

SUBRECIPIENT AGREEMENT
BETWEEN
COUNTY OF SANTA BARBARA as
ADMINISTRATIVE ENTITY FOR THE
Santa Barbara County Permanent Local Housing Allocation Consortium
AND
Community Action Partnership of San Luis Obispo County, Inc.

State of California Permanent Local Housing Allocation (PLHA)

THIS AGREEMENT ("AGREEMENT") is made and entered into by and between the County of Santa Barbara ("COUNTY"), a political subdivision of the State of California, and Community Action Partnership of San Luis Obispo County, Inc., a California nonprofit public benefit corporation ("SUBRECIPIENT"), whose address is Community Action Partnership of San Luis Obispo County, Inc., 1030 Southwood Dr., San Luis Obispo, CA 93401.

WITNESSETH THAT:

WHEREAS, Chapter 364, Statutes of 2017 (SB 2, Atkins) added Chapter 2.5 (commencing with Health and Safety Code Section 50470) to Part 2 of Division 31 of the Health and Safety Code, as part of a 15-bill housing package aimed at addressing the State's housing shortage and high housing costs; and

WHEREAS, SB 2 created the Building Homes and Jobs Fund and the PLHA Program, specifically establishing a permanent source of funding intended to increase the affordable housing stock in California; and

WHEREAS, On July 7, 2020, the County of Santa Barbara's Board of Supervisors passed and adopted Resolution No. 20-127, allowing the Director of the County's Community Services Department ("CSD") to apply for, receive, and administer the PLHA funds for the Santa Barbara County PLHA Consortium ("Consortium"), which includes the County of Santa Barbara, and the Cities of Goleta and Santa Maria; and

WHEREAS, The revenue from SB 2 will vary from year to year, as revenue is dependent on certain real estate recordation transactions with fluctuating activity; and

WHEREAS, the County and the Cities of Goleta and Santa Maria have each entered into a Consortium Agreement that authorizes the County to act as the Administering Jurisdiction for the Consortium to apply for and administer PLHA funds on the Consortium's behalf; and

WHEREAS, COUNTY, on behalf of the Consortium, submitted to the State the Consortium's Five-Year Plan ("PLHA Plan"), which includes State PLHA eligible activities set forth in the State's PLHA Final Guidelines ("Guidelines") that the Consortium will address with its allocations of PLHA funds over the next five years; and

WHEREAS, the Consortium selected the following eligible activities from the Guidelines: §301(a)(1) Multi-Family Rental Housing; §301(a)(2) Rental and Homeownership Housing; §301(a)(6) Homelessness Assistance Programs; and §301(a)(9) Down Payment Assistance for Homeownership Opportunities; and

WHEREAS, SUBRECIPIENT's services are eligible activities as outlined in the Guidelines and the Consortium's PLHA Plan as they are housing-related projects and programs to assist in addressing the unmet housing needs of the local communities;

NOW THEREFORE, the parties hereto agree that the above recitals are true to the best of their knowledge and, in consideration of the mutual covenants and conditions contained herein, it is agreed by and between the parties hereto as follows.

I. SCOPE OF SERVICES

A. General

All services under this Agreement ("Services") shall be provided in Santa Barbara County as described in the Scope of Services attached hereto and incorporated herein as Exhibit A ("Scope of Services"). Services shall be provided under the supervision of SUBRECIPIENT's Executive Director, who shall ensure that the background and qualifications of SUBRECIPIENT's staff providing Services meet the minimum standards established by pertinent licensing bodies, as applicable.

B. Services

1. Eligible Activities

Activities funded by this Agreement are limited to the following program components and eligible activities contained in the PLHA Plan: §301(a)(2) Rental and Homeownership housing.

2. Services to be Provided

SUBRECIPIENT shall be responsible for providing critical home repairs to approximately 40 households, as set forth in the Scope of Services. Home Repair Services will be provided to low-moderate income residents throughout the County (particularly seniors age 62 or older, and severely disabled persons). The overall benefits to program clients include increased independence, self-sufficiency, improved health and safety, and the enduring ability to remain in their own homes, as set forth in Exhibit A.

C. Staffing

Only the salary and eligible benefits for the positions listed in the budget attached hereto as Exhibit B and incorporated herein by reference ("Budget"), if any, are eligible for reimbursement with PLHA funds under this Agreement. No changes in the positions listed in the Budget will be eligible for reimbursement with PLHA funds under this Agreement unless approved in advance in writing by the CSD Director, or his designee. All Services shall be performed by SUBRECIPIENT and its staff. SUBRECIPIENT represents that it possesses the professional and technical personnel with the skills required to perform the Services. SUBRECIPIENT shall perform all Services in a manner commensurate with SUBRECIPIENT's own usual and customary standards, but in no event with less than the reasonable and ordinary level of care provided by others performing similar or like work in a professional manner in the state of California.

All Services shall be performed by qualified and experienced personnel who are not employed by COUNTY. SUBRECIPIENT represents and warrants that the Services to be performed will conform to the requirements of this Agreement; all applicable federal, State and local laws; and the highest professional standards.

SUBRECIPIENT represents and warrants to COUNTY that it has, shall obtain, and shall keep in full force and effect at all times during the Term hereof, at its sole cost and expense, all licenses, permits, qualifications, insurance and approvals of whatsoever nature that are legally required of SUBRECIPIENT

and SUBRECIPIENT's personnel to practice their respective professions in the State of California and the County of Santa Barbara.

D. Levels of Accomplishment – Goals and Performance Measures

SUBRECIPIENT shall report performance data to COUNTY quarterly, in accordance with Sections VII.B.1, VII.B.2, and VII.C of this Agreement, regarding the goals and performance measures set forth in Exhibit A, and as required by the State (25 CCR Section 8413).

E. Performance Monitoring

SUBRECIPIENT shall be responsible for providing the Services in a manner satisfactory to COUNTY. In addition, COUNTY shall review the performance of SUBRECIPIENT in accordance with the applicable provisions of SB 2 and its related implementing regulations, Guidance, and rules. COUNTY may monitor the performance of SUBRECIPIENT against the goals and performance measures set forth in Section I.D of this Agreement and Exhibit A. SUBRECIPIENT's failure to meet any of these goals and performance measures as determined by COUNTY in its sole discretion shall constitute a breach of this Agreement. If action to correct such breach is not taken by SUBRECIPIENT to the satisfaction of COUNTY within seven (7) days after being notified by COUNTY, COUNTY may suspend or terminate this Agreement pursuant to Section VI.F of this Agreement.

F. COUNTY Recognition

SUBRECIPIENT shall ensure recognition of the role of COUNTY in providing PLHA funds made available under this Agreement. All activities, facilities and items utilized pursuant to this Agreement shall be prominently labeled or provided with signage as to funding source. In addition, SUBRECIPIENT shall include a reference to the support provided herein in all publications made possible with PLHA funds under this Agreement.

