exhibit 4 and incorporated herein by this reference. CONTRACTOR shall complete and immediately forward to the COUNTY'S PROJECT MANAGER the "Disclosure Form to Report Lobbying," a copy of which is attached hereto as Exhibit 5 and incorporated herein by this reference, if CONTRACTOR, or any person, firm or corporation acting on CONTRACTOR'S behalf, engaged or engages in lobbying any federal office, employee, elected official or agency with respect to this CONTRACT or funds to be received by CONTRACTOR pursuant to this CONTRACT.
 - B. CONTRACTOR agrees that the funds provided herein shall not be used to promote, directly or indirectly, any political party, political candidate or political activity, except as permitted by law.
 - C. CONTRACTOR shall be in compliance with the Byrd Anti-Lobbying Amendment (31 U.S.C. 1352 and 29 CFR Part 93).
- 37. Fraud:** CONTRACTOR shall immediately report all suspected or known instances and facts concerning possible fraud, abuse or criminal activity under this CONTRACT.
- 38. Standards of Conduct:**
- A. General Assurance. Every reasonable course of action will be taken by CONTRACTOR in order to maintain the integrity of this expenditure of public funds and to avoid favoritism and questionable or improper conduct.

This CONTRACT will be administered in an impartial manner, free from efforts to attain personal, financial or political gain. CONTRACTOR, its officers and employees, in administering this CONTRACT, will avoid situations which give rise to a suggestion that any decision was influenced by prejudice, bias, special interest or desire for personal gain.
 - B. Employment of Former State or COUNTY Employees. CONTRACTOR will ensure that any of its employees who were formerly employed by the State of California or COUNTY, in a position that could have enabled such individuals to impact policy regarding or implementation of programs covered by this CONTRACT, will not be assigned to any part or phase of the activities conducted pursuant to this CONTRACT for a period of not less than two years following the termination of such employment.

- C. Conducting Business Involving Relatives. No relative by blood, adoption or marriage of any executive or employee of CONTRACTOR will receive favorable treatment when considered for enrollment in programs provided by, or employment with CONTRACTOR.
- D. Conducting Business Involving Close Personal Friends and Associates. Executives and employees of CONTRACTOR will be particularly aware of the varying degrees of influence that can be exerted by personal friends and associates and, in administering this CONTRACT, will exercise due diligence to avoid situations which give rise to an assertion that favorable treatment is being granted to friends and associates. When it is in the public interest for CONTRACTOR to conduct business with a friend or associate of an executive or employee of CONTRACTOR or an elected official in the area or a staff person or consultant who is a member or officer of the Board of Directors or other official governing body of CONTRACTOR, a permanent record of the transaction will be retained.
- E. Avoidance of Conflict of Economic Interest. No executive or employee of CONTRACTOR, elected official in the area, or any staff person or consultant who is a member or officer of the Board of Directors or other official governing body of CONTRACTOR will solicit or accept money or any other consideration from a third person, for the performance of an act reimbursed in whole or part by CONTRACTOR or COUNTY.

- 39. News/Information Release:** The CONTRACTOR agrees that it will not issue any news releases in connection with either the award of this contract or any subsequent amendment of or effort under this CONTRACT without first obtaining review and written approval of said news releases from the COUNTY through the COUNTY'S PROJECT MANAGER.
- 40. Notices:** Any and all notices, requests demands and other communications contemplated, called for, permitted, or required to be given hereunder shall be in writing, except through the course of the PARTIES' routine exchange of information and cooperation during the terms of the work and services. Any written communications shall be deemed to have been duly given upon actual in-person delivery, if delivery is by direct hand, or upon delivery on the actual day of receipt or no greater than four calendar days after being mailed by US certified or registered mail, return receipt requested, postage prepaid, whichever occurs first. The date of mailing shall count as the first day. All communications shall be addressed to the appropriate party at the address stated herein or such other address as the PARTIES hereto may designate by written notice from time to time in the manner aforesaid.

For COUNTY:

County of Orange
 OC Community Resources
 Community Investment Division
 PROJECT MANAGER
 1300 South Grand Ave., Bldg. 'B', 3rd Flr
 Santa Ana, CA 90705-4407

For CONTRACTOR:

- 41. Literature/Publicity:** Any literature distributed by CONTRACTOR for the purpose of apprising businesses, participants, or the general public of its programs under this CONTRACT shall state that its program, wholly or in part, is funded through COUNTY, State and Federal government funds; are supported by the County of Orange and the

Orange County Workforce Investment Board and shall state that the program is an "equal opportunity employer/program" and that "auxiliary aids and services are available upon request to individuals with disabilities."

- 42. Ownership of Documents:** The COUNTY has permanent ownership of all directly connected and derivative materials produced under this CONTRACT by the CONTRACTOR. All documents, reports and other incidental or derivative work or materials furnished hereunder shall become and remains the sole property of the COUNTY and may be used by the COUNTY as it may require without additional cost to the COUNTY. None of the documents, reports and other incidental or derivative work or furnished materials shall be used by the CONTRACTOR without the express written consent of the COUNTY.
- 43. Precedence:** The CONTRACT documents consist of this CONTRACT and its attachments and exhibits. In the event of a conflict between or among the CONTRACT documents, the order of precedence shall be the provisions of the main body of this CONTRACT, i.e., those provisions set forth in the recitals and articles of this CONTRACT, and then the attachments and exhibits.
- 44. COUNTY'S PROJECT MANAGER:** The COUNTY shall appoint a PROJECT MANAGER to act as liaison between the COUNTY and the CONTRACTOR during the term of this CONTRACT. The COUNTY's PROJECT MANAGER shall coordinate the activities of the COUNTY staff assigned to work with the CONTRACTOR.
- 45. Reports/Meetings:** The CONTRACTOR shall develop reports and any other relevant documents necessary to complete the services and requirements as set forth in this CONTRACT. The COUNTY'S PROJECT MANAGER and the CONTRACTOR'S PROJECT MANAGER will meet on reasonable notice to discuss the CONTRACTOR'S performance and progress under this CONTRACT. If requested, the CONTRACTOR'S PROJECT MANAGER and other project personnel shall attend all meetings. The CONTRACTOR shall provide such information that is requested by the COUNTY for the purpose of monitoring progress under this CONTRACT.

CONTRACTOR shall maintain records and submit such reports, data and information regarding the performance of CONTRACTOR's services, activities, costs or other data relating to this CONTRACT, in the form and at such time as PROJECT MANAGER may require. PROJECT MANAGER may modify the provisions of this paragraph without further Board of Supervisors action upon written notice to CONTRACTOR.

- 46. Termination – Orderly:** After receipt of a termination notice from the County of Orange, the CONTRACTOR shall submit to the COUNTY a termination claim, if applicable. Such claim shall be submitted promptly, but in no event later than sixty (60) days from the effective date of the termination, unless one or more extensions in writing are granted by the COUNTY upon written request of the CONTRACTOR. Upon termination COUNTY agrees to pay the CONTRACTOR for all services performed prior to termination which meet the requirements of the CONTRACT, provided, however, that such compensation plus previously paid compensation shall not exceed the total compensation set forth in the CONTRACT. Upon termination or other expiration of this CONTRACT, each PARTY shall promptly return to the other PARTY all papers, materials, and other properties of the other held by each for purposes of execution of the CONTRACT. In addition, each PARTY will assist the other PARTY in orderly termination of this CONTRACT and the transfer of all aspects, tangible and intangible, as may be necessary for the orderly, non-disruptive business continuation of each PARTY.

- 47. Errors and Omissions:** All reports, files and other documents prepared and submitted by CONTRACTOR shall be complete and shall be carefully checked by the professional(s) identified by CONTRACTOR as PROJECT MANAGER and key personnel attached hereto, prior to submission to the COUNTY. CONTRACTOR agrees that COUNTY review is discretionary and CONTRACTOR shall not assume that the COUNTY will discover errors and/or omissions. If the COUNTY discovers any errors or omissions prior to approving CONTRACTOR'S reports, files and other written documents, the reports, files or documents will be returned to CONTRACTOR for correction. Should the COUNTY or others discover errors or omissions in the reports, files or other written documents submitted by CONTRACTOR after COUNTY approval thereof, COUNTY approval of CONTRACTOR'S reports, files or documents shall not be used as a defense by CONTRACTOR in any action between the COUNTY and CONTRACTOR, and the reports, files or documents will be returned to CONTRACTOR for correction.

THE REMAINDER OF THE PAGE WAS INTENTIONALLY LEFT BLANK

Program Specific Terms and Conditions

48. Participants

- A. **Eligibility.** Only participants who have been determined to meet all federal eligibility requirements to receive training hereunder shall be enrolled by CONTRACTOR in any occupational training. Determinations that participants meet federal eligibility requirements shall be made by One Stop Centers funded by COUNTY, and, when applicable, by WIA/WIOA Youth Service Providers.
- B. **Benefits.** Benefits shall be provided to participants in accordance with the standards and requirements set forth in the Act, including Section 181.
- C. **Rights and Privileges.** All participants enrolled in courses pursuant to the CONTRACT shall be entitled to all the rights and privileges to which other CONTRACTOR students are entitled, including, but not limited to, special instruction, use of facilities on CONTRACTOR's premises such as the libraries and learning centers, counseling, student body activities, and veterans' benefits. CONTRACTOR's representatives will provide academic counseling for participants and inform them of CONTRACTOR's services available to them.
- D. **Labor Standards.** CONTRACTOR shall adhere to the Labor Standards described in the Act, including Section 181 of the Act, and all other applicable codes and regulations.

49. Pell Grants/HEA Title IV: If CONTRACTOR provides any services under this CONTRACT to applicants for or recipients of Pell Grants or awards pursuant to Title IV of the Higher Education Act, CONTRACTOR shall cooperate with COUNTY'S PROJECT MANAGER in coordinating these grants and awards with WIA/WIOA funding in accordance with 20 C.F.R. 663.320 and Section 134 (d) of the Act. CONTRACTOR shall inform COUNTY'S PROJECT MANAGER in writing of the amounts and disposition of any Pell Grants, Higher Education Act Title IV awards and other financial aid granted to each WIA/WIOA participant under this CONTRACT.

50. Policies and Procedures: CONTRACTOR shall monitor its program for compliance with the provisions of this CONTRACT. CONTRACTOR shall also comply with all applicable parts of COUNTY'S WIA/WIOA Policies and Procedures for recruitment, intake, assessment and referral, copies of which are available from COUNTY'S PROJECT MANAGER.

51. Budget Schedule

CONTRACTOR agrees that the expenditures of any and all funds under this CONTRACT Attachment C and which by this reference is incorporated herein and made a part hereof as if fully set forth.

52. Modification of Budget Schedule

- A. Upon written approval of CONTRACT MANAGER shall have the authority to transfer allocated program funds from one category of the overall program budget to any other category of the overall program budget, as long as the amount of the total contract is not increased and the basic goals and objectives of the program are not altered. No such transfer may be made without the express prior written approval of CONTRACT MANAGER. A modification of the Budget Schedule may include the addition of any new budget category. Approval of the Budget Modification by CONTRACT MANAGER includes approval of the new Budget Category. Frequencies of Budget Modification

request initiated by CONTRACTOR are outlined in specified CID policy. Budget modifications are limited to once each Quarter. Budget modification requests will not be processed after April 30.

- B. CONTRACTOR may submit a program or budget modification request in response to the modification of program components and/or service levels which significantly alter CONTRACTOR's Scope of Services. Without further Board action, DIRECTOR may execute amendments to this CONTRACT modifying CONTRACTOR's services in amounts that do not collectively increase by more than ten percent (10%) the price of said services under this CONTRACT when originally executed. Increases in excess of ten percent (10%) of the original CONTRACT price, must be approved by the COUNTY'S Board of Supervisors. The COUNTY may execute amendments to decrease the amount of the CONTRACT without obtaining approval by the Board of Supervisors.
- 53. Sweat-free Code of Conduct:** All CONTRACTORS contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, or supplies have been furnished to the CONTRACTOR from sources that include sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The CONTRACTOR further declares under penalty of perjury that they adhere to the Sweat-free Code of Conduct as set forth on the California Department of Industrial Relations website located at www.dir.ca.gov, and Public Contract Code Section 6108.
- The CONTRACTOR agrees to cooperate fully in providing reasonable access to the CONTRACTOR's records, documents, agents or employees, or premises if reasonably required by authorized officials of the State or COUNTY, the Department of Industrial Relations, or the Department of Justice to determine the CONTRACTOR's compliance with the requirements under Paragraph A of the Sweat-free Code of Conduct.
- 54. Annual Audit:** CONTRACTOR shall arrange for an independent audit to be performed by a Certified Public Accountant, which shall include an audit of the WIA/WIOA funds received from COUNTY, in accordance with the Act, 20 C.F.R. Section 667.200, and 29 CFR Parts 96 and 99. CONTRACTOR shall submit two (2) copies of each required audit report to COUNTY within thirty (30) days after the date received by CONTRACTOR.
- 55. Corporate Status:** All corporate CONTRACTORS shall be registered with the California Secretary of State and shall be in good standing, without suspension by the California Secretary of State, Franchise Tax Board, or Internal Revenue Service. Any change in corporate status or suspension shall be reported by CONTRACTOR immediately in writing to COUNTY'S PROJECT MANAGER.
- 56. Equipment:** All computer-related and electronic equipment purchased with funds provided under this CONTRACT or which are furnished to CONTRACTOR by COUNTY shall be considered Equipment. This includes, but not limited to laptops, desktop computers, iPads, cell phones, PDAs, cameras, and DVD players. Title to all items of Equipment purchased vests and will remain in COUNTY as such shall be designated by COUNTY'S PROJECT MANAGER. The use of such items of Equipment is limited to the performance of this CONTRACT. Upon the termination of this CONTRACT, CONTRACTOR shall immediately return any items of Equipment to COUNTY or its representatives, or dispose of them in accordance with the directions of COUNTY'S PROJECT MANAGER.

CONTRACTOR further agrees to the following:

- A. To maintain all items of Equipment in good working order and condition, except for normal wear and tear.
- B. To label all items of Equipment, do periodic inventories as required by COUNTY'S PROJECT MANAGER and to maintain an inventory list showing where and how the Equipment is being used, in accordance with procedures developed by COUNTY'S PROJECT MANAGER. All such lists shall be submitted to COUNTY'S PROJECT MANAGER within ten (10) days of the request therefore. Inventory lists must be maintained for four (4) years after final disposition of property.
- C. To report in writing to COUNTY'S PROJECT MANAGER immediately after discovery, the loss or theft of any items of Equipment. For stolen items, the local law enforcement agency must be contacted and a copy of the police report submitted to COUNTY'S PROJECT MANAGER.
- D. To purchase a policy or policies of insurance covering loss or damage to any and all Equipment purchased under this CONTRACT, in the amount of the full replacement value thereof, providing protection against the classification of fire, extended coverage, vandalism, malicious mischief and special extended perils (all risks) covering the parties' interests as they appear.
- E. The purchase of any Equipment by CONTRACTOR shall be requested by CONTRACTOR in writing, shall require the prior written approval of DIRECTOR and shall fulfill the provisions of this CONTRACT which are appropriate and directly related to CONTRACTOR's service or activity under the terms of this CONTRACT. COUNTY may refuse reimbursement for any costs resulting from Equipment purchased, which are incurred by CONTRACTOR, if prior written approval has not been obtained from COUNTY'S PROJECT MANAGER.

