

AGREEMENT

**FOR SERVICES OF INDEPENDENT CONTRACTOR
UNIVERSITY OF CALIFORNIA SANTA BARBARA RESEARCH SERVICES
(For this contract only)**

BC _____

THIS AGREEMENT (hereafter Agreement) is made by and between the County of Santa Barbara, a political subdivision of the State of California (hereafter COUNTY) and the Regents of the University of California on behalf of its Santa Barbara Campus with an address at 3227 Cheadle Hall, UCSB, Santa Barbara, CA 93106-2050 (hereafter CONTRACTOR) wherein CONTRACTOR agrees to provide and COUNTY agrees to accept the research services specified herein.

WHEREAS, CONTRACTOR represents that it is specially trained, skilled, experienced, and competent to perform the special research services required by COUNTY and COUNTY desires to retain the research services of CONTRACTOR pursuant to the terms, covenants, and conditions herein set forth;

NOW, THEREFORE, in consideration of the mutual covenants and conditions contained herein, the parties agree as follows:

1. DESIGNATED REPRESENTATIVE

Dr. Alice Gleghorn, Director, at phone number 805-681-5220 is the representative of COUNTY and will administer this Agreement for and on behalf of COUNTY. Jamie Sprague, Sponsored Projects Officer at phone number 805-893-8503 is the authorized representative for CONTRACTOR. Changes in designated representatives shall be made only after advance written notice to the other party.

2. NOTICES

Any notice or consent required or permitted to be given under this Agreement shall be given to the respective parties in writing, by personal delivery or facsimile, or with postage prepaid by first class mail, registered or certified mail, or express courier service, as follows:

To COUNTY: Dr. Alice Gleghorn, Director
Santa Barbara County
Department of Behavioral Wellness
300 N. San Antonio Road
Santa Barbara, CA 93110
FAX: 805-884-8445

To CONTRACTOR: Regents of the University of California
3227 Cheadle Hall
Santa Barbara, CA 93106-2050
Attention: Jamie Sprague, Sponsored Projects Officer

Billing Address:
Cashier's Office
SAASB Building, Room 1212
Santa Barbara, CA 93106-2003

AGREEMENT

or at such other address or to such other person that the parties may from time to time designate in accordance with this Notices section. If sent by first class mail, notices and consents under this section shall be deemed to be received five (5) days following their deposit in the U.S. mail. This Notices section shall not be construed as meaning that either party agrees to service of process except as required by applicable law.

3. SCOPE OF RESEARCH SERVICES

CONTRACTOR agrees to provide research services to COUNTY in accordance with EXHIBIT A attached hereto and incorporated herein by reference.

4. TERM

CONTRACTOR shall commence performance on July 1, 2016 and end performance upon completion, but no later than June 30, 2017 unless otherwise directed by COUNTY or unless earlier terminated.

5. COMPENSATION OF CONTRACTOR

In full consideration for CONTRACTOR's research services, CONTRACTOR shall be paid for performance under this Agreement in accordance with the terms of EXHIBIT B attached hereto and incorporated herein by reference. Billing shall be made by invoice, which shall include the contract number assigned by COUNTY and which is delivered to the address given in Section 2 NOTICES above following completion of the increments identified on EXHIBIT B. Unless otherwise specified on EXHIBIT B, payment shall be net thirty (30) days from presentation of invoice.

6. INDEPENDENT CONTRACTOR

It is mutually understood and agreed that CONTRACTOR (including any and all of its officers, agents, and employees), shall perform all of its services under this Agreement as an independent contractor as to COUNTY and not as an officer, agent, servant, employee, joint venturer, partner, or associate of COUNTY. Furthermore, COUNTY shall have no right to control, supervise, or direct the manner or method by which CONTRACTOR shall perform its work and function. However, COUNTY shall retain the right to administer this Agreement so as to verify that CONTRACTOR is performing its obligations in accordance with the terms and conditions hereof. CONTRACTOR understands and acknowledges that it shall not 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. CONTRACTOR shall be solely liable and responsible for providing to, or on behalf of, its employees all legally-required employee benefits. In addition, CONTRACTOR shall be solely responsible and save COUNTY harmless from all matters relating to payment of CONTRACTOR's employees, including compliance with Social Security withholding and all other regulations governing such matters. It is acknowledged that during the term of this Agreement, CONTRACTOR may be providing services to others unrelated to the COUNTY or to this Agreement.

AGREEMENT

7. STANDARD OF PERFORMANCE

CONTRACTOR represents that it has the skills, expertise, and licenses/permits necessary to perform the research services required under this Agreement. Accordingly, CONTRACTOR shall perform all such research services in the manner and according to the standards observed by a competent practitioner of the same profession in which CONTRACTOR is engaged. All products of whatsoever nature, which CONTRACTOR delivers to COUNTY pursuant to this Agreement, shall conform to the standards of quality normally observed by a person practicing in CONTRACTOR's profession. At COUNTY'S request and to the extent that such changes do not constitute new or additional efforts beyond what is contemplated in **EXHIBIT A**, CONTRACTOR shall correct or revise any errors or omissions without additional compensation. Permits and/or licenses shall be obtained and maintained by CONTRACTOR without additional compensation.

