

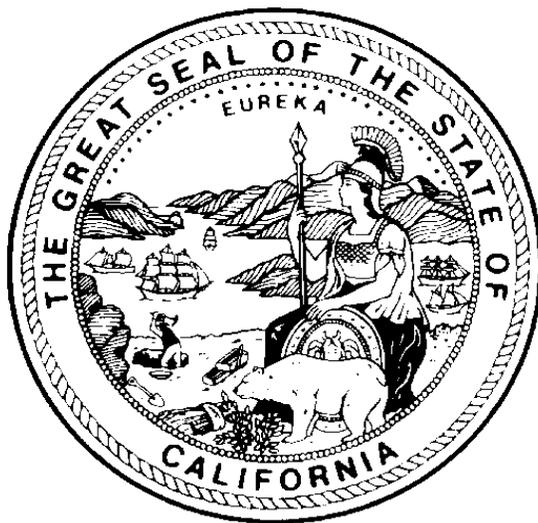
# NOTICE OF AVAILABILITY OF FUNDS

Employment Development Department - Workforce Services Branch

## CAMPESINO DE CALIFORNIA OUTREACH GRANT 2020-21

### RADIO MEDIA

## SOLICITATION FOR PROPOSALS



**September 2020**

The EDD is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Call 1-916-654-7799 for requests for services, aids, and/or alternate formats. TTY users, please call the California Relay Service at 711.

Campesino de California Outreach Grant

Radio Media

SFP PY 20-21

Revised September 17, 2020

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## SECTION 1 — OVERVIEW

### A. PURPOSE

The Employment Development Department (EDD) announces the availability of up to \$100,000 of Wagner-Peyser (WP) 10 Percent Governor's Discretionary funds for the Campesino De California Outreach Grant – Radio Media.

The goal of this grant is to enhance existing outreach channels to supplement the outreach efforts by government, community based organizations (CBO), and partners serving Migrant and Seasonal Farmworkers (MSFW) in rural and hard to reach communities. This grant allows for the development and implementation of radio talk shows aimed at reaching domestic and foreign MSFWs and their families to inform them about workforce programs and other community services available to MSFWs.

### B. TARGET POPULATION

Proposals must focus on providing timely dissemination of accurate and pertinent information regarding programs and services to MSFWs and their families. Target populations must include hard to reach and underrepresented high-density farmworker agricultural areas. The following definitions describe the target population for the purpose of this grant:

#### **Farm Work**

For the purpose of this grant, farm work means the cultivation and tillage of the soil, dairying, the production, cultivation, growing, and harvesting of any agricultural or horticultural commodities. This includes the raising of livestock, bees, fur-bearing animals, or poultry, the farming of fish and any practices (including any forestry or lumbering operations) performed by a farmer or on a farm as an incident to or in conjunction with such farming operations, including preparation for market, delivery to storage or to market or to carriers for transportation to market. It also includes the handling, processing, freezing, or grading prior to delivery for storage of any agricultural or horticultural commodity in its unmanufactured state. For the purpose of this definition, agricultural commodities means all commodities produced on a farm including crude gum from a living tree and products processed by the original producer. Farm work also means any services or activity covered under Title 20 *Code of Federal Regulations* (CFR), Section 655.103 (c) and/or Title 29 CFR, Section 500.20 (e) and any services or activity so identified through official Department of Labor (DOL) guidance such as Training and Employment Guidance Letters.

#### **Migrant and Seasonal Farmworker**

An MSFW must meet the definition of either seasonal farmworker or migrant farmworker.

#### **Seasonal Farmworker**

- Worked at least 1 day doing farm work during the last 12 months.
- The agricultural employment was of a temporary or seasonal nature.
- Did not have to move from their permanent place of residence to do this farm work.
- A non-migrant full-time student is not a seasonal farmworker.

## **Migrant Farmworker**

- Is a seasonal farmworker.
- Has to travel to do farm work.
- Is not reasonably able to return to their permanent residence within the same day.
- A full-time student traveling in an organized group rather than with their family is not a migrant farmworker.

## **C. PROPOSAL SUMMARY**

Title 20 CFR, Parts 653 through 658 mandate State Workforce Agencies (SWA) to operate an outreach program to locate and contact MSFWs not reached through normal intake activities and inform them of the full range of government and partner services. The EDD is the California SWA. The information relayed to MSFWs must include the complete range of workforce and training related services for MSFWs offered through the *Workforce Innovation and Opportunity Act* (WIOA) Title I and WIOA Title III *Wagner-Peyser Act* programs, and include agricultural job opportunities through the Agricultural Recruitment System and H-2A Foreign Labor Certification Program.

