

SUBRECIPIENT AGREEMENT
BETWEEN
COUNTY OF SANTA BARBARA as
ADMINISTRATIVE ENTITY FOR THE
SANTA MARIA/SANTA BARBARA COUNTY CONTINUUM OF CARE
AND
PATH SANTA BARBARA

PATH Santa Barbara Emergency Shelter
State of California Emergency Solutions Grants (ESG) Program

CFDA 14.231

THIS AGREEMENT is made and entered into by and between the County of Santa Barbara (herein called the "COUNTY"), a political subdivision of the State of California, and PATH Santa Barbara (herein called the "SUBRECIPIENT"), a California nonprofit organization, whose address is 816 Cacique Street, Santa Barbara, CA 93103.

WITNESSETH THAT:

WHEREAS, the Emergency Solutions Grants (ESG) Program is authorized under Title IV of the McKinney-Vento Homeless Assistance Act of 1987, Subtitle B (42 U.S.C., § 11371 et seq.), as amended by the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 ("HEARTH Act"), interim rule at 24 CFR Part 576 hereinafter called "the Act"; and

WHEREAS, the State of California Department of Housing and Community Development (State HCD) administers funds awarded by the United States Department of Housing and Urban Development (HUD) and authorized under the California Code of Regulations (CCR), Title 25, Division 1, Chapter 7, Subchapter 20, Section 8400 et seq.; and

WHEREAS, State HCD distributes State ESG Funds to service areas through Continuum of Care Allocations; and

WHEREAS, COUNTY qualifies as the Administrative Entity (AE) pursuant to 25 CCR 8401 to administer State ESG funds distributed through the Continuum of Care Allocation to the Santa Maria/Santa Barbara County Continuum of Care (hereinafter "CoC") ; and

WHEREAS, the COUNTY Community Services Department ("CSD") will act as the AE on behalf of the Santa Maria/Santa Barbara County Continuum of Care Service Area in the administration of this Agreement; and

WHEREAS, pursuant to COUNTY's Agreement with the State to perform all work required under the Continuum of Care Allocation (25 CCR Section 8403) and also specified in the COUNTY's ESG Notice of Funding Availability (NOFA) Award, SUBRECIPIENT has been designated as an ESG "Eligible Organization", as defined in 25 CCR 8401, and is awarded the sum of One hundred thirty thousand, two hundred eighteen dollars (\$130,218) for eligible activities in accordance with federal (24 CFR Part 576, Subpart B) and State regulations (25 CCR Section 8408 and Section 8409)], to be used by SUBRECIPIENT to provide services as set forth in Section I of this Agreement for the PATH Santa Barbara Emergency Shelter (herein called the "PROJECT"); and

WHEREAS, Eligible Costs incurred for PROJECT between the execution of a Grant Agreement between COUNTY and State HCD and the execution of a Subrecipient Agreement between COUNTY and SUBRECIPIENT may be paid with funds available under the Grant Agreement; and

WHEREAS, grant funds for the PROJECT are available beginning March 27, 2018, the date of execution of the Grant Agreement between COUNTY and State HCD, through July 30, 2019; and

WHEREAS, PROJECT's time of performance will begin on March 27, 2018 ("Operating Start Date") through July 30, 2019; and

WHEREAS, SUBRECIPIENT's services are eligible activities under 24 CFR Part 576, Subpart B; and, under 25 CCR Section 8408 and Section 8409; and

WHEREAS, in the event of a conflict between the State ESG Regulations and Title 2 of the Code of Federal Regulations (CFR) Part 200, entitled, "Uniform Administrative Requirements, Cost Principles and Audit Requirements", or the ESG regulations at 24 C.F.R. Part 576, the federal regulations shall prevail; and

WHEREAS, PATH Santa Barbara is a SUBRECIPIENT and its Federal Award Identification Information is attached hereto and incorporated herein as Exhibit H; and

NOW, THEREFORE, in consideration of the mutual covenants and conditions contained herein, it is agreed by and between the parties hereto that:

I. SCOPE OF SERVICES

A. General

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

B. Services

1. Eligible Activities

Activities funded by the ESG Program are limited to the following program components and eligible activities, as defined in 24 CFR 576.101-108 and State Regulations 25 CCR Sections 8408 and 8409: street outreach, emergency shelter, homelessness prevention, rapid re-housing assistance, housing relocation and stabilization services, short-term and medium-term rental assistance, Homeless Management Information System (HMIS), and administration. All State-funded ESG activities shall operate in a manner consistent with the requirements of 25 CCR Section 8409, referred to as "Core Practices" and include but not limited to, use of a homelessness coordinated entry system, housing first practices, and progressive engagement practices.

State ESG regulations allow a maximum of ten percent of an individual formula allocation under 25 CCR Section 8402 to be used for HMIS activities. State ESG funds may not be used for Renovation, Conversion, or Major Rehabilitation activities pursuant to 24 CFR 576.102. Minor repairs to an ESG-funded Emergency Shelter that do not qualify as Renovation, Conversion, or Major Rehabilitation are an eligible use of State ESG funds.

2. Services to be Provided

SUBRECIPIENT shall be responsible for providing emergency shelter essential services and operations in accordance with 24 CFR 576.101-108 and State Regulations 25 CCR Sections 8408 and 8409 and as set forth in Exhibit A.

C. Staffing

Only the salary and benefits for the positions listed in the budget in Exhibit B as funded with State ESG, if any, are eligible for reimbursement. Only the salary and benefits for the positions listed in the budget in Exhibit B as match for the federal portion of State ESG, if any, are eligible to meet match requirements. Any changes in the positions whose salary and benefits are eligible for reimbursement or to meet match requirements under this Agreement shall be approved in writing by CSD through an amendment to the budget in Exhibit B. All services shall be performed by SUBRECIPIENT or under SUBRECIPIENT's supervision. SUBRECIPIENT represents that it possesses the professional and technical personnel required to perform the services required by this Agreement. SUBRECIPIENT and its contractors and subcontractors shall perform all services in a manner commensurate with their own usual and customary standards and with the reasonable and ordinary level of care provided by others performing similar or like work.

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 and its contractors and subcontractors have, shall obtain, and shall keep in full force and effect during the term hereof, at their sole cost and expense, all licenses, permits, qualifications, insurance and approvals of whatsoever nature that are legally required of SUBRECIPIENT to practice their professions.

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 services in a manner satisfactory to COUNTY. In addition, COUNTY will review the performance of SUBRECIPIENT in accord with 24 CFR 576.501 and the State Continuum of Care Program in accord with 25 CCR Section 8403. 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 within seven (7) days after being notified by COUNTY, contract suspension or termination procedures may be initiated pursuant to Section VI.F of this Agreement.

F. COUNTY Recognition

SUBRECIPIENT shall ensure recognition of the role of COUNTY in providing ESG Program 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 by COUNTY that is made possible with ESG Program funds made available under this Agreement.

II. TERM

A. Time of Performance

This Agreement shall begin on the execution date of the grant agreement between the COUNTY and the State - March 27, 2018 (Operating Start Date) and shall terminate on October 31, 2019, unless suspended or terminated earlier or there are no State ESG Program funds available for any reason. All work to be performed hereunder and set out in the Scope of Services may commence on the Operating Start date, March 27, 2018 shall be completed by July 30, 2019.

B. Minimum Period of Use

SUBRECIPIENT shall comply with the requirements of 24 CFR 576.102(c)(2) with regard to the minimum period of service provision for ESG Program funds used only for essential services and shelter operations.

C. 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. Notwithstanding the foregoing, the terms of this Agreement shall remain in effect during any period that SUBRECIPIENT has control over State ESG 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 ESG-funded line items and line items eligible as match for the federal portion of State ESG shall be as 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 and in the form and content prescribed by COUNTY. Any amendments to the budget shall require prior written approval by both CSD and SUBRECIPIENT in accordance with Section VI.E.

SUBRECIPIENT represents that the budget includes only allowable costs and an accurate analysis of costs acceptable under the federal and State ESG program guidelines and pursuant to 24 CFR Part 576, Subpart B and 25 CCR Section 8408. SUBRECIPIENT shall comply with 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and all subparts and appendices, as applicable. These items shall be in sufficient detail to provide a sound basis for COUNTY to effectively monitor SUBRECIPIENT's performance under this Agreement.

SUBRECIPIENT further agrees to utilize State ESG Program funds available under this Agreement to supplement rather than supplant funds otherwise available. SUBRECIPIENT shall supplement the assistance provided under this Agreement by making matching contributions in an amount that equals the amount of State ESG Program funds provided by COUNTY to SUBRECIPIENT as set forth in 24 CFR 576.201 and 25 CCR 8410. SUBRECIPIENT shall certify to COUNTY its compliance with this requirement in writing, through the provision of documentary proof of eligible expenses that cover the match amounts along with the funding sources that were used for the match. Said certification shall be made and provided to COUNTY no later than the date of submission of SUBRECIPIENT's final Expenditure Summary and Payment Request (ESPR), for which a sample is attached hereto as Exhibit C, to COUNTY.

IV. PAYMENT

It is expressly agreed and understood that the total amount to be paid by COUNTY under this Agreement shall not exceed **\$130,218**. In addition, documentation of eligible match revenues and expenditures will be provided for the federal portion of State ESG in the amount of **\$99,512**. Drawdowns for the payment of eligible expenses and documentation of eligible match expenditures shall be made in accordance with the line item budgets specified in Exhibit B hereto. In accord with 24 CFR 576.203(b), and State ESG guidelines, no less than once per quarter but not more often than monthly, SUBRECIPIENT may request reimbursement for its expenditures and document eligible match expenditures. Adequate documentation of eligible match expenditures for the federal portion of State ESG must equal the amount requested for reimbursement for the federal portion of State ESG in each reimbursement request. SUBRECIPIENT shall submit a completed ESPR together with proper support documentation for services described in Sections I.A and I.B and 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 for match except for expenditures authorized in the budget as set forth in Exhibit B. The itemized costs shall be of sufficient detail to provide a sound basis for COUNTY to effectively monitor costs under this Agreement. COUNTY shall review the claim and in accord with 24 CFR 576.203(c) shall reimburse SUBRECIPIENT for allowable costs within thirty (30) days after receiving SUBRECIPIENT's complete payment request. COUNTY's payments to SUBRECIPIENT are contingent upon certification of SUBRECIPIENT's financial management system in accordance with the standards specified in 2 CFR Part 200 and the Certification of Standards for Financial Management Systems attached hereto as Exhibit G.