8. DEBARMENT AND SUSPENSION

CONTRACTOR certifies to COUNTY that it and its employees and principals are not debarred, suspended, or otherwise excluded from or ineligible for, participation in federal, state, or county government contracts. CONTRACTOR certifies that it shall not contract with a subcontractor that is so debarred or suspended.

9. TAXES

CONTRACTOR shall pay all taxes, levies, duties, and assessments of every nature due in connection with any work under this Agreement and shall make any and all payroll deductions required by law. COUNTY shall not be responsible for paying any taxes on CONTRACTOR's behalf, and should COUNTY be required to do so by state, federal, or local taxing agencies, CONTRACTOR 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: FICA (Social Security), unemployment insurance contributions, income tax, disability insurance, and workers' compensation insurance.

10. CONFLICT OF INTEREST

To the best knowledge of the CONTRACTOR at the time of execution, CONTRACTOR covenants that project personnel have no employment or interest and shall not acquire any employment or interest, direct or indirect, including any interest in any business, property, or source of income, which would conflict in any manner or degree with the performance of research services required to be performed under this Agreement. CONTRACTOR further covenants that in the performance of this Agreement, no person having any such interest shall be employed by CONTRACTOR. CONTRACTOR must promptly disclose to COUNTY, in writing, any potential conflict of interest. COUNTY retains the right to waive a conflict of interest disclosed by CONTRACTOR if COUNTY determines it to be immaterial, and such waiver is only effective if provided by COUNTY to CONTRACTOR in writing.

11. OWNERSHIP OF DOCUMENTS

CONTRACTOR shall be the owner of the following items incidental to this Agreement upon production, whether or not completed: any technical report and information specified to be delivered hereunder, all data collected by CONTRACTOR, all documents of any type whatsoever (paper and electronic) created by CONTRACTOR, and any material reasonably necessary for the practical use of such items, from the time of collection and/or production whether or not performance under this Agreement is completed or terminated prior to completion. CONTRACTOR shall have the right to copyright, publish, disclose, disseminate and use, in whole and in part, any data and information developed by CONTRACTOR under this Agreement. In accordance with Article 13, CONTRACTOR will not assert ownership rights to COUNTY property and information provided to CONTRACTOR. COUNTY will have the right to publish and use any

AGREEMENT

technical report and information specified to be delivered hereunder. It is agreed, however, that under no circumstances will COUNTY state or imply in any publication or other published announcement that CONTRACTOR has tested or approved any product.

The following certification must be included within any technical report and/or information specified by Exhibit A to be delivered hereunder; "I, [author's full name], hereby certify that to the best of my knowledge as of [month/day/year] this document does not infringe on the intellectual property rights of any third party."

This Ownership of Documents provision shall survive expiration or termination of this Agreement.

12. NO PUBLICITY OR ENDORSEMENT

Neither party shall use the name or logo or any variation of such name or logo of the other party in any publicity, advertising or promotional materials, or in any manner that would give the appearance that one party is endorsing the other. Neither party shall not in any way contract on behalf of or in the name of the other.

13. COUNTY PROPERTY AND INFORMATION

All of COUNTY's property, documents, and information provided to CONTRACTOR for CONTRACTOR's use in connection with the research services shall remain COUNTY's property, and CONTRACTOR shall return any such items whenever requested by COUNTY and whenever required according to the Termination section of this Agreement. CONTRACTOR may use such items only in connection with providing the research services. CONTRACTOR shall not disseminate any COUNTY owned property, documents, or information without COUNTY's prior written consent.

14. RECORDS, AUDIT, AND REVIEW

CONTRACTOR shall keep such business records pursuant to this Agreement as would be kept by a reasonably prudent practitioner of CONTRACTOR's profession and shall maintain such records for at least four (4) years following the termination of this Agreement. All accounting records shall be kept in accordance with generally accepted accounting principles. COUNTY shall have the right to audit and review all such documents and records at any time during CONTRACTOR's regular business hours or upon reasonable notice. CONTRACTOR will participate in external COUNTY audits as requested by COUNTY.

15. INDEMNIFICATION AND INSURANCE

CONTRACTOR agrees to the indemnification and insurance provisions as set forth in EXHIBIT C attached hereto and incorporated herein by reference.

16. NONDISCRIMINATION

CONTRACTOR agrees to comply with all state and federal laws and University of California policies relating to equal employment rights. COUNTY hereby notifies CONTRACTOR that 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 CONTRACTOR agrees to comply with said ordinance. Required compliance with this Ordinance is limited to the performance of this agreement at the University of California, Santa Barbara (UC Santa Barbara), and does not extend to any other University of California locations, campuses, or entities.

AGREEMENT

17. **NONEXCLUSIVE AGREEMENT**

CONTRACTOR 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 CONTRACTOR as the COUNTY desires.