II. TERM

A. Term and Time of Performance

The term of this Agreement shall begin on the first date that this Agreement is duly executed by all of the parties hereto ("Operating Start Date") and shall terminate on the earlier of (i) June 30, 2027, or (ii) when the PLHA funds awarded to SUBRECIPIENT hereunder are exhausted, unless earlier suspended or terminated in accordance with the provisions of this Agreement, or there are insufficient PLHA funds available to the COUNTY for any reason (the "Term"). All Services to be performed hereunder as described in the Scope of Services and that is funded with PLHA funds hereunder may commence on the Operating Start Date and shall be completed by June 30, 2027 (the "Award Time of Performance"). The Term and the Award Time of Performance may be extended only upon prior written approval of the COUNTY, as described in Section VI.E, below.

B. Close-outs

SUBRECIPIENT's obligations to COUNTY shall not end until all close-out requirements are completed, including, but not limited to: receipt of final payments from COUNTY under this Agreement, disposing of program assets (including the return of all unused materials, equipment, and accounts receivable to COUNTY), and determining the custodianship of records. The terms of this Agreement shall remain in effect during any period that SUBRECIPIENT has control over PLHA funds, including program income. All program assets (unexpended program income, property, equipment, etc.) shall revert to COUNTY upon termination of this Agreement.

III. **BUDGET**

The Budget for SUBRECIPIENT's services, specifying PLHA-funded line items, is set forth in Exhibit B to this Agreement. COUNTY may require a more detailed budget breakdown than the one contained herein, and SUBRECIPIENT shall provide such supplementary budget information within one (1) week of COUNTY's request for same, in the form and content prescribed by COUNTY. No amendment to the Budget shall be effective without the prior written approval of each of COUNTY and SUBRECIPIENT in each instance.

SUBRECIPIENT represents and warrants that the Budget includes only allowable costs and an accurate analysis of costs acceptable under the program Guidelines. SUBRECIPIENT's accounting records shall comply with Article V of the PLHA Final Guidelines. Such records shall be in sufficient detail to provide a sound basis for COUNTY to effectively monitor SUBRECIPIENT's performance under this Agreement.

IV. **PAYMENT**

It is expressly agreed and understood that the total amount of PLHA funds to be paid by COUNTY under this Agreement shall not exceed **\$9,823** ("Maximum Contract Amount"). Payments to SUBRECIPIENT will be made on a reimbursement basis. Drawdowns for the payment of eligible expenses and documentation of eligible expenditures shall be made in accordance with the line item Budget specified in Exhibit B attached hereto. In accord with PLHA Guidelines, no less than once per quarter, but not more often than monthly, SUBRECIPIENT may request reimbursement for its expenditures and documented eligible expenditures hereunder by submitting a completed Expenditure Summary and Payment Request in the form attached hereto as Exhibit C and incorporated herein by reference ("ESPR") together with proper support documentation for Services described in Sections I.A and I.B, staff salaries and benefits described in Section I.C, and performance data required in Sections I.D, VII.B.1, VII.B.2, and VII.C of this Agreement. No costs shall be invoiced, billed or deemed eligible except for expenditures authorized in the Budget as set forth in Exhibit B. The itemized costs set forth by SUBRECIPIENT in each ESPR shall be of sufficient detail to provide a sound basis for COUNTY to effectively monitor costs under this Agreement. COUNTY shall review each ESPR and supporting documents and, in accordance with State regulations and the provisions of this Agreement, shall reimburse SUBRECIPIENT for allowable costs within thirty (30) days after receiving SUBRECIPIENT's complete ESPR and supporting documentation. Expenses for which SUBRECIPIENT seeks reimbursement under this Agreement shall have been incurred within the Term of this Agreement; provided, however, that SUBRECIPIENT may submit a final ESPR for eligible expenses up to twenty (20) days after the last day of the Term of this Agreement.

V. **NOTICES**

Notices required by this Agreement shall be in writing and delivered via USPS mail (postage prepaid), commercial courier, or personal delivery. Notices may be sent by facsimile or other electronic means if the party to be noticed consents to the delivery of the notice by facsimile or such electronic means, and if the party required to give notice delivers such notice via mail (postage prepaid), commercial courier, or personal delivery the next business day. Any notice delivered or sent as aforesaid shall be effective on the date of personal delivery or sending. All notices and other written communications under this Agreement shall be addressed to the individuals in the capacities indicated below, unless otherwise modified by subsequent written notice.

Notices and other written communications concerning this Agreement shall be directed to the following representatives:

COUNTY

Lucille Boss, Affordable Housing Programs
Manager
County of Santa Barbara
Community Services Department/HCD
123 E. Anapamu St., Second Floor
Santa Barbara, CA 93101
Office: (805) 568-3533
lboss@countyofsb.org

SUBRECIPIENT

Elizabeth Steinberg, Executive Director
CAPSLO, Inc.
1030 Southwood Dr.
San Luis Obispo, CA 93401
esteinberg@capslo.org
(805) 544-4355

VI. GENERAL CONDITIONS

A. General Compliance

SUBRECIPIENT agrees to comply with the requirements of the PLHA program, including the statutes (Health & Safety Code, §§ 50470 et seq.), program Guidelines, and additional regulations and Program guidance as may be adopted from time to time. In addition, SUBRECIPIENT agrees to comply with the terms of the award under the grant agreement, applications, notices of award and all other applicable federal, State, and local laws, regulations, ordinances, orders, rules, guidelines, directives, circulars, bulletins, notices and policies governing the PLHA funds provided under this Agreement. The judgment of any court of competent jurisdiction, or the admission of SUBRECIPIENT in any action or proceeding against SUBRECIPIENT, whether COUNTY is a party thereto or not, that SUBRECIPIENT has violated any such law, regulation, ordinance or order, shall be conclusive of that fact as between SUBRECIPIENT and COUNTY. SUBRECIPIENT shall be responsible for providing all Services in a manner consistent with all federal and state requirements and standards required as a condition of receiving and expending PLHA funds provided under this Agreement.

B. Independent Contractor

Nothing contained in this Agreement is intended to, or shall be construed in any manner, as creating or establishing the relationship of employer/employee between the parties hereto. SUBRECIPIENT shall at all times remain an independent contractor with respect to Services to be performed under this Agreement. COUNTY shall not be responsible for paying any taxes on SUBRECIPIENT's behalf, and should COUNTY be required to do so by federal, state, or local taxing agencies, SUBRECIPIENT agrees to promptly reimburse COUNTY for the full value of such paid taxes plus interest and penalty if any. These taxes shall include, but not be limited to, the following: Federal Insurance Contributions Act (FICA) tax, unemployment insurance contributions, income tax, disability insurance and workers' compensation insurance. In addition, SUBRECIPIENT understands and acknowledges that neither it nor its employees or subcontractors shall be entitled to any of the benefits of a COUNTY employee, including, but not limited to, vacation, sick leave, administrative leave, health insurance, disability insurance, retirement, unemployment insurance, workers' compensation and protection of tenure.

C. Insurance and Indemnification

SUBRECIPIENT shall comply with the insurance and indemnification provisions set forth in the Standard Indemnification and Insurance Provisions attached hereto and incorporated herein as Exhibit E.