By way of a one year contract, the EDD will require the grantee to broadcast 24 semi-monthly, 30 minute hosted radio talk shows (programs) in Spanish and record in video format within the contract year. Additionally, the grantee must procure complementing media posts on the grantee's website and use social media outlets to publicize the radio talk show and communicate additional information as necessary.

All broadcasted and other media communications must support and expand on the outreach efforts of the EDD Workforce Services Branch (WSB), designated Significant, Multilingual, and Special Circumstance MSFW America's Job Center of California<sup>SM</sup> (AJCC) offices<sup>1</sup>, and related partner organizations to achieve comprehensive, statewide outreach information campaigns for MSFWs.

## **D. CRITERIA FOR SELECTING GRANTEE**

The criteria for selecting the grantee will include, but is not limited to: a minimum of three years' experience creating programming in Spanish for farm workers in under-served communities to broadcast across California; capacity to provide topics of interest to MSFWs and their families; ability to ensure clear and concise communication in the language required; and demonstrate an established collaboration with diverse partners for the development of adequate, accurate, and timely dissemination of MSFW related information.

The applicant must submit to the EDD a proposal to reach the maximum amount of MSFWs statewide and provide adequate content for each of the talk shows and related written media. The applicant must provide the EDD with a written schedule stating information of programming times, upcoming

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<sup>1</sup> The EDD and DOL identify designated Significant, Multilingual, and Special Circumstance MSFW AJCC offices every program year based on program participants and density of farmworkers in specific areas.

topics, and name(s) of radio talk shows, regions, and stations where the radio talk shows will be broadcasted.

The applicant must demonstrate its capacity to secure the program appropriate subject matter experts (SMEs) and others to develop and implement the necessary programing. The applicant must demonstrate access to or contract a professional copy-writer skilled in developing and translating material to Spanish for the radio talk show program and the related media postings, and the ability to acquire SMEs and other guest to support the radio and media materials.

The applicant must demonstrate the ability to structure the information provided in an educational and informative broadcasting radio and video format within 30-minute programs that contains the following segments:

- Feature Segment (average four minutes) - to highlight target areas and programs that need an increase in participation.
- Main Topic Segment (average 15 minutes) – to enhance farmworker’s quality of life rights and responsibilities. Topics may include but are not limited to: apprenticeship and/or training opportunities, housing, health care, education opportunities for themselves and their children, social services, foreign labor certification program, farmworker rights, civil rights, pesticide regulations, migrant education, Employment Service Complaint System, immigration, disaster relief information, farmworker success stories, agricultural employer’s information, crop reports, etc.
- Upcoming Dates Segment (average five minutes) - events that match the featured and topic sections and/or other important upcoming events, (e.g. EDD job fairs, employer recruitment events, community fairs, EDD AJCC orientations, tax day, etc.).
- Closing/Resources Segment (average five minutes) - supported by related social media channels and postings listing reminding of the contact numbers in English and Spanish for workforce services, website locations of H-2A Agricultural Recruitment System jobs, EDD programs including Unemployment Insurance, Disability Insurance, Paid Family Leave, and CalJOBS<sup>SM</sup>.

The applicant must also demonstrate the ability to work with partners on strategies to create awareness of the communication channels that provide information on EDD programs and services.

## **E. GRANTEE RESPONSIBILITIES**

### **Partnership Collaboration**

The grantee must collaborate with the EDD to establish the appropriate local and statewide outreach campaigns. Additionally, the grantee must collaborate with broadcasting and other organizations already serving the farmworker community to leverage resources for dissemination of information.

### **Dissemination of Information**

Broadcasting information must include timely information in Spanish provided by a regular host accompanied by one or more SME guests as necessary. The grantee must be able to procure and contract with the appropriate broadcasting companies, repeater stations, and secure topics and SMEs

to address and disseminate information regarding workforce program and services by EDD and partners. SME guests must only address the information related to their particular program or service.

The grantee may collaborate with EDD to use topics and SMEs referred by EDD, and provide an updated monthly schedule of its proposed topics and guests to the EDD project manager (at least four weeks in advance to the next scheduled segment). Guests must come, present, and/or contribute on their own volition and waive any monetary or in-kind compensation.

The grantee and/or its contracted broadcasting organization must provide a dedicated Campesino de California Outreach webpage for public access to recordings of the radio talk shows and the corresponding links to programs and services of the EDD and partners including related webpages and major social media outlets controlled by the grantee, EDD, or partners.