18. **NON-ASSIGNMENT**

CONTRACTOR shall not assign, transfer or subcontract this Agreement or any of its rights or obligations under this Agreement without the prior written consent of COUNTY and any attempt to so assign, subcontract or transfer without such consent shall be void and without legal effect and shall constitute grounds for termination.

19. **TERMINATION**

- A. Either party may, by written notice, terminate this Agreement for convenience, for nonappropriation of funds, or because of the failure of the other party to fulfill the obligations herein.
1. **For Convenience.** Either party may terminate this Agreement in whole or in part upon sixty (60) days written notice. During the sixty (60) day period, CONTRACTOR shall wind down and cease its services as quickly and efficiently as reasonably possible, without performing unnecessary services or activities and by minimizing negative effects on COUNTY from such winding down and cessation of services. COUNTY shall reimburse CONTRACTOR for all allowable expenditures and uncancellable obligations incurred up through the date of termination. If funds paid by COUNTY to CONTRACTOR exceed this amount, then the difference shall be returned to COUNTY. CONTRACTOR shall furnish to COUNTY such financial information as in the judgment of COUNTY is necessary to determine the reasonable value of the services rendered by CONTRACTOR.
 2. **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 in the fiscal year(s) covered by the term of this Agreement, then COUNTY will notify CONTRACTOR 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 with regard to the remainder of the term.
 3. **For Cause.** Should either party default in the performance of this Agreement or materially breach any of its provisions, the other party may terminate or suspend this Agreement in whole or in part by written notice.

20. **SECTION HEADINGS**

The headings of the several sections, and any Table of Contents appended hereto, shall be solely for convenience of reference and shall not affect the meaning, construction or effect hereof.

AGREEMENT

21. SEVERABILITY

If any one or more of the provisions contained herein shall for any reason be held to be invalid, illegal or unenforceable in any respect, then such provision or provisions shall be deemed severable from the remaining provisions hereof, and such invalidity, illegality or unenforceability shall not affect any other provision hereof, and this Agreement shall be construed as if such invalid, illegal or unenforceable provision had never been contained herein.

22. REMEDIES NOT EXCLUSIVE

No remedy herein conferred upon or reserved to COUNTY or CONTRACTOR 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.

23. TIME IS OF THE ESSENCE

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

24. NO WAIVER OF DEFAULT

No delay or omission of COUNTY to exercise any right or power arising upon the occurrence of any event of default shall impair any such right or power or shall be construed to be a waiver of any such default or an acquiescence therein; 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.

25. ENTIRE AGREEMENT AND AMENDMENT

In conjunction with the matters considered herein, this Agreement contains the entire understanding and agreement of the parties and there have been no promises, representations, agreements, warranties or undertakings by any of the parties, either oral or written, of any character or nature hereafter binding except as set forth herein. This Agreement may be altered, amended or modified only by an instrument in writing, executed by the parties to this Agreement and by no other means. Each party waives their future right to claim, contest or assert that this Agreement was modified, canceled, superseded, or changed by any oral agreements, course of conduct, waiver or estoppel.

26. SUCCESSORS AND ASSIGNS

All representations, covenants and warranties set forth in this Agreement, by or on behalf of, or for the benefit of any or all of the parties hereto, shall be binding upon and inure to the benefit of such party, its successors and assigns.

27. COMPLIANCE WITH LAW

CONTRACTOR shall, at its sole cost and expense, comply with all local, State and Federal laws and statutes now in force or which may hereafter be in force with regard to this Agreement.

28. CALIFORNIA LAW AND JURISDICTION

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 Santa Barbara County, if in federal court.

AGREEMENT

29. 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.

30. AUTHORITY

All signatories and 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, CONTRACTOR hereby warrants that it shall not have breached the terms or conditions of any other contract or agreement to which CONTRACTOR is obligated, which breach would have a material effect hereon.

31. SURVIVAL

All provisions of this Agreement which by their nature are intended to survive the termination or expiration of this Agreement shall survive such termination or expiration.

32. PRECEDENCE

In the event of conflict between the provisions contained in the numbered sections of this Agreement and the provisions contained in the Exhibits, the provisions of the Exhibits shall prevail over those in the numbered sections.

33. ENTIRE AGREEMENT

This Agreement, and Exhibits A through D, constitute the entire agreement and understanding between the parties and supersedes all previous agreements and understandings on the subject matter of this Agreement, if any.

AGREEMENT

THIS AGREEMENT INCLUDES:

- A. EXHIBIT A – STATEMENT OF WORK – Evaluation Services SATC and SAMHSA VETS

- B. EXHIBIT B – FINANCIAL PROVISIONS
 - i. Exhibit B-1 - Schedule of Rates and Contract Maximum
 - ii. Exhibit B-2 – Contractor Budget SATC and SAMHSA VETS

- C. EXHIBIT C – indemnification and Insurance Requirements for UCSB

- D. EXHIBIT D – UC Santa Barbara Pre-Approved Invoice Template

AGREEMENT

Agreement for Services of Independent Contractor between the **County of Santa Barbara** and the **Regents of the University of California, Santa Barbara**.

IN WITNESS WHEREOF, the parties have executed this Agreement to be effective on July 1, 2016.