V. NOTICES

Notices required by this Agreement shall be in writing and delivered via 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

Dinah Lockhart, Deputy Director
County of Santa Barbara
Community Services Department
Housing and Community Development Division
123 E. Anapamu St., Second Floor
Santa Barbara, CA 93101
Office: (805) 568-3524
Fax: (805) 560-1091

SUBRECIPIENT

Jennifer Hark Dietz, Executive Director
PATH Santa Barbara
806 Cacique Street
Santa Barbara, CA 93103
Office: (323) 644-2229
Fax: (323) 644-2288

VI. GENERAL CONDITIONS

A. General Compliance

SUBRECIPIENT agrees to comply with the requirements of 24 CFR Part 576, including, but not limited to, 24 CFR 576.407, except that: (1) SUBRECIPIENT does not assume the environmental responsibilities described in 24 CFR 576.407(d) and (2) SUBRECIPIENT does not assume the responsibility for initiating the review process under the provisions of 24 CFR Part 50. In addition,

SUBRECIPIENT agrees to comply with the Federal Terms and Conditions attached hereto and incorporated herein as Exhibit E. SUBRECIPIENT also agrees to comply with the terms of the award under the California Code of Regulations (CCR), Section 8400 et seq. ("State Regulations"), attached hereto and incorporated as Exhibit I, including the grant agreement, assurances in an application, or a notice of award and all other applicable federal, state and local laws, regulations, ordinances, orders, rules, guidelines, directives, circulars, bulletins, notices and policies governing the State ESG Program 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 will be responsible for providing services in a manner consistent with all federal and state requirements and standards required as a condition of receiving and expending ESG Program 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. 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 F.

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 F.

E. Changes or Amendments

Any changes to this Agreement, unless otherwise noted, may only be made through a written amendment to this Agreement executed by COUNTY and SUBRECIPIENT. COUNTY and SUBRECIPIENT may amend this Agreement at any time provided that such amendments make specific reference to this Agreement, are executed in writing, and signed by a duly authorized representative of each party. Such amendments shall not invalidate any parts of this Agreement that are not changed by the amendment, nor relieve or release COUNTY or SUBRECIPIENT from its obligations under this Agreement that are not changed by the 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.

If this Agreement is executed on behalf of COUNTY by the County Purchasing Agent (or designee) or the Director of CSD (or designee) or both, the same duly authorized representative(s) shall execute

any amendments to this Agreement in the same fashion subject to all other applicable requirements set forth herein. If this Agreement is approved by the County Board of Supervisors and executed by the Chair of the Board of Supervisors on behalf of COUNTY, any amendments to this Agreement must be approved and executed in the same manner except the Director of CSD or designee is authorized to approve at his or her discretion and execute amendments on behalf of COUNTY to make any one or more of the following changes:

1. Changes to the Budget attached hereto as Exhibit B. Such changes shall be limited to (a) revisions to the amounts in each State ESG-funded or match Budget line items in excess of ten percent (10%), provided that the overall amount of the ESG Program funds is not increased; and (b) additions to or deletions of State ESG-funded or match line items in the Budget; provided that all expenditures are eligible pursuant to 24 CFR part 576 and State Regulations 25 CCR Sections 8408 and 8409 and that the overall amount of the ESG Program funds 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. 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

In accordance with 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and 24 CFR 576.501(c), COUNTY may suspend or terminate this Agreement if SUBRECIPIENT materially fails to comply with the terms of federal or State ESG regulations, including, but not limited to, the grant agreement, assurances in an application, or a notice of award or any terms of the 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 State ESG Program funds provided under this Agreement;
- or
- Submittal of reports that are false or that are incorrect or incomplete in any material respect.

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.** In accordance with 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, this Agreement may be terminated for convenience by COUNTY with the consent of SUBRECIPIENT in which case the two parties shall agree upon the termination conditions, including 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 in the

fiscal year(s) covered by 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 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 received by SUBRECIPIENT, unless the notice directs otherwise.

2. Termination by SUBRECIPIENT

In accordance with 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 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 will not accomplish the purposes for which the award was made, COUNTY may terminate the award in its entirety under 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

3. Upon termination, SUBRECIPIENT shall deliver to COUNTY all data, estimates, graphs, summaries, reports, and all other property, records, documents or papers as may have been accumulated or produced by SUBRECIPIENT in performing this Agreement, whether completed or in process, except such items as COUNTY may, by written permission, permit SUBRECIPIENT to retain.
4. If HUD or the State 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 such disallowed payments.

G. STATE and COUNTY Enforcement of ESG Program Requirements

COUNTY and SUBRECIPIENT acknowledge that the State will review the performance of COUNTY and SUBRECIPIENT in carrying out their responsibilities as the recipient of State ESG Program funds, based on performance measures used by HUD pursuant to 24 CFR 576.501(a) and (b) or the Continuum of Care Program under 25 CCR Section 8403. Pursuant to 24 CFR 576.501(c), and the Continuum of Care Program (25 CCR Section 8403) COUNTY must take actions as prescribed if COUNTY determines that SUBRECIPIENT is not complying with the federal or State ESG Program requirements or this Agreement.

VII. ADMINISTRATIVE REQUIREMENTS

A. Financial Management

1. Accounting Standards

SUBRECIPIENT agrees to comply with 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards pursuant to 24 CFR 576.407(c), and agrees to 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 conformance with 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. These principles shall be applied for all costs incurred whether charged on a direct or indirect basis.

3. Program Income

In accordance with 2 CFR 200.307 (e)(3) program income may be used by the SUBRECIPIENT to meet the non-Federal cost sharing or matching requirement of the State ESG award, provided the costs are eligible ESG costs that supplement the SUBRECIPIENT'S ESG program in accordance with 24 CFR 576.201.

4. Indirect Costs

Pursuant to OMB requirements, SUBRECIPIENT receiving State ESG funds 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 ESG activity unless a higher limit for the indirect cost allocation has been previously approved.

5. Procurement

SUBRECIPIENT shall comply with the procurement requirements in 24 CFR 576.407(f), 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and 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. In addition, SUBRECIPIENT shall procure all materials, property, or services in accordance with the requirements of 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

a. Procurement of Recovered Materials

SUBRECIPIENT must comply with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceed \$10,000 or the value of the quantity acquired by the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

6. Travel

SUBRECIPIENT shall obtain 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.

7. Administrative Requirements

SUBRECIPIENT also agrees to comply with all applicable uniform administrative requirements set forth in 24 CFR 576.407(c), 24 CFR Part 5, and found in the provisions contained in 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, with its subparts and appendices. State ESG Program funds received by SUBRECIPIENT from COUNTY pursuant to this Agreement shall be maintained in an account in a banking or savings and loan institution separate and apart from any other funds of SUBRECIPIENT or of any principal or member of SUBRECIPIENT.

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 and described by federal and State regulations relating to the ESG Program, including, but not limited to, those specified in 24 CFR 576.500, 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 Accounting 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 the performance of this Agreement. Such records shall include, but not be limited to:

- a. Records establishing that SUBRECIPIENT followed written intake procedures to verify "homeless" or "at risk of homelessness" status of project participants as defined in 24 CFR 576.2;
- b. For Rapid Rehousing expenditures, documentation that the participants served were referred through the Coordinated Entry System;
- c. Records providing a full description of each activity undertaken;
- d. Records required to determine the eligibility of activities;
- e. Records supporting disbursements of State ESG Program funds for the performance of eligible activities;
- f. Records supporting the source and expenditure of eligible match activities for the federal portion of State ESG;
- g. Financial records as required by 24 CFR 576.500(u) and 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; and
- h. Other records necessary to document compliance with 24 CFR Part 576 and Title 25 CCR Section 8400 et seq.

2. Client Data

- a. SUBRECIPIENT shall collect and maintain client data demonstrating client eligibility for services provided in accord with 24 CFR 576.401. Such data shall include, but not be limited to, client name, address, homeless status or other basis for determining eligibility, and descriptions of services provided.
- b. SUBRECIPIENT shall participate in HMIS in accord with 24 CFR 576.400(f).

3. Retention

Pursuant to 24 CFR 576.500(y), SUBRECIPIENT shall retain all records required by or pertinent to this Agreement for the greater of five (5) years or ten (10) years where ESG Program funds are used for the renovation of emergency shelter and cost thresholds are met in accord with 24 CFR 576.500 (y)(2) or for the conversion of a building into an emergency shelter and cost thresholds are met in accord with 24 CFR 576.500 (y)(3). The five-year retention period begins on the date that all funds from the grant under which a program participant was served are expended in accord with 24 CFR 576.500(y)(1); the ten-year retention period begins on the date that ESG Program funds are first obligated for renovation in accord with 24 CFR 576.500(y)(2) or for conversion in accord with 24 CFR 576.500(y)(3). Notwithstanding the above, if there is litigation, claims, demands, audits, negotiations, disputes or other actions that involve any of the records and that have started before the expiration of the required retention period, then such records must be retained until completion of the actions and final resolution of all issues, or the expiration of the required retention period, whichever occurs later.

4. Ownership of Documents

Each and every report, draft, map, record, plan, document and other writing (hereinafter "Documents") produced, prepared or caused to be produced or prepared by SUBRECIPIENT, its officers, employees, agents, representatives, contractors and subcontractors, in the course of performing this Agreement, shall be and become the exclusive property of COUNTY, and COUNTY shall have the sole right to use such materials 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.

5. 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.

6. Audits and Inspections

All SUBRECIPIENT records with respect to any matters covered by this Agreement shall be made available to COUNTY, State, HUD, and the Comptroller General of the United States or any of their authorized representatives, at any time during normal business hours, as often as deemed necessary, 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 by the COUNTY. SUBRECIPIENT hereby agrees to have an annual program-specific audit conducted by a certified public accounting firm in accordance with 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and current COUNTY policy and requirements concerning audits.

If 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 any audits and reviews, whether by COUNTY or the State, at no charge to COUNTY.

If federal, State or COUNTY audit exceptions are made relating to this Agreement, SUBRECIPIENT shall reimburse all costs incurred by federal, 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 the audit exceptions and any other related costs directly to COUNTY as specified by COUNTY in the notification.

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

7. 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, HUD 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 the ESG Program.