57. Publication: No copies of sketches, schedules, written documents, computer based data, photographs, maps or graphs, including graphic art work, resulting from performance or prepared in connection with this CONTRACT, are to be released by CONTRACTOR and/or anyone acting under the supervision of CONTRACTOR to any person, partnership, company, corporation, or agency, without prior written approval by the COUNTY, except as necessary for the performance of the services of this CONTRACT. All press releases, including graphic display information to be published in newspapers, magazines, etc., are to be administered only by the COUNTY unless otherwise agreed to by both PARTIES.

58. Other Requirements – Program Confidentiality

- A. Without prejudice to any other section of this CONTRACT, CONTRACTOR shall, where applicable, maintain the confidential nature of information provided to it concerning participants in accordance with the requirements of federal and State law. However, CONTRACTOR shall submit to COUNTY, the State of California and/or the United States government or their representatives, all records requested for administrative purposes, including audits, examinations, monitoring and verification of reports submitted by CONTRACTOR, costs incurred and services rendered hereunder.
- B. CONTRACTOR shall require all of its employees, agents, subcontractors and volunteer staff who may provide services to CONTRACTOR under this CONTRACT to sign an agreement with CONTRACTOR before commencing the provision of any such services, to maintain the confidentiality of any and all

materials and information with which they may come into contact, or the identities or any identifying characteristics or information with respect to any and all participants referred to CONTRACTOR by COUNTY, except as may be required to provide services under this CONTRACT or to those specified in this CONTRACT as having the capacity to audit CONTRACTOR, and as to the latter, only during such audit. CONTRACTOR shall provide reports and any other information required by COUNTY in the administration of this CONTRACT, and as otherwise permitted by law.

- C. The State of California Information Practices Act of 1977 sets forth certain requirements and safeguards regarding records pertaining to individuals, including the rights of access by the subject individual and by third parties. The disclosure of information from student records is governed by the Federal Family Educational Rights and Privacy Act (FERPA) and in part by the State of California Education Code and CONTRACTOR Policies Applying to the Disclosure of Information and Student Records. It is the purpose of these policies to provide reasonable interpretations of those laws and to protect the student's right to privacy. The Federal Family Educational Rights and Privacy Act (FERPA) is a U.S. federal law that protects the privacy of student records. Generally, this law states schools must have written permission from the student in order to release any information from a student's education record.

The CONTRACTOR shall be guided by the following principles: (1) the release of any personally identifiable student information to any third parties shall be managed in ways that are in compliance with FERPA and (2) the information in the student's file should be disclosed to the student upon request. Therefore, CONTRACTOR shall procure the written consent from students enrolled through the COUNTY allowing CONTRACTOR to disclose to the participants' employer, County of Orange, State of California, or U.S. Department of Labor student information such as grades, academic disputes and other matters related to a student's status as a student. Such consent shall be obtained materially in the form, titled Family Educational Rights and Privacy Act (FERPA) Authorization to Release Information to a Designated Third Party.

- D. CONTRACTOR agrees that any and all subcontracts entered into shall be subject to the confidentiality requirements of this CONTRACT.

59. Compliance with Law – CONTRACT:

In its performance under this CONTRACT, CONTRACTOR shall fully comply with the requirements of the following, whether or not otherwise referred to in this CONTRACT:

- A. The Act and all applicable federal statutes, regulations, policies, procedures and directives, including but not limited to, 20 C.F.R. Parts 652 and 660 through 671.
- i. All applicable standards and orders and requirements issued under Section 306 of the Clean Air Act, Section 508 of the Clean Water Act and Environmental Protection Agency regulations in contracts in excess of \$100,000.
 - ii. All mandatory standards and policies relating to energy efficiency as particularized in the state Energy Conservation Plan (Title 20, California Code of Regulations), as required by the U.S. Energy Policy and Conservation Act (P.L. 94-163) as each may now exist or be thereafter amended;

- B. All applicable State statues, regulations, policies, procedures and directives;
- C. All applicable COUNTY policies, procedures and directives;
- D. All applicable local ordinances and requirements, including use permits and licensing;
- E. Court orders applicable to CONTRACTOR's operations; and
- F. The terms and conditions of this CONTRACT, including Attachments and Exhibits.

60. Scope of Services: This CONTRACT specifies the Contractual terms and conditions by which the COUNTY will procure services from CONTRACTOR as further detailed in Attachment B and Attachment D which are part of this CONTRACT and which by this reference is incorporated herein and made a part hereof as if fully set forth.

THE REMAINDER OF THE PAGE WAS INTENTIONALLY LEFT BLANK

General Terms and Conditions:

- A. **Governing Law and Venue:** This CONTRACT has been negotiated and executed in the State of California and shall be governed by and construed under the laws of the State of California. In the event of any legal action to enforce or interpret this CONTRACT, the sole and exclusive venue shall be a court of competent jurisdiction located in Orange COUNTY, California, and the PARTIES hereto agree to and do hereby submit to the jurisdiction of such court, notwithstanding Code of Civil Procedure Section 394. Furthermore, the PARTIES specifically agree to waive any and all rights to request that an action be transferred for trial to another COUNTY.
- B. **Entire Contract:** This CONTRACT, including Attachments A through E and Exhibits 1 through 8 which are attached hereto and incorporated herein by this reference, when accepted by the CONTRACTOR either in writing or by the shipment of any article or other commencement of performance hereunder, contains the entire CONTRACT between the PARTIES with respect to the matters herein, and there are no restrictions, promises, warranties or undertakings other than those set forth herein or referred to herein. No exceptions, alternatives, substitutes or revisions are valid or binding on COUNTY unless authorized by COUNTY in writing. Electronic acceptance of any additional terms, conditions or supplemental contracts by any COUNTY employee or agent, including but not limited to installers of software, shall not be valid or binding on COUNTY unless accepted in writing by COUNTY'S CONTRACT MANAGER.
- C. **Amendments:** No alteration or variation of the terms of this CONTRACT shall be valid unless made in writing and signed by the PARTIES; no oral understanding or agreement not incorporated herein shall be binding on either of the PARTIES; and no exceptions, alternatives, substitutes or revisions are valid or binding on COUNTY unless authorized by COUNTY in writing.
- D. Intentionally left blank.
- E. **Delivery:** Time of delivery of services is of the essence in this CONTRACT. COUNTY reserves the right to refuse any services and to cancel all or any part of the descriptions or services that do not conform to the prescribed Scope of Services. Delivery shall not be deemed to be complete until all services have actually been received and accepted in writing by COUNTY.
- F. **Acceptance/Payment:** Unless otherwise agreed to in writing by the COUNTY, 1) acceptance shall not be deemed complete unless in writing and until all the services have actually been received to the satisfaction of COUNTY, and 2) payment shall be made in arrears after satisfactory acceptance.
- G. **Warranty:** CONTRACTOR expressly warrants that the services covered by this CONTRACT are fit for the particular purpose for which they are intended. Acceptance of this order shall constitute an agreement upon CONTRACTOR'S part to indemnify, defend and hold COUNTY and its indemnitaries as identified in Paragraph HH below, and as more fully described in Paragraph HH harmless from liability, loss, damage and expense, including reasonable counsel fees, incurred or sustained by COUNTY by reason of the failure of the services to conform to such warranties, faulty work performance, negligent or unlawful acts, and non-compliance with any applicable state or federal codes, ordinances, orders, or statutes, including the Occupational Safety and Health Act (OSHA) and the California Industrial Safety Act. Such remedies shall be in addition to any other remedies provided by law.

- H. **Patent/Copyright Materials/Proprietary Infringement:** Unless otherwise expressly provided in this CONTRACT, CONTRACTOR shall be solely responsible for clearing the right to use any patented or copyrighted materials in the performance of this CONTRACT. CONTRACTOR warrants that any software as modified through services provided hereunder will not infringe upon or violate any patent, proprietary right, or trade secret right of any third party. CONTRACTOR agrees that, in accordance with the more specific requirement contained in Paragraph HH below, it shall indemnify, defend and hold COUNTY and COUNTY Indemnities harmless from any and all such claims and be responsible for payment of all costs, damages, penalties and expenses related to or arising from such claim(s), including, but not limited to, attorney's fees, costs and expenses.
- I. **Assignment or Sub-Contracting:** The terms, covenants, and conditions contained herein shall apply to and bind the heirs, successors, executors, administrators and assigns of the PARTIES. Furthermore, neither the performance of this CONTRACT nor any portion thereof may be assigned or sub-contracted by CONTRACTOR without the express written consent of COUNTY. Any attempt by CONTRACTOR to assign or sub-contract the performance or any portion thereof of this CONTRACT without the express written consent of COUNTY shall be invalid and shall constitute a breach of this CONTRACT.
- J. **Non-Discrimination:** In the performance of this CONTRACT, CONTRACTOR agrees that it will comply with the requirements of Section 1735 of the California Labor Code and not engage nor permit any subcontractors to engage in discrimination in employment of persons because of the race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, or sex of such persons. CONTRACTOR acknowledges that a violation of this provision shall subject CONTRACTOR to all the penalties imposed for a violation of Section 1720 et seq. of the California Labor Code.
- K. **Termination:** In addition to any other remedies or rights it may have by law, COUNTY has the right to terminate this CONTRACT without penalty immediately with cause or after 30 days' written notice without cause, unless otherwise specified. Cause shall be defined as any breach of CONTRACT, any misrepresentation or fraud on the part of the CONTRACTOR. Exercise by COUNTY of its right to terminate the CONTRACT shall relieve COUNTY of all further obligations.
- L. **Consent to Breach Not Waiver:** No term or provision of this CONTRACT shall be deemed waived and no breach excused, unless such waiver or consent shall be in writing and signed by the party claimed to have waived or consented. Any consent by any party to, or waiver of, a breach by the other, whether express or implied, shall not constitute consent to, waiver of, or excuse for any other different or subsequent breach.
- M. **Remedies Not Exclusive:** The remedies for breach set forth in this CONTRACT are cumulative as to one another and as to any other provided by law, rather than exclusive; and the expression of certain remedies in this CONTRACT does not preclude resort by either party to any other remedies provided by law.
- N. **Independent CONTRACTOR:** CONTRACTOR shall be considered an independent CONTRACTOR and neither CONTRACTOR nor its employees; nor anyone working under CONTRACTOR shall be considered an agent or an employee of COUNTY. Neither CONTRACTOR nor its employees; nor anyone working under CONTRACTOR shall qualify for workers' compensation or other fringe benefits of any kind through COUNTY.

O. **Performance:** CONTRACTOR shall perform all work under this CONTRACT, taking necessary steps and precautions to perform the work to COUNTY'S satisfaction. CONTRACTOR shall be responsible for the professional quality, technical assurance, timely completion and coordination of all documentation and other services furnished by the CONTRACTOR under this CONTRACT. CONTRACTOR shall perform all work diligently, carefully, and in a good and workman-like manner; shall furnish all labor, supervision, machinery, equipment, materials, and supplies necessary therefore; shall at its sole expense obtain and maintain all permits and licenses required by public authorities, including those of COUNTY required in its governmental capacity, in connection with performance of the work; and, if permitted to subcontract, shall be fully responsible for all work performed by sub-contractors.

P. **Insurance:**

Insurance Provisions

Prior to the provision of services under this CONTRACT, the CONTRACTOR agrees to purchase all required insurance at CONTRACTOR's expense, including all endorsements required herein, necessary to satisfy the COUNTY that the insurance provisions of this CONTRACT have been complied with. CONTRACTOR agrees to keep such insurance coverage, Certificates of Insurances, and endorsements on deposit with the COUNTY during the entire term of this CONTRACT. In addition, all subcontractors performing work on behalf of CONTRACTOR pursuant to this CONTRACT shall obtain insurance subject to the same terms and conditions as set forth herein for CONTRACTOR.

CONTRACTOR shall ensure that all subcontractors performing work on behalf of CONTRACTOR pursuant to this CONTRACT shall be covered under CONTRACTOR's insurance as an Additional Insured or maintain insurance subject to the same terms and conditions as set forth herein for CONTRACTOR. CONTRACTOR shall not allow subcontractors to work if subcontractors have less than the level of coverage required by COUNTY from CONTRACTOR under this CONTRACT. It is the obligation of CONTRACTOR to provide notice of the insurance requirements to every subcontractor and to receive proof of insurance prior to allowing any subcontractor to begin work. Such proof of insurance must be maintained by CONTRACTOR through the entirety of this CONTRACT for inspection by COUNTY representative(s) at any reasonable time.

All self-insured retentions (SIRs) and deductibles shall be clearly stated on the Certificate of Insurance. If no SIRs or deductibles apply, indicate this on the Certificate of Insurance with a zero (0) by the appropriate line of coverage. Any self-insured retention (SIR) or deductible in an amount in excess of \$25,000 (\$5,000 for automobile liability), which shall specifically be approved by the COUNTY Executive Office (CEO)/Office of Risk Management upon review of CONTRACTOR's current audited financial report.

If the CONTRACTOR fails to maintain insurance acceptable to the COUNTY for the full term of this CONTRACT, the COUNTY may terminate this CONTRACT.

Qualified Insurer

The policy or policies of insurance must be issued by an insurer with a minimum rating of A- (Secure A.M. Best's Rating) and VIII (Financial Size Category as determined by the most current edition of the **Best's Key Rating Guide/Property-Casualty/United States or ambest.com**). It is preferred, but not mandatory, that the insurer be licensed to do business in the state of California (California Admitted Carrier).

If the insurance carrier does not have an A.M. Best rating of A-/VIII, the CEO/Office of Risk Management retains the right to approve or reject a carrier after a review of the company's performance and financial ratings.

The policy or policies of insurance maintained by the CONTRACTOR shall provide the minimum limits and coverage as set forth below:

| Coverage | Minimum Limits |
|--|---|
| Commercial General Liability | \$1,000,000 per occurrence; \$2,000,000 aggregate |
| Automobile Liability including coverage for owned, non-owned, and hired vehicles | \$1,000,000 per occurrence |
| Workers' Compensation | Statutory |
| Employers' Liability Insurance | \$1,000,000 per occurrence |
| Professional Liability Insurance | \$1,000,000 per claims made; \$1,000,000 aggregate |
| Sexual Misconduct Liability | \$1,000,000 per occurrence |

Required Coverage Forms

The Commercial General Liability coverage shall be written on Insurance Services Office (ISO) form CG 00 01, or a substitute form providing liability coverage at least as broad.

The Business Auto Liability coverage shall be written on ISO form CA 00 01, CA 00 05, CA 0012, CA 00 20, or a substitute form providing coverage at least as broad.

Required Endorsements

The Commercial General Liability policy shall contain the following endorsements, which shall accompany the Certificate of insurance:

- 1) An Additional Insured endorsement using ISO form CG 2010 or CG 2033 or a form at least as broad naming the State of California, County of Orange, its elected and appointed officials, officers, agents and employees as Additional Insureds.
- 2) A primary non-contributing endorsement evidencing that the CONTRACTOR's insurance is primary and any insurance or self-insurance maintained by the County of Orange shall be excess and non-contributing.