### **Radio Talk Show**

- The grantee must broadcast 24 semi-monthly 30-minute hosted radio talk and video shows in Spanish, within the contract year.
- The radio talk show's name should reflect the purpose of the program. It must include announcements of EDD agricultural and related employment opportunities.
- Broadcasting must target agricultural areas with MSFW significant populations within California.
- The information presented must be in clear and understandable diction and in terms and phrases easily understood by the target population.
- The program may include public service announcements (PSAs) as time permits and to the discretion and approval of the EDD project manager; and serve as a conduit for the emergency broadcasting system.
- For profit, religious, political, or opinion statements are not allowable immediately before, after, or within the airtime of the radio program.
- Music beds should be seldom, without lyrics, and appropriate to the target population.

### **Schedule**

The grantee will secure a broadcasting schedule for the radio programs to air at the peak of the MSFW population listening times (backed by reportable data driven selection). The required amount of radio programs must be satisfied by way of contract with a projected schedule of broadcast dates and times, starting no later than November 2020. For example, a 30-minute program on the second and fourth week of the month.

### **Statewide Outreach Strategy**

The grantee is encouraged to secure partnerships with the designated Significant, Multilingual, and Special Circumstance MSFW AJCC offices, other AJCC offices, government, and CBOs to leverage funds and resources aimed at implementing a strategy to create awareness of the wide range of workforce related programs and services available from EDD and other partners for MSFWs and their families.

All radio talk shows and related social media posts must be centrally archived, available for public retrieval, and able to be viewed in an online setting maintained independently by the grantee and cross-marketed on the other partners' (EDD, AJCCs, etc.) communication outlets.

## **F. EDD RESPONSIBILITIES**

Throughout the life of the grant's contract, the EDD will evaluate the effectiveness of the radio talk shows and written media materials to ensure that the information provided to the MSFWs includes the full range of the EDD services offered through the WIOA and Wagner-Peyser programs, and partners' MSFW and agricultural supportive services. The EDD will designate a project manager/program liaison to oversee the project.

The EDD designee will review and approve/disapprove material for the copy of the Spanish radio talk shows and supportive media outlets. The EDD designee will review the expenditure and narrative reports, and process the grantee's contract invoices for approval/denial of payment.

### **Radio Talk Show**

- Evaluate the accuracy, effectiveness, timeliness, and relevance of the information provided by the grantee to the MSFW community for each radio talk show.
- Work with the grantee to develop the content of the 24 semi-monthly, 30-minute radio talk shows.
- Grantee will also provide video recording of the radio shows to promote on social media.
- Work directly with the grantee to provide guidance for best quality and variety of the information presented in the radio talk shows.
- Provide the grantee updated information about the EDD services.
- Act as a SME as necessary for EDD related services during the live broadcasting recording of the radio talk shows.
- Work directly with the grantee to broaden the awareness of the radio talk shows.
- Provide a current job listing in Spanish to promote jobs during each scheduled program broadcast, and on the radio talk show station's website.

### **Statewide Outreach Strategy**

- Collaborate with grantee to maximize cross marketing of radio and social media communication channels by grantee, partners, and EDD.
- Evaluate, monitor, and/or contribute to social media messages.
- Provide a current job listing in English and Spanish for the grantee to promote on the online and social media channels on the designated grantee and partner websites.

**G. ELIGIBLE APPLICANTS**

Proposals accepted from non-profit public or private agencies, community and faith-based organizations, tribal government, and educational institutions. Individuals are not eligible to apply.

**H. FUNDING**

Applicants may submit one application for funding under this Solicitation for Proposals (SFP). One grant of up to \$100,000 in total funding will be awarded. It is the intent of this SFP to fund an outreach radio media project that can leverage other resources (web, online, and other social media) to maximize the impact of the project, earn the maximum return on investment, and foster project sustainability. Each application must follow the proposal instructions, which contain further detail and criteria.

**I. ALLOWABLE USES OF FUNDS**

The use of funds awarded in this SFP is governed by Wagner-Peyser 10 Percent Governor’s Discretionary fund guidelines, state and federal directives, and Title 2 CFR Parts 200 and 2900.

Funds awarded under this SFP cannot be used to purchase real property or to construct buildings.

**J. ADMINISTRATIVE COST LIMITS**

A maximum of 10 percent of the total project budget is allowed for administrative costs. For purposes of developing a budget, the definition of administrative costs is provided in Appendix A - Administrative Cost Definitions.