COUNTY OF SANTA BARBARA:

By: _____
PETER ADAM
CHAIR, BOARD OF SUPERVISORS

Date: _____

ATTEST:

MONA MIYASATO
COUNTY EXECUTIVE OFFICER
CLERK OF THE BOARD

By: _____
Deputy Clerk

Date: _____

CONTRACTOR:

REGENTS OF THE UNIVERSITY OF CALIFORNIA

By: _____
Authorized Representative

Name: _____

Title: _____

Date: _____

APPROVED AS TO FORM:

MICHAEL C. GHIZZONI
COUNTY COUNSEL

By: _____
Deputy County Counsel

APPROVED AS TO ACCOUNTING FORM:

THEODORE A. FALLATI, CPA
AUDITOR-CONTROLLER

By: _____
Deputy

RECOMMENDED FOR APPROVAL:

ALICE GLEGHORN, PH.D., DIRECTOR
DEPARTMENT OF BEHAVIORAL
WELLNESS

By: _____
Director

APPROVED AS TO INSURANCE FORM:

RAY AROMATORIO
RISK MANAGEMENT

By: _____
Risk Management

EXHIBIT A
STATEMENT OF WORK
Evaluation Services SATC and SAMHSA VETS

1. **PROGRAM SUMMARY:** Contractor provides evaluation services, periodic reporting, and consultation for County treatment programs and grants, including the Substance Abuse Treatment Court (SATC), and the Substance Abuse and Mental Health Services Administration (SAMHSA Veterans Entering Treatment Services (VETS) grant (hereafter, “the Program”). The Program measures clinical outcomes, program effectiveness, recidivism rates, and client attitudes towards treatment, as further detailed in Contractor’s proposals. The Program also provides training, education and consultation to help improve data collection, clinical outcomes, and promote effective grant management, as further detailed in Contractor’s proposals. The Program will be located at the University of California – Santa Barbara, Graduate School of Education, Santa Barbara, CA 93106.

2. **DEFINITIONS.**
 - A. **Substance Abuse Treatment Court (SATC):** SATC facilitates recovery of individuals within the criminal justice system by offering alternatives to traditional criminal processing for individuals with charges related to substance abuse. SATC provides a comprehensive and judicially monitored program of drug treatment and rehabilitation services. Services include individual and group counseling, community referrals for ancillary services, and drug testing according to SATC Standards and Practices.

 - B. **SAMHSA Veterans Entering Treatment Services (VETS):** The VETS program will expand and enhance, through funding provided by a grant from SAMHSA, the existing Veterans Treatment Court (VTC) in North Santa Barbara County. The VTC was established in Santa Barbara County in November 2011 to provide treatment services to veterans involved in the justice system. The SAMHSA VETS grant program seeks to increase veterans’ access to treatment by expanding and enhancing services to address Post Traumatic Stress Disorder (PTSD), Traumatic Brain Injury (TBI), substance abuse and addiction. The VETS program will augment the current service delivery model by utilizing evidence-based practices in treatment and service delivery; increasing availability of outpatient treatment, detoxification services, transitional housing services, medically assisted treatment; and providing peer-support services such as veteran mentors and peer-led support groups. Veterans will receive 12 to 18 months of treatment and will include assessments, individualized treatment plans, peer mentoring, and alcohol and drug testing.

3. **SERVICES.** Contractor shall:
 - A. Evaluate the effectiveness of each program by collecting required data, per funding source requirements (i.e. SAMHSA), as communicated by Behavioral Wellness to the Principal Investigator (PI);

 - B. Contractor shall provide written reports on the effectiveness of each program with formal written reports, at a frequency to meet funding source requirements, and provide verbal reports at Therapeutic Justice Court Core Committee and Policy Council meetings;

 - C. Contractor shall provide consultation and training to County, court team and contract provider staff on data collection requirements and best-practice clinical methods. Consultation includes assisting County to meet grant reporting requirements;

EXHIBIT A
STATEMENT OF WORK
Evaluation Services SATC and SAMHSA VETS

D. Contractor shall present findings from data analysis and represent County at grant mandated meetings and conferences.

E. **SATC.** Contractor shall provide the following evaluation services for SATC projects (UCSB Proposal Tracking No. 20161120):

- i. Work with County and Probation to collect the data required for project(s) evaluation, as follows:
 - a. Data on the SATC will be obtained from substance abuse treatment providers who conduct an Addiction Severity Index (ASI) interview with each client on program entry; and
 - b. Probation officers assigned to the program that will collect data on client convictions before, during, and after program participation;
 - c. Consumer surveys will be collected on participants of the Juvenile Drug Court (JDC):
 1. A small fiscal incentive in the form of a \$5-10 card will be provided to JDC respondents after they complete the survey to compensate them for their time.
- ii. Conduct exit interviews with clients graduating from SATC;
- iii. Enter and maintain databases for SATC evaluation projects;
- iv. Provide quality assurance by reviewing data for inconsistencies and completeness prior to data entry;
- v. Assist County with the reporting of annual SATC data and Recurring Performance Measures (RPMs);
- vi. Provide quarterly updates to the County Alcohol and Drug Program (ADP) Manager on the status of the evaluation of projects;
- vii. Provide County with annual reports for the SATC program;
 - a. Anonymous feedback will be provided to the Juvenile Drug Court team to allow them to improve the program so that more youth will be retained in treatment.
- viii. Provide County staff with training and instruction as needed for data collection; and
- ix. Provide County with end-of-fiscal-year reports on client outcomes.