The Workers' Compensation policy shall contain a waiver of subrogation endorsement waiving all rights of subrogation against the State of California, County of Orange, its elected and appointed officials, officers, agents and employees.

All insurance policies required by this CONTRACT shall waive all rights of subrogation against the State of California, County of Orange, its elected and appointed officials, officers, agents and employees when acting within the scope of their appointment or employment.

CONTRACTOR shall notify COUNTY in writing within thirty (30) days of any policy cancellation and ten (10) days for non-payment of premium and provide a copy of the cancellation notice to COUNTY. Failure to provide written notice of cancellation may constitute a material breach of the CONTRACT, upon which the COUNTY may suspend or terminate this CONTRACT.

If CONTRACTOR's Professional Liability is a "claims made" policy, CONTRACTOR shall agree to maintain Professional Liability coverage for two (2) years following completion of the CONTRACT.

The Commercial General Liability policy shall contain a severability of interests clause also known as a "separation of insureds" clause (standard in the ISO CG 0001 policy).

Insurance certificates should be forwarded to the agency/department address listed on the solicitation.

If the CONTRACTOR fails to provide the insurance certificates and endorsements within seven (7) days of notification to OC Community Resources/Contract Development, Management & Administration, award may be made to the next qualified CONTRACTOR.

COUNTY expressly retains the right to require CONTRACTOR to increase or decrease insurance of any of the above insurance types throughout the term of this CONTRACT. Any increase or decrease in insurance will be as deemed by County of Orange Risk MANAGER as appropriate to adequately protect COUNTY.

COUNTY shall notify CONTRACTOR in writing of changes in the insurance requirements. If CONTRACTOR does not deposit copies of acceptable Certificates of Insurance and endorsements with COUNTY incorporating such changes within thirty (30) days of receipt of such notice, this CONTRACT may be in breach without further notice to CONTRACTOR, and COUNTY shall be entitled to all legal remedies.

The procuring of such required policy or policies of insurance shall not be construed to limit CONTRACTOR's liability hereunder nor to fulfill the indemnification provisions and requirements of this CONTRACT, nor act in any way to reduce the policy coverage and limits available from the insurer.

- Q. Intentionally left blank.
- R. **Changes:** CONTRACTOR shall make no changes in the work or perform any additional work without the COUNTY'S specific written approval.
- S. **Change of Ownership:** CONTRACTOR agrees that if there is a change or transfer in ownership of CONTRACTOR'S business prior to completion of this CONTRACT, the

new owners shall be required under terms of sale or other transfer to assume CONTRACTOR'S duties and obligations contained in this CONTRACT and complete them to the satisfaction of COUNTY.

- T. **Force Majeure:** CONTRACTOR shall not be assessed with liquidated damages or unsatisfactory performance penalties during any delay beyond the time named for the performance of this CONTRACT caused by any act of God, war, civil disorder, employment strike or other cause beyond its reasonable control, provided CONTRACTOR gives written notice of the cause of the delay to COUNTY within thirty-six (36) hours of the start of the delay and CONTRACTOR avails himself of any available remedies.
- U. **Confidentiality:** CONTRACTOR agrees to maintain the confidentiality of all COUNTY and COUNTY-related records and information pursuant to all statutory laws relating to privacy and confidentiality that currently exist or exist at any time during the term of this CONTRACT. All such records and information shall be considered confidential and kept confidential by CONTRACTOR and CONTRACTOR'S staff, agents and employees.
- V. **Compliance with Laws:** CONTRACTOR represents and warrants that services to be provided under this CONTRACT shall fully comply, at CONTRACTOR'S expense, with all standards, laws, statutes, restrictions, ordinances, requirements, and regulations (collectively "laws"), including, but not limited to those issued by COUNTY in its governmental capacity and all other laws applicable to the services at the time services are provided to and accepted by COUNTY. CONTRACTOR acknowledges that COUNTY is relying on CONTRACTOR to ensure such compliance, and pursuant to the requirements of Paragraph HH below, CONTRACTOR agrees that it shall defend, indemnify and hold COUNTY and COUNTY Indemnities harmless from all liability, damages, costs, and expenses arising from or related to a violation of such laws.
- W. Intentionally left blank.
- X. **Pricing:** The CONTRACT bid price shall include full compensation for providing all required goods in accordance with required specifications, or services as specified herein or when applicable, in the Scope of Services attached to this CONTRACT, and no additional compensation will be allowed therefore, unless otherwise provided for in this CONTRACT.
- Y. Intentionally left blank.
- Z. **Terms and Conditions:** CONTRACTOR acknowledges that it has read and agrees to all terms and conditions included in this CONTRACT.
- AA. **Headings:** The various headings and numbers herein, the grouping of provisions of this CONTRACT into separate clauses and paragraphs, and the organization hereof are for the purpose of convenience only and shall not limit or otherwise affect the meaning hereof.
- BB. **Severability:** If any term, covenant, condition, or provision of this CONTRACT is held by a court of competent jurisdiction to be invalid, void or unenforceable, the remainder of

the provisions hereof shall remain in full force and effect and shall in no way be affected, impaired or invalidated thereby.

- CC. **Calendar Days:** Any reference to the word "day" or "days" herein shall mean calendar day or calendar days, respectively, unless otherwise expressly provided.
- DD. **Attorney Fees:** In any action or proceeding to enforce or interpret any provision of this CONTRACT, or where any provision hereof is validly asserted as a defense, each party shall bear its own attorney's fees, costs and expenses.
- EE. **Interpretation:** This CONTRACT has been negotiated at arm's length and between persons sophisticated and knowledgeable in the matters dealt with in this CONTRACT. In addition, each PARTY has been represented by experienced and knowledgeable independent legal counsel of their own choosing or has knowingly declined to seek such counsel despite being encouraged and given the opportunity to do so. Each PARTY further acknowledges that they have not been influenced to any extent whatsoever in executing this CONTRACT by any other PARTY hereto or by any person representing them, or both. Accordingly, any rule or law (including California Civil Code Section 1654) or legal decision that would require interpretation of any ambiguities in this CONTRACT against the PARTY that has drafted it is not applicable and is waived. The provisions of this CONTRACT shall be interpreted in a reasonable manner to affect the purpose of the PARTIES and this CONTRACT.
- FF. **Authority:** The PARTIES to this CONTRACT represent and warrant that this CONTRACT has been duly authorized and executed and constitutes the legally binding obligation of their respective organization or entity, enforceable in accordance with its terms.
- GG. **Employee Eligibility Verification:** The CONTRACTOR warrants that it fully complies with all Federal and State statutes and regulations regarding the employment of aliens and others and that all its employees performing work under this CONTRACT meet the citizenship or alien status requirement set forth in Federal statutes and regulations. The CONTRACTOR shall obtain, from all employees, consultants and sub-contractors performing work hereunder, all verification and other documentation of employment eligibility status required by Federal or State statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, 8 U.S.C. §1324 et seq., as they currently exist and as they may be hereafter amended. The CONTRACTOR shall retain all such documentation for all covered employee, consultants and sub-contractors for the period prescribed by the law. The CONTRACTOR shall indemnify, defend with counsel approved in writing by COUNTY, and hold harmless, the COUNTY, its agents, officers, and employees from employer sanctions and any other liability which may be assessed against the CONTRACTOR or the COUNTY or both in connection with any alleged violation of any Federal or State statutes or regulations pertaining to the eligibility for employment of any persons performing work under this CONTRACT.
- HH. **Indemnification Provisions:** CONTRACTOR agrees to indemnify, defend with counsel approved in writing by COUNTY, and hold COUNTY, the State of California, and the Orange County Workforce Investment Board, their elected and appointed officials, officers, employees, agents and those special districts and agencies which COUNTY'S Board of Supervisors acts as the governing Board ("COUNTY INDEMNITEES") harmless from any claims, demands or liability of any kind or nature, including but not limited to personal injury or property damage, arising from or related to the services, products or other performance provided by CONTRACTOR pursuant to this CONTRACT. If judgment is entered against CONTRACTOR and COUNTY by a court of competent jurisdiction because of the concurrent active negligence of COUNTY or COUNTY INDEMNITEES, CONTRACTOR and COUNTY agree that liability will be

apportioned as determined by the court. Neither PARTY shall request a jury apportionment.

- II. **Audits/Inspections:** CONTRACTOR agrees to permit the COUNTY's Auditor-Controller or the Auditor-Controller's authorized representative (including auditors from a private auditing firm hired by the COUNTY) access during normal working hours to all books, accounts, records, reports, files, financial records, supporting documentation, including payroll and accounts payable/receivable records, and other papers or property of CONTRACTOR for the purpose of auditing or inspecting any aspect of performance under this CONTRACT. The inspection and/or audit will be confined to those matters connected to the performance of the CONTRACT including, but not limited to, the costs of administering the CONTRACT. The COUNTY will provide reasonable notice of such an audit or inspection.

The COUNTY reserves the right to audit and verify the CONTRACTOR's records before final payment is made.

CONTRACTOR agrees to maintain such records for possible audit for a minimum of three years after final payment, unless a longer period of records retention is stipulated under this CONTRACT or by law. CONTRACTOR agrees to allow interviews of any employees or others who might reasonably have information related to such records. Further, CONTRACTOR agrees to include a similar right to the COUNTY to audit records and interview staff of any subcontractor related to performance of this CONTRACT.

Should the CONTRACTOR cease to exist as a legal entity, the CONTRACTOR's records pertaining to this CONTRACT shall be forwarded to the surviving entity in a merger or acquisition or, in the event of liquidation, to the COUNTY's project manager.

THE REMAINDER OF THE PAGE WAS INTENTIONALLY LEFT BLANK

IN WITNESS WHEREOF, the PARTIES hereto certify that they have read and understand all the terms and conditions contained herein and have hereby cause this CONTRACT to be executed.

***CONTRACTOR**

By: _____

By: _____

Name: _____
(Print)

Name: _____
(Print)

Title: _____

Title: _____

Dated: _____

Dated: _____

*For CONTRACTORS that are corporations, signature requirements are as follows: 1) One signature by the Chairman of the Board, the President or any Vice President; and 2) One signature by the Secretary, any Assistant Secretary, the Chief Financial Officer or an Assistant Treasurer.

For CONTRACTORS that are not corporations, the person who has authority to bind the CONTRACTOR to a contract, must sign on one of the lines above.

COUNTY OF ORANGE

A Political Subdivision of the State of California

By: _____
Steve Franks, Director
OC Community Resources

Dated: _____

**APPROVED AS TO FORM
COUNTY COUNSEL**

By: _____

DEPUTY COUNTY COUNSEL

IN WITNESS WHEREOF, the PARTIES hereto certify that they have read and understand all the terms and conditions contained herein and have hereby cause this CONTRACT to be executed.

***CONTRACTOR**

| | |
|------------------------|------------------------|
| By: _____ | By: _____ |
| Name: _____ (Print) | Name: _____ (Print) |
| Title: _____ | Title: _____ |
| Dated: _____ | Dated: _____ |

*For CONTRACTORs that are corporations, signature requirements are as follows: 1) One signature by the Chairman of the Board, the President or any Vice President; and 2) One signature by the Secretary, any Assistant Secretary, the Chief Financial Officer or an Assistant Treasurer.

For CONTRACTORs that are not corporations, the person who has authority to bind the CONTRACTOR to a contract, must sign on one of the lines above.

COUNTY OF ORANGE
A Political Subdivision of the State of California

| | |
|---|--------------|
| By: _____ Steve Franks, Director OC Community Resources | Dated: _____ |
|---|--------------|

**APPROVED AS TO FORM
COUNTY COUNSEL**

By:  _____ DEPUTY COUNTY COUNSEL
4.16.15



GENERAL PROGRAM REQUIREMENTS

The General Program Requirements have been designed to provide the framework wherein the Contractor will provide services to participants. The Workforce Investment Act (WIA) was reauthorized on July 22, 2014 as the Workforce Innovation and Opportunity Act (WIOA). Workforce Investment Act (WIA) citations, rules, and regulations cited herein and within existing law and issued guidance shall continue to be implemented until such time WIOA-issued guidance and/or regulations supersede such citations, rules, and regulations; an addendum will be issued upon formal WIOA regulation release.

I. PROJECT SUMMARY

To provide Workforce Innovation and Opportunity Act (WIOA) employment and training services to youth ages sixteen (16) through twenty-four (24). Participants continuing enrollment from WIA eligibility may be from ages sixteen (16) through twenty-one (21). Participants newly enrolled beginning July 1, 2015 shall be between the ages of seventeen (17) through twenty-one (21) for In-School Youth (ISY) and shall be between the ages of seventeen (17) through twenty-four (24) for Out-of-School Youth (OSY).

II. WIOA YOUTH PROGRAM REQUIREMENTS [WIA, §129(c)(1)(A)(B)] [WIOA, §129(c)(1)(C)]

A. All WIOA Youth Programs must provide:

1. Outreach and recruitment (inclusive of eligible determination) throughout the CONTRACTOR's specific area of coverage as delineated in Attachment B – Scope of Services.
2. An assessment of the individual's readiness for employment and education. This is an individual assessment of each participant's academic and employability skill levels with a review of basic and occupational skills, prior to work experience, interests, and aptitudes (including interest in non-traditional jobs).
3. A documented Individual Service Plan (ISP) for each participant that shall identify appropriate goals with corresponding achievement objectives based on assessments and a continuum of services to include performance and retention plans. It includes a time frame for anticipated involvement in the program and description of service needs, including but not limited to: supportive services and post-exit follow-up services to ensure performance outcomes.
4. Activities leading to the attainment of a secondary school diploma or its recognized equivalent, or a recognized postsecondary credential.
5. Preparation for postsecondary educational and training opportunities.
6. Strong linkages between academic instruction (based on State academic content and student academic achievement standards established under section 1111 of the Elementary and Secondary Education Act of 1965 ([20 U.S.C. 6311](#))) and occupational education that lead to the attainment of recognized postsecondary credentials.
7. Preparation for unsubsidized employment opportunities, in appropriate cases.

8. Effective connections to employers, including small employers, in in-demand industry sectors and occupations of the local and regional labor markets.
 9. Case management throughout the program and during the 12-month post-exit follow-up period.
- B. WIOA requires that Youth have access to the following fourteen (14) program elements. [WIOA § 129 (c)(2)]
1. Tutoring, study skills training, instruction, and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential;
 2. Alternative secondary school services, or dropout recovery services, as appropriate;
 3. Paid and unpaid work experiences that have as a component academic and occupational education, which may include-
 - (i) summer employment opportunities and other employment opportunities available throughout the school year; Work experience must be linked to activities that will result in meeting WIOA performance measures and may not be provided on a stand-alone basis.
 - (ii) pre-apprenticeship programs;
 - (iii) internships and job shadowing; and
 - (iv) on-the-job training opportunities;
 4. Occupational skill training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area involved, as determined by the local board
 5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
 6. Leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors, as appropriate;
 7. Supportive services, including but not limited to transportation and childcare that are necessary to enable the youth to participate in activities. The rationale for supportive services must be documented on the ISP, and adherence to the provisions and requirements of OCWIB Information Notice 12-OCWDA-01 is required.
 8. Adult mentoring for the period of participation and a subsequent period, for a total of not less than 12 months;
 9. Followup services for not less than 12 months after the completion of participation, as appropriate; Follow-up contact form must be completed for the first, second, third, and fourth quarters after exit.
 10. Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, as appropriate;
 11. Financial literacy education;
 12. Entrepreneurial skills training;
 13. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
 14. Activities that help youth prepare for and transition to postsecondary education and training.