**K. LENGTH OF PROJECT**

The State expects the performance period for the project awarded under this solicitation to be from November 1, 2020, through October 31, 2021. Grant funds will not be available after that date. No obligation or commitment of funds will be allowed prior to or beyond the grant period of performance. Any grant funds not expended during the grant agreement period must be returned to the State.

**SECTION 2 — SIGNIFICANT DATES<sup>2</sup>**

Solicitation for Proposals Release	September 8, 2020
Last date to contact the EDD with questions	September 14, 2020
Proposals Due (by 3 p.m.)	October 8, 2020
Proposal review and evaluation	October 2020
Award Announcement	October 2020
Project Start Date	November 1, 2020

<sup>2</sup> All dates after the final proposal submission deadline are approximate and adjusted as conditions dictate, without addendum to this SFP.

### SECTION 3 — QUESTIONS/ANSWERS

For timely and consistent responses to questions email [WSBCalh2a@EDD.ca.gov](mailto:WSBCalh2a@EDD.ca.gov) until September 14, 2020. Subject: CCO-M 2020-21 Proposal [Organization Name].

### SECTION 4 — PROPOSAL SUBMISSION INSTRUCTIONS

#### A. PROPOSAL DEADLINE

The deadline for the receipt of proposals is Thursday, October 8, 2020 by 3 p.m. PT. Late proposals will not be accepted.

The date or time on a postmark or other courier's documentation is irrelevant to satisfying the submission deadline. The WSB must receive all proposals, by 3 p.m. PT on Thursday, October 8 2020. Exceptions are not allowed and there is no appeal for not meeting the proposal deadline. The WSB will accept hand-delivered and courier-delivered proposals between 7:30 a.m. and 3 p.m. daily, excluding weekends and state holidays, through Thursday, October 8, 2020.

#### B. PROPOSAL DELIVERY METHOD AND ADDRESSES

Since an original signature is required, original proposals must be submitted by postal mail, courier service, or hand delivery, to the following addresses:

<b>Mail</b>	Campesino de California Outreach – M SFP Central Office Workforce Services Division, MIC 50 Employment Development Department PO Box 826880 Sacramento, CA 94280-0001
<b>Courier</b>	Campesino de California Outreach – M SFP Central Office Workforce Services Division, MIC 50 Employment Development Department 722 Capitol Mall, Room 2099 Sacramento, CA 95814
<b>Hand Delivery</b>	Campesino de California Outreach – M SFP Central Office Workforce Services Division, MIC 50 Employment Development Department 722 Capitol Mall, Room 1100, Building Agents Office Sacramento, CA 95814

## **SECTION 5 — REQUIRED PROPOSAL CONTENT**

### **A. MINIMUM REQUIREMENTS**

All proposals must adhere to the required format and must include all of the requested information, completed forms, and attachments in order to be competitive. Applicants must use the specific instructions and complete all requested forms available in this document (see Table of Contents for links to forms).

### **B. REQUIRED DOCUMENTS**

The following is a list of the order and documents that must be included in the proposal package. Incomplete submissions are grounds for automatic disqualification.

Cover/Signature Page  
EXHIBIT A - Proposal Narrative  
EXHIBIT B - Proposal Work Plan  
EXHIBIT C - Budget Summary  
EXHIBIT D - Minimum Criteria Requirements  
Partnership Commitment Letter(s)

### **C. PARTNERSHIPS**

The applicant must demonstrate an understanding of the outreach needs of the MSFW population within each distinct agricultural California region and the ability to coordinate to formalize linkages to leverage radio media, and other partner organizations serving the MSFW communities.

To demonstrate the required capacity to leverage other resources, the applicant must describe proposed and existing partnerships in its application including any in-kind or funding attained to benefit the grant. Additionally, the applicant must attach a signed Partnership Commitment Letter with a description of each proposed or existing partner's parameters and level of commitment.

A Partnership Commitment Letter must be submitted for each proposed partner. Applicants must submit their Partnership Commitment Letter for each partner with the original proposal, with the following information:

- Describe in detail the specific roles/responsibilities each of these partners will have in the grant.
- Describe how the services will differ from what already exists locally.
- Identify a partner/agency's contact person and contact information.
- Commitment dates must cover the period between November 1, 2020 and October 31, 2021.
- Be signed by an authorized signatory representative of the partner organization.
- Demonstrate that a high level of coordination exists and the extent of the coordination.
- Partnership type and its anticipated outcomes.