F. **SAMHSA Grant Evaluation.** Contractor shall provide the following evaluation services for VETS (UCSB Proposal Tracking No. 20161121):

- i. Train treatment provider staff to conduct required SAMHSA assessment tools and collect other data as needed;

EXHIBIT A
STATEMENT OF WORK
Evaluation Services SATC and SAMHSA VETS

- ii. Provide weekly updates to treatment providers on scheduled data collection on the number of clients who have been admitted and assessed relative to those who need to be admitted;
- iii. Meet with treatment provider staff monthly to discuss any problems with data collection and to provide feedback on client outcomes as available;
- iv. Report the number of those who need 6-month assessments in order to meet the grant's goals;
- v. Provide weekly feedback to the treatment program staff and administrators on the extent to which the grant is meeting established goals in terms of client entry and follow-up;
- vi. Provide interim reports that will allow treatment providers to make changes to improve the program;
- vii. Score assessments, create databases, enter all data in a timely manner, and analyze data:
 - a. Provide fiscal incentive in the form of a \$5-10 card to respondents after they complete assessments.
 - b. Enter all de-identified client assessment, demographic, and Common Data Platform (CDP) data, as required by SAMHSA, into databases;
 - c. Analyze the data to assess the extent to which the program has met its process and outcome goals for the biannual reports and on a yearly basis;
 - d. Provide quality assurance by reviewing data for inconsistencies and completeness prior to scoring.
- viii. Provide written reports for the end of the program funding report;
- ix. Administer a client survey, as applicable;
- x. Present findings of the formal report at professional conferences, including the national meetings of the American Psychological Association and other meetings required by SAMHSA;
- xi. Participate in monthly phone conferences with SAMHSA;
- xii. Attend required SAMHSA conferences;
- xiii. Provide the program staff with the ID numbers and dates of those who need assessments to assist with that tracking process;
- xiv. Twice a month, or as scheduled by the court, the evaluator/Principal Investigator will attend the veterans' treatment court staff to conduct assessments;
- xv. Monthly, the evaluator will meet with program staff at team meetings to discuss issues that have arisen around data collection; and

EXHIBIT A
STATEMENT OF WORK
Evaluation Services SATC and SAMHSA VETS

xvi. Write the final evaluation report with a focus on how well the program met the initial objectives of the grant.

4. GRANT FUNDED SERVICES.

Grant-funded services - Such as those funded by SAMHSA, shall adhere to the terms and conditions of the Notice of Grant Award, the original grant proposal, and any subsequent grant reapplications, incorporated herein by reference, as applicable.

**EXHIBIT B
FINANCIAL PROVISIONS**

(with attached Exhibit B-1, Schedule of Rates; Exhibit B-2, Contractor Budget)

- I. For CONTRACTOR research services to be rendered under this Agreement, CONTRACTOR shall be paid a total contract amount, including cost reimbursements, not to exceed **\$59,789**.
- II. Payment for research services and/or reimbursement of costs shall be made upon CONTRACTOR's satisfactory performance of the scope and methodology contained in EXHIBIT A. Payment for services and/or reimbursement of costs shall be based upon the costs, expenses, overhead charges and rates for personnel, as defined in EXHIBIT B-2 (Contractor Budget). Invoices submitted for payment that are based upon EXHIBIT B-2 must contain sufficient detail to enable an audit of the charges and provide supporting documentation if so specified in EXHIBIT A.
- III. Not more than monthly, CONTRACTOR shall submit to the COUNTY DESIGNATED REPRESENTATIVE an invoice or certified claim on the County Treasury for the service performed over the period specified. These invoices or certified claims must cite the assigned Board Contract Number. COUNTY DESIGNATED REPRESENTATIVE shall evaluate the research service performed and if found to be satisfactory performance of the scope of work in EXHIBIT A and within the cost basis of EXHIBIT B-2 shall initiate payment processing. COUNTY shall pay invoices or claims for satisfactory work within 30 days of receipt of correct and complete invoices or claims from CONTRACTOR.
- IV. COUNTY's failure to discover or object to any unsatisfactory work or billings prior to payment will not constitute a waiver of COUNTY's right to require CONTRACTOR to correct such work, in accordance with Article 7 of the AGREEMENT FOR SERVICES OF INDEPENDENT CONTRACTOR UNIVERSITY OF CALIFORNIA SANTA BARBARA RESEARCH SERVICES, or billings or seek any other legal remedy.
- V. **CONTRACTOR MONTHLY INVOICING REQUIREMENTS**
 - A. **Invoice Format**

Invoices shall be prepared on UC Santa Barbara's standard invoice template found in EXHIBIT D, which has been pre-approved by the COUNTY. The invoice shall list costs by staff position (including quantified level of effort) and operating expense and equipment costs consistent with the line items on the attached EXHIBIT B-2.
 - B. **Invoice Linkage to EXHIBIT B-2 Contractor Budget Positions**

Any invoiced costs for staff positions or equipment costs not listed in EXHIBIT B-2 of this Agreement will not be reimbursed by the COUNTY unless approved in advance by the COUNTY.
 - C. **Invoice Signature**

Invoices shall be signed and dated by an authorized CONTRACTOR's Designated Representative, as well as, identifying the name and title of the CONTRACTOR's Designated Representative preparing the invoice.