C. **Reports**

SUBRECIPIENT shall provide COUNTY with an ESG Program Quarterly Status Report, for which a sample is attached hereto as Exhibit D, on or before the twentieth day of July, October, January, April and August, setting forth its activities for the previous quarter. Further, should the State require additional reports, SUBRECIPIENT agrees to submit in a timely fashion in a manner and format approved by the COUNTY and State.

VIII. **RELOCATION, REAL PROPERTY ACQUISITION, AND ONE-FOR-ONE HOUSING REPLACEMENT**

SUBRECIPIENT agrees to comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (42 U.S.C., §§ 4601 et seq.), and implementing regulations at 49 CFR Part 24 and 24 CFR 576.408. SUBRECIPIENT shall provide relocation assistance to displaced persons as defined by 24 CFR 576.408(c)(2) (i.e., persons that are displaced as a direct result of acquisition, rehabilitation or demolition for an ESG Program-assisted project). SUBRECIPIENT also agrees to comply with applicable COUNTY ordinances, resolutions and policies and all applicable federal and state laws, regulations and orders concerning the displacement of persons from their residences.

IX. **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.

2. Land Covenants

This Agreement is subject to the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C., § 2000d et seq.; P. L. 88-352). In regard to the sale, lease, or other transfer of land acquired, cleared or improved with assistance provided under this Agreement, the SUBRECIPIENT shall cause or require a covenant running with the land to be inserted in the deed or lease for such transfer, prohibiting discrimination as described and referenced herein, in the sale, lease or rental, or in the use or occupancy of such land, or in any improvements erected or to be erected thereon, providing that COUNTY and the United States are beneficiaries of and entitled to enforce such covenants. SUBRECIPIENT, in undertaking its obligations to carry out the program assisted hereunder, agrees to take such measures as are necessary to enforce such covenant, and will not itself so discriminate.

3. Section 504

SUBRECIPIENT shall comply with all federal regulations issued pursuant or in relation to Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), which prohibits discrimination against qualified individuals with disabilities or handicaps in any federally-assisted program.

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. Approved Plan

SUBRECIPIENT agrees that it shall carry out an Affirmative Action Program pursuant to and in accord with President's Executive Order 11246 of September 24, 1966. SUBRECIPIENT shall submit to COUNTY a plan for an Affirmative Action program prior to SUBRECIPIENT'S receipt of funds. COUNTY's acceptance of SUBRECIPIENT'S Affirmative Action Program shall not be deemed to be or construed as SUBRECIPIENT'S compliance with Executive Order 11246 or any other applicable federal or state law, regulation, rule, executive order, ordinance, resolution, guideline, policy, directive, or standard.

3. 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.

4. Notifications

SUBRECIPIENT shall send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding a notice, to be provided by SUBRECIPIENT's contracting officer, advising the labor union or worker's representative of SUBRECIPIENT's commitments hereunder, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

5. Subcontract Provisions

SUBRECIPIENT will 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 ESG Program 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. SUBRECIPIENT agrees to comply with the Federal Labor Standards Provisions attached hereto and incorporated herein as Exhibit E.

2. "Section 3 Clause" – Economic Opportunities for Low- and Very Low-Income Persons

- a. The work to be performed under this Agreement is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
- b. SUBRECIPIENT agrees to comply with HUD's regulations in 24 CFR Part 135, which implement section 3. As evidenced by its execution of this Agreement, SUBRECIPIENT certifies that it is under no contractual or other impediment that would prevent it from complying with the regulations in 24 CFR Part 135.
- c. SUBRECIPIENT agrees to send to each labor organization or representative of workers with which it has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of its commitments under 24 CFR 135.38, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.
- d. SUBRECIPIENT agrees to include the section 3 clause (Section IX.C.2 of this Agreement) in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in the section 3 clause, upon a finding that the subcontractor is in violation of the

regulations in 24 CFR Part 135. SUBRECIPIENT will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.

- e. SUBRECIPIENT will certify that any vacant employment positions, including training positions, that are filled (1) after SUBRECIPIENT is selected but before the Agreement is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent SUBRECIPIENT's obligations under 24 CFR Part 135.
- f. Noncompliance with HUD's regulations in 24 CFR Part 135 may result in sanctions, termination of this Agreement for default, and debarment or suspension from future HUD-assisted contracts.
- g. With respect to work performed in connection with section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this Agreement. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indian organizations and Indian-owned Economic Enterprises. SUBRECIPIENTS that are subject to the provisions of section 3 and section 8(b) agree to comply with section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

3. 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 transfer any interest in this Agreement without the prior written consent of COUNTY thereto and any attempt to so assign or so transfer without such consent shall be void and without legal effect and shall constitute grounds for termination; 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. 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 or individual to perform services under this Agreement, in whole or in part, without the written consent of COUNTY prior to the execution of such agreement. A Contractor or subcontractor is not eligible to receive State ESG grant funds if the Contractor 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 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 any contract or subcontract executed by a contractor or subcontractor for that contractor's or subcontractor's performance of this Agreement.

d. Selection Process

SUBRECIPIENT shall undertake to ensure that all contracts and subcontracts let in the performance of this Agreement shall be awarded on a fair and open competition basis in accordance with applicable procurement requirements. Executed copies of all contracts and subcontracts shall be forwarded to COUNTY along with documentation concerning the selection process.

e. Insurance

SUBRECIPIENT shall undertake to ensure that all contracts and subcontracts let in the performance of this Agreement comply with minimum State-required Worker's Compensation insurance and all insurance and indemnification provisions set forth in the Standard Indemnification and Insurance Provisions attached hereto and incorporated herein as Exhibit F.

3. Hatch Act

SUBRECIPIENT agrees that no funds provided, nor personnel employed, under 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 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and 24 CFR 576.404, which include, but are not limited to, the following:

- a. The provision of any type or amount of State ESG assistance may not be conditioned on an individual or family's acceptance or occupancy of emergency shelter or housing owned by SUBRECIPIENT, or a parent or subsidiary of SUBRECIPIENT. No SUBRECIPIENT may, with respect to individuals or families occupying housing owned by SUBRECIPIENT, or any parent or subsidiary of SUBRECIPIENT, carry out the initial evaluation required under 24 CFR 576.401 or administer homelessness prevention assistance under 24 CFR 576.103.
- b. 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 federal funds.
- c. No employee, officer, agent or consultant of SUBRECIPIENT shall participate in the selection, or in the award, or administration of, a contract supported by federal funds if a conflict of interest, real or apparent, would be involved.

- d. No covered persons who exercise or have exercised any functions or responsibilities with respect to State ESG Program-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 State ESG Program-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 State ESG Program-funded activity, or with respect to the proceeds derived from the State ESG Program-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, any potential conflict of interest.

5. Lobbying

SUBRECIPIENT hereby certifies that:

- a. No federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement; and
- b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Agreement, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions; and
- c. It will require that the language of paragraph d. below be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all contractors and subcontractors shall certify and disclose accordingly.
- d. Lobbying Certification: “This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.”
- e. Award documents for any subawards shall include the language of paragraphs a, b, c, and d above.

6. Copyright

If this Agreement results in any material, works or inventions that may be protected by copyright, trademark, or patent, COUNTY, State, and/or HUD 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 incidental to this Agreement upon production, 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.

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.

7. Religious Activities

SUBRECIPIENT agrees that State ESG Program funds provided under this Agreement will not be utilized for inherently religious activities prohibited by 24 CFR 576.406, such as worship, religious instruction, or proselytization. SUBRECIPIENT shall comply with 24 CFR 576.406 through (f). Pursuant to Section 8406 (b) (2) of the State Regulations, SUBRECIPIENT shall not require, as a condition of Program Participant housing, participation by Program Participants in any religious or philosophical ritual, service, meeting or rite.

8. Conditions for Religious Organizations

If SUBRECIPIENT represents that it is, or may be deemed to be, a religious or denominational institution or organization or an organization operated for religious purposes which is supervised or controlled by or in connection with a religious or denominational institution or organization, SUBRECIPIENT agrees that:

- a. It will not discriminate against any employee or applicant for employment on the basis of religion and will not limit employment or give preference in employment to persons on the basis of religion; and
- b. It will not discriminate against any person applying for services under this Agreement on the basis of religion and will not limit services under this Agreement or give preference to persons on the basis of religion; and
- c. It will provide no religious instruction or counseling, conduct no religious worship or religious services, engage in no religious proselytizing, and exert no other religious influence in the provision of services under this Agreement.

SUBRECIPIENT shall comply with all applicable conditions of 24 CFR 576.406(c) prescribed by HUD for the use of ESG Program funds by religious organizations if SUBRECIPIENT is a religious organization.

9. Federal Contracts

SUBRECIPIENT agrees that every person or entity that requests or receives a federal contract, grant, loan or cooperative agreement from or through a federal agency or receives or requests from a federal agency a commitment that would provide for the United States to insure or guarantee a loan must file with that agency a written declaration and certify that he, she, or it has not made and will not make any prohibited expenditure. Further, any person or entity that requires or receives from a person or entity referred to above, a contract or subcontract under a federal contract, a subgrant or grant under a federal grant, or a contract or subcontract to carry out any purpose for which a particular federal loan is made, or contract or subcontract under a federal cooperative agreement, is required to file a written declaration with the person or entity that received the federal contract, grant, loan or commitment to insure or guarantee a loan.

10. Drug-Free Workplace

SUBRECIPIENT shall comply with the Federal Drug-Free Workplace Act (41 U.S.C., § 8101 et seq.), and shall make all good faith efforts to continue to maintain a drug-free workplace, including establishing a drug-free awareness program to inform employees about the dangers of drug abuse and SUBRECIPIENT's policy and penalties for drug abuse violations occurring in the workplace. In addition, SUBRECIPIENT agrees to provide a drug-free workplace in accordance with COUNTY's Drug-Free Workplace Policy as follows:

- a. SUBRECIPIENT will publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in SUBRECIPIENT's workplace and will specify the actions that will be taken against employees for violation of such prohibition.
- b. SUBRECIPIENT will establish an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace; and
 - (2) SUBRECIPIENT's policy of maintaining a drug-free workplace; and
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- c. SUBRECIPIENT will require that each employee to be engaged in the performance of this Agreement be given a copy of the statement specified in paragraph a above.
- d. SUBRECIPIENT will notify the employee that, as a condition of employment under this Agreement, the employee will:
 - (1) Abide by the terms of the statement specified in paragraph a above; and
 - (2) Notify SUBRECIPIENT in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five (5) calendar days after such conviction.
- e. SUBRECIPIENT will notify the COUNTY in writing, within ten (10) calendar days after receiving notice under paragraph d above from an employee or otherwise receiving actual notice of such conviction, that such notice was received from the employee or other source. Employers of convicted employees must provide notice to every grant officer or other designee on whose Agreement activity the convicted employee was working.