C. Target Population

1. New Enrollments: CONTRACTOR will serve eligible In-School Youth (ISY) ages seventeen (17) through twenty-one (21) and Out-of-School (OSY) ages seventeen (17) through twenty-four (24) who reside in the County of Orange service delivery area (not including Santa Ana and Anaheim), meet the economically disadvantaged youth eligibility criteria when applicable [WIOA §129(a)(1)]; and have one or more barriers to employment (if utilizing (VII) for ISY or (VIII) for OSY, two or more criteria are needed [Information Notice 08-OCWDA-20]).
 - a. In-School Youth defined [WIA §129(a)(1)(C)] as an individual who is:
 - (i) attending school (as defined by State law);
 - (ii) a low-income individual;
 - (iii) and one or more of the following:
 - (I) Basic skills deficient.
 - (II) An English language learner
 - (III) An offender
 - (IV) A homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 ([42 U.S.C. 14043e-2\(6\)](#))), a homeless child or youth (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act ([42 U.S.C. 11434a\(2\)](#))), a runaway, in foster care or has aged out of the foster care system, a child eligible for assistance under section 477 of the Social Security Act ([42 U.S.C. 677](#)), or in an out-of-home placement.
 - (V) Pregnant or parenting.
 - (VI) A youth who is an individual with a disability.
 - (VII) An individual who requires additional assistance to complete an educational program or to secure or hold employment.
 - b. Out-of-School Youth defined [[WIA §129(a)(1)(B)] as an individual who is:
 - (i) not attending any school (as defined under State law);
 - (ii) one or more of the following:
 - (I) A school dropout.
 - (II) A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter.
 - (III) A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is—
 - (aa) basic skills deficient; or
 - (bb) an English language learner.
 - (IV) An individual who is subject to the juvenile or adult justice system.
 - (V) A homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 ([42 U.S.C. 14043e-2\(6\)](#))), a homeless child

Attachment A

Attachment A

or youth (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act ([42 U.S.C. 11434a\(2\)](#))), a runaway, in foster care or has aged out of the foster care system, a child eligible for assistance under section 477 of the Social Security Act ([42 U.S.C. 677](#)), or in an out-of-home placement.

- (VI) An individual who is pregnant or parenting.
- (VII) A youth who is an individual with a disability.
- (VIII) A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment.

2. Additional Assistance Barriers to Employment shall be defined under OCWIB Policy 08-OCWDA-20 and subsequent updates:

a. Individuals who require additional assistance to complete an educational program, or to secure and hold employment, including an individual who has two or more of the following:

- (i) Has repeated at least one secondary grade level or is one year over age for grade.
- (ii) Has a core GPA less than 1.5.
- (iii) For each year of secondary education is at least two semester credits behind the rate required to graduate from high school.
- (iv) Is an emancipated youth
- (v) Is a previous school dropout, or has been suspended five or more times, or has been expelled.
- (vi) Is a court/agency referral mandating school attendance.
- (vii) Is deemed at risk of dropping out by a school official.
- (viii) Has been referred to or is being treated by an agency for substance abuse related problem.
- (ix) Has experienced a recent traumatic event, is a victim of abuse, or resides in an abusive environment as documented by a school official or professional.
- (x) Has a serious emotional, medical or psychological problems as documented by a professional.
- (xi) Is physically or mentally challenged.
- (xii) Has never held a job (does not apply to youth seventeen (17) years of age and younger).
- (xiii) Has been fired from a job within the 12 months prior to application (does not apply to youth seventeen (17) years of age and younger).
- (xiv) Has never held a full-time job for more than 13 consecutive weeks (does not apply to youth seventeen (17) years of age and younger).
- (xv) Attends a continuation school
- (xvi) Is involved in gang related activities.

3. CONTRACTOR shall target and/or serve any specific populations the Orange County Workforce Investment Board (OCWIB), Youth

Council, and/or U.S. Department of Labor (US DOL) identify as special or priority populations.

4. Access to services shall also be provided for eligible fourteen (14) through sixteen (16) year old individuals through referrals to partner agencies and non-WIA programs as applicable.
 5. The U.S. DOL Employment and Training Administration's (ETA) New Strategic Vision for the Delivery of Youth Services Under WIA [TEGL 3-04 and 28-05] recommends that youth programs focus on serving the neediest youth, with priority given to runaway and homeless youth; youth in foster care and those aging out of foster care; youth offenders; children of incarcerated parents; Indian and Native American youth, and youth with disabilities.
 - a. CONTRACTOR agrees to adopt policies to ensure access for all youth including those with special needs such as those with literacy deficits; physical or learning disabilities; limited English language proficiency, and substance abuse.
 - b. Non-duplication – Funds made available under this Act may not be used to provide funding under the School to Work Opportunities Act of 1994 [WIA, §129(6)B].
- D. Information and Referrals - Each participant or applicant who meets the maximum income criteria to be considered an eligible youth shall be provided:
1. Information on the full array of applicable or appropriate services available through other eligible providers or One-Stop Partners.
 2. Referral to appropriate training and educational programs that have the capacity to serve the participant or applicant either on a sequential or concurrent basis.
- E. CONTRACTOR shall ensure that an applicant who does not meet the enrollment requirements of the particular program or who cannot be served:
1. Shall be referred for further assessment, as necessary and/or
 2. Referred to appropriate programs to meet the basic skills and training needs of the applicant.
 3. CONTRACTOR shall maintain tracking of the referrals made, including the individual's name, the referral made, and the date of the referral.
- F. CONTRACTOR shall ensure that each male participating in any program or activity under this Title has complied with Section 3 of the Military Selective Service Act [50 U.S.C. App. 453]. Any male who becomes eighteen (18) years of age while participating in a WIA program must register within 30 days of his eighteenth (18th) birthday [WIA, § 189 (h)].
- G. Services - A service is defined as a two-way interaction between the service provider and the youth, provided directly to the youth in person or through another direct communication medium. The definition of service **does not include**:
1. A standard mailing;
 2. A basic question answered with little expenditure of staff time;
 3. Access to or use of electronic self-services;
 4. Self-described job search that does not result in a referral to a job; or

5. Contact with participant or employer to only obtain employment status, educational progress or need for additional services or income support payments.
- H. CONTRACTOR shall adhere to all federal, State, and OCWIB policies and procedures, including but not limited to those relating to customer access, marketing strategies, service linkages, and best practices. CONTRACTOR shall work in coordination with the OCWIB office.
- I. At minimum, CONTRACTOR shall provide services in English, Spanish and Vietnamese in addition to the languages that reflect the demographics of the region.

III. PERFORMANCE ACCOUNTABILITY MEASURES

- A. The U.S. DOL has established three (3) common youth measures for participants enrolled under the WIA [who exit on or before September 30, 2015]. CONTRACTOR shall meet and be held accountable for performance measures, including any changes and revisions in reporting timeframes. **[TEGL 17-05, TEGL 17-05 Change 2]**
1. Placement in Employment or Education – Of those who are not in post- secondary education, employment, or the military at the date of participation: [# of participants who are in employment or the military or enrolled in post-secondary education and/or advanced training/occupational skills training in the 1st quarter after the exit quarter] divided by [# of participants who exit during the quarter].
 2. Attainment of a Degree or Certificate – Of those enrolled in education at the date of participation or at any point during the program: [# of participants who attain a diploma, GED or certificate by the end of the 3rd quarter after the exit quarter] divided by [# of participants who exit during the quarter].
 3. Literacy and Numeracy Gains – Of those out-of-school youth who are basic skills deficient: [# of participants who increase one or more educational functioning levels] divided by [# of participants who have completed a year in the program (i.e., one year from the date of program participation) plus (+) the # of participants who exit before completing a year in the program].
- B. WIOA sets forth six (6) youth performance measures for the WIOA Youth Program effective July 1, 2016. With specific guidance pending issuance, performance reporting timelines are anticipated to include exiters beginning January 1, 2015. [WIOA §116 (b)(2)(A)]
1. The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program.
 2. The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program.
 3. The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program. The percentage of program participants who obtain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent (subject to clause (iii) of WIOA regulations), during participation in or within 1 year after exit from the program.

4. The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment.
5. The indicators of effectiveness in serving employers.

- C. CONTRACTOR shall meet or exceed required federal, State and local standards, measurements and outcomes of all funding streams included in this CONTRACT and subsequent updates. Failure to meet performance levels may be grounds for funding de-obligation.
- D. CONTRACTOR shall ensure that participant activities remain uninterrupted in accordance with service delivery requirements of TEGl 17-05, and any subsequent updates.

IV. STAFF TRAINING AND CAPACITY BUILDING

CONTRACTOR shall develop a Staff Training / Capacity Building Plan to ensure all staff receives ongoing training and development, and up-to-date information on Federal, State and local rules, regulations, and policies.

V. SYSTEM SECURITY AND CONFIDENTIALITY

CONTRACTOR agrees to the following:

- A. That all applications and individual records related to services provided under this CONTRACT, including eligibility for services, enrollment, and referral, shall be confidential and shall not be open to examination for any purpose not directly connected with the delivery of such services.
- B. That the sharing of individual and client information necessary for provision of services under this CONTRACT, i.e.: assessment; universal intake; program or training referral; job development, placement or follow-up activities; and other services as needed for employment or program support purposes, constitutes a valid use of such information.
- C. That no person or employee shall otherwise publish or disclose, use, or permit, cause to be published, disclosed or used, any confidential information pertaining to applicants, participants, or customers overall.
- D. That files are kept in a secure location on site and should not be removed for any reason unless authorized by COUNTY's PROJECT MANAGER.
- E. To abide by the current confidentiality provisions of respective statutes and share information necessary for the administration of programs operated through the OCWIA.
- F. To abide by EDD Information Bulletin #WIAB02-78 Identity Theft.

VI. NON-DISCRIMINATION AND GRIEVANCE PROCEDURES

- A. CONTRACTOR agrees to abide by the following State Directive and OCWIB Policy and Procedure, and/or any subsequent updates, related to Equal Opportunity:
 1. WSD10-1 (State)

2. 10-OCWDA-08 (OCWIB)
 3. 10-OCWDA-08 Addendum #2 (OCWIB)
- B. CONTRACTOR agrees to abide by the following State Directive and OCWIB Policy and Procedure, and/or any subsequent updates, related to Program Grievance:
1. WSD08-4 (State)
 2. 08-OCWDA-17 (OCWIB)
 3. 08-OCWDA-17 Addendum #2 (OCWIB)

VII. OPERATIONS

- A. CONTRACTOR shall be responsible to train all staff assigned to the WIA Youth Program, including SUBCONTRACTOR(s), if any and partner agency personnel, in all program rules, regulations, policies and procedures including but not limited to eligibility, case management, JTA, MIS, job development, targeted recruitment and completion of required forms and reports.
- B. CONTRACTOR shall be responsible to keep current on and implement all EDD Directives and Bulletins, U.S. DOL Training and Employment Guidance Letters (TEGLs), Information Notices (TEINs), Technical Assistance Guides (TAGs), and OCWIB Policies and Procedures.
- C. CONTRACTOR shall obtain letters of agreement with OCWIB One Stop Centers and Business Service Centers in CONTRACTOR's area of service to establish a direct link with business as a customer as well as a source for jobs leading to meaningful employment. The One-Stop and Business Service Center letters of agreement shall further outline an innovative approach of collaboration. The U.S. DOL ETA's New Strategic Vision for the Delivery of Youth Services under WIA as issued in TEGL 3-04 recommends that youth programs focus on meeting the demands of business, especially in high- growth industries and occupations.
- D. CONTRACTOR shall obtain letters of agreement with partners providing in-kind or cash-match leverage. A copy of letters shall be given to the COUNTY.
- E. Service and System Operating Costs - CONTRACTOR shall establish and maintain a budget consistent with the requirements and policy of the OCWIB and WIAWIOA.
- F. Internal Monitoring – CONTRACTOR shall conduct internal monitoring of all programs funded under this CONTRACT at least on a monthly basis to ensure compliance with legislation, regulations, bulletins, directives and local policies and procedures. Internal monitoring procedures must be in writing.

Contractor shall establish and follow a standardized review methodology that will result in written reports to record findings, any needed corrective action, and due dates for the accomplishment of corrective actions.

Written results of the monthly internal monitoring and corrective action taken as a result of the internal monitoring must be available to OCWIB staff, upon request. Internal monitoring will include, but is not limited to the following:

1. Review of all files to determine that eligibility criteria have been met and supporting documents have been secured.
 2. Random file review for ISP updates; case note documentation; attendance verification; ITA/OJT/WEX documentation; placement verification; supportive service documentation and delivery; post placement follow-up and post-exit services.
 3. Verification of participant’s attendance and employment information.
 4. Verification of proper documentation for performance outcomes, including, but not limited to pre- and post- testing for literacy/numeracy, credentials, employment verification, supplemental data, and gaps in service delivery.
- G. Data Collection, MIS, and Reporting – CONTRACTOR shall adhere to MIS procedures for data entry, timelines and reporting requirements. Refer to the latest OCWIB policies, State Information Notices and subsequent updates for complete information and guidance.
- H. CONTRACTOR shall submit timely MIS paperwork for all participant activities and necessary updates in participant information and activities for input into the data reporting system. Failure to submit timely information may result in penalties including de-obligation of funds or revocation of this Agreement;
1. CONTRACTOR shall use the most current templates provided by the OCWIB. Incorrect and/or incomplete forms will be returned for re-submittal. All updates and corrections shall be clearly identified;
 2. CONTRACTOR shall submit forms as directed by the OCWIB;
 3. CONTRACTOR shall review and approve all paperwork submitted to the OCWIB;
 4. CONTRACTOR shall comply with the Common Measures as defined in TEGL 17-05 (and in future WIOA guidance issuances and updates). MIS forms claiming unsubsidized placements shall be processed within five (5) working days of learning about the customer’s unsubsidized placement;
 5. CONTRACTOR shall comply with data verification requirements listed in the latest OCWIB policy and any subsequent updates; and,
 6. CONTRACTOR shall immediately implement and adhere to future policy revisions and changes or enhancements in procedures and processes pertaining to MIS submission and reporting.

VIII. BUDGET

- A. CONTRACTOR shall adhere to the WIA Youth approved budget as delineated in Attachment C of this CONTRACT.
- B. CONTRACTOR shall adhere to OCWIB’s invoice procedures outlined in Information Notice 02-OCWDA-64 and Exhibit 7 , and/or any subsequent updates. At the beginning of each fiscal year and with any subsequent funding increase or decrease, CONTRACTOR will be required to submit a list of personnel, their job description, salary and the full time equivalent percentage of their time that will be allocated for each funding stream. CONTRACTOR shall provide the personnel and actual percentage of their time as supporting documentation to each invoice.

Attachment A

Attachment A

- C. CONTRACTOR shall submit two originally signed copies of the monthly invoice, personnel breakdown, and operational costs breakdown by the 20th day of each month for the previous month's expenditures. CONTRACTOR shall answer any questions regarding invoices. Invoices with incorrect or disallowed costs will be returned to CONTRACTOR with an explanation.