D. Workers' Compensation

SUBRECIPIENT shall provide Workers' Compensation Insurance coverage for all of its employees involved in the performance of this Agreement as set forth in Exhibit E.

E. Changes or Amendments

No change to this Agreement shall be effective unless made through a written amendment to this Agreement duly executed by COUNTY and SUBRECIPIENT. COUNTY and SUBRECIPIENT may amend this Agreement at any time during the Term, provided that each such amendment makes specific reference to this Agreement, is executed in writing, and signed by a duly authorized representative of each party hereto. No such amendment shall invalidate any part(s) of this Agreement that is not expressly changed by such amendment, nor relieve or release COUNTY or SUBRECIPIENT from such party's obligations under this Agreement that are not expressly changed by such amendment. SUBRECIPIENT agrees to not unreasonably withhold its approval of any amendments proposed by COUNTY that are necessary in order to conform with federal, state or local governmental laws, regulations, ordinances, orders, rules, directives, circulars, bulletins, notices, guidelines, policies and available funding amounts.

All amendments to this Agreement must be approved by the COUNTY Board of Supervisors and executed by the Chair of the Board, except that the CSD Director, or his designee, is authorized to approve, in his or her discretion, and execute amendments to this Agreement on behalf of COUNTY as follows:

1. The Director of CSD may approve changes to the Budget attached hereto as Exhibit B, provided that such changes are limited to (a) revisions to the amounts in each Budget line item, provided that the overall amount of the Budget is not increased; and (b) additions to or deletions of Budget line items; provided that all expenditures are eligible hereunder and in accordance with the Guidelines and that the overall amount of the Budget is not increased. In no event shall an amendment be made pursuant to this subsection VI.E.1 that will result in any change to the Scope of Services attached hereto as Exhibit A.
2. The CSD Director may execute amendments to this Agreement that extend the Term or the Award Time of Performance or both by up to a maximum of 12 months. This Section VI.E.2 shall not obligate the County to extend the length of the Term at SUBRECIPIENT's request or otherwise alter the County's rights to terminate this Agreement or reduce the award as set forth in Section VI.F, below. This authority may only be exercised if such extension is consistent with the terms of the PLHA Plan, PLHA Guidelines, and all other State regulations, notices, and other direction.
3. The CSD Director may approve administrative changes to the Agreement that are necessary in order to conform with federal, State or local governmental laws, regulations, ordinances, orders, rules, directives, circulars, bulletins, notices, guidelines, policies and available funding amounts.

F. Suspension or Termination

COUNTY may suspend or terminate this Agreement if SUBRECIPIENT materially fails to comply with the terms of any federal or State regulation(s), including, but not limited to, the grant agreement, applications, or notices of award, or any provisions of this Agreement, which include, but are not limited to, the following:

- Failure to comply with any of the laws, rules, regulations, ordinances, provisions, orders, guidelines, policies, circulars, bulletins, notices or directives referred to herein, or as may become applicable at any time;
- Failure, for any reason, of SUBRECIPIENT to fulfill its obligations under this Agreement;
- Ineffective or improper use of PLHA funds provided under this Agreement;

- Actions and behavior by SUBRECIPIENT that undermines the integrity of the PLHA Program, including, but not limited to, client, child and staff endangerment, inappropriate and reckless staff behavior and health code violations; or
- Submittal of reports that are false or that are incorrect or incomplete in any material respect.

COUNTY may withhold any and all payments due to SUBRECIPIENT until such time as the exact amount of damages resulting from SUBRECIPIENT's breach is determined.

1. Termination by COUNTY

COUNTY may, by written notice to SUBRECIPIENT, terminate this Agreement in whole or in part at any time, whether for COUNTY's convenience, for nonappropriation of funds, or because of the failure of SUBRECIPIENT to fulfill the obligations herein.

- a. **For Convenience.** This Agreement may be terminated for convenience by COUNTY, upon written notification to SUBRECIPIENT, setting forth the effective date and, in the case of partial termination, the portion to be terminated.
- b. **For Nonappropriation of Funds.** Notwithstanding any other provision of this Agreement, in the event that no funds or insufficient funds are appropriated or budgeted by federal, State, or COUNTY governments, or funds are not otherwise available for payments during the Term of this Agreement, then COUNTY will notify SUBRECIPIENT of such occurrence and COUNTY may terminate or suspend this Agreement in whole or in part, with or without a prior notice period. Subsequent to termination of this Agreement under this provision, COUNTY shall have no obligation to make payments hereunder with regard to the remainder of the Term.
- c. **For Cause.** Should SUBRECIPIENT default in the performance of this Agreement or materially breach any of its provisions, COUNTY may, at COUNTY's sole option, terminate or suspend this Agreement in whole or in part by written notice. Upon receipt of notice, SUBRECIPIENT shall immediately discontinue all services affected (unless the notice directs otherwise) and notify COUNTY as to the status of its performance. The date of termination shall be the date the notice is sent by COUNTY, unless such notice directs otherwise.

2. Termination by SUBRECIPIENT

This Agreement may be terminated by SUBRECIPIENT, upon written notification to COUNTY, setting forth the reasons for such termination, the effective date, and in the case of partial termination, the portion to be terminated. However, if, in the case of a partial termination, COUNTY determines that the remaining portion of the award or this Agreement will not accomplish the purposes for which it was made, COUNTY may terminate this Agreement and the award in its entirety.

3. Upon termination, SUBRECIPIENT shall deliver to COUNTY all data, estimates, graphs, summaries, reports, and all other property, records, documents or papers accumulated or produced by SUBRECIPIENT in connection with this Agreement, whether completed or in process, except such items as COUNTY may, by written permission, permit SUBRECIPIENT to retain.
4. In the event that CONTRACTOR ceases or intends to cease to operate, (e.g., dissolution of corporate status, declaration of bankruptcy, etc.) SUBRECIPIENT shall provide COUNTY copies of all records relating to this Agreement prior to taking the first action in furtherance of ceasing operations, but in any event no later than prior to ceasing operations.

5. If the State of California demands reimbursement from COUNTY for COUNTY's payments to SUBRECIPIENT due to SUBRECIPIENT's failure to comply with the terms of the State's award to COUNTY, including, but not limited to, the grant agreement, assurances in an application, or a notice of award, any applicable term of this Agreement, or any law, regulation, ordinance, order, rule, directive, circular, bulletin, notice, guideline, or policy referred to herein, or as may become applicable at any time, SUBRECIPIENT shall fully and completely reimburse COUNTY in the total amount of all such disallowed payments.

G. STATE and COUNTY Enforcement of PLHA Program Requirements

COUNTY and SUBRECIPIENT acknowledge that the State will review the performance of COUNTY and SUBRECIPIENT in carrying out their respective responsibilities as the recipient and subrecipient of PLHA funds, and COUNTY must take actions as prescribed if COUNTY determines that SUBRECIPIENT is not complying with any of the State requirements or this Agreement.