- f. SUBRECIPIENT will take one of the following actions, within thirty (30) calendar days of receiving notice under paragraph d above, with respect to any employee who is so convicted:
 - (1) Take appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 U.S.C., § 701 *et seq.*), as amended; or
 - (2) Require such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency.
- g. SUBRECIPIENT agrees to make a good faith effort to maintain a drug-free workplace through implementation of paragraphs a, b, c, d, e and f above.

X. ENVIRONMENTAL CONDITIONS

A. Air and Water

SUBRECIPIENT agrees to comply with the following requirements insofar as they apply to the performance of this Agreement:

- 1. Clean Air Act, 42 U.S.C. § 7401, *et seq.*;
- 2. Federal Water Pollution Control Act, as amended, 33 U.S.C., 1251, *et seq.*, and all regulations and guidelines issued thereunder; and
- 3. Environmental Protection Agency (EPA) regulations pursuant to 40 CFR Part 50, as amended.

B. Flood Disaster Protection

In accordance with the requirements of the Flood Disaster Protection Act of 1973 (42 U.S.C. § 4001 *et seq.*), SUBRECIPIENT shall assure that for activities located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, flood insurance under the National Flood Insurance Program is obtained and maintained as a condition of financial assistance for construction purposes, including rehabilitation.

C. Lead-Based Paint

Per 24 CFR 576.403(a), SUBRECIPIENT agrees to comply with the requirements of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. § 4821-4846), the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 U.S.C. § 4851-4856) and implementing regulations set forth in 24 CFR Part 35, subparts A, B, H, J, K, M, and R, that apply to all shelters assisted under the ESG program and all housing occupied by program participants. All owners, prospective owners, tenants and program participants occupying, possessing or using ESG-assisted housing constructed prior to 1978 are required to be properly notified that such housing may include lead-based paint. Such notification shall point out the hazards of lead-based paint and explain the symptoms, treatment and precautions that should be taken when dealing with lead-based paint poisoning and the advisability and availability of blood lead level screening for children under age seven. The notice should also point out that if lead-based paint is found on the property, abatement measures may be undertaken. The regulations further require that, depending on the amount of federal funds applied to a property, paint testing, risk assessment, treatment and/or abatement may be conducted. Exemptions from these requirements are enumerated in 24 CFR 35.115.

D. Historic Preservation

SUBRECIPIENT agrees to comply with the historic preservation requirements set forth in the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470) and the procedures set forth in 36

CFR Part 800, the Advisory Council on Historic Preservation Procedures for Protection of Historic Properties, insofar as they apply to the performance of this Agreement.

In general, this requires concurrence from the State Historic Preservation Officer for all rehabilitation and demolition of historic properties that are fifty years old or older or that are included on a Federal, state, or local historic property list.

E. Minimum Standards

1. Emergency Shelters

SUBRECIPIENT agrees to comply with the requirements of 24 CFR 576.403(b) for emergency shelters with respect to structures and materials, access, space and security, interior air quality, water supply, sanitary facilities, thermal environment, illumination and electricity, food preparation, sanitary conditions and fire safety.

2. Permanent Housing

SUBRECIPIENT agrees to comply with the requirements of 24 CFR 576.403(c) for permanent housing with respect to structures and materials, space and security, interior air quality, water supply, sanitary facilities, thermal environment, illumination and electricity, food preparation, sanitary conditions and fire safety.

F. 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 Part 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 and the U.S. Department of Housing and Urban Development of all applicable review and approval requirements.

XI. SEVERABILITY

If any provision of this Agreement is held invalid, illegal or unenforceable, 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.

XII. 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.

XIII. 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.

XIV. ENTIRE AGREEMENT

This Agreement constitutes the entire agreement between the COUNTY and the SUBRECIPIENT for the use of funds received under this Agreement and it supersedes all prior and contemporaneous communications and proposals, whether electronic, oral, or written between the COUNTY and the SUBRECIPIENT with respect to this Agreement. Each party 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.

XV. 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.

XVI. TIME IS OF THE ESSENCE

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

XVII. 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.

XVIII. 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.

XIX. 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.

XX. 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.

XXI. 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 this Agreement shall prevail over those in the Exhibits.

[Signatures on Following Page]

IN WITNESS WHEREOF, the parties have executed this Agreement to be effective on the date set forth above.

ATTEST:
MONA MIYASATO
CLERK OF THE BOARD

"COUNTY"
COUNTY OF SANTA BARBARA:

By: _____
Deputy Clerk

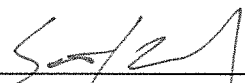
By: _____
Das Williams, Chair
Board of Supervisors

APPROVED AS TO ACCOUNTING FORM:
THEODORE A. FALLATI, CPA
AUDITOR-CONTROLLER

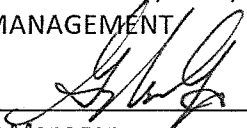
By:  _____
Deputy Auditor-Controller

By:  _____
George Chapjian
Community Services Director

APPROVED AS TO FORM:
MICHAEL C. GHIZZONI
COUNTY COUNSEL

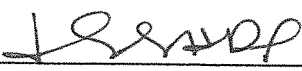
By:  _____
Deputy County Counsel

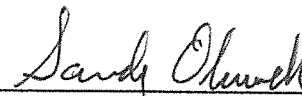
APPROVED AS TO FORM:
RAY AROMATORIO, ARM, AIC
RISK MANAGEMENT

By:  _____
Risk Manager

"SUBRECIPIENT"
PATH Santa Barbara

By: 
Jennifer Hark Dietz, Executive Director

By:  Jennifer Hark Dietz for Terry Bird
Terry Bird, Chair, Board of Directors Chair, Board of Directors

By:  v.c.
Sandy Oluwek, Chief Financial Officer

RESOLUTION 113017

**RESOLUTION OF THE BOARD OF DIRECTORS OF PATH
TO AUTHORIZE SIGNATORY AUTHORITY**

A majority of the Board of Directors of PATH, a California nonprofit corporation (the "Corporation") hereby consents to, adopt and ratify the following resolution:

WHEREAS, the Corporation would like to update the authorized persons who may sign and transact other business on the Corporation's behalf;

WHEREAS, the Board of Directors would like to **remove** the following name(s) as official signers on behalf of the Corporation:

John Molly, Deputy Chief Executive Officer
Katie Hill, Deputy Chief Executive Officer
Jeremy Sidell, Chief Development Officer
Shannon Legere, Chief Program Officer

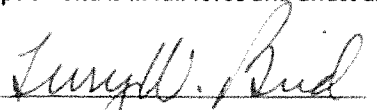
WHEREAS, the Board of Directors hereby designates and authorizes the following senior level staff to sign and officially represent the Corporation:

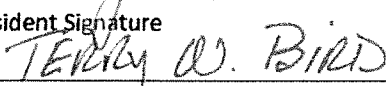
Joel Roberts, Chief Executive Officer- Existing signer
Jennifer Hark-Dietz, Deputy Chief Operating Officer
Carlos Gonzalez, Chief Innovations Officer
Sarah Kolish, Chief Administrative Officer
Tescia Uribe, Chief Program Officer
Amy Anderson, Executive Director

NOW, THEREFORE, IT IS RESOLVED: That the Board of Directors has hereby authorized this resolution as official documentation regarding signatories for the corporation. The designated senior staff members approved to represent the Corporation as official signers and the former staff members identified removed as official signers.

Passed and adopted effective as of November 14, 2017, by the consent of the Board of Directors of the Corporation.

CERTIFICATION OF THE PRESIDENT: The undersigned, President of the Board of Directors of PATH does hereby attest and certify that the foregoing Resolution is a true, full and correct copy of a resolution duly adopted at a meeting of said Corporation which was duly convened and held on the date stated thereon, and that said document has not been amended, modified, repealed or rescinded since its date of adoption and is in full force and effect as of the date hereof.



President Signature


Type or Print President's Name

11-15-17

Date

Scope of Services

State Emergency Solutions Grants (ESG) Program

Project Title:	PATH Santa Barbara Emergency Shelter
Agreement Amount:	\$130,218
Time of Performance:	March 27, 2018 – July 30, 2019

A. INTRODUCTION

This Scope of Services is attached to and incorporated into the Subrecipient Agreement between the County of Santa Barbara ("COUNTY") and PATH Santa Barbara ("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

The PATH Santa Barbara Emergency Shelter will provide integrated shelter care and supportive services to homeless individuals residing in Santa Barbara County.

PATH Santa Barbara will function as an entry point to the Continuum of Care's Coordinated Entry System.

2. Services

a. General

Services will be provided by SUBRECIPIENT under the supervision of the Executive Director who shall ensure that the background and qualifications of SUBRECIPIENT's staff providing services are appropriate for the persons being served under this project and meet the minimum standards established by pertinent licensing bodies if applicable.

SUBRECIPIENT will be responsible for providing services in a manner satisfactory to COUNTY and consistent with any standards required as a condition of receiving ESG Program funds.

b. Federal and/or State Regulatory Information

Activity	Federal Regulation	State Regulation
Rapid Re-housing	24 CFR 576.102	25 CCR 8408
Essential Services	24 CFR 576.102(a)(1)	
Shelter Operations	24 CFR 576.102(a)(3)	

3. Levels of Accomplishment

a. Goals

SUBRECIPIENT will provide the following levels of services during the term of the Agreement:

	Goal
Total year-round beds	100
Total seasonal beds	100
Total number of bed-nights made available	48,500

Total unduplicated number of persons served	500
Total unduplicated number of households served	500

b. Performance Measures

SUBRECIPIENT will meet the following performance measures during the term of the Agreement:

	Goal
% of participants will move into transitional housing at project exit	20
% of participants will move into permanent housing at project exit	20
% of adult participants will obtain earned income at project exit	20
% of adult participants will obtain cash/non-cash benefits at project exit	20
% of participants who move into transitional housing or permanent housing will remain housed for 3 months	95

C. DATA COLLECTION AND REPORTING

1. **General**

Data collection must be completed in accordance with 24 CFR 576.400(f) and in sufficient detail to determine the project's progress in meeting the goals and performance measures as set forth in Section B.3.