- D. In case the CONTRACTOR has a need to adjust budget line items (without increasing their total WIA Youth allocation), CONTRACTOR shall complete all budget modification forms necessary for processing request and shall attain written approval from the designated COUNTY's PROJECT MANAGER before making any changes to or invoicing differently from the budget in Attachment C under this CONTRACT. Decreases in direct client service line items (participant wages, miscellaneous client fees, and/or student supplies) will not be accepted after the end of the second quarter. Budget modifications will not be considered for processing if received more than 10 days after the end of the third quarter. No more than one budget modification request will be considered per quarter. All budget modifications must be made in compliance with Information Notice 11-OCWDA-03, and/or any subsequent updates.

- E. With the exception of information required to complete State MIS reporting requirements, if CONTRACTOR knows they will be unable to comply with required due dates for standard information requested by WIA, the CONTRACTOR must submit a letter to the appropriate party self-documenting their inability to comply.



SCOPE OF SERVICES

I. COORDINATION OF SERVICES

- A. Service Delivery: CONTRACTOR will serve Workforce Investment Act (WIA)/Workforce Innovation and Opportunity Act (WIOA) eligible In-School Youth and Out-of-School Youth in the _____ Region(s), which includes the following cities:
- B. Primary Service Location:
- C. Network of Partners: CONTRACTOR shall maintain a network of partners to ensure services are provided to eligible youth in accordance with the required 14 elements as identified in [WIOA § 129 (c)(2)]. Partners and services include, but are not limited to the following:
1. Satellite / Other Service Locations should be used to meet youth in their immediate community in order to provide services. Regular scheduled times and locations shall be developed and maintained, and included in marketing and outreach materials. CONTRACTOR shall work in coordination with the OCWIB office.
 2. CONTRACTOR shall coordinate and manage the provision of supportive services to WIA registrants in accordance with OCWIB Information Notice No. 12-OCWDA-01, and any subsequent updates. Supportive services shall include, but are not limited to, housing, food, transportation, clothing, childcare, medical and dental services, and other costs that may be a barrier to an individual's job search, training or placement. Supportive services shall only be issued after a need has been identified and when no other funding is available to pay for such services. CONTRACTOR is responsible for managing the provision of supportive services in as cost efficient manner as possible to ensure fair distribution and non-duplication of resources and services. CONTRACTOR shall develop an internal approval process and ensure compliance with OCWIB Information Notice No. 12-OCWDA-01, Supportive Service Policy and Procedures, and any subsequent updates.
 3. Academic Services including, but not limited to basic skills remediation, high school completion, GED completion, alternative secondary school, and pre-vocational and vocational training.
 4. Tutoring Services including, but not limited to both off-site and on-site tutoring by qualified volunteers and personnel.

Attachment B

5. OCWIB Business Services and employers for work experience opportunities, on-the-job-training opportunities, and unsubsidized employment opportunities. CONTRACTOR shall arrange for youth friendly employers to attend job fairs upon request.
6. Career Exploration Activities offered through community colleges, school districts and other agencies that provide hands-on activities and experiential learning. This includes labor market information or other tools to enhance career pathway exploration.
7. Life Skills Training including, but not limited to financial literacy, conflict management, civic responsibility, community service, leadership development, and decision-making skills.
8. Comprehensive Guidance Counseling including, but not limited to mental health, behavioral health, and drug and alcohol counseling.
9. Other activities and services that will support the implementation of and transition to the WIOA.
10. Monthly Reports: CONTRACTOR shall submit monthly reports by the tenth (20th) of each month for the preceding month.

D. Leveraged Resources:

1. CONTRACTOR shall maintain an annual leveraged resource rate of 25%. Leveraged resources for the purpose of this 25% requirement shall be defined as cash match and/or in-kind resources that will not only supplement the WIA/WIOA program but definitively result in direct cost savings to the program. The cost savings must correlate to an expense that would otherwise be included in the program budget, for which this expense has no other alternative source free of cost.
2. CONTRACTOR shall submit monthly reports identifying the leveraged resource. By the conclusion of the sixth month of this twelve month contract, a minimum of 40% of the total leverage resources agreed to in this contract must have been reported in the July – December monthly reports. In the event less than 40% has been reported by December 31, 2015, a justification and plan of action must be presented in writing to the OCWIB.

II. SERVICE STANDARDS AND GUIDELINES**A. Hours of Operation**

1. Hours of operation shall be, at a minimum, from 8:00 a.m. to 5:00 p.m. Monday through Friday. The OCWIB reserves the right to mandate hours of operation that will most effectively serve the needs of its participants. CONTRACTOR shall change hours of operations in accordance with the needs of the participants, including evening and weekend hours, as necessary.
2. CONTRACTOR must ensure that arrangements are made to keep service delivery available throughout the holiday seasons with limited closings for major holidays. To the extent possible, CONTRACTOR shall coordinate schedules and eliminate any over-time hours. CONTRACTOR shall provide a tentative holiday schedule of activities for FY 15-16 that participant may participate in by August 31, 2015.
3. CONTRACTOR shall adhere to the County of Orange Holiday Schedule and shall not close during school Winter Break and Spring Break. If primary locations are closed during the Winter Break or Spring Break, CONTRACTOR must make alternative location

Attachment B

arrangements. OCWIB must be notified of all alternative location arrangements a minimum of two (2) weeks prior.

Holiday Schedule:

| HOLIDAYS |
|-----------------------------|
| Independence Day |
| Labor Day |
| Columbus Day |
| Veteran's Day Observed |
| Thanksgiving Day |
| Day after Thanksgiving |
| Christmas Day |
| New Year's Day |
| Martin Luther King, Jr. Day |
| Lincoln's Birthday |
| President's Day |
| Memorial Day |

- B. Marketing and Outreach
1. CONTRACTOR shall market the program in coordination with the OCWIB office.
 2. CONTRACTOR shall submit an outreach and recruitment plan to OCWIB in accordance with the date specified in Attachment D .
 - a. The outreach and recruitment plan shall identify specific organizations, including but not limited to community agencies, secondary and alternative schools, and post-secondary schools.
 - b. The outreach and recruitment plan shall include target groups and special populations.
 - c. The outreach and recruitment plan shall include marketing methods, and strategies to ensure performance outcomes are met. CONTRACTOR shall work in coordination with the OCWIB office.

CONTRACTOR shall provide marketing and outreach materials to the OCWIB administrative offices by July 31, 2015, and are subject to OCWIB's approval.

These materials should include appropriate America's Job Center of California tagline consistent with the local AJCC branding standards. CONTRACTOR may keep their logo on the site but it should be secondary to the OCWIB logo.

Attachment B

- C.** Printed Materials: Printed materials and other information at the center must be provided, at minimum in English, Spanish and Vietnamese, in addition to the languages specific to the demographics of the region. **Printed materials must be pre-approved by the OCWIB prior to distribution.**
- D.** Notice and Communication Requirements:
1. Where materials indicate that the CONTRACTOR may be reached by telephone, the telephone number of any TDD/TTY or relay service used by the CONTRACTOR must be indicated. If the CONTRACTOR does not have a TDD/TTY, the California Relay Service (CRS) (1-800/735-2922) is an alternative. [29CFR Part 37; WSD10-1; 10-OCWDA-08 and 10-OCWDA-08 Addendum #2]
 2. For information and services accessed electronically, CONTRACTOR shall establish a procedure which assures that the notice requirements of Title 29 CFR Part 37 are met. [29 CFR Part 37; WSD10-1)]
 3. Distributed publications, broadcasts, and other communications, which promote WIA programs or activities, must include the following tagline:

'This WIA/WIOA Title I financially assisted program or activity is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities'.
 4. CONTRACTOR must provide reasonable accommodations to participants in need of special assistance to attend meetings, workshops, seminars, job fairs, etc. sponsored by or offered by the CONTRACTOR. CONTRACTOR must include the following tagline on all flyers, notices and other communication promoting, advertising and /or informing the public of meetings, workshops, seminars, job fairs, etc. sponsored by or offered by the CONTRACTOR:

'If you need special assistance to participate in this _____ meeting, workshop, etc.), call _____ or the TDD at _____. Please call 48 hours in advance to allow the _____ (Youth Center) to make reasonable arrangements to ensure accessibility to this _____ (meeting, workshop etc.)
 5. CONTRACTOR shall submit written publications to OCWIB for approval prior to distribution.
- E.** Management Information System:
CWSN is a web-based fully integrated system that supports the administration of the Workforce Investment Act and Wagner- Peyser programs.
- As part of the CWSN, the New CalJOBS replaced both the Job Training Automation (JTA) and the old CalJOBS systems. Contractor will be required to use the New CalJOBS, at minimum, for recording and tracking job seeker and employer services and activities. The New CalJOBS became available for use by jobseekers, employers and EDD/local partner staff on May 5, 2014.

CONTRACTOR will be responsible for the following hardware and software specifications for youth and staff computer workstations utilizing the New CalJOBS:

| System | Hardware Required | Software Required | Connectivity |
|-------------------|---|--|---|
| Youth Workstation | Processor: PIII or higher Memory 128 megabytes (MB) of RAM or higher Display: Super VGA (800 x 600) or resolution video adapter and monitor | Microsoft Windows 2000 / Microsoft Window XP / Microsoft Windows Vista / Macintosh OS X v. 10.3 (Panther) or higher Recommended: Microsoft Internet Explorer 6 or higher / Firefox 1.5 or higher | Minimum: 56 kbps Recommended: Dedicated broadband or higher speed access, 380k or higher |
| Staff Workstation | Processor: PIII or higher Memory 128 megabytes (MB) of RAM or higher Display: Super VGA (800 x 600) or resolution video adapter and monitor | OS: Microsoft Windows 2000 / Microsoft Window XP / Microsoft Windows Vista / Macintosh OS X v. 10.3 (Panther) or higher Browser: Microsoft Internet Explorer 6 or higher / Firefox 1.5 or higher / Safari JAWS for Windows software for visually impaired access (optional) | Minimum: Dedicated broadband or higher speed access, 380Kbps or higher |

CONTRACTOR shall immediately implement and adhere to future policy revisions and changes or enhancements in procedures and processes pertaining to MIS submission and reporting.

F. Program Enrollments

1. Each youth may be enrolled in the program for an expected term of twelve (12) months from the date of enrollment. If additional time is needed, a justification and timeline/plan of action must be submitted.
2. All youth must receive Post-Exit Follow-Up Services for a minimum of twelve (12) months after exit, for a total of two (2) years of service.
3. CONTRACTOR shall meet the monthly enrollment goals as identified in Attachment D of the CONTRACT.
4. Special exemptions may be made by the WIB office on a select basis. CONTRACTOR shall complete a request at minimum, fourteen (14) days prior to exit date.

Attachment B

- G. File Maintenance and Documentation: A case file shall be maintained for every registered participant. At a minimum, the case file, and New CalJOBS electronic file, as applicable will include information and documentation of each of the following:
1. Program eligibility/determination of need;
 2. Customer signature evidence of EO and programmatic grievance forms;
 3. WIA MIS forms, including source documents for validation;
 4. Initial and Comprehensive Assessments;
 5. ISP, including all updates of services provided and completed;
 6. Approved Individual Training Account (ITA) voucher (if applicable);
 7. Progress reports, time and attendance if receiving WIA and non-WIA funded training (including short-term pre-vocational training); For non-WIA funded training, CONTRACTOR shall require the customer to provide attendance verification from the school as a condition of receiving other WIA services;
 8. Signed Employer or Worksite Agreement, timesheets, certificate ,and other related documents for On-the-Job Training (OJT) or Work Experience (WEX), if applicable
 9. Supportive Services documentation
 10. Printed case management notes showing provision of all substantial services provided.
 11. All components of the data validation tool.
- H. Case Management
1. CONTRACTOR is responsible for training all case managers in Federal, State, and local laws, regulations and policies; New CalJOBS; WIA/WIOA eligibility; program services; supportive services; job development, incentives; ISP, case notes, and MIS.
 2. Contractor shall ensure that all case managers and other WIA/WIOA Youth Program staff have access to both electronic and hard copy of the updated versions of the Eligibility Technical Assistance Guide (TAG), OCWIB policies and procedures, and federal and state laws, regulations, and policies.
 3. CONTRACTOR shall contact their participants at least one time per month.
 4. CONTRACTOR shall be responsible for tracking the participant's progress, assisting in identifying and overcoming each individual's barrier(s), providing career and motivational counseling, acting as an advocate on behalf of the participant and referring the participant to other resources that can meet the needs that are identified in the ISP.
 5. Case load levels shall be 1:70, and shall include participants that are new enrollments and those participants continuing services in the program year prior to exit.
- I. Incentives and Stipends Policy
- CONTRACTOR may implement an incentive and stipend plan for youth participants in accordance with OCWIB Policy and Procedure 12-OCWDA-10 – WIA Youth Incentives and Stipends Policy.

CONTRACTOR shall provide an updated Incentive and Stipend Policy to the OCWIB administrative offices by July 31, 2015 for review and approval.

J. Volunteers

CONTRACTOR will vet all program volunteers in accordance with their organizational policy to ensure the safety of all WIA/WIOA program participants.

- K. California Awards for Professional Excellence (CAPE) - OCWIB will be adopting the California Council for Excellence (CCE) award system as a mechanism to evaluate quality. CCE is an independent non-profit organization that manages the California Awards for Professional Excellence (CAPE). CAPE helps California organizations in all sectors continuously improve through a structured program based upon the national Malcolm Baldrige Performance Excellence Program. CONTRACTOR shall meet all requirements of CAPE within specified timeframe.

III. PROGRAM REQUIREMENTS

A. Eligibility Determination

1. WIA/WIOA is not an entitlement program, and selection for an individual to participate in the program is a decision based on an assessment of the individual's needs, interests, abilities, motivation, their prospects for successfully completing the program, and available funding levels.
2. CONTRACTOR shall ensure that each participant meets the eligibility requirements as delineated in Attachment A, General Program Requirements. Registration involves certifying and documenting the eligibility of the individuals to be served, in accordance with federal, State and local policies and procedures.

B. Objective Assessment [TEGL 17-05]

1. The Objective Assessment shall include an evaluation of academic and employability skill levels, interests, values, aptitudes, abilities, and educational and employment history.
2. CONTRACTOR shall use the TABE assessment for testing of basic skills.

C. Individual Service Plan (ISP)

1. CONTRACTOR shall use the OCWIB-approved ISP. Guidelines for ISPs are contained in OCWIB Policy 10-OCWDA-10, 10-OCWDA-10 Addendum #1 and subsequent updates.
2. CONTRACTOR shall work collaboratively with the participants to develop basic skills, educational, and career goals.
3. The ISP shall record barriers, plan for education and career achievement, program services, literacy and numeracy gains, supportive services, Work Experience (WEX), training, and incentives.
4. Each participant must have an ISP.
5. CONTRACTOR shall update ISP at regular intervals including, but not limited to enrollment in activities, accomplishment of goals and activities, and completion of services.

D. Sign-In Sheets

1. CONTRACTOR shall have sign-in sheets for all participants who are provided services through the primary and satellite centers, including meetings at public libraries, schools, coffee shops, parks, etc.