VII. ADMINISTRATIVE REQUIREMENTS

A. Financial Management

1. Accounting Standards
SUBRECIPIENT agrees to comply with and adhere to the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred.
2. Cost Principles
SUBRECIPIENT shall administer its program in accordance with Article V, Section 500 et seq. of the PLHA Final Guidelines. These principles shall be applied for all costs incurred whether charged on a direct or indirect basis.
3. Indirect Costs
SUBRECIPIENT may charge an indirect cost allocation to its grant under this Agreement. The indirect cost allocation may not exceed ten percent of the allowable direct costs under the PLHA activity unless a higher limit for the indirect cost allocation has been previously approved.
4. Procurement
SUBRECIPIENT shall comply with the procurement requirements in Santa Barbara County Code Chapter 2, Article VI concerning the purchase of services, supplies or equipment and concerning the required maintenance of inventory and records for all services, equipment and supplies procured with funds provided herein.
5. Travel
SUBRECIPIENT shall obtain prior written approval from COUNTY for the use of any funds provided under this Agreement for the reimbursement of any costs incurred for travel outside the County of Santa Barbara.

B. Documentation and Record Keeping

1. Records to Be Maintained
SUBRECIPIENT shall comply with all reporting requirements of COUNTY and shall maintain all records required by and described in State regulations relating to the PLHA Program, including, but not limited to the PLHA and its related implementing regulations, Guidelines, guidance, and rules, and all other records that are pertinent to the activities to be funded under this Agreement.

SUBRECIPIENT agrees to maintain accounting books and records in accordance with Generally Accepted Government Auditing Standards. SUBRECIPIENT further agrees that the State and its designated representatives have the right to review and copy any records and supporting documentation pertaining to this Agreement. Such records shall include, but not be limited to:

- a. Records providing a full description of each activity and Services undertaken;
- b. Records required to determine the eligibility of activities;
- c. Records supporting disbursements of PLHA funds for the performance of eligible activities;
- d. Records supporting the source and expenditure of eligible activities of PLHA;
- e. Financial records as required by Article V, Section 500 of the PLHA Final Guidelines; and
- f. Other records necessary to document compliance with applicable state and federal requirements.

2. Retention

SUBRECIPIENT shall retain all records required by or pertinent to this Agreement for five (5) years. Such five-year retention period begins on the date that all funds from the Agreement under which a program participant was served are expended and the final request for payment for eligible expenses has been submitted to COUNTY by SUBRECIPIENT and have been paid by COUNTY. Notwithstanding the above, in the event of any litigation, claim(s), demand(s), audit(s), negotiation(s), dispute(s), or other action(s) that involve or pertain to any such records and that have started before the expiration of the five-year retention period ("Claims"), then such records must be retained until completion and final resolution of all such Claims and final resolution of all issues, or the expiration of the five-year retention period, whichever occurs later.

3. Ownership of Documents

Each and every report, draft, map, record, plan, document and other writing ("Documents") produced, prepared or caused to be produced or prepared by or on behalf of SUBRECIPIENT, or any of its officers, employees, agents, representatives, contractors and subcontractors, in connection with this Agreement, shall be the exclusive property of COUNTY, and COUNTY shall have the sole right to use such Documents in its sole discretion without further compensation to SUBRECIPIENT or any other party. SUBRECIPIENT shall, at SUBRECIPIENT's own expense, provide such Documents to COUNTY upon COUNTY'S written request.

4. Disclosure

SUBRECIPIENT understands that client information collected under this Agreement is private and the use or disclosure of such information, when not directly connected with the administration of COUNTY or SUBRECIPIENT's responsibilities with respect to services provided under this Agreement, may be prohibited under federal or state law unless written consent is obtained from such person receiving services and, in the case of a minor, that of a responsible parent/guardian. COUNTY shall disclose any information required by state or federal law, unless there is an applicable exception.

5. Audits and Inspections

All SUBRECIPIENT records with respect to any matters in connection with this Agreement shall be made available to COUNTY, the State, and any of their authorized representatives, at any time during normal business hours, as often as deemed necessary by COUNTY or the State, to audit, examine, and make copies, excerpts or transcripts of all relevant data. Any deficiencies, audit findings, or required corrective actions noted in audit reports must be fully cleared by the SUBRECIPIENT within 30 days after receipt by SUBRECIPIENT unless a longer time period is agreed upon in writing in advance by the COUNTY. SUBRECIPIENT hereby agrees to have an annual Program-specific audit conducted by a certified public accounting firm in accordance with Article

V, Section 501 of the PLHA Final Guidelines and current COUNTY policy and requirements concerning audits.

Since this Agreement exceeds ten thousand dollars (\$10,000.00), SUBRECIPIENT shall be subject to the examination and audit of the California State Auditor, at the request of the COUNTY or as part of any audit of the COUNTY, for a period of three (3) years after final payment under this Agreement (Cal. Govt. Code Section 8546.7). SUBRECIPIENT shall participate in all audits and reviews, whether by COUNTY or the State, at no charge to COUNTY.

If State or COUNTY audit exceptions are made relating to this Agreement, SUBRECIPIENT shall reimburse all costs incurred by the State, and/or COUNTY governments associated with defending against the audit exceptions or performing any audits or follow-up audits, including, but not limited to: audit fees, court costs, attorneys' fees based upon a reasonable hourly amount for attorneys in the community, travel costs, penalty assessments, and all other costs of whatever nature. Immediately upon notification from COUNTY, SUBRECIPIENT shall reimburse the amount of such audit exceptions and all other related costs directly to COUNTY as specified by COUNTY in such notification.

SUBRECIPIENT agrees to maintain all records required by or pertinent to this Agreement for a minimum of five (5) years from the expiration date of this Agreement for possible audit by the State and its designated representatives.

6. Access to Records

SUBRECIPIENT shall furnish, and cause each of its own contractors and subcontractors to furnish, all information and reports required hereunder, and will permit access to books, records and accounts by COUNTY, State or other authorized officials or their agents, to ascertain compliance with the laws, rules, regulations, executive orders, ordinances, resolutions, guidelines, policies, directives, standards and provisions stated in this Agreement or PLHA.

C. Reports

SUBRECIPIENT shall provide COUNTY with PLHA Monthly Status Reports, for which a sample is attached hereto as Exhibit D, on or before the fifteenth day of each month during the Term of this Agreement, setting forth SUBRECIPIENT's activities for the immediately preceding month. Furthermore, should the State request additional reports, SUBRECIPIENT agrees to timely submit all such requested additional reports in a manner and format approved by the COUNTY and the State.

VIII. PERSONNEL AND PARTICIPANT CONDITIONS

A. Civil Rights

1. Nondiscrimination

SUBRECIPIENT shall comply with Title VIII of the Civil Rights Act of 1968 (42 U.S.C., § 3601 et seq.); Title I of the Housing and Community Development Act of 1974 (42 U.S.C., § 5301 et seq.); the Americans with Disabilities Act of 1990 (42 U.S.C., § 12101 et seq.); the Age Discrimination Act of 1975 (42 U.S.C., § 6101 et seq.); Executive Order 11063; and Executive Order 11246 as amended by Executive Orders 11375, 11478, 12107 and 12086; and all implementing regulations, and all as may be amended. SUBRECIPIENT shall comply with the non-discrimination in employment and contracting opportunities laws, regulations, and executive orders referenced in 24 CFR 5.105(a) and 24 CFR 576.407. The applicable non-discrimination provisions in Section 109 of the Housing and Community Development Act are still applicable. In addition, COUNTY's Unlawful Discrimination Ordinance (Article XIII of Chapter 2 of the Santa Barbara County Code) applies to this Agreement and is incorporated herein by this reference with the same force and effect as if

the Ordinance were specifically set out herein and SUBRECIPIENT agrees to comply with said Ordinance.