2. **Report Schedule**

Status Reports are due according to the following schedule:

Period	Due Date
March 27, 2018 – June 30, 2018	July 20, 2018
July 1, 2018 – September 30, 2018	October 20, 2018
October 1, 2018 – December 31, 2018	January 20, 2019
January 1, 2019 – March 31, 2019	April 20, 2019
April 1, 2019 – June 30, 2019	July 20, 2019
July 1, 2019 – July 30, 2019	August 20, 2019

Disbursement of funds is contingent upon receipt of Status Reports.

3. **Report Content**

Status Reports must contain the following:

- ESG CAPER Subrecipient Report generated from the Santa Barbara County Homeless Management Information System (HMIS),
- Data on goals and permanent measures as set forth in Section B.3.,
- Data on funding received for the project from all sources, and
- Signature of SUBRECIPIENT's Executive Director or his or her designee attesting to the accuracy of the information submitted.

See Exhibit D for a Status Report sample.

Budget and Payment Procedures

Project Title:	PATH Santa Barbara Emergency Shelter
Agreement Amount:	\$130,218
Term:	March 27, 2018 – July 30, 2019

A. INTRODUCTION

This Budget and Payment Procedures is attached to and incorporated into the Subrecipient Agreement between the County of Santa Barbara ("COUNTY") and PATH Santa Barbara ("SUBRECIPIENT") as referenced in the Agreement. The purpose of this Budget and Payment Procedures is to further describe the requirements referenced in Sections I.C., II., III., and IV. of the Agreement.

B. BUDGET

Exhibit B – Attachment 1 represents the proposed Project Revenue Budget, detailing sources of match documentation.

Exhibit B – Attachment 2 represents the proposed Project Expenditure Budget, detailing lines items to be reimbursed by State ESG funds (federal and State portions) and to be used as the eligible match for the federal portion.

Changes to Revenue or Expenditure line items to be used for eligible ESG expenditures and/or match in excess of (10%) require an approved Budget Amendment, as does the addition or deletion of Revenue or Expenditure line items to be used for eligible ESG expenditures and/or match. The overall amount of ESG funds is not to be changed.

C. PAYMENT REQUESTS

Payment request must include the following:

1. Expenditure Summary and Payment Request (ESPR) form, a sample of which is found on Exhibit C, containing an itemized list of expenditures for which reimbursement is requested from State ESG and/or which will be used as eligible match for the federal portion. Adequate documentation of eligible match expenditures for the federal portion of State ESG must equal the amount requested for reimbursement for the federal portion of State ESG in each reimbursement request;
2. Supporting documentation:
 - ☐ Third-party invoices or receipts
 - ☐ Copies of cancelled checks
 - ☐ Payroll registers and time and activity sheets
 - ☐ Documentation of referral from the Coordinated Entry System for new participants receiving Rapid Re-housing Services
 - ☐ Federal Accountability and Transparency Act form (Attachment 3)¹

¹ Per the Federal Accountability and Transparency Act of 2006 as amended, compensation data for certain officials must be reported. The report form is attached herein as Attachment 3. This form must be submitted with the first draw request and updated if there are changes

Exhibit B- Attachment 1



State of California

2017 Emergency Solutions Grant Program

Project Budget - Revenues

Project Title PATH Santa Barbara Street Outreach and Emergency ShelterApplicant Name PATH Santa Barbara

State ESG Award - Year: 2017

Budget Term: March 27, 2018 - July 20, 2019

Component	Award Amount
Street Outreach	
Emergency Shelter	\$ 130,218
Rapid Re-housing	
Homeless Prevention	
HMIS	
TOTAL	\$ 130,218

Revenue and Expense budgets should reflect the *entire program budget* for the specific project for which State ESG funds were awarded. Total Revenue and Expenses should match.

Please specify the source of "Other Federal Funds".

Revenue

Source	Total Program Budget	State ESG Funds	Federal ESG Match	Other
2017 State ESG Federal Portion (This grant)	\$ 99,512	\$ 99,512		
2017 State ESG State Portion (This grant)	\$ 30,706	\$ 30,706		
CDBG - Cities	\$ -			
CDBG - County	\$ -			
CoC Program	\$ -			
ESG - County	\$ -			
HOME - Cities	\$ -			
HOME - County	\$ -			
Other Federal Funds (specify program below)				
	\$ -			
	\$ -			
	\$ -			
	\$ -			
Other State Funds (specify program below)				
	\$ -			
	\$ -			
	\$ -			
	\$ -			
County Human Services Funds	\$ -			
Other Local Funds	\$ 148,552		\$ 99,512	\$ 49,040
Private Trusts and Foundation Funds	\$ -			
Fundraising Events	\$ -			
Donations	\$ -			
Client Fees	\$ -			
Other (specify source below)				
	\$ -			
	\$ -			
	\$ -			
	\$ -			
	\$ -			
Total Revenue	\$ 278,770	\$ 130,218	\$ 99,512	\$ 49,040



State of California
2017 Emergency Solutions Grant Program
Project Budget - Expenses

Project Title PATH Santa Barbara Street Outreach and Emergency Shelter
Applicant Name PATH Santa Barbara

Expenses

Expenses	Total Program Budget	2017 State ESG - Federal-Funded Portion		2017 State ESG - State-Funded Portion		Match for Federal-Funded Portion	
		ES - Essential Services	ES-Operations	SO	ES - Essential Services	ES-Operations	SO
Salaries, Benefits, and Payroll Taxes - Provide detail for all program staff. Add lines as needed.							
Lead Case Manager 1 FTE @ 100% - \$57,100/Annual	\$ 57,100	\$ 20,324				\$ 36,776	
Lead Case Manager 1 FTE @ 100% - \$55,400/Annual	\$ 55,400	\$ 10,434			\$ 11,238	\$ 33,728	
Security Coordinator 1 FTE @ 100% - \$39,600/Annual	\$ 39,600		\$ 26,464			\$ 10,000	\$ 3,136
	\$						
	\$						
	\$						
	\$						
	\$						
	\$						
Employee benefits and Payroll Taxes	\$ 40,220	\$ 8,304.66	\$ 7,145		\$ 3,034		\$ 19,036.08
Client Services and Direct Assistance							\$ 2,700
Rich/HP - Financial Assistance	\$						
Rich/HP - Rental Assistance	\$						
Other (Please specify):	\$						
Consultants and Contracts	\$ 53,071		\$ 5,431			\$ 4,464	
Facility, Utilities, and Maintenance	\$ 10,797		\$ 4,746			\$ 6,051	\$ 43,176
Telephone, Fax, and Internet	\$ 7,341		\$ 3,355			\$ 3,986	
Supplies	\$ 2,317		\$ 2,176			\$ 141	
Postage and Shipping	\$						
Marketing	\$						
Travel, Mileage, and Training	\$ 3,186		\$ 2,443			\$ 743	
Equipment Rental and Maintenance	\$ 1,970		\$ 1,522			\$ 448	
Insurance	\$ 1,769		\$ 1,168			\$ 601	
Other (specify below)	\$						
	\$						
Indirect Costs (Maximum 10% of Grant)	\$ 5,999		\$ 5,999				
Total Expenses	\$ 278,770	\$ 39,063	\$ 60,449	\$	\$ 14,272	\$ 16,434	\$ 30,706
		TOTAL Federal Portion		\$ 99,512	TOTAL State Portion		\$ 30,706
					TOTAL Match		\$ 99,540
							\$ 10,000
							\$ 49,012

Narrative (optional)

EXHIBIT B

**Attachment 3 to Subrecipient Agreement between
County of Santa Barbara
and
PATH Santa Barbara
PATH Santa Barbara Emergency Shelter**

The Federal Funding Accountability and Transparency Act (FFATA) requires the Office of Management and Budget (OMB) to maintain a single, searchable website that contains information on all Federal spending awards. In connection with FFATA, Santa Barbara County Housing and Community Development requires all agencies that meet the following thresholds to report:

DUNS Number 847856390

If your agency or organization:

1. Had a gross income, from all sources, over \$300,000 in Agency's previous tax year, or
2. Receives more than 80% of annual gross revenues from the Federal government and those revenues are greater than \$25 million annually, and
3. Is receiving an award of \$25,000 or more through this grant, and
4. Compensation information of your five top senior executives is not available to the general public;

then you must provide the total compensation and names of your top five executives below.

1) <u>Joel J Roberts, CEO</u>	<u>\$249,600.00</u>
Name	Annual Salary
2) <u>Jennifer Hank-Dietz, DCEO</u>	<u>\$195,000.00</u>
Name	Annual Salary
3) <u>Sarah Kolish, CAO</u>	<u>\$1105,000.00</u>
Name	Annual Salary
4) <u>Sandy Olunek, CFO</u>	<u>\$155,000.00</u>
Name	Annual Salary
5) <u>Tescia Uribe, CPO</u>	<u>\$150,000.00</u>
Name	Annual Salary

☐ Please check this box if you do not meet any of the thresholds noted above.

I certify that the information reported in this form is in compliance with the False Claims Act (U.S. Code Collection, title 31, Subtitle III, Chapter 37, Subchapter III § 3729). I understand that any person who knowingly makes a false or fraudulent claim for payment or approval, may be liable to the United States Government for a civil penalty of not less than \$5,000 and not more than \$10,000 plus three (3) times the amount of damages which the Government sustains.