2. All participants shall sign-in when entering the center. A new sign-in sheet is required for each day.
 3. All workshops, seminars, career exploration activities, and other group activities or events require a separate sign-in sheet. Each participant in attendance is required to sign in.
- E. Work Experience (WEX)
1. A WEX is intended to teach good work habits and basic work skills for those who have never worked or who have not worked for a significant amount of time, provide the participant an opportunity to explore career choices in selected industries, and provide the participant the opportunity to develop basic occupational related skills.
 2. A WEX is designed to provide youth with opportunities for career exploration and skill development and not to solely benefit the employer. A work experience is not designed to replace an existing employee or position.
 3. WIA funds may be used to pay wages for work experiences in the public, private, for profit, or non-profit sectors if at least one of the following criteria is met:
 - a. The duties the youth will perform expose them to and/or prepare them for postsecondary education and/or entry into a demand occupation and the participants career interest; or,
 - b. The primary focus of the work experience for the youth is the development of very basic workplace skills such as appropriate dress, timeliness, respect, common courtesies, and basic task completion.
 4. Prior to a participant starting their WEX:
 - a. CONTRACTOR shall complete a site visit at the potential worksite to ensure the environment is safe.
 - b. The worksite supervisor must complete an orientation which delineates their responsibilities as a worksite and training site.
 - c. A Worksite Agreement between the CONTRACTOR and the Worksite must be completed.
 - d. CONTRACTOR shall be responsible for ensuring payment to the participant is completed in accordance with CONTRACTOR payroll policies.
 - e. CONTRACTOR shall maintain payroll records and timesheets in the participant case files.
 - f. CONTRACTOR shall make regular visits to the worksite and maintain ongoing contact with the participant and his/her supervisor.
 5. CONTRACTOR shall follow OCWIB Information Notice No. 14-OCWDA-01 (and any subsequent updates) and future WIOA guidance issuances.
- F. Individual Training Accounts (ITAs)
1. OSY ages eighteen (18) to twenty-one (21) may receive training under an ITA.
 2. CONTRACTOR shall follow OCWIB Information Notice No. 12-OCWDA-02 and any subsequent updates. The provision of ITAs with youth funding is contingent upon the extension of the Statewide Waiver and all subsequent waiver updates under WIA. Proposed WIOA sections

Attachment B

would eliminate the need for a waiver and adjust the age range to eighteen (18) to twenty-four (24) [NPRM]; however, these stipulations will be promulgated in the final published WIOA regulations.

- G. On-the-Job Training (OJT)
 - 1. OSY ages eighteen (18) to twenty-four (24) may receive training under an OJT.
 - 2. Prior to a participant being referred for OJT placement or referred to an OJT identified employer, the following must occur:
 - a. Confirmation with the participant that they understand the process and expectation of OJT.
 - b. Participant has been prepared to answer questions about their past work history/existing record (if applicable).
 - c. Confirmed hours participant is available to work in regards to other existing commitments; conflicting activities have been identified and taken into account for potential work schedule.
 - d. Participant ready to find employment at the time of referral.
 - e. Transportation to/from interview/work has been identified.
 - f. Professional clothing has been obtained/owned by participant.
 - g. Functional phone number where the participant can be reached in a timely manner has been confirmed.
 - 3. CONTRACTOR shall follow OCWIB Information Notice No. 14-OCWDA-03 and any subsequent updates.

H. **ITA and OJT Leverage**
 All youth that will receive ITA or OJT training shall be considered for co-enrollment with the WIA Adult program in order to be in compliance with Senate Bill [SB 734]. Passed in September 2011, SB 734 requires at least 25% of the combined total of Adult and Dislocated Worker WIA formula fund allocations be spent on workforce training services effective PY 2012-13; with an increase to 30% effective PY 2016-17. To address the provisions of SB 734 and state-imposed requirements, the OCWIB identified and established training investment expectations that support skills development and occupational skills training services for youth co-enrolled in WIA Adult and Dislocated Worker formula-funded programs.

I. CONTRACTOR shall spend the WIOA-required 20 percent of Youth program funds on Work Experience Focus (WEF) component. WEF shall include program expenditures in the categories of work experience opportunities, pre-apprenticeships, internships, job shadowing, and on-the-job training opportunities. Expenditures on WEF program components include wages as well as staffing costs for the development and management of work experiences [TEGL 23-14].

J. **Program and Service Benchmarks – In-School Youth**
 CONTRACTOR shall meet the following benchmarks for program design and service delivery after eligibility determination:

| Week # | Services and Activities |
|--------|-------------------------|
|--------|-------------------------|

| | |
|--|---|
| By Week # | |
| | |
| | |
| | |
| | |
| Ongoing Services to Avoid Gaps in Services | <ul style="list-style-type: none"> • CONTRACTOR shall ensure that participants are engaged in and receive substantial services every 60 to 90 days to avoid gaps in services. Substantial services include, but are not limited to workshops, job shadowing, tutoring/academic assistance, SAT and CAHSEE preparation, work experience, pre-vocational training, career exploration activities, and job search assistance. • A substantial service does not include: <ol style="list-style-type: none"> 1. A standard mailing; 2. A basic question answered with little expenditure of staff time; 3. Access to or use of electronic self-services; 4. A determination of eligibility to participate in the program; 5. Self-described job search that does not result in a referral to a job; or 6. Contact with participant or employer to only obtain employment status, educational progress or need for additional services or income support payments. |

| | |
|-------------------------------------|---|
| <p>Post-Exit Follow-Up Services</p> | <ul style="list-style-type: none"> • Post Exit Follow-Up Services are required to be provided at minimum, 12 months after exit. • Allowable activities and services include: <ol style="list-style-type: none"> 1. Supportive Services 2. Resume updates 3. Job referrals 4. Tutoring 5. Job shadowing 6. Re-employment planning 7. Workshops |
|-------------------------------------|---|

K. Program and Service Benchmarks – Out-of-School Youth

| Week # | Services and Activities |
|-----------|-------------------------|
| By Week # | |
| | |
| | |
| | |
| | |
| | |
| | |

| | |
|--|---|
| Ongoing Services to Avoid Gaps in Services | <ul style="list-style-type: none"> • CONTRACTOR shall ensure that participants are engaged in and receive substantial services every 60 to 90 days to avoid gaps in services. Substantial services include, but are not limited to workshops, job shadowing, tutoring/academic assistance, SAT and CAHSEE preparation, work experience, pre-vocational training, career exploration activities, and job search assistance. • A substantial service does not include: <ol style="list-style-type: none"> 1. A standard mailing; 2. A basic question answered with little expenditure of staff time; 3. Access to or use of electronic self-services; 4. A determination of eligibility to participate in the program; 5. Self-described job search that does not result in a referral to a job; or 6. Contact with participant or employer to only obtain employment status, educational progress or need for additional services or income support payments. |
| Post-Exit Follow-Up Services | <ul style="list-style-type: none"> • Post Exit Follow-Up Services are required to be provided at minimum, 12 months after exit. • Allowable activities and services include: <ol style="list-style-type: none"> 1. Supportive Services 2. Resume updates 3. Job referrals 4. Tutoring 5. Job shadowing 6. Re-employment planning 7. Workshops |

- L. **Participant Flow Chart** must include initial engagement, eligibility determination, enrollment, active program participation/achievements and follow-up services. Flow charts shall indicate the movement of participants. Participant flow charts should include approximate time frames to move individuals through the system. For participants enrolled longer than one year, justification shall be submitted to the OCWIB for approval.

CONTRACTOR shall provide the participant flow chart to the OCWIB administrative offices by July 31, 2015 for review and approval.

- M. **Internal Policies and Procedures** for all WIA youth employment operations and administration shall be developed by the CONTRACTOR. All Policies and Procedures shall be reviewed with all staff to ensure full compliance.

CONTRACTOR – shall provide all Policies and Procedures, in original Microsoft Word file format, to the OCWIB administrative office by July 31, 2015 for review and approval.

IV. PERFORMANCE

- A. CONTRACTOR shall meet or exceed all performance measures and benchmarks outlined in Attachment C and Attachment D of the CONTRACT. Performance Standards in Attachment C specifically refers to reporting the appropriate rate of leveraged resources (monthly reports, totaling a minimum of 40% by December 31, 2015) and expending contract funds in accordance with the quarterly expenditure plan (within a 5% threshold of quarterly expectation). Performance Standards in Attachment D refer to participant specific contractual expectations.
- B. Corrective Action Plans: Performing at or below the contract level on a quarterly basis on any individual performance measure will be subject to the following corrective actions:
1. Intensive technical assistance and thorough assessment of the causes of the low performance.
 2. Development and implementation of appropriate Corrective Action Plan(s) to raise performance.
 3. Monitoring of subsequent performance to assess the impact of the corrective action plan(s).
 4. Failure to achieve the goals set forth in the corrective action plan may result in penalties such as de-obligation of funds or revocation of the CONTRACT with County of Orange. All corrective action plans will include a date for responding to observations, questions, concerns and findings.
- C. Funding reductions and de-obligation procedures are outlined in Information Notice No. 14-OCWDA-06 and subsequent updates.
- D. Program and Fiscal Monitoring:
1. CONTRACTOR will be monitored, at minimum, on an annual basis. Any observations, areas of concerns, and findings will be addressed through a monitoring report. It is the responsibility of CONTRACTOR to make all corrections noted. CONTRACTOR shall respond to monitoring reports by the date indicated in the report. CONTRACTOR agrees to submit all required information on time in order to alleviate outstanding program/monitoring items, observations, concerns and findings.
 2. Ongoing Case File Review: OCWIB will identify case files, including New CalJOBS electronic files, to be monitored by OCWIB staff on a quarterly basis. CONTRACTOR will be notified at least 24 hours prior to case file review and case files will be selected at random on the scheduled review date. CONTRACTOR will receive a written case file review monitoring report. CONTRACTOR shall respond to monitoring reports by the date indicated in the report. CONTRACTOR agrees to submit all required information on time in order to alleviate outstanding program/monitoring items, observations, concerns and findings.
- E. Customer Satisfaction: CONTRACTOR shall conduct satisfaction surveys for program staff, participants and employers in compliance with Policy and Procedure No. 04-22 – WIA Customer Satisfaction Policy for Participants. A policy shall be established to determine the most effective method for gathering feedback from participants and partnering employers. Contractor shall develop and maintain a tracking system to gather and analyze collected data. The report

shall be provided on a quarterly basis. In addition, as mentioned in Attachment D of this contract, each month one customer testimonial (success story) shall be submitted to the OCWIB.

- F. Quality Assurance Plan: CONTRACTOR shall establish a plan to track program effectiveness and quality of service delivery through its inter audit of case files, financial performance, and analysis of feedback gathered from satisfaction surveys given to program staff, participants and partner agencies/employers. Internal monitoring activities shall include monthly file review, data entry review, and caseload review. Issues shall be reviewed and analyzed for trends and shall be addressed by designated staff forming a Quality Improvement Group.

Contractor shall establish the **Quality Improvement Group (QIG)** and identify its members. This group will meet regularly and will be held responsible for reviewing and establishing policies and procedures for quality assurance of service delivery. Members will participate in activities such as review of program deliverables, quality of data collection, case file reviews for quality of documentation and service match with participants' needs, issues review with completed corrective actions, and ensuring overall contract compliance, etc.

V. PARTNERSHIPS

- A. Community Partnerships: Encouraging community partnerships with agencies throughout the County applicable to WIA Youth Programs ultimately enhances the network of resources available to youth. CONTRACTOR shall establish and maintain on-going relationships with organizations throughout the community, examples include but are not limited to:
- Education agencies (K-12, higher education, technical/vocational training schools) *
 - Social service agencies / Temporary Assistance for Needy Families (TANF) *
 - Housing agencies *
 - Probation Department *
 - Foster care, and other related programs *
 - Community Partners and Community Based Organizations *
 - Labor Organizations *
 - Literacy Program Providers
 - Business Organizations
 - Mentoring Organizations

*Partners listed above with asterisks are mandated partners and CONTRACTOR must have an active and ongoing relationship with the partners indicated.

- B. Business Partnerships: CONTRACTOR shall engage employers to provide industry based advice on career pathways, program delivery and employment opportunities. Close connection with the business community will not only provide participants excellent opportunities for work experience and job placement, continually enhancing a robust and effective OJT program, but will ultimately contribute to the driving force behind appropriate preparation of program participants. The trifecta of labor market information, relationship with and understanding of the needs and future steps of the business community, and

Attachment B

subsequent career pathway planning not only ensures youth program participants success in the labor market but ensures the business community access to an appropriately prepared labor market

- C. Education Partnerships: CONTRACTOR shall work with education partners to promote students completing high school and earning a diploma, and actively participate in OCWIB facilitated Network meetings to promote continuous improvement in the delivery of workforce development services to youth. CONTRACTOR shall engage in partnership with education agencies and strategize to fully support participant preparation in the area of STEM/STEAM to prepare participants for post-high school education, training and careers.

VI. LABOR MARKET INFORMATION / CAREER PATHWAYS

CONTRACTOR shall employ strategies that will guide youth towards various educational and/or employment pathways, promoting a career pathways approach. Youth participants shall be given the necessary tools to help them better navigate the many options that will enhance their education and/or career desires. Industry recognized credentials and portable credentials are an important advantage in the labor market, allowing individuals to work toward both short and long term employment and career goals. In connection with a career pathways approach, CONTRACTOR is required to incorporate innovative program design components relative to industry related credentials and portable credentials. It is expected all out-of-school youth will attain a post-secondary degree and/or industry recognized/portable credential.

Utilizing regional labor market information and a sector strategy approach, CONTRACTOR shall implement a career pathways approach to service delivery. Additionally, CONTRACTOR will ensure that the role of labor market information and the career pathway is clearly discussed, understood, and agreed upon by the participant and documented as such in their ISP and case file.