**EXHIBIT B
FINANCIAL PROVISIONS**

(with attached Exhibit B-1, Schedule of Rates; Exhibit B-2, Contractor Budget)

D. Copies of Payroll Ledgers

Copies of payroll ledgers for the invoice service period for each CONTRACTOR's Designated Representative directly claimed on the invoice shall be attached to the invoice. CONTRACTOR shall be notified if any invoice is missing copies of required payroll ledgers. **IMPORTANT: Monthly invoices will not be considered valid until copies of all required payroll ledgers are received by the COUNTY.**

E. Administrative/Overhead Costs

Allocated Administrative/Overhead costs shall not be reimbursable and shall not be claimed unless such costs are identified and budgeted in EXHIBIT B-2 of this Agreement.

F. Administrative/Overhead Documentation

Annually, COUNTY may require the CONTRACTOR to submit written documentation to support the calculation of the set percentage and basis used to allocate administrative/overhead costs for the fiscal year in question, as well as, identifying all administrative/overhead costs by line item and by staff position for salaries.

VI. OTHER FINANCIAL REQUIREMENTS:

A. Delivery of Service Commitment

CONTRACTOR is expected to deliver the level of research services (by fiscal year) as specified on the attached EXHIBIT B-2. CONTRACTOR understands and acknowledges that the failure to timely expend funds for any given fiscal year of this Agreement may jeopardize the ability to meet performance measures or legal requirements and may raise questions about the need for services and viability of providing funds for these services.

B. Fiscal Records

CONTRACTOR is expected to maintain adequate fiscal and project books, records, documents, and other evidence pertinent to the CONTRACTOR's performance of the Agreement in accordance with generally accepted accounting principles. Adequate supporting documentation shall be maintained in such detail so as to permit tracing transactions from support documentation to the accounting record to the financial reports and billings. CONTRACTOR shall keep such records pursuant to this Agreement as would be kept by a reasonably prudent practitioner of CONTRACTOR's profession and as required by law and shall maintain such records for the greater of four (4) years following the termination of this Agreement or as otherwise stated by law and shall be subject to examination and audit by authorized State or COUNTY representatives at any time during CONTRACTOR's regular business hours upon reasonable notice.

EXHIBIT B
FINANCIAL PROVISIONS

(with attached Exhibit B-1, Schedule of Rates; Exhibit B-2, Contractor Budget)

C. Inspection of Records

CONTRACTOR shall make sure books, records, documents and other evidence is available to the COUNTY, or its Designated Representative, during the term of the Agreement or final audit, and for four (4) years after the termination of this Agreement or as otherwise required by law, whichever is later, and provide suitable facilities for access, monitoring, inspection, and copying thereof.

D. Access to Staff and Facilities

CONTRACTOR shall permit the COUNTY, or its Designated Representative, to have access to CONTRACTOR's staff and facilities wherever CONTRACTOR has been or is performing this Agreement and shall provide proper facilities for access, monitoring and inspection.

EXHIBIT B1

SCHEDULE OF RATES AND CONTRACT MAXIMUM

Exhibit B-1							
Schedule of Rates and Contract Maximum							
CONTRACTOR NAME: The Regents of the University of California						FISCAL YEAR: 2016-17	
Drug Medi-Cal /Non Drug Medi-Cal	Service Type	Mode	Service Description	Unit of Service	DMC Service Function Code	AoD Cost Report Service Code	County Maximum Allowable Rate
Non - Drug Medi-Cal Billable Services	Ancillary Services	N/A	Research/Evaluation	Hours	N/A	4	Actual Cost
				PROGRAM			
				VETS Evaluation	Drug Court Evaluation	TOTAL	
GROSS COST:						\$0	
LESS REVENUES COLLECTED BY CONTRACTOR:							
PATIENT FEES						\$ -	
CONTRIBUTIONS						\$ -	
OTHER (LIST):						\$ -	
TOTAL CONTRACTOR REVENUES				\$ -	\$ -	\$0	
MAXIMUM CONTRACT AMOUNT PAYABLE:				\$ 24,788	\$ 35,000	\$ 59,788	
SOURCES OF BEHAVIORAL WELLNESS FUNDING FOR MAXIMUM CONTRACT AMOUNT*							
Drug Medi-Cal						\$ -	
Realignment/SAPT - Discretionary					\$ 35,000	\$ 35,000	
Realignment/SAPT - Perinatal						\$ -	
Realignment/SAPT - Adolescent Treatment						\$ -	
Realignment/SAPT - Primary Prevention				\$ 24,788		\$ 24,788	
TOTAL (SOURCES OF FUNDING)				\$ 24,788	\$ 35,000	\$ 59,788	
CONTRACTOR SIGNATURE:							
STAFF ANALYST SIGNATURE:							
FISCAL SERVICES SIGNATURE:							
**Funding sources are estimated at the time of contract execution and may be reallocated at Behavioral Wellness' discretion based on available funding sources							