B. Affirmative Action

1. Affirmative Outreach

SUBRECIPIENT shall make known that use of its facilities, assistance, and services are available to all on a nondiscriminatory basis in accord with 24 CFR 576.407(b). Pursuant to and in accord with Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.) and the President's Executive Order 13166, SUBRECIPIENT is also required to take reasonable steps to ensure meaningful access to programs and activities for Limited English Proficiency (LEP) persons.

2. Women- and Minority-Owned Businesses (W/MBE)

SUBRECIPIENT will use its best efforts to afford small businesses, minority business enterprises, and women's business enterprises the maximum practicable opportunity to participate in the performance of this Agreement. As used in this Agreement, the terms "small business" means a business that meets the criteria set forth in Section 3(a) of the Small Business Act, as amended (15 U.S.C. § 632), and "minority and women's business enterprise" means a business that is at least fifty-one (51) percent owned and controlled by minority group members or women. For the purpose of this definition, "minority group members" are African Americans; Spanish-speaking, Spanish-surnamed, or Spanish-heritage Americans; Asian Americans; and American Indians. SUBRECIPIENT may rely on written representations by businesses regarding their status as minority and women's business enterprises in lieu of an independent investigation.

3. Subcontract Provisions

SUBRECIPIENT shall include the provisions of Titles VI and VII of the Civil Rights Act of 1964, as amended, in every contract, subcontract or purchase order, specifically or by reference, so that such provisions will be binding upon each of its own contractors, subcontractors and vendors.

C. Employment Restrictions

1. Prohibited Activity

SUBRECIPIENT is prohibited from using PLHA funds provided herein or personnel employed in the performance of the activities set out in the Scope of Services under this Agreement for: political activities; inherently religious activities; lobbying; political patronage; and nepotism activities.

2. Labor Standards Requirements

SUBRECIPIENT shall comply with federal Fair Labor Standards Act requirements as well as all labor laws and regulations of the State of California and COUNTY. Where funds provided through this Agreement are used for construction work, or in support of construction work, SUBRECIPIENT shall ensure that the requirements of Chapter 1 (commencing with Section 1720) of Part 7, Division 2 of the State of California Labor Code (pertaining to payment of prevailing wages and administered by the California Department of Industrial Relations) are met.

D. Conduct

1. Assignability

SUBRECIPIENT shall not assign or otherwise transfer, directly or indirectly, whether by operation of law or otherwise, this Agreement, any interest in this Agreement, or any of SUBRECIPIENT's rights or obligations hereunder without the prior written consent of COUNTY in each instance, and any attempt to so assign or so transfer without such consent shall be voidable and without legal effect and shall constitute grounds for termination of this Agreement by COUNTY; provided, however, that claims for money due or to become due to SUBRECIPIENT from COUNTY under this

Agreement may be assigned to a bank, trust company, or other financial institution without such approval, provided that notice of any such assignment or transfer shall be furnished promptly to COUNTY.

2. Contracts and Subcontracts

a. Approvals

SUBRECIPIENT shall not enter into any contracts or subcontracts with any agency, entity, or individual to perform services under this Agreement, in whole or in part, without the prior written consent of COUNTY in each instance. A contractor or subcontractor is not eligible to receive PLHA funds if such contractor or subcontractor is not licensed and in good standing in the State of California, or is listed on the Federal Consolidated List of Debarred, Suspended and Ineligible Contractors.

b. Monitoring

SUBRECIPIENT will monitor all contracted and subcontracted Services on a regular basis to assure compliance with this Agreement. Results of monitoring efforts shall be summarized in written reports and supported with documented evidence of follow-up actions taken to correct all areas of noncompliance. SUBRECIPIENT shall retain all written reports and submit such reports upon COUNTY's request.

c. Content

SUBRECIPIENT shall cause all of the provisions of this Agreement in its entirety to be included in and made a part of all contracts and subcontracts entered into by SUBRECIPIENT in connection with this Agreement.

d. Insurance

SUBRECIPIENT shall ensure that all contracts and subcontracts entered into in connection with this Agreement comply with minimum State-required Worker's Compensation insurance requirements, and all insurance and indemnification provisions set forth in the Standard Indemnification and Insurance Provisions attached hereto.

3. Hatch Act

SUBRECIPIENT agrees that no funds provided, nor personnel employed, in connection with this Agreement, shall be in any way or to any extent used for or engaged in the conduct of political activities in violation of 5 U.S.C., § 7321 et seq. or 5 CFR Parts 733 and 734, all as may be amended.

4. Conflicts of Interest

SUBRECIPIENT agrees to abide by, and keep records to show compliance with, the organizational and individual conflicts of interest provisions of the PLHA Final Guidelines, which include, but are not limited to, the following:

a. SUBRECIPIENT shall maintain a written code or standards of conduct that shall govern the performance of its officers, employees, agents or consultants engaged in the award and administration of contracts supported by PLHA funds.

b. No employee, officer, agent or consultant of SUBRECIPIENT shall participate in the selection, or in the award, or administration of, a contract supported by PLHA funds if a conflict of interest, real or apparent, would be involved.

c. No covered persons who exercise or have exercised any functions or responsibilities with respect to PLHA-funded activities, or who are in a position to participate in a decision-

making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from the PLHA-funded activities, may obtain a financial interest in any contract, or have a financial interest in any contract, subcontract, or agreement with respect to the PLHA-funded activity, or with respect to the proceeds derived from the PLHA-funded activity, either for themselves or those with whom they have business or family ties, during their tenure or for a period of one (1) year thereafter. For purposes of this paragraph, a “covered person” includes any person who is an employee, agent, consultant, officer, or elected or appointed official of COUNTY, SUBRECIPIENT, or any designated public agency.

SUBRECIPIENT must promptly disclose to the COUNTY, in writing, all potential and actual conflicts of interest.

5. **Copyright**

If this Agreement results in any material, works or inventions that may be protected by copyright, trademark, or patent, COUNTY, and/or State reserves the right to a royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use and to authorize others to use, the materials, works or inventions for governmental purposes.

COUNTY shall be the owner of the following items in connection with this Agreement upon creation, whether or not completed: all data collected, all documents of any type whatsoever, and any material necessary for the practical use of the data and/or documents from the time of collection and/or production whether or not performance under this Agreement is completed or terminated prior to completion. SUBRECIPIENT shall not release any materials under this section except after prior written approval of COUNTY in each instance.