VII. PROCURED PROGRAM DESIGN ELEMENTS



Attachment C
WIA Youth Cost Reimbursement Agreement
July 1, 2015 through June 30, 2016

Budget Summary

I. Administration and Program Overview

| | | In School | Out of School | Total |
|--|---|-------------|---------------|-------------|
| PROGRAM | Operations Activities: | | | |
| | Salaries | | | \$ - |
| | Salaries Related to WEF Component* | | | \$ - |
| | Benefits | | | \$ - |
| | Benefits Related to WEF Component* | | | \$ - |
| | Facilities ¹ | | | \$ - |
| | Lease Termination | | | \$ - |
| | Communications ² | | | \$ - |
| | Equipment ³ | | | \$ - |
| | Supplies ⁴ | | | \$ - |
| | Travel/Mileage | | | \$ - |
| | Consultant/Subcontract | | | \$ - |
| | Operations Related Activities Subtotal | \$ - | \$ - | \$ - |
| | Direct Client Related Activities: | | | |
| | Participant Wages and Benefits (WEF) | | | \$ - |
| | Participant Supportive Services | | | \$ - |
| Participant Incentives / Stipends | | | \$ - | |
| OJT (WEF) | | | \$ - | |
| Pre-Apprenticeships/Job Shadowing (WEF) | | | \$ - | |
| Other Participant Activities ⁵ | | | \$ - | |
| Direct Client Related Activities Subtotal | \$ - | \$ - | \$ - | |
| Program Subtotal | \$ - | \$ - | \$ - | |
| ADMINISTRATION | Administration: | | | |
| | Program Administration - Salaries/Benefits | \$ - | \$ - | \$ - |
| | Indirect Administration | \$ - | \$ - | \$ - |
| | Audit Fees | \$ - | | \$ - |
| | Administration Subtotal | \$ - | \$ - | \$ - |
| | Grand Total | \$ - | \$ - | \$ - |

¹ Facilities = Rent, Maintenance, Utilities, Insurance, IT services

² Communications = Telephone, Publishing, Marketing, Printing, Meetings/Conferences/Job Fairs, Professional Memberships, Subscriptions

³ Equipment purchases: all equipment purchases must be pre-approved by the County

⁴ Supplies = Office Supplies, Postage

⁵

Other Participant Activities = Participant Workshop Supplies, Training Costs, Career Exploration Events & Conferences

*Salaries and Benefits Related to WEF (Work Experience Focus) Component shall be defined as staffing costs for development



Attachment C
WIA Youth Reimbursement Agreement
July 1, 2015 through June 30, 2016

II. In-School Youth (ISY) - Personnel Salary & Benefits

| Staff Name | Title | Total Annual Salary | Total Annual Benefits | Salary Charged to WIA | Benefits Charged to WIA | FTE (WIA only) |
|-----------------------|-------------------------|---------------------|-----------------------|-----------------------|-------------------------|----------------|
| Non WEF | | | | | | |
| | | | | | | |
| | | | | | | |
| WEF | | | | | | |
| | | | | | | |
| | | | | | | |
| | <i>Subtotal Non WEF</i> | \$ - | \$ - | \$ - | \$ - | 0.00 |
| | <i>Subtotal WEF</i> | \$ - | \$ - | \$ - | \$ - | 0.00 |
| Administration | | | | | | |
| | | | | | | |
| | <i>Subtotal</i> | \$ - | \$ - | \$ - | \$ - | 0 |
| Total | | | | | | |
| | | \$ - | \$ - | \$ - | \$ - | 0.00 |



Attachment C
WIA Youth Cost Reimbursement Agreement
July 1, 2015 through June 30, 2016

III. Out-of-School Youth (OSY) - Personnel Salary & Benefits

| Staff Name | Title | Total Annual Salary | Total Annual Benefits | Salary Charged to WIA | Benefits Charged to WIA | FTE (WIA only) |
|-------------------------|-------|---------------------|-----------------------|-----------------------|-------------------------|----------------|
| Non WEF | | | | | | |
| | | | | | | |
| | | | | | | |
| WEF | | | | | | |
| | | | | | | |
| | | | | | | |
| <i>Subtotal Non WEF</i> | | \$ - | \$ - | \$ - | \$ - | 0.00 |
| <i>Subtotal WEF</i> | | \$ - | \$ - | \$ - | \$ - | 0.00 |
| Administration | | | | | | |
| | | | | | | |
| <i>Subtotal</i> | | \$ - | \$ - | \$ - | \$ - | 0 |
| Total | | \$ - | \$ - | \$ - | \$ - | 0.00 |



Attachment C
WIA Youth Cost Reimbursement Agreement
July 1, 2015 through June 30, 2016

IV. Quarterly Expenditures

| Category | Total | Q1 7/1/15-9/30/15 | Q2 10/1/15-12/31/15 | Q3 1/1/16-3/31/16 | Q4 4/1/16-6/30/16 |
|--|--------------|------------------------------|--------------------------------|------------------------------|------------------------------|
| Operations Activities: | | | | | |
| Salaries | \$ - | | | | |
| Salaries Related to WEF Component | \$ - | | | | |
| Benefits | \$ - | | | | |
| Benefits Related to WEF Component | | | | | |
| Facilities ¹ | \$ - | | | | |
| Lease Termination | \$ - | | | | |
| Communications ² | \$ - | | | | |
| Equipment ³ | \$ - | | | | |
| Supplies ⁴ | \$ - | | | | |
| Travel/Mileage | \$ - | | | | |
| Consultant/Subcontract | \$ - | | | | |
| Operations Subtotal | \$ - | \$ - | \$ - | \$ - | \$ - |
| Direct Client Related Activities | | | | | |
| Participant Wages and Benefits (WEF) | \$ - | | | | |
| Participant Supportive Services | \$ - | | | | |
| Participant Incentives / Stipends | \$ - | | | | |
| OJT Training (WEF) | \$ - | | | | |
| Pre-Apprenticeships / Job Shadowing (WEF) | \$ - | | | | |
| Other Participant Activities ⁵ | \$ - | | | | |
| Direct Client Related Activities Subtotal | \$ - | \$ - | \$ - | \$ - | \$ - |
| Operations & Direct Client Related Activities Total | \$ - | \$ - | \$ - | \$ - | \$ - |
| Administration | | | | | |
| Salaries/Benefits | \$ - | \$ - | \$ - | \$ - | \$ - |
| Indirect Administration | \$ - | \$ - | \$ - | \$ - | \$ - |
| Audit Fees | \$ - | \$ - | \$ - | \$ - | \$ - |
| Administration Subtotal | \$ - | \$ - | \$ - | \$ - | \$ - |
| Grand Total | \$ - | \$ - | \$ - | \$ - | \$ - |



**Attachment C-1
WIA Youth Cost Reimbursement Agreement
July 1, 2015 through June 30, 2016**

IV. Leveraged Resources

| Resource | Amount |
|-----------------------------|---------------|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| Total | \$0.00 |
| Total Budget | |
| Percentage of Budget | |

Note: Leverage resources must meet the minimum 25% criteria and be in accordance with the RFP leverage definition: Leverage resources must supplement the WIA program but definitively result in direct cost savings to the program. The cost savings must correlate to an expense that would otherwise be included in the program budget, for which this expense has no other alternative source free of cost.



PERFORMANCE STANDARDS AND PROGRAM SERVICES

July 1, 2015 through June 30, 2016

I. DELIVERABLES

CONTRACTOR shall meet the following Performance Standards and Program Services

| Deliverable | Due Date |
|---|--|
| Copy of Lease / Rental Agreement for each location in which WIA funds are being used to pay rent. | July 31, 2015 |
| Outreach and Recruitment Plan including marketing materials in accordance with the OCWIB office as deemed necessary | July 31, 2015 |
| Identification of satellite and other secondary locations to provide services, including hours of operation | July 31, 2015 and ongoing as new sites are developed |
| Internal Monitoring Procedures and Schedule | July 31, 2015 |
| Organizational Chart with contact information | July 31, 2015 |
| Description of Program Design | July 31, 2015 |
| Partner List | July 31, 2015 |
| Tentative Holiday Schedule of Activities | July 31, 2015 |
| Incentive and Stipend Plan | July 31, 2015 |
| Flow Chart of Services | July 31, 2015 |
| Workshop List | July 31, 2015 |
| Letters of Agreement with OCWIB One-Stop Centers and Business Service Centers | July 31, 2015 |
| Marketing Materials | July 31, 2015 |
| Customer Satisfaction Survey Report | Quarterly |

| | |
|---|---|
| Letters of Agreement with partners for in-kind or cash match (leveraged resources). | July 31, 2015 and ongoing as new partnerships are developed. |
| Invoices (see Exhibit 7 for details regarding documentation) | By the 20 th of each month for preceding month |
| Description of and amount of leveraged resources | By the 20 th of each month for preceding month |
| Monthly Reports | By the 20 th of each month for preceding month |
| Success Stories – At least 1 submitted per month with Monthly Report | By the 20 th of each month |
| MIS / CWSN documents | Per OCWIB Information Notice 14-OCWDA-05 and any subsequent updates |
| Staff Training / Capacity Building Plan | July 31, 2015 |

Youth Program Provider: _____
WIA/WIOA PERFORMANCE
Youth Program, PY 2015-16

OUT-OF-SCHOOL YOUTH

NOTE: 4th quarter new enrollments
 not to exceed 10% of the annual plan

Cumulative

| I. NEW ENROLLMENTS and CARRY-INS | FIRST QUARTER | | | SECOND QUARTER | | | THIRD QUARTER | | | FOURTH QUARTER | | | PY 2015-16 TOTAL |
|----------------------------------|---------------|--------|--------|----------------|--------|--------|---------------|--------|--------|----------------|--------|--------|---------------------|
| | Jul-15 | Aug-15 | Sep-15 | Oct-15 | Nov-15 | Dec-15 | Jan-16 | Feb-16 | Mar-16 | Apr-16 | May-16 | Jun-16 | |
| A. New Enrollments (WIOA) | | | | | | | | | | | | | |
| B. WIA Carry-Ins from PY 2014-15 | | | | | | | | | | | | | |
| C. Total Enrollments (A+B=C) | | | | | | | | | | | | | |

| II. EXITS | Jul-15 | Aug-15 | Sep-15 | Oct-15 | Nov-15 | Dec-15 | Jan-16 | Feb-16 | Mar-16 | Apr-16 | May-16 | Jun-16 | PY 2015-16 TOTAL |
|--|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|---------------------|
| A. Exits of New Enrollments (WIOA) | | | | | | | | | | | | | |
| B. Exits of WIA Carry-Ins from PY 2014-15* | | | | | | | | | | | | | |
| C. Total Exits (A+B=C) | | | | | | | | | | | | | |

IN-SCHOOL YOUTH

NOTE: 4th quarter new enrollments
 not to exceed 10% of the annual plan

Cumulative

| I. NEW ENROLLMENTS and CARRY-INS | FIRST QUARTER | | | SECOND QUARTER | | | THIRD QUARTER | | | FOURTH QUARTER | | | PY 2015-16 TOTAL |
|----------------------------------|---------------|--------|--------|----------------|--------|--------|---------------|--------|--------|----------------|--------|--------|---------------------|
| | Jul-15 | Aug-15 | Sep-15 | Oct-15 | Nov-15 | Dec-15 | Jan-16 | Feb-16 | Mar-16 | Apr-16 | May-16 | Jun-16 | |
| A. New Enrollments (WIOA) | | | | | | | | | | | | | |
| B. WIA Carry-Ins from PY 2014-15 | | | | | | | | | | | | | |
| C. Total Enrollments (A+B=C) | | | | | | | | | | | | | |

| II. EXITS | Jul-15 | Aug-15 | Sep-15 | Oct-15 | Nov-15 | Dec-15 | Jan-16 | Feb-16 | Mar-16 | Apr-16 | May-16 | Jun-16 | PY 2015-16 TOTAL |
|--|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|---------------------|
| A. Exits of New Enrollments (WIOA) | | | | | | | | | | | | | |
| B. Exits of WIA Carry-Ins from PY 2014-15* | | | | | | | | | | | | | |
| C. Total Exits (A+B=C) | | | | | | | | | | | | | |

ALL PARTICIPANTS

| III. AT-RISK YOUTH ENROLLMENT GOALS | Minimum | Maximum |
|-------------------------------------|---------|---------|
| A. Homeless | | |
| B. Pregnant/Parenting | | |
| C. Foster Youth | | |
| D. Offenders | | |
| E. Youth with Disabilities | | |
| F. Runaway Youth | | |
| G. High School Drop-Out | | |

| IV. TRAINING | Minimum |
|--------------------------------------|---------|
| A. On-the-Job Training (OJT) | |
| B. Individual Training Account (ITA) | |

| V. CO-ENROLLMENTS | Minimum |
|---|---------|
| A. Co-Enrollments with Adult or Dislocated Worker | |

* Exit of Carry-ins is based on enrollment/participation date

Youth Program Provider: _____
 Youth Program, PY 2015-16

| WIA PERFORMANCE <i>(WIOA Section 506 provides that WIA performance measures shall apply for the first full program year after the WIOA enactment.)</i> | | | |
|---|---|--|--------|
| WIA PERFORMANCE MEASURE | DESCRIPTION <i>(TEGL 17-05)</i> | TIME PERIOD (EXIT COHORT) TO BE REPORTED | GOAL |
| Total Participants Served <i>(real time)</i> | | 07/01/15 to 06/30/16 | |
| Placement in Employment/Education | Of those who are not in post-secondary education or employment (including the military) at the date of employment # of youth participants who are in employment (including the military or enrolled in post-secondary education and/or advanced training/occupational skills training in the first quarter after the exit quarter # of youth participants who exit during the quarter | 10/01/14 to 09/30/15 | 74.00% |
| Attainment of a Degree/Certificate | Of those enrolled in education (at the date of participation or at any point during the program participation) # of youth participants who attain a diploma, GED, or certificate by the end of the third quarter after the exit quarter # of youth participants who exit during the quarter | 10/01/14 to 09/30/15 | 56.00% |
| Literacy & Numeracy | Of those out-of-school youth who are basic skills deficient # of youth participants who increase one or more educational functioning level/s # of youth participants who exit before completing a year in the youth program | 7/01/15 to 06/30/16 | 72.00% |

| WIOA PERFORMANCE 1. WIOA Section 116, Performance Accountability Under Title I of the WIOA, takes effect July 1, 2016. 2. Local WIOA performance levels will be established following completion of negotiation process with the State before the start of that program year. 3. Considering the WIOA performance reporting time periods, Contractor shall be cognizant of the need to incorporate strategies for recruiting and service provision (including timelines) in PY 2015-16 critical to the smooth transition from WIA to WIOA performance. | | |
|---|--|--|
| WIOA PERFORMANCE MEASURE | DESCRIPTION <i>[WIOA Section 116, 20 CFR 677.155(d)]</i> | TIME PERIOD (EXIT COHORT) TO BE REPORTED |
| Total Participants Served <i>(real time)</i> | | 07/01/15 to 06/30/16 |
| Placement in Employment/Education/Training (2nd Quarter After Exit) | Percentage of participants who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program. | 07/01/15 to 06/30/16 |
| Placement in Employment/Education/Training (4th Quarter After Exit) | Percentage of participants who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program. | 01/01/15 to 12/31/15 |
| Median Earnings | Median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program. | 07/01/15 to 06/30/16 |
| Credential Rate | Percentage of participants who obtained a recognized post-secondary credential or a secondary school diploma, or its recognized equivalent during participation or up to one year after exit. | 01/01/15 to 12/31/15 |
| In-Program Skills Gain | Percentage of participants who during a program year, are in an education or training program that leads to a recognized post-secondary credential or employment and who are defined as documented academic, technical, occupational or other forms of progress towards such a credential of employment. | 07/01/16 to 06/30/17 |
| Employer Effectiveness | Effectiveness in serving employers, based on indicators developed as required by Section 116(b)(2)(iv) of WIOA. | Indicators not developed yet. |



Contractor
Proposal Narrative
Bid #012-629498

Please see attached sections from Proposal for the following:

Executive Summary
Leverage Resources
Labor Market Information
Statement of Need
Program Design
Partnership
Performance
Org Chart

Exhibit 1

**COUNTY OF ORANGE CHILD SUPPORT ENFORCEMENT
CERTIFICATION REQUIREMENTS**

In order to comply with child support enforcement requirements of the County of Orange, within ten (10) days of award of CONTRACT, the successful CONTRACTOR must furnish to the CONTRACT Administrator, Purchasing Agent or the agency/department Deputy Purchasing Agent:

1. In the case of an individual CONTRACTOR, his/her name, date of birth, Social Security number, and residence address;
2. In the case of a CONTRACTOR doing business in a form other than as an individual, the name, date of birth, Social Security number, and residence address of each individual who owns an interest of 10 percent or more in the contracting entity; A certification that the CONTRACTOR has fully complied with all applicable federal and state reporting requirements regarding its employees; and
3. A certification that the CONTRACTOR has fully complied with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment and will continue to so comply.