EXHIBIT B-2 ADP
CONTRACTOR BUDGET

SATC – DRUG COURT EVALUATION

DATE: 07/06/16

TITLE: **ADP 16-17**

**BUDGET
YEAR 1**

UNIVERSITY OF CALIFORNIA
GEVIRTZ GRADUATE SCHOOL OF EDUCATION
SANTA BARBARA, CA 93106-8480

BEGINNING: 7/1/2016
ENDING: 6/30/2017

AGENCY: Sb County
PI: Cosden

SALARIES		UNIVERSITY	# OF	%	BASE	TOTAL
A.	NAME	RANK	MONTH	TIME	RATE	COST
	Cosden, Merith	Prof	2	0.3	12575	7545
B.	TBA	GSR II	3	0.15	3408	1534 M
	*	GSR II	9	0.25	3408	7668 F/W/S

SUB-TOTAL: SALARIES 16747

BENEFITS		UNIVERSITY	%	TOTAL
A.	NAME	RANK	BENEFITS	COST
	Cosden, Merith	Prof	actual	672
B.	TBA	GSR II		48
	*	*		77

TUITION/FEES: 1 GSR PFR @ \$4080 /qtr x 3qtrs 12240
HEALTH INSURANCE: 1 GSR GHI @ \$1007 /qtr x 3 qtrs 3021
SUB-TOTAL: BENEFITS* 16058

SUPPLIES & OTHER - SUB 3 TOTAL COST
3.1 Participant Incentives (\$5 cards x 20 participants) 100

SUB-TOTAL: SUPPLIES & OTHER - SUB 3 100

TRAVEL - SUB 5 TOTAL COST
5.1 Local Mileage (739 miles x \$0.54) 399

SUB-TOTAL: TRAVEL - SUB 5 399

SUB-TOTAL: PARTICIPANT SUPPORT - SUB 7 0

TOTAL DIRECT COSTS 33304

LESS: TUITION/FEES: (12240)
HEALTH INSURANCE: (3021)

MODIFIED TOTAL DIRECT COSTS 18043

IDC: 9.4% of MTDC 1696

TOTAL RESEARCH PROJECT COSTS: 35000

* Includes increases for UC retirement contributions

EXHIBIT B-2 ADP
CONTRACTOR BUDGET

SAMHSA – VETS EVALUATION

TITLE: **Vets 2016**

BUDGET
YEAR 1

UNIVERSITY OF CALIFORNIA
GEVIRTZ GRADUATE SCHOOL OF EDUCATION
SANTA BARBARA, CA 93106-9490

BEGINNING: 7/1/2016 AGENCY: Sb County
ENDING: 12/31/2016 PI: Cosden

SALARIES		UNIVERSITY		# OF	%	BASE	TOTAL
	NAME	RANK	PROJ TITLE	MONTH	TIME	RATE	COST
A.	Cosden, Merith	Prof	PI	3	0.25	12575	9431
B.	TBA	GSR II	GSR	3	0.45	3277	4424
	"	"	"	3	0.25	3408	2556

SUB-TOTAL: SALARIES 16411

BENEFITS		UNIVERSITY			%	TOTAL	
	NAME	RANK	PROJ TITLE		BENEFITS	COST	
A.	Cosden, Merith	Prof	PI	actual	9431	0.089	839
B.	TBA	GSR II	GSR		4424	0.031	137
	"	"	"		2556	0.01	26

TUITION/FEES: 1 GSR PFR @ \$4080 /qtr x 1qtrs 4080
HEALTH INSURANCE: 1 GSR GHI @ \$1007 /qtr x 1 qtrs 1007
SUB-TOTAL: BENEFITS* 6089

SUPPLIES & OTHER - SUB 3		TOTAL
		COST
3.1	Fax toner	50
3.2	Participant incentives (\$10 card x 20 participants)	200
SUB-TOTAL: SUPPLIES & OTHER - SUB 3		250

TRAVEL - SUB 5		TOTAL
		COST
5.1	Local Mileage (638 miles x \$0.54)	345
SUB-TOTAL: TRAVEL - SUB 5		345

SUB-TOTAL: PARTICIPANT SUPPORT - SUB 7 0

TOTAL DIRECT COSTS		23095
LESS:	TUITION/FEES:	(4080)
	HEALTH INSURANCE:	(1007)
MODIFIED TOTAL DIRECT COSTS		18008
IDC:	9.4% of MTDC	1693
TOTAL RESEARCH PROJECT COSTS:		24788