No materials produced in whole or in part under this Agreement shall be subject to copyright in the United States or in any other country except as determined at the sole discretion of COUNTY. COUNTY shall have the unrestricted authority to publish, disclose, distribute, and otherwise use in whole or in part, any reports, data, documents or other materials prepared under this Agreement.

E. California Environmental Quality Act

This Agreement is subject to the provisions of the California Environmental Quality Act (CEQA). SUBRECIPIENT assumes responsibility to fully comply with CEQA’s requirements regarding the Work. In addition, SUBRECIPIENT shall comply with the environmental requirements of 24 CFR 576.407, subdivision (d). The obligation of funds and incurring of costs is hereby conditioned upon compliance with CEQA, 24 CFR Section 576.407, subdivision (d), and completion by the State of all applicable review and approval requirements.

IX. SEVERABILITY

If any provision of this Agreement is held invalid, illegal or unenforceable by a court of competent jurisdiction, then such provision shall be deemed severable from the remaining provisions hereof, and, the remainder of the Agreement shall not be affected thereby and all other parts of this Agreement shall nevertheless be in full force and effect.

X. SECTION HEADINGS AND SUBHEADINGS

The section headings and subheadings contained in this Agreement are included for convenience only and shall not affect the meaning, construction or effect of the terms of this Agreement.

XI. WAIVER

COUNTY's delay or failure to act with respect to a breach by the SUBRECIPIENT shall not constitute or be construed as a waiver of COUNTY's rights with respect to subsequent or similar breaches. Any delay or failure of COUNTY to exercise or enforce any right or provision of this Agreement shall not constitute a waiver of such right or provision, and every power and remedy given by this Agreement to COUNTY shall be exercised from time to time and as often as may be deemed expedient in the sole discretion of COUNTY.

XII. ENTIRE AGREEMENT

This Agreement, including all Exhibits hereto, constitutes the entire agreement between the COUNTY and the SUBRECIPIENT with respect to the subject matter hereof and it supersedes all prior and contemporaneous communications and proposals, whether electronic, oral, or written between the COUNTY and the SUBRECIPIENT with respect to the subject matter hereof. Each party hereto waives the future right to claim, contest or assert that this Agreement was modified, canceled, superseded, or change by any oral agreements, course of conduct, waiver or estoppel.

XIII. REMEDIES NOT EXCLUSIVE

No remedy herein conferred upon or reserved to COUNTY is intended to be exclusive of any other remedy or remedies, and each and every such remedy, to the extent permitted by law, shall be cumulative and in addition to any other remedy given hereunder or now or hereafter existing at law or in equity or otherwise.

XIV. TIME IS OF THE ESSENCE

Time is of the essence in this Agreement and each covenant and term is a condition herein.

XV. NONEXCLUSIVE AGREEMENT

SUBRECIPIENT understands that this is not an exclusive Agreement and that COUNTY shall have the right to negotiate with and enter into contracts with others providing the same or similar services as those provided by SUBRECIPIENT as COUNTY desires.

XVI. CALIFORNIA LAW

This Agreement shall be governed by the laws of the State of California. Any litigation regarding this Agreement or its contents shall be filed in the County of Santa Barbara, if in state court, or in the federal district court nearest to the County of Santa Barbara, if in federal court.

XVII. EXECUTION OF COUNTERPARTS

This Agreement may be executed in any number of counterparts and each of such counterparts shall for all purposes be deemed to be an original; and all such counterparts, or as many of them as the parties shall preserve undestroyed, shall together constitute one and the same instrument.

XVIII. AUTHORITY

All parties to this Agreement warrant and represent that they have the power and authority to enter into this Agreement in the names, titles and capacities herein stated and on behalf of any entities, persons, or firms represented or purported to be represented by such entity(ies), person(s), or firm(s) and that all formal requirements necessary or required by any state and/or federal law in order to enter into this Agreement have been fully complied with. Furthermore, by entering into this Agreement, SUBRECIPIENT hereby warrants that it shall not have breached the terms or conditions of any other contract or agreement to which SUBRECIPIENT is obligated, which breach would have a material effect hereon.

XIX. PRECEDENCE

In the event of conflict between the provisions contained in the numbered Sections I through XIX of this Agreement (“Numbered Sections”) and the provisions contained in the Exhibits, the provisions of the Numbered Sections shall prevail over those in the Exhibits, other than Exhibit C, which shall control and prevail.

[Signatures on Following Pages]

IN WITNESS WHEREOF, the parties hereto have executed this Agreement to be effective as of the date Operating Start Date.

ATTEST:

MONA MIYASATO
COUNTY EXECUTIVE OFFICER
CLERK OF THE BOARD

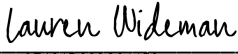
By:  
0B03F3DDF9EE4AA
Deputy Clerk of the Board

"COUNTY"

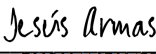
County of Santa Barbara

Signed by: 
By: 9DD6B7A21FC646A...
Bob Nelson, Chair
Board of Supervisors

APPROVED AS TO FORM:
COUNTY COUNSEL
RACHEL VAN MULLEM

By: 
8F464D822C84458...
Deputy County Counsel
Lauren Wideman

DEPARTMENT HEAD
Community Services Department

DocuSigned by: 
By: E33B804A6E03475...
Jesús Armas
Director

APPROVED AS TO FORM:
Risk Management
Marisa Kahn

By: 
DF54F5C66F0C41A...
Risk Manager

SUBRECIPIENT: Community Action Partnership of San Luis
Obispo County, Inc.

DocuSigned by: 
By: EF347D3AE7E44FD...
Elizabeth Steinberg
Executive Director

APPROVED AS TO ACCOUNTING FORM:
Betsy Schaffer, CPA
Auditor-Controller

By: 
DF6DB6D7D6344E6...
Deputy Auditor-Controller
Shawna Jorgensen

EXHIBIT A

Scope of Services
Permanent Local Housing Allocation Funding

This Scope of Work is attached to and incorporated into the PLHA Subrecipient Agreement between COUNTY and Community Action Partnership of San Luis Obispo County, Inc. (SUBRICIPIENT).

Project Title: CAPSLO Energy Services Home Repair

A. INTRODUCTION

This Scope of Services is attached to and incorporated into the Subrecipient Agreement between the County of Santa Barbara (“COUNTY”) and Community Action Partnership of San Luis Obispo County, Inc. (“SUBRECIPIENT”) as referenced in the Agreement. The purpose of this Scope of Services is to further describe the project requirements referenced in Section I of the Agreement.

B. PROJECT DESCRIPTION

1. Purpose:

SUBRECIPIENT will provide home repair services for seniors, the disabled, and low-income residents in the North County community of Santa Maria. Many of these individuals and families are low-income and cannot afford the repairs, accessibility improvements, weatherization, and other types of upgrades that allow them to remain in their home and prevent them from becoming homeless or institutionalized.

Services: SUBRECIPIENT will help keep low-income households in their own homes by providing essential repairs and accessibility improvements. Work will be performed by SUBRECIPIENT’s staff who are well-qualified and have a demonstrated track record in providing these kinds of services.