The certifications will be stated as follows:

"I certify that _____ is in full compliance with all applicable federal and state reporting requirements regarding its employees and with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignments and will continue to be in compliance throughout the term of CONTRACT _____ with the County of Orange. I understand that failure to comply shall constitute a material breach of the CONTRACT and that failure to cure such breach within ten (10) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.

It is expressly understood that this data will be transmitted to governmental agencies charged with the establishment and enforcement of child support orders and for no other purposes and will be held confidential by those agencies.

Failure of the CONTRACTOR to timely submit the data and/or certifications required above or to comply with all federal and state reporting requirements for child support enforcement or to comply with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment shall constitute a material breach of the CONTRACT. Failure to cure such breach within ten (10) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.

Exhibit 1

The successful CONTRACTOR may use the forms supplied herein, to furnish required information listed above.

**County of Orange Child Support Enforcement
Certification Requirements**

(blank form)

- A. In the case of an individual CONTRACTOR, his/her name, date of birth, Social Security number, and residence address:

Name: _____

D.O.B: _____

Social Security No: _____

Residence Address: _____

- B. In the case of a CONTRACTOR doing business in a form other than as an individual, the name, date of birth, Social Security number, and residence address of each individual who owns an interest of ten (10) percent or more in the contracting entity:

Name: _____

D.O.B: _____

Social Security No: _____

Residence Address: _____

Name: _____

D.O.B: _____

Social Security No: _____

Residence Address: _____

Name: _____

D.O.B: _____

Social Security No: _____

Residence Address: _____

Exhibit 1

(Additional sheets may be used if necessary)

- C. A certification that the CONTRACTOR has fully complied with all applicable federal and state reporting requirements regarding its employees; and
- D. A certification that the CONTRACTOR has fully complied with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment and will continue to so comply.

"I certify that _____ is in full compliance with all applicable federal and state reporting requirements regarding its employees and with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignments and will continue to be in compliance throughout the term of CONTRACT _____ with the County of Orange. I understand that failure to comply shall constitute a material breach of the CONTRACT and that failure to cure such breach within ten (10) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.

Authorized Signature

Print Name

Title

DRUG FREE WORKPLACE CERTIFICATION

Company/Organization Name

The Contractor or grant recipient named above hereby certifies compliance with Government Code 8355 in matters relating to providing a drug-free workplace. The above named Contractor will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the person's or organization's workplace and specifying the actions to be taken against employees for violations of the prohibitions, as required by Government Code Section 8355(a).
2. Establish a Drug Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:
 - A. The dangers of drug abuse in the workplace,
 - B. The person's or organization's policy of maintaining a drug-free workplace,
 - C. Any available drug counseling, rehabilitation and employee assistance programs, and
 - D. Penalties that may be imposed upon employees for drug abuse violations
3. Provide as required by Government code Section 8355I that every employee who works on the proposed contract or grant
 - A. Will receive a copy of the company's drug-free policy statement described in paragraph (1) above, and
 - B. Will agree to abide by the terms of the company's statement as a condition of employment in the contract or grant.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification.

Official's Name

Orange

Date Executed

Executed in the County of

Contractor or Grantee Recipient Signature and Title

DEBARMENT AND SUSPENSION CERTIFICATION - Instructions for Certification

1. By signing and submitting this exhibit document, the contractor or grant recipient of Federal assistance funds is providing the certification as set out below.
2. The certification in the clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the contractor or grant recipient of Federal assistance funds knowingly rendered an erroneous certification in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.
3. The contractor recipient of Federal assistance funds shall provide immediate written notice to the County of Orange/Workforce Investment Board to which this certification document is submitted if at any time the contractor or grant recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The contractor or grant recipient of Federal assistance funds agrees by submitting this certification document that, should the covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.
5. The contractor or grant recipient of Federal assistance funds further agrees by submitting this certification document that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
6. The contractor or grant recipient in a covered transaction may rely upon a certification of a contractor or grant recipient in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. The contractor or grant recipient may decide the method and frequency by which it determines the eligibility of its principals.
7. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of the contractor or grant recipient is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
8. Except for transactions authorized under paragraph 5 of these instructions, if the contractor or grant recipient in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.

**CERTIFICATION REGARDING LOBBYING
CERTIFICATION FOR CONTRACTS, GRANTS, LOANS,
AND COOPERATIVE AGREEMENTS**

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 awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all* subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all* subrecipients shall certify and disclose award documents for all* subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all* subrecipients shall certify and disclose award documents for all* subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) 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. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10, 000 and not more than \$100,000 for each such failure.

Grantee/Contractor Organization

Name

Title

Authorized Signature Date

*Note: In these instances, "All," in the Final Rule is expected to be clarified to show that it applies to covered contract/grant transactions over \$100,000 (per OMB).

Exhibit 5

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. Use the SF LLL-A Continuation sheet for additional information if the space on the form is inadequate. 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 is and has been secured to influence the outcome of a covered 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 09."
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 primary entity identified in item 4 or 5.
10.
 - (a) Enter the full name, address, city, state and zip code of the lobbying entity 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. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in kind contribution, specify the nature and value of the in kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted and the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF LLL A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 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 D.C., 20503.

Exhibit 5

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose activities pursuant to 31 U.S.C 1352

| | | |
|---|---|---|
| 1. Type of Federal Actions: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance | 2. Status of Federal Actions: a. bid/offer/application b. initial award c. post-award | 3. Report Type: a. initial filing b. material change For material change only: Year: _____ Quarter: _____ Date of last report: _____ |
| 4. Name and Address of Reporting Entity Prime Subawardee Tier _____ if known Congressional District, if known: | 5. If Reporting Entity in No. 4 is a Subawardee: Enter Name and Address of Prime: Congressional District, if known: | |
| 6. Federal Department / Agency: | 7. Federal Program Name/Description | |
| 8. Federal Action Number, if known: | 9. Award Amount, if known: \$ | |
| 10a. Name and Address of Lobbying Entity (if individual, last name, first name, MI): (attach Continuation Sheets SF-LLL-A, if necessary) | 10b. Individual Performing Services (including address if different from No. 10a) (last name, first name, MI): | |
| 11. Amount of Payment (check all that apply): \$ Actual Planned | 13. Type of Payment (check all that apply) a. retainer b. one-time free c. commission d. contingent fee e. deferred f. other specify: _____ | |
| 12. Form of Payment (check all that apply): a. cash b. in-kind: specify: nature: _____ value: _____ | | |
| 14. Enter Description of Services performed or to be Performed and date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment indicated on item 11: | | |
| 15. Continuation sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| 16. Information requested through this form 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 reported to the Congress semiannually and will be available for public inspection. An person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. | Signature: _____ _____ Print Name: Title: Telephone No: Date: | |

Exhibit 5

**DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET**

Approved by OMS - 0348-0046

Reporting Entity: _____

_____ Page _____ of _____

BILLING CODES 3410-01 -C; 6450-01-C; 6890-01 ;6025-01-C; 7510-01-C , 35 1 0-FE-C; 8120-01 -C; 4710-24-C, 6116-01 -C,

Exhibit 6

EDD INDEPENDENT CONTRACTOR REPORTING REQUIREMENTS

Effective January 1, 2001, the County of Orange is required to file federal Form 1099-Misc for services received from a "service provider" to whom the County pays \$600 or more within a single calendar year. The purpose of this reporting requirement is to increase child support collection by helping to locate parents who are delinquent in their child support obligations.

The term "service provider" is defined in California Unemployment Insurance Code Section 1088.8, subparagraph B.2 as "an individual who is not an employee of the service recipient for California purposes and who received compensation or executes a Contract for services performed for that service recipient within or without the state." The term is further defined by the California Employment Development Department to refer specifically to independent contractors. An independent Contractor is defined as "an individual who is not an employee of the....government entity for California purposes and who receives compensation or executes a Contract for services performed for that....government entity either in or outside of California."

The reporting requirement does not apply to corporations, general partnerships, limited liability partnerships, and limited liability companies.

Additional information on this reporting requirement can be found at the California Employment Development Department web site located at www.edd.ca.gov/txicr.htm.

To comply with the reporting requirements, County procedures for contracting with independent contractors mandate that the following information be completed and forwarded to the contracting agency/department immediately upon request:

First name, middle initial and last name
 Social Security Number
 Address
 Start and expiration dates of Contract
 Amount of Contract

| | |
|-----------------------------|--------------------------|
| _____ | _____ |
| First Name & Middle Initial | Last Name |
| _____ | |
| Social Security No. | |
| _____ | |
| _____ | \$ _____ |
| Contract Number | Dollar Value of Contract |
| _____ | |
| Start Date | Expiration Date |



**Subject: OC Community Resources
Contract Reimbursement Policy**

Effective: July 1, 2010
Revised: April 3, 2015

PURPOSE:

This policy contains updated fiscal documentation requirements for contract reimbursement for OC Community Services. The procedures provide instructions for submitting reimbursement demand letter or invoice.

EFFECTIVE DATE:

July 1, 2010

REVISION DATE:

April 3, 2015

REFERENCES:

Executed Board of Supervisors approved contract
Budget included in contract or presented as an exhibit
OMB Circular A-21 Cost Principles for Educational Institutions
OMB Circular A-87 Cost Principles for State, Local, and Indian Tribal Governments
OMB Circular A-122 Cost Principles for Non-Profit Organizations
48 CFR Part 31 Contract Cost Principles and Procedures
24 CFR Parts 85, 570.502, 570.201, 576.21, 576.51 and 576.61: For Housing & Community Development and Homeless Prevention Contracts only.

BACKGROUND:

The executed Board of Supervisors approved contract is the authorization for all aspects of payment, including the maximum amount to be paid, the payee, and the scope of services and work. Payments are made in strict accordance with the contract terms. Allowable costs are identified in referenced OMB Circulars and Code of Federal Regulations (CFR).

ATTACHMENTS:

Reimbursement Policy Status Form (RPS-1)

POLICY:

Contractor is responsible for the submission of accurate claims. This reimbursement policy is intended to ensure that the Contractor is reimbursed based on the code or codes that correctly describe the services provided. This information is intended to serve only as a general reference resource regarding OC Community Services' reimbursement policy for the services described and is not intended to address every aspect of a reimbursement situation. Accordingly, OC Community Services may use reasonable discretion in interpreting and applying this policy to services provided in a particular case. Other factors affecting reimbursement may supplement, modify or, in some cases, supersede this policy. These factors may include, but are not limited to: legislative mandates and County directives. OC Community Services may modify this reimbursement policy at any time by publishing a new version of the policy. However, the information presented in this policy is accurate and current as of the date of publication.

Cost incurred by contractor must be substantiated and incurred during the contract period. Total of all reimbursements cannot exceed the amount of the contract. Cost must be allowable under applicable OMB Circular or CFR. All supporting documentation for reimbursement must be submitted with demand letter or invoice. If contract requires matching

contribution, documentation substantiating contribution match must be submitted with demand letter or invoice.

At any time, based on County's business needs and/or Contractor's performance, the County may designate Contractor to submit abbreviated or comprehensive documentation, as identified in the respective sections. Upon designation, Contractor will be notified, in writing via Reimbursement Policy Status Form, of which requirements are in full force. When Contractor is required to submit comprehensive documentation, in addition to the items identified in the Abbreviated Documentation Requirements Section, Contractor must also provide the documentation identified in the Comprehensive Documentation Requirements Section.

PROCEDURES:

Abbreviated Documentation Requirements

Compile and submit:

1. Supporting documentation includes, but is not limited to:
 - a. General ledger/expense transaction report
 - b. Payroll register or labor distribution report
 - c. Payroll allocation plan
 - d. Personnel Documentation
 - e. Benefit plan and calculation of benefit
 - f. Employer-employee contract for non-customary benefits (if applicable)
 - g. Pre-approval documentation for equipment purchases equal to or greater than \$5,000
2. The following is required with the first month's invoice only:
 - a. Cost allocation plan for rent, utilities, etc.
 - b. Indirect rate approved by cognizant agency (if applicable)
3. Summary of leveraged resources (if applicable)
4. Demand letters must contain the following certification (if required by Contract):

"I certify under the penalty of perjury that this claim is true and correct and that the requested payments have been made. I also certify that this claim agrees with our official payroll and financial records and that these amounts have not been, or will not be claimed from any other funding source"
5. Grantee Performance Report (if required by Contract)
6. Supporting documentation shall be on single-sided sheets
7. Please redact employees' Social Security Number from payroll reports
8. Demand letter or invoice, along with supporting documentation shall be submitted to:

OC Community Resources Accounting
1770 N. Broadway, 4th Floor
Santa Ana, CA 92706

Comprehensive Documentation Requirements

In addition to abbreviated documentation, compile and submit:

9. Purchase orders, invoices, and receipts
10. Cashed checks
11. Check register
12. Consultant/sub-contractor invoices (with description of services)
13. Travel expense documentation: mileage reimbursement, hotel bill, meal reimbursement

ACTION:

Distribute this policy to all appropriate staff

INQUIRIES:

Inquiries may be directed to the following:

- Susan Long: (714) 480-6532 or Susan.Long@occr.ocgov.com
- Eric Takanishi: (714) 480-6531 or Eric.Takanishi@occr.ocgov.com



STEVE FRANKS
DIRECTOR
OC COMMUNITY RESOURCES

RYAN DRABEK
DIRECTOR
OC ANIMAL CARE

KAREN ROPER
DIRECTOR
OC COMMUNITY SERVICES

STACY BLACKWOOD
DIRECTOR
OC PARKS

HELEN FRIED
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

Authorized Signature Form

Contractor: _____

The documents identified below required authorized signatures for execution, processing and payment. Complete this form, entering the names and signatures of persons authorized to sign the documents. Notification of any changes in authorized signatures is the responsibility of the Contractor. Changes without prior notification by the vendor may cause delay in processing agreements or payments.

| Document | Print/Type Name | Signature | Date |
|---|-----------------|-----------|------|
| Contracts and Amendments (2 signatures are required if corporation) | | | |
| | | | |
| | | | |
| Budget Line Item Modifications (without total funding increase or decrease) | | | |
| | | | |
| | | | |
| Invoices/Vouchers | | | |
| | | | |

Note: Authorized signatures for corporations: Requirement of two signatures as follows: (1) One signature by the Chairman of the Board, the President or any Vice President, and (2) one signature by the Secretary, any Assistant Secretary, the Chief Financial Officer or an Assistant Treasurer. Contract authorization must be given by action of the governing board of the organization or legal owners. Please attach copies of minutes/bylaws or statement granting such authorization. For contractors that are not corporations, a person who has the authority to bind the contractor to a contract.



COMMUNITY INVESTMENT DIVISION

1300 SOUTH GRAND
BLDG. B, THIRD FLOOR
SANTA ANA, CA 92705
PHONE: 714.480.6500
FAX: 714.834.7132