Signature: [Signature]

Date: 6/4/18

Title: DCEO

Exhibit C

EXPENDITURE SUMMARY AND PAYMENT REQUEST (ESPR)

2017 STATE Emergency Solutions Grant (ESG) Program
County of Santa Barbara Community Services Department

Agency Name: PATH Santa Barbara	DUNS #: 847856390	ESPR Request #:
Project Name: Emergency Shelter		Date Submitted:
Address: 816 Cacique St.		Report Period:
Contact Person: Jennifer Hark-Dietz	Title: Executive Director	☐ Q1 (Mar-Jun 2017)
Email Address: JenniferD@epath.org	Phone #: 323-644-2229	☐ Q2 (Jul-Sep 2017)
		☐ Q3 (Oct-Dec 2017)
		☐ Q4 (Jan-Mar 2018)
		☐ Q5 (Apr-Jun 2018)
		☐ Q6 (Jul 2018)
Submit completed ESPR and required documentation to:		
Staff Person: Miriam E. Moreno	Title: Housing Program Specialist	
Email Address: mmoreno@co.santa-barbara.ca.us	Phone #: 805-568-2479	
		PO/Contract #:
		HCD Project #:
		IDIS Project ID:

Grant Budget and Expenditures

Activity ID	Program Component	Activity	Budget	Previous Drawdowns	Requested Drawdown	New Available Balance	Total/Match
0281	Emergency Shelter	Essential Services- Staff Costs	\$ 53,335.00	\$ -	\$ -	\$ 53,335.00	\$ -
0281	Emergency Shelter	Shelter Operations- Staff Costs	\$ 33,609.00	\$ -	\$ -	\$ 33,609.00	\$ -
0281	Emergency Shelter	Shelter Operations- Non-Staff Costs	\$ 37,275.00	\$ -	\$ -	\$ 37,275.00	\$ -
0281	Emergency Shelter	Indirect Costs	\$ 5,999.00	\$ -	\$ -	\$ 5,999.00	\$ -
TOTAL			\$ 130,218.00	\$ -	\$ -	\$ 130,218.00	\$ -

☐ Check this box if this is the final payment.

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 _____	Title _____
Signature _____	Date _____

Instructions: Submit this status report to Miriam E. Moreno, Housing Program Specialist by email to mmoreno@co.santa-barbara.ca.us or fax to (805) 560-1091.

☐ Quarter 1 3/27/18 – 6/30/18	☐ Quarter 2 7/1/18 – 9/30/18	☐ Quarter 3 10/1/18-12/31/18	☐ Quarter 4 1/1/19 – 3/31/19
☐ Quarter 5 4/1/19 – 6/30/19	☐ Quarter 6 7/1/19 – 7/30/2019		

Agency <u>PATH Santa Barbara</u>	Contact Person <u>Jennifer Hark Dietz</u>
Project <u>PATH Santa Barbara Emergency Shelter</u>	Phone Number <u>(323) 644-2229</u>
Contract # _____	Email Address <u>(323) 644-2288</u>

1. State ESG CAPER Subrecipient Report

Generate an ESG CAPER Subrecipient Reports from the Santa Barbara County Homeless Management Information System for the reporting period and attach a print-out to this report.

2. Accomplishments

Goals

	Goal	Quarter	Year-to-Date
EMERGENCY SHELTER			
Year-around beds	100		
Total seasonal beds	100		
Number of bed-nights made available	48,500		
Unduplicated number of persons served	500		
Unduplicated number of households served	500		

Performance Measures

		Quarter			Year-to-Date		
		Universe (#)	# Meeting Target	% Meeting Target	Universe (#)	# Meeting Target	% Meeting Target
Participants will move into transitional housing (TH)-at project exit	20%						
Participants will move into permanent housing (PH) at project exit	20%						
Adult participants will obtain earned income at project exit	20%						
Adult participants will obtain non-cash benefits at project exit	20%						
Adult participants who move into transitional housing or permanent housing will remain housed for 3 months	95%						

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		Year-to-Date	
	Total	Hispanic or Latino ¹	Total	Hispanic or Latino ¹
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				
Total				

4. Project Funding

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

HUD Funds

	Amount	
ESG	\$	
CDBG – County	\$	
CDBG – Other	\$	
HOME	\$	
HOPWA	\$	
Total	\$	

Other Funds

	Amount	
Other Federal Funds	\$	
State Funds	\$	

¹ 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.

Local Funds	\$	
Private Funds	\$	
Other Funds (<i>Specify fund source below</i>)		
	\$	
	\$	
Total	\$	

5. Additional Comments

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

6. Submission Certification

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

Signature: _____ Date: _____

Name & Title: _____

Federal Terms and Conditions

This Project is being assisted by the United States of America. The following Federal provisions must be included into the contract pursuant to the provisions applicable to such Federal assistance. During the performance of the contract, the Subrecipient must agree to comply with all applicable Federal laws and regulations including but not limited to each of the following:

A. Equal Opportunity

During the performance of this Contract, the Subrecipient agrees as follows:

1. The Subrecipient will comply with Executive Order 11246 of September 24, 1965 entitled Equal Employment Opportunity as amended by Executive Order 11375 of October 1967 as supplemented in Department of Labor regulations (41 CFR chapter 60).
2. The Subrecipient will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The Subrecipient will take affirmative action to insure that applicants are employed and that employees are treated equally during employment, without regard to race, color, religion, sex, or national origin. Such action shall include, but not be limited to, the following: employment upgrading, demotion, transfer, recruitment, or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training including apprenticeship. The Subrecipient agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the County of Santa Barbara setting forth the provisions of this nondiscrimination clause.
3. The Subrecipient will, in all solicitations or advertisements for employees placed by or on behalf of the Subrecipient, state that all qualified applicants will receive consideration for employment without regard to their race, color, religion, sex, or national origin.
4. The Subrecipient will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer, advising the labor union or workers' representative of the Subrecipients commitments under Section 202 of Executive Order No. 11246 of September 24, 1965, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
5. The Subrecipients will furnish all information and reports required by Executive Order No. 11246 of September 24, 1965, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the contracting agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
6. In the event of the Subrecipients noncompliance with the nondiscrimination clauses of this contract or with any of such rules, regulations, or orders, this contract may be cancelled, terminated or suspended in whole or in part and the subrecipient may be declared ineligible for further Government contracts in accordance with procedures authorized in Executive Order No. 11246 of Sept. 24, 1965, and such other sanctions may be imposed and remedies

EXHIBIT E

invoked as provided in Executive Order No. 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

7. The Subrecipient will include the provisions of paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order No. 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The Subrecipient will take such action with respect to any subcontract or purchase order as may be directed by the Secretary of Labor as a means of enforcing such provisions including sanctions for noncompliance: *Provided, however,* that in the event the Subrecipient becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the Subrecipient may request the United States to enter into such litigation to protect the interests of the United States.
8. The Subrecipient shall file, and shall cause each of his subcontractors to file, Compliance Reports with the contracting agency or the Secretary of Labor as may be directed. Compliance Reports shall be filed within such times and shall contain such information as to the practices, policies, programs, and employment policies, programs, and employment statistics of the Subrecipient and each subcontractor, and shall be in such form, as the Secretary of Labor may prescribe.
9. Bidders or prospective Subrecipient or subcontractors may be required to state whether they have participated in any previous contract subject to the provisions of this Order, or any preceding similar Executive order, and in that event to submit, on behalf of themselves and their proposed subcontractors, Compliance Reports prior to or as an initial part of their bid or negotiation of a contract.
10. Whenever the Subrecipient or subcontractor has a collective bargaining agreement or other Contract or understanding with a labor union or an agency referring workers or providing or supervising apprenticeship or training for such workers, the Compliance Report shall include such information as to such labor union's or agency's practices and policies affecting compliance as the Secretary of Labor may prescribe: *Provided,* That to the extent such information is within the exclusive possession of a labor union or an agency referring workers or providing or supervising apprenticeship or training and such labor union or agency shall refuse to furnish such information to the Subrecipient, the Subrecipient shall so certify to the Secretary of Labor as part of its Compliance Report and shall set forth what efforts he has made to obtain such information.
11. The Secretary of Labor may direct that any bidder or prospective Subrecipient or subcontractor shall submit, as part of his Compliance Report, a statement in writing, signed by an authorized officer or agent on behalf of any labor union or any agency referring workers or providing or supervising apprenticeship or other training, with which the bidder or prospective Subrecipient deals, with supporting information, to the effect that the signer's practices and policies do not discriminate on the grounds of race, color, religion, sex or national origin, and that the signer either will affirmatively cooperate in the implementation of the policy and provisions of this order or that it consents and agrees that recruitment, employment, and the terms and conditions of employment under the proposed contract shall be in accordance with the purposes and provisions of the order. In the event that the union, or the agency shall refuse to execute such a statement, the

EXHIBIT E

Compliance Report shall so certify and set forth what efforts have been made to secure such a statement and such additional factual material as the Secretary of Labor may require.

12. The Subrecipient will cause the foregoing provisions to be inserted in all subcontracts for work covered by this Agreement so that such provisions will be binding upon each subcontractor, provided that the foregoing provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials.

B. Disadvantaged/Minority/Women Business Enterprise Federal Regulatory Requirements under 2 CFR Part 2400 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

1. The Subrecipient will take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.
2. Affirmative steps shall include:
 - i. Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
 - ii. Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
 - iii. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;
 - iv. Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;
 - v. Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and

C. "Section 3 Clause" – Economic Opportunities for Low- and Very Low-Income Persons

1. The work to be performed under this Agreement is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
2. Subrecipient agrees to comply with HUD's regulations in 24 CFR Part 135, which implement section 3. As evidenced by its execution of this Agreement, Subrecipient certifies that it is under no contractual or other impediment that would prevent it from complying with the regulations in 24 CFR Part 135.
3. Subrecipient agrees to send to each labor organization or representative of workers with which it has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of its commitments under 24 CFR 135.38, and will post copies of the notice in conspicuous places at the work site where both

EXHIBIT E

employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set form minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

4. Subrecipient agrees to include the section 3 clause (Section C of this Exhibit) in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in the section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. SUBRECIPIENT will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.
5. Subrecipient will certify that any vacant employment positions, including training positions, that are filled (1) after SUBRECIPIENT is selected but before the Agreement is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent Subrecipient's obligations under 24 CFR Part 135.
6. Noncompliance with HUD's regulations in 24 CFR Part 135 may result in sanctions, termination of this Agreement for default, and debarment or suspension from future HUD-assisted contracts.
7. With respect to work performed in connection with section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this Agreement. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indian organizations and Indian-owned Economic Enterprises. SUBRECIPIENTS that are subject to the provisions of section 3 and section 8(b) agree to comply with section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

D. Copeland "Anti-Kickback" Act (18 U.S.C. 874)

Subrecipient shall comply with the Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR Part 3).

E. Compliance with Labor Standard Provisions

Subrecipient shall comply with all provisions contained in the form HUD-4010, Federal Labor Standards Provisions, attached as **Exhibit D** and incorporated by this reference.