- a. State Regulatory Information: The Services shall be provided in compliance with the PLHA Plan, specifically Section 301(a)(2) Rental and Homeownership housing.
- b. Eligible Geographic Area: All homes repaired with funds under this Agreement must be located in the City of Santa Maria.

1. Levels of Accomplishment

GOALS: SUBRECIPIENT shall provide the following levels of services during the Term of the Agreement:

Services	Goal
Estimated total unduplicated number of persons served	100
Estimated total unduplicated number of households served	40

PERFORMANCE MEASURES: SUBRECIPIENT shall meet the following performance measures during the Term of the Agreement:

Services	Goal
Provide critical home repairs	Critical repairs identified in Section B.1 shall be completed to a high standard of workmanship with qualified workers who are properly licensed in accordance with applicable law.

2. DATA COLLECTION AND REPORTING

1. General

SUBRECIPIENT must collect data in accordance with the PLHA Program Guidelines.

SUBRECIPIENT shall provide requested data in accordance with PLHA Program Guidelines and as requested by the County of Santa Barbara. SUBRECIPIENT shall collect information on household income level, veteran or disabled and, demographic information voluntarily provided and authorized by the client.

2. Report Schedule

SUBRECIPIENT must provide Status Reports that are due according to the following schedule:

Period	Due Date
July 1 – September 30, 2026	October 20, 2026
October 1 – December 31, 2026	January 20, 2027
January 1 – March 31, 2027	April 20, 2027
April 1 – June 30, 2027	July 20, 2027

COUNTY's disbursement of funds is contingent upon its receipt of SUBRECIPIENT's Status Reports.

3. Report Content

Each of SUBRECIPIENT's Status Reports must contain all of the following:

- a. Subrecipient Report generated from CAPSLO, Inc.;
- b. Data on goals and permanent measures as set forth in Section B, above;
- c. Data on funding received for the project from all sources; and
- d. Signature of SUBRECIPIENT's Executive Director attesting to the accuracy of the information submitted.

**Exhibit B
PLHA BUDGET**

1. Project Budget

Budget Line Item	Santa Barbara County PLHA Funds	Other Funding	Project Total
Salaries, payroll taxes and benefits	\$5,308.00	\$0.00	\$5,308.00
Materials	\$2,606.00	\$0.00	\$2,606.00
Support Costs	\$1,190.00	\$0.00	\$1,190.00
Indirect allocation	\$728.00	\$0.00	\$728.00
TOTAL	\$9,832.00	\$0.00	\$9,832.00

The amounts in each line item may be adjusted with the approval of the County: provided, however, that the total contract amount does not change and the level of environmental review completed for the project is still applicable.

2. Timeline

Item	Milestone	Completion Date
A	Funding Available for Project	July 2026
B	Contract Award	July 2026
C	Implementation Begins	July 2026
D	50% Complete	December 2026
E	Project Completion	June 2027
F	Final Billing Submitted	July 2027

All PLHA reimbursable Services must be completed by June of 2027.

3. Draw Requests

Each draw request must include all of the following:

- a) Expenditure Summary and Payment Request (ESPR)- County form
- b) Supporting documentation (to include all check items below):

- ☒ Third Party invoices or receipts
- ☒ Proof of payment, such as copies of cancelled checks
- ☒ Lien Waivers

EXHIBIT C
EXPENDITURE SUMMARY AND PAYMENT REQUEST (ESPR)

EXPENDITURE SUMMARY AND PAYMENT REQUEST (ESPR)
State of CA Permanent Local Housing Allocation
County of Santa Barbara Community Service Department

FY 2026 - 27
July - June

INSTRUCTIONS: Complete tab 2 (Itemized Expenses) first, then complete only the yellow shaded cells on tab 1 (ESPRFORM).
Submit a signed PDF of tab 1 and an Excel copy of the full document via the Neighborly grant portal.

Agency Name	CAPSLO	Invoice/Request #	
Program Name	Homeowner Home Repair Program	Date Submitted	
Address	1030 Southwood Drive, San Luis Obispo, CA 93401	Program Type:	PLHA
Contact Person	Jim McNamara	Quarter	☐ Qtr 1 (July - Sep)
Phone	805-541-4122		☐ Qtr 2 (Oct - Dec)
Email	jmcnamara@capslo.org		☐ Qtr 3 (Jan - Mar)
			☐ Qtr 4 (Apr - Jun)

GRANT BUDGET AND EXPENDITURES

BUDGET LINE ITEM	ACTIVITY DESCRIPTION	TOTAL GRANT BUDGET	TOTAL OF PREVIOUS DRAWDOWNS	REQUESTED DRAWDOWN THIS PERIOD	NEW AVAILABLE BALANCE
Cat. 1 Salaries, Benefits, Payroll Taxes		\$ 5,308.00	\$ -	\$ -	\$ 5,308.00
Cat. 2 Materials		\$ 2,606.00	\$ -	\$ -	\$ 2,606.00
Cat. 3 Support Costs		\$ 1,190.00	\$ -	\$ -	\$ 1,190.00
Cat. 4 Indirect Allocation		\$ 728.00	\$ -	\$ -	\$ 728.00
TOTAL		\$ 9,832.00	\$ -	\$ -	\$ 9,832.00

☐ Check this box if this is the final payment. Any balances will be rescinded and returned to the County.

Certification:
I certify to the best of my knowledge and belief that this report is true and complete, and I have reviewed all supporting documentation. Disbursements have been made for the purpose and conditions of this grant and have not been paid by any other source.

Manager / Fiscal Officer	Administrator / Executive Director
Name	Name
Title	Title
Signature	Signature
Date	Date

Payment requests are due monthly by the 15th of the month following the end of the quarter.

This form has been tailored for the funding year noted in the upper-right corner of this form. Other ESPR forms are obsolete.

EXHIBIT D QUARTERLY STATUS REPORT



Quarterly Status Report Permanent Local Housing Allocation

County of Santa Barbara
Community Services Department

Instructions: Submit this status via Neighborly Software

☐ Quarter 1 7/1/26-9/30/26	☐ Quarter 2 10/1/26-12/31/26	☐ Quarter 3 1/1/27-3/31/27	☐ Quarter 4 4/1/27-6/30/27
Agency <u>CAPSLO, Inc.</u>	Contact Person <u>Elizabeth Steinberg</u>		
Project <u>CAPSLO Energy Services Home Repair</u>	Phone Number <u>805-544-4355</u>		
Contract # _____	Email Address <u>esteinberg@capslo.org</u>		

1. PLHA Subrecipient Report

Generate a Subrecipient Report for the reporting period and attach any print-out to this report.

2. Accomplishments

Goals

	Goal	Quarter	Year-to-Date
Total unduplicated number of persons served	100		
Total unduplicated number of households served	40		

Performance Measures

	Goal	Quarter	Year to Date
Provide Critical Home Repairs for number of households	40		
# of Extremely Low Income (0-30% AMI) Households assisted			
# of Very Low Income (max 50% AMI) Households assisted			
# of Households at or below 60% AMI assisted			
# of Low-Income Households (max 80% AMI) assisted			
# of Moderate-Income Households assisted (max 120% AMI or 150% AMI in high cost areas)			
Total Number of Seniors (65+) Assisted			
Total Number of Veterans Assisted			
Total Number of Disabled Persons Assisted			
Total Number of Families with Minor Children Assisted			
Total Number of Transition Youth (18-24 y/o) Assisted			
Total Number of Farmworkers Assisted			

Narrative

Describe the project's progress in meeting the goals and performance measures as set forth in the Subrecipient Agreement. If the project is not performing as planned, provide an explanation.