* Includes increases for UC retirement contributions

EXHIBIT C

INDEMNIFICATION AND INSURANCE PROVISIONS between the Regents of the University of California and the County of Santa Barbara

A. INDEMNIFICATION BY REGENTS OF THE UNIVERSITY OF CALIFORNIA

REGENTS OF THE UNIVERSITY OF CALIFORNIA shall indemnify, defend and hold COUNTY OF SANTA BARBARA, and COUNTY OF SANTA BARBARA's agents, officers and employees, harmless from and against all claims, damages, losses, causes of action and expenses, including attorneys' fees, for any personal injury, bodily injury, loss of life or damage to property, violation of any federal, state or municipal law, ordinance or constitutional provision, or other cause which arise out of, relate to, or result from the activities or omissions, negligent or otherwise, under this Agreement of REGENTS OF THE UNIVERSITY OF CALIFORNIA, and REGENTS OF THE UNIVERSITY OF CALIFORNIA's officers, agents and employees, including performing or authorizing the performance of, or in failing to perform or authorize the performance of any work, services or functions provided for, referred to in or in any way connected with any work, services or functions to be performed under this Agreement.

B. INDEMNIFICATION BY COUNTY OF SANTA BARBARA

COUNTY OF SANTA BARBARA shall indemnify, defend and hold REGENTS OF THE UNIVERSITY OF CALIFORNIA, and REGENTS OF THE UNIVERSITY OF CALIFORNIA's agents, officers and employees, harmless from and against all claims, damages, losses, causes of action and expenses, including attorneys' fees, for any personal injury, bodily injury, loss of life or damage to property, violation of any federal, state or municipal law, ordinance or constitutional provision, or other cause which arise out of, relate to, or result from the activities or omissions, negligent or otherwise, under this Agreement of COUNTY OF SANTA BARBARA, and COUNTY OF SANTA BARBARA's officers, agents and employees.

C. NO AGENCY

Except as otherwise specified herein, for the purposes of this section, REGENTS OF THE UNIVERSITY OF CALIFORNIA shall not be deemed to be COUNTY OF SANTA BARBARA's agent and COUNTY OF SANTA BARBARA shall not be deemed to be REGENTS OF THE UNIVERSITY OF CALIFORNIA's agent.

D. NOTIFICATION

Each party shall give the other prompt notification when it first learns of an incident or occurrence covered, or likely to be covered, under the terms of this indemnity provision, as well as prompt notification if a claim is made or suit is brought against a party based on an incident or occurrence covered, or likely to be covered, by the terms hereof.

E. CONTINUING OBLIGATION

To the extent that REGENTS OF THE UNIVERSITY OF CALIFORNIA has agreed to indemnify, defend and hold harmless COUNTY OF SANTA BARBARA, its officers, agents and employees under this Agreement, said obligations shall continue to exist during the term of this Agreement and subsequent to this Agreement for those acts or omissions giving rise to liability which occurred during this Agreement.

To the extent that COUNTY OF SANTA BARBARA has agreed to indemnify, defend and hold harmless REGENTS OF THE UNIVERSITY OF CALIFORNIA, its officers, agents and employees under this Agreement, said obligations shall continue to exist during the term of this Agreement and subsequent to this Agreement for those acts or omissions giving rise to liability which occurred during this Agreement.

F. INSURANCE

Each party recognizes and accepts the other party is self-insured. Either party may purchase commercial insurance to cover their exposure hereunder, in whole or in part.

REGENTS OF THE UNIVERSITY OF CALIFORNIA 04/12/2004

EXHIBIT D

UC SANTA BARBARA PRE-APPROVED INVOICE TEMPLATE

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

BUSINESS & FINANCIAL SERVICES

SANTA BARBARA, CALIFORNIA 93106-2040

Agency
Address

DATE:	<u>June 7, 2016</u>
UCSB REF. NO.:	<u>8- -FUND#</u>
TOTAL AWARD:	<u>AMT</u>
INVOICE NO:	<u>01</u>

Agency, Award#, Pl. End Date MM/YYYY

<u>DATES OF SERVICE</u>	<u>DESCRIPTION</u>	<u>CUMULATIVE</u>	<u>CURRENT</u>
to	Salaries & Wages	0.00	0.00
TO	Employee Benefits	0.00	0.00
from	Supplies & Expense	0.00	0.00
	Equipment and Facilities	0.00	0.00
	Domestic Travel	0.00	0.00
	Foreign Travel	0.00	0.00
	Overhead Rate % MTDC	<u>0.00</u>	<u>0.00</u>
		=====	=====

\$0.00 of current benefits figure is excluded of overhead charge (Grad Student Health and Tuition).

<u>TOTAL AMOUNT DUE</u>	<u>\$0.00</u>
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By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

Check to be made payable to:

Tyler Clark
Manager, Extramural Funds Accounting

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
CASHIER'S OFFICE
SAASB BUILDING, ROOM 1212
SANTA BARBARA, CALIFORNIA 93106-2003
REF: 8FUND#

<p>Refer questions to: Eleanor Elliott at eleanor.elliott@bfs.ucsb.edu <i>mailing instructions</i></p>