F. Compliance with Sections 103 and 107 of the Contract Work Hours and safety Standards Act (40 U.S.C. 327-330)

Subrecipient will comply with Sections 103 and 107 of the Contract Work Hours and safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR part 5). Requires the contracting officer to insert the clauses set forth in 29 CFR part 5,

EXHIBIT E

Construction contracts awarded by grantees and subgrantees in excess of \$2000, and in excess of \$2500 for other contracts which involve the employment of mechanics or laborers).

G. Requirements and Regulations pertaining to Data and Design

All data and design and engineering work created under this Agreement shall be owned by the County and shall not be subject to copyright protection. The rights to any invention which is developed in the course of this Agreement shall be the property of the County.

H. Requirements and Regulations Pertaining to Reporting

The County of Santa Barbara, HUD and the Comptroller General of the United States or any of their duly authorized representatives shall be granted access to any books, documents, papers and records of Subrecipient which are directly pertinent the contract.

I. Compliance with Clean Air Act and Clean Water Act.

1. Subrecipient shall comply with all applicable standards, orders and requirements issued under Section 306 of the Clean Air Act (42 U.S.C. 1857(h)).
2. Subrecipient shall comply with all applicable standards, orders and requirements issued under Section 508 of the Clean Air Act (33 U.S.C. 1368).
3. Subrecipient shall comply with Executive Order 11738 and Environmental Protection Agency regulations (40 CFR part 15).

J. Compliance with Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871).

The Subrecipient shall comply with the mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871).

Indemnification and Insurance Requirements (For Professional Contracts)

INDEMNIFICATION

SUBRECIPIENT 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. SUBRECIPIENT'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

SUBRECIPIENT 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

SUBRECIPIENT 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 SUBRECIPIENT, his 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 \$1,000,000 per occurrence and \$2,000,000 in the aggregate.
2. **Automobile Liability:** ISO Form Number CA 00 01 covering any auto (Code 1), or if SUBRECIPIENT has no owned autos, hired, (Code 8) and non-owned autos (Code 9), with limit no less than \$1,000,000 per accident for bodily injury and property damage.
3. **Workers' Compensation:** 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.
4. **Professional Liability (Errors and Omissions)** Insurance appropriate to the SUBRECIPIENT'S profession, with limit of no less than \$1,000,000 per occurrence or claim, \$2,000,000 aggregate.

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

EXHIBIT F

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 SUBRECIPIENT 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 SUBRECIPIENT'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 and CG 20 37 if a later edition is used).
2. **Primary Coverage** – For any claims related to this Agreement, the SUBRECIPIENT's insurance coverage shall be primary insurance as respects COUNTY, its officers, officials, employees, agents and volunteers. Any insurance or self-insurance maintained by COUNTY, its officers, officials, employees, agents or volunteers shall be excess of the SUBRECIPIENT'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 COUNTY.
4. **Waiver of Subrogation Rights** – SUBRECIPIENT hereby grants to COUNTY a waiver of any right to subrogation which any insurer of said SUBRECIPIENT may acquire against COUNTY by virtue of the payment of any loss under such insurance. SUBRECIPIENT agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation, but this provision applies regardless of whether or not 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 COUNTY. COUNTY may require the SUBRECIPIENT 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** – SUBRECIPIENT shall furnish 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 COUNTY before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive the SUBRECIPIENT's obligation to provide them. The SUBRECIPIENT shall furnish evidence of renewal of coverage throughout the term of the Agreement. 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.

EXHIBIT F

9. **Subcontractors** – SUBRECIPIENT shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and SUBRECIPIENT shall ensure that COUNTY is an additional insured on insurance required from subcontractors.
10. **Claims Made Policies** – If any of the required policies provide coverage on a claims-made basis:
 - i. The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work.
 - ii. Insurance must be maintained and evidence of insurance must be provided for at least five (5) years after completion of contract work.
 - iii. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, the SUBRECIPIENT must purchase “extended reporting” coverage for a minimum of five (5) years after completion of contract work.
11. **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. SUBRECIPIENT 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.

EXHIBIT G

Certification of Standards for Financial Management Systems

SUBRECIPIENT certifies that its financial management systems conform to the standards set forth in 2 CFR Part 2400 Uniform Administrative Requirements, Cost by providing for and incorporating the following:

- A. Accurate, current and complete disclosure of the financial results of each federally-sponsored project or program in accordance with the reporting requirements set forth in 2 CFR Part 2400 Uniform Administrative Requirements, Cost;
- B. Records that identify adequately the source and application of funds for federally-sponsored activities. These records shall contain information pertaining to Federal awards, authorizations, obligations, unobligated balances, assets, outlays, income and interest.
- C. Effective control over and accountability for all funds, property and other assets. SUBRECIPIENT shall adequately safeguard all such assets and assure they are used solely for authorized purposes;
- D. Comparison of outlays with budget amounts for each award. Whenever appropriate, financial information should be related to performance and unit cost data;
- E. Written procedures to minimize the time elapsing between the receipt of funds and the issuance or redemption of checks, warrants or payments by other means for program purposes by SUBRECIPIENT;
- F. Written procedures for determining the reasonableness, allocability and allowability of costs in accordance with the provisions of the applicable Federal cost principles and the terms and conditions of the award; and
- G. Accounting records including cost accounting records that are supported by source documentation.

Subrecipient: PATH Santa Barbara

Authorized Representative: Jennifer Hark Dietz, Executive Director



Signature

6/4/18

Date

EXHIBIT H

Federal Award Identification Information

i. Subrecipient Name (which must match the registered name in DUNS)		People Assisting the Homeless
ii. Subrecipient DUNS number		847856390
iii. Federal Award Identification Number (FAIN)		34T
iv. Federal Award Date		Click here to enter text.
v. Period of Performance	Start Date	March 27, 2018
	End Date	July 30, 2019
vi. Amount of Federal Funds Obligated by this action		99,512
vii. Total Amt of Federal Funds Obligated to subrecipient		99,512
viii. Total Amount of the Federal Award		99,512
ix. Federal award project description		Provide emergency shelter
x. Name of Federal awarding agency,		U.S. Department of Housing and Urban Development
Pass through entity,		County of Santa Barbara
And contact information for awarding official		
xi. CFDA	Number	14.231
	Name	Emergency Solutions Grant Program
xii. Is the award research and development?		No
xiii. Indirect cost rate for the Federal award (including if the de minimus rate is charged per §200.414 Indirect (F&A) costs.		6%

State Terms and Conditions

This Project is being assisted by the State of California. The State of California Department of Housing and Community Development (State HCD) receives an annual allocation of Emergency Solutions Grant Program (ESG) funds from the United State Department of Housing and Urban Development (HUD) to assist individuals and families who are homeless or at risk of homelessness. The following State provisions must be included into the contract pursuant to the provisions applicable to such State assistance.

Since State HCD receives an annual allocation of Emergency Solutions Grant Program (ESG) funds from HUD, the Subrecipient must agree to comply with both applicable State and federal (Exhibit E) laws and regulations. Please note that in the event of a conflict between the State laws and regulations and the federal laws and regulations, **federal laws and regulations will prevail.**

1. Commencement of Work and Completion Dates

- A. SUBRECIPIENT agrees that the Work shall not commence, nor any costs to be paid with ESG funds be incurred or obligated by any party prior to execution of this Agreement by the COUNTY, completion of all required environmental clearances, compliance with the applicable conditions of this Agreement, and not before receipt of award notification letter from COUNTY.
- B. SUBRECIPIENT agrees that the Work shall be completed by the expiration date specified in this Agreement and that the Scope of Work will be provided for the full term of this Agreement.

2. Sufficiency of Funds and Termination

- A. The COUNTY may, by written notice to SUBRECIPIENT, terminate this Agreement, at any time for cause. Cause shall consist of: violations of any terms and/or special conditions of this Agreement; the Federal Statutes; the Federal Regulations; or the State Regulations; withdrawal of the State's expenditure authority. Upon termination of this Agreement, unless otherwise approved in writing by the COUNTY, any unexpended funds received by the SUBRECIPIENT shall be returned to the COUNTY within thirty (30) days of the Notice of Termination.
- B. It is mutually understood between the parties that this Agreement may have been written before ascertaining the availability of congressional appropriation of funds, for the mutual benefit of both parties in order to avoid program and fiscal delays which would occur if the Agreement were executed after the determination was made.
- C. This Agreement is valid and enforceable only if sufficient funds are made available to the COUNTY by the STATE and/or United States Government for the purposes of this Program. In addition, this Agreement is subject to any additional restrictions, limitations or conditions, or statute, regulations or any other laws, whether federal or those of the State of California, or of any agency, COUNTY, or any political subdivision

EXHIBIT I

of the federal or the State of California governments, which may affect the provisions, terms or funding of this Agreement in any manner.

- D. It is mutually agreed that if the Congress does not appropriate sufficient funds for the Program, this Agreement shall be amended to reflect any reductions in funds.

3. Transfers

SUBRECIPIENT may not transfer by subcontract or novation, or by any other means, the rights, duties, or performance of this Agreement or any part thereof, except with the prior written approval of the COUNTY and a formal amendment to this Agreement to affect such subcontract or novation.

4. Contractors and Subcontractors

SUBRECIPIENT and any of its contractors or subcontractors shall not enter into any Agreement, written or oral, with any Contractor without the prior written approval of the COUNTY and determination by the COUNTY and State of the Contractor's eligibility. A Contractor, or its Subcontractor, is not eligible to receive grant funds if the Contractor is not licensed and in good standing in California or is listed on the Federal Consolidated List of Debarred, Suspended and Ineligible Contractors.

- A. The Agreement between the COUNTY and any SUBRECIPIENT shall require that any Contractor or Subcontractor to:
- 1) Perform the Work in accordance with Federal, State and local housing and building codes, as applicable.
 - 2) Comply with the labor standards described in this Exhibit, Paragraph 13, as applicable. In addition to the requirements of this Exhibit, all Contractors and subcontractors must comply with the provisions of the California Labor Code, as applicable.
 - 3) Comply with all applicable Equal Opportunity Requirements, more fully described in this Agreement under Section IX, PERSONNEL AND PARTICIPANT CONDITIONS.
 - 4) Maintain at least the minimum COUNTY and State-required worker's compensation insurance for those employees who will perform the Work or any part of it.
 - 5) Maintain, as required by law, unemployment insurance, disability insurance, and liability insurance in an amount to be determined by the State which is reasonable to compensate any person, firm, or corporation who may be injured or damaged by the Contractor or any subcontractor in performing the Work or any part of it.