3. Race & Ethnicity Data

	Quarter	Program-to-Date
	Total	Total
RACE		
White		
Black/African American		
Asian		
American Indian/Alaskan Native		
Native Hawaiian/Other Pacific Islander		
American Indian/Alaskan Native & White		
Asian & White		
Black/African American & White		
American Indian/Alaskan Native & Black/African American		
Other multi-racial		
Totals in RACE		
ETHNICITY1		
Hispanic or Latino2		
Not Hispanic or Latino		
Totals in ETHNICITY		

4. Project Funding

Report funding received for the **project** during the quarter and year-to-date by source.

Additional Funding Sources

	Amount	
Cal Home	\$	
Other Local Funds	\$	
Private Trusts and Foundation Funds	\$	
Donations	\$	
Other		
Total	\$	

5. Additional Comments

Provide any additional comments on areas of this report that need explanation.

1 Totals in race and Ethnicity must be equal to each other. Please state a Race and Ethnicity for each client.
2 Subset of total per racial category. Hispanic or Latino refers to a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

6. Submission Certification

I certify that all information stated in and attached to this report is true and accurate.

Signature: _____ Date: _____

Name & Title: _____

EXHIBIT E

Indemnification and Insurance Requirements (For Service Contracts Not Requiring Professional Liability Insurance)

INDEMNIFICATION

CONTRACTOR agrees to indemnify, defend (with counsel reasonably approved by COUNTY) and hold harmless COUNTY and its officers, officials, employees, agents and volunteers from and against any and all claims, actions, losses, damages, judgments and/or liabilities arising out of this Agreement from any cause whatsoever, including the acts, errors or omissions of any person or entity and for any costs or expenses (including but not limited to attorneys' fees) incurred by COUNTY on account of any claim except where such indemnification is prohibited by law. CONTRACTOR'S indemnification obligation applies to COUNTY'S active as well as passive negligence but does not apply to COUNTY'S sole negligence or willful misconduct.

NOTIFICATION OF ACCIDENTS AND SURVIVAL OF INDEMNIFICATION PROVISIONS

CONTRACTOR shall notify COUNTY immediately in the event of any accident or injury arising out of or in connection with this Agreement. The indemnification provisions in this Agreement shall survive any expiration or termination of this Agreement.

INSURANCE

CONTRACTOR shall procure and maintain for the duration of this Agreement insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder and the results of that work by the CONTRACTOR, its agents, representatives, employees or subcontractors.

A. Minimum Scope of Insurance

Coverage shall be at least as broad as:

1. **Commercial General Liability (CGL):** Insurance Services Office (ISO) Form CG 00 01 covering CGL on an "occurrence" basis, including products-completed operations, personal & advertising injury, with limits no less than \$2,000,000 per occurrence and \$4,000,000 in the aggregate.
2. **Automobile Liability:** Insurance Services Office Form Number CA 0001 covering, Code 1 (any auto), or if CONTRACTOR has no owned autos, Code 8 (hired) and 9 (non-owned), with limit no less than \$1,000,000 per accident for bodily injury and property damage.
3. **Workers' Compensation:** Insurance as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than \$1,000,000 per accident for bodily injury or disease. ***(Not required if CONTRACTOR provides written verification that it has no employees)***

If the CONTRACTOR maintains higher limits than the minimums shown above, the COUNTY requires and shall be entitled to coverage for the higher limits maintained by the CONTRACTOR. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the COUNTY.

B. Other Insurance Provisions

The insurance policies are to contain, or be endorsed to contain, the following provisions:

1. **Additional Insured** – COUNTY, its officers, officials, employees, agents and volunteers are to be covered as additional insureds on the CGL policy with respect to liability arising out of work or operations performed by or on behalf of the CONTRACTOR including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to the CONTRACTOR'S insurance (at least as broad as ISO Form CG 20 10 11 85 or if not available, through the addition of both CG 20 10, CG 20 26, CG 20 33, or CG 20 38; **and** CG 20 37 if a later edition is used).
2. **Primary Coverage** – For any claims related to this Agreement, the CONTRACTOR'S insurance coverage shall be primary insurance as respects the COUNTY, its officers, officials, employees, agents and volunteers. Any insurance or self-insurance maintained by the COUNTY, its officers, officials, employees, agents or volunteers shall be excess of the CONTRACTOR'S insurance and shall not contribute with it.
3. **Notice of Cancellation** – Each insurance policy required above shall provide that coverage shall not be canceled, except with notice to the COUNTY.
4. **Waiver of Subrogation Rights** – CONTRACTOR hereby grants to COUNTY a waiver of any right to subrogation which any insurer of said CONTRACTOR may acquire against the COUNTY by virtue of the payment of any loss under such insurance. CONTRACTOR agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation, but this provision applies regardless of whether or not the COUNTY has received a waiver of subrogation endorsement from the insurer.
5. **Deductibles and Self-Insured Retention** – Any deductibles or self-insured retentions must be declared to and approved by the COUNTY. The COUNTY may require the CONTRACTOR to purchase coverage with a lower deductible or retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention.
6. **Acceptability of Insurers** – Unless otherwise approved by Risk Management, insurance shall be written by insurers authorized to do business in the State of California and with a minimum A.M. Best's Insurance Guide rating of "A- VII".
7. **Verification of Coverage** – CONTRACTOR shall furnish the COUNTY with proof of insurance, original certificates and amendatory endorsements as required by this Agreement. The proof of insurance, certificates and endorsements are to be received and approved by the COUNTY before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive the CONTRACTOR'S obligation to provide them. The CONTRACTOR shall furnish evidence of renewal of coverage throughout the term of the Agreement. The COUNTY reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time.
8. **Failure to Procure Coverage** – In the event that any policy of insurance required under this Agreement does not comply with the requirements, is not procured, or is canceled and not replaced, COUNTY has the right but not the obligation or duty to terminate the Agreement. Maintenance of required insurance coverage is a material element of the Agreement and failure to maintain or renew such coverage or to provide evidence of renewal may be treated by COUNTY as a material breach of contract.

9. Subcontractors – CONTRACTOR shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and CONTRACTOR shall ensure that COUNTY is an additional insured on insurance required from subcontractors.

10. Special Risks or Circumstances – COUNTY reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

Any change requiring additional types of insurance coverage or higher coverage limits must be made by amendment to this Agreement. CONTRACTOR agrees to execute any such amendment within thirty (30) days of receipt.

Any failure, actual or alleged, on the part of COUNTY to monitor or enforce compliance with any of the insurance and indemnification requirements will not be deemed as a waiver of any rights on the part of COUNTY.