EXHIBIT I

- 6) Agree to include all the terms of this Agreement in each subcontract, and that all requirements set forth in this Agreement apply between the SUBRECIPIENT and any Contractor or Subcontractor.

5. Liability Insurance

Unless otherwise approved in writing, SUBRECIPIENT shall have and maintain in full force and effect during the term of this Agreement liability insurance in an amount of not less than \$1,000,000.00 per occurrence with the COUNTY named as an additionally insured. Prior to drawdown of funds, SUBRECIPIENT shall provide a valid certificate of insurance to the COUNTY Program Representative for review and approval.

6. Inspections

- A. SUBRECIPIENT shall inspect any Work performed hereunder to ensure that the Work is being and has been performed in accordance with the applicable Federal, State and/or local requirements, and this Agreement.
- B. The COUNTY and State reserves the right to inspect any Work performed hereunder to ensure that the Work is being and has been performed in accordance with the applicable Federal, State and/or local requirements, and this Agreement.
- C. SUBRECIPIENT agrees to require that all Work that is determined based on such inspections not to conform to the applicable requirements will be corrected by SUBRECIPIENT and that COUNTY will withhold payments to the SUBRECIPIENT until it is corrected.

7. Audit/Retention and Inspection of Records

- A. SUBRECIPIENT agrees to maintain accounting books and records in accordance with Generally Accepted Accounting Standards. SUBRECIPIENT agrees that the COUNTY, the STATE Department of General Services, the Bureau of State Audits, or their designated representatives, shall have the right to review and copy any records and supporting documentation pertaining to the performance of this Agreement. SUBRECIPIENT agrees to maintain such records for possible audit for minimum of five (5) years from the expiration date of this Agreement. SUBRECIPIENT agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of employees who might reasonably have information related to such records. Further, SUBRECIPIENT agrees to include a similar right of the COUNTY and State to audit records and interview staff in any subcontract related to performance of this Agreement.
- B. The audit shall be performed by a qualified State, local or independent auditor. SUBRECIPIENT shall notify the COUNTY of the auditor's name and address immediately after the selection has been made. The contract for audit shall include a clause which permits access by the COUNTY and State to the independent auditor's working papers.

EXHIBIT I

- C. SUBRECIPIENT shall comply with the audit requirements contained in 2 CFR 200 Subpart F.

8. Monitoring Grant Activities

- A. COUNTY shall monitor the SUBRECIPIENT activities to ensure compliance with federal and State ESG requirements. An onsite monitoring visit of SUBRECIPIENT may occur whenever determined necessary by the COUNTY, but at least once during the grant period.
- B. The COUNTY will monitor the performance of the SUBRECIPIENT based on a risk assessment and according to the terms of this Agreement.
- C. The COUNTY will monitor the performance of SUBRECIPIENT and funded projects based on the performance measures used by HUD in ESG or the Continuum of Care program. In the event that project-level or system-wide performance consistently remains in the lowest quartile compared to all participating Service Areas in the Continuum of Care allocation, the COUNTY will work collaboratively with the SUBRECIPIENT to develop performance improvement plans which will be incorporated into this Standard Agreement and other agreements required under 25 CCR Section 8403.
- D. If it is determined that a SUBRECIPIENT falsified any certification, application information, financial, or contract report, the SUBRECIPIENT shall be required to reimburse the full amount of the ESG award to the COUNTY, and may be prohibited from any further participation in the ESG program. The COUNTY may also impose any other actions permitted under 24 CFR 576.501 (c).
- E. As requested by the COUNTY, the SUBRECIPIENT shall submit to the COUNTY all ESG monitoring documentation necessary to ensure that SUBRECIPIENT is in continued compliance with Federal and State ESG requirements. Such documentation requirements and the submission deadline shall be provided by the COUNTY at the time such information is requested from the SUBRECIPIENT.

9. Waivers

No waiver of any breach of this Agreement shall be held to be a waiver of any prior or subsequent breach. Failure of the COUNTY to enforce the provisions of this Agreement or required performance by the SUBRECIPIENT of these provisions, at any time, shall in no way be construed to be a waiver of such provisions, nor affect the validity of this Agreement, or the right of the COUNTY, to enforce these provisions.

10. Litigation

- A. If any provision of this Agreement, or any underlying obligation, is held invalid by a court of competent jurisdiction, such invalidity, at the sole discretion of the COUNTY, shall not affect any other provisions of this Agreement and the remainder of this

EXHIBIT I

Agreement shall remain in full force and effect. Therefore, the provisions of this Agreement are, and shall be, deemed severable.

- B. SUBRECIPIENT shall notify the COUNTY immediately of any claim or action undertaken by or against it, which affects or may affect this Agreement of the COUNTY and shall take such action with respect to the claim or action as is consistent with the terms of this Agreement and the interests of the COUNTY.

11. Compliance with State Law and Regulations

SUBRECIPIENT agrees to comply with all State laws and regulations that pertain to construction, health and safety, labor, fair employment practices, equal opportunity, and all others matters applicable to the SUBRECIPIENT and the Work.

12. Environmental Requirements

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 Part 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 COUNTY, State and the U.S. Department of Housing and Urban Development of all applicable review and approval requirements.

13. Prevailing Wages

- A. 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 of the Labor Code (pertaining to the payment of prevailing wages and administered by the California Department of Industrial Relations) are met.
- B. For the purposes of this requirement "construction work" includes but is not limited to rehabilitation, alteration, demolition, installation or repair done under contract and paid for, in whole or in part, through this Agreement. All construction work shall be done through the use of a written contract with a properly licensed building Contractor incorporating these requirements (the "construction contract"). Where the construction contract will be between the SUBRECIPIENT and a licensed building Contractor, SUBRECIPIENT shall serve as the "awarding body" as defined in the Labor Code. Where the SUBRECIPIENT will provide funds to a third party that will enter into the construction contract with a licensed building Contractor, the third party shall serve as the "awarding body".
- C. The construction contract and any amendments thereto shall be subject to the prior written approval of the COUNTY. Prior to any disbursement of funds, including but not limited to release of any final retention payment, the COUNTY may require a

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certificate from the awarding body that prevailing wages have been or will be paid when required by Section 1720 et. seq. of the Labor Code.

14. Matching Funds

- A. Each SUBRECIPIENT shall be required to supplement the assistance provided from sources other than this part. Each SUBRECIPIENT shall certify to the COUNTY its compliance with this paragraph and shall include with such certification a description of the sources and amounts of such supplemental funds.
- B. In calculating the amount of supplemental funds provided by a SUBRECIPIENT under this part, a SUBRECIPIENT may include the value of any donated material or building, the value of any lease on a building, any salary paid to staff to carry out the SUBRECIPIENT's program of the recipient and the value of the time and services contributed by volunteers to carry out the SUBRECIPIENT's program.

15. Eligible Activities

- A. State ESG funds awarded by the COUNTY shall be used for the eligible activities set forth in Exhibit B as permitted under the federal ESG regulations at 24 CFR Part 576. The following additional limitations or requirements shall apply.
- B. If permitted in the Scope of Work and Budget, a maximum of ten percent of the funds provided under this Agreement may be used for Homeless Management Information System (HMIS) activities.
- C. State ESG funds shall not be used for renovation, conversion, or major rehabilitation activities pursuant to 576.102. Minor repairs to an ESG-funded Emergency shelter that do not qualify as Renovation, Conversion, or Major Rehabilitation are an eligible use of State ESG funds.
- D. For rapid rehousing and homelessness prevention activities, no subpopulation targeting will be permitted except if documentation of all of the following is provided to the COUNTY prior to the award of funds for these activities: (1) that there is an unmet need for these activities for the subpopulation proposed for targeting, and (2) that there is existing funding in the Continuum of Care Service Area for programs that address the needs of the excluded populations for these activities.

16. Core Practices

All ESG-funded activities shall operate in a manner consistent with the requirements of 25 CCR 8409, including but not limited to use of a homeless coordinated entry system, housing first practices, and progressive engagement practices.

17. Reporting and Recordkeeping

- A. By July 15 of each year, SUBRECIPIENT shall submit an Annual Performance Report to the COUNTY. In accordance with federal reporting requirements, the report will include, but will not be limited to, beneficiary data, Minority Owned Business/Women Owned Business (MBE/WBE) data, and Section 3 data, if applicable.
- B. In accord with 24 CFR 576.203(b), and State ESG guidelines, no less than once per quarter but not more often than monthly, SUBRECIPIENT shall provide COUNTY with an ESG Program Quarterly Status Report, for which a sample is attached hereto as Exhibit D, on or before the tenth day of October, January, April, and July, setting forth its activities for the previous quarter. Further, should the State require additional reports, SUBRECIPIENT agrees to submit in a timely fashion in a manner and format approved by the COUNTY and State. A close-out-of-grant report shall be submitted within forty-five (45) days after the end of the reporting period.
- C. SUBRECIPIENT shall manage and maintain all client data information using a Homeless Management Information System (HMIS) or comparable data system (defined as a separate data system that collects required HMIS and ESG data elements and complies with HUD Data and Technical Standards). SUBRECIPIENT shall collect all program data elements using the HMIS and comply with all reporting requirements.
- D. SUBRECIPIENT shall maintain all fiscal and program records pertaining to the Grant for a period of five (5) years from the date of expiration of the Standard Agreement or a longer period specified in 24 CFR §576.500 (y).
- E. SUBRECIPIENT shall submit required reports on forms approved by the County.

18. State Contract Manual Requirements (Section 3.11, Federally Funded Contracts (Rev. 3/03)):

- A. All contracts, except for State construction projects that are funded in whole or in part by the Federal government, must contain a 30-day cancellation clause and the following provisions:
 - 1. It is mutually understood between the parties that this contract may have been written for the mutual benefit of both parties before ascertaining the availability of congressional appropriation of funds to avoid program and fiscal delays that would occur if the contract were executed after that determination was made.
 - 2. This contract is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the purpose of this Program. In addition, this contract is subject to any additional restrictions, limitations, or conditions enacted by the Congress or to any statute enacted by the Congress that may affect the provisions, terms, or funding of this contract in any manner.

EXHIBIT I

3. The parties mutually agree that if the Congress does not appropriate sufficient funds for the program, this contract shall be amended to reflect any reduction in funds.
4. The COUNTY has the option to invalidate the contract under the 30-day cancellation clause or to amend the contract to reflect any reduction in funds.