Applications that do not attach a minimum of one partnership commitment will be deemed non-responsive and will not be considered for funding.

Cash contributions<sup>3</sup> and/or In-kind contributions<sup>4</sup> by way of partnership must be documented with a partnership agreement verifying the intent and attached to the proposal.

All partnerships must cover the grant contract dates of November 1, 2020 and October 31, 2021, signed by an authorized signatory-agency authority, and include a description of the collaboration efforts and the contact person and phone number.

#### **D. OTHER REQUIREMENTS**

Proposals that do not adhere to these additional requirements will be scored. However, three points will be deducted for each requirement not met.

- Submit four (4) hard copy sets of the complete proposal; each set stapled in the upper left corner (Print one-sided pages). Two (2) of these sets must have original wet signatures by the applicant's contract signatory authority.
- Email a copy of the entire proposal package including Cover/Signature and Proposal Summary page to [WSBCalh2a@EDD.ca.gov](mailto:WSBCalh2a@EDD.ca.gov), title subject line: CCO-M 2020-21 Proposal [Organization Name]. Format must be MS Word and or MS Excel, as applicable. (Do not submit these in Adobe PDF format).
- Email a copy of any additional binding documents: Letters of Commitment, Partnership Agreement Letters, and Creative Commons Attribution License verifying document, if applicable, in Adobe PDF format.
- The Proposal Narrative is limited to 20 pages using Arial font 12, single space. Anything beyond the 20 pages limit will not be considered.

### **SECTION 6 — AWARD AND CONTRACTING PROCESS**

#### **A. PROPOSAL EVALUATION AND RECOMMENDATION FOR FUNDING**

Proposals are scored and ranked by independent reviewers. Scoring is based on the criteria set forth in this SFP. The ranked scores will serve as the primary basis for making recommendations for funding in conjunction with other factors such as uniqueness, partnership collaborations, and innovative aspects of the proposal. The scoring value of each section of the Exhibit A - Proposal Narrative is as follows:

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<sup>3</sup> Cash contribution are funds made available to the applicant and used specifically for the project outreach activities and must be consistent with the allowable activities of the Campesino de California Radio Media Outreach fund source. The awardee must have control over and be able to disburse these funds – for example, money received from employers, foundations, private entities or local governments.

<sup>4</sup> In-kind contribution are non-cash resources used specifically for project activities – for example, donated personnel, services, shared resources, or use of equipment or space.

<b>Criterion</b>	<b>Points</b>
Narrative Section I: Statement of Need	10
Narrative Section II: Target Group	10
Narrative Section III: Planned Approach	30
Narrative Section IV: Collaboration (Partnerships)	25
Narrative Section V: Statement of Capabilities	15
Narrative Section VI: Budget Summary	10
Total Possible Points	100

Only those proposals deemed to be meritorious and in the best interests of the State will be recommended for funding. The EDD reserves the right to conduct on-site reviews prior to making final funding recommendations.

**B. NOTIFICATION OF RECOMMENDATION FOR FUNDING**

Following the selection of the proposal to be funded, notification will be placed on the EDD website and applicants will be notified of the funding decision. The State expects the award decision notices to be sent in October 2020.

**C. CONTRACTING**

The EDD staff will contact the grantee to finalize contract details. In some cases, the EDD may request that the contract incorporate changes to the original project proposal.

After the contract negotiations, if any, the EDD will mail the subgrant agreement (contract) to the grantee for signature. The grantee must comply with the subgrant “General Provisions and Standards of Conduct, Appendix B” of this SFP. The State expects the contract negotiations to begin no later than October 2020, with a Project Start Date of November 1, 2020.

**SECTION 7 — APPEAL PROCESS**

A proposal will be disqualified for not meeting the minimum requirements and an appeal of that disqualification decision may be filed. There is no appeal process for not meeting the proposal submission deadline. Final funding decisions are not appealable. The minimum requirements, as detailed in Section 5, Item A of the SFP, are those conditions that must be met in order for the proposal to be forwarded for evaluation and scoring.

The EDD will mail disqualification letters to applicants no later than October 12, 2020. Any appeals must be received in the EDD office by 3 p.m. October 19, 2020. The appellant must submit the facts in

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## **B. RECORD KEEPING**

Grantees will be required to maintain project and fiscal records sufficient to allow federal, state, and local reviewers to evaluate the project effectiveness and proper use of funds. The record keeping system must include both original and summary (e.g., computer generated) data sources. Grantees will retain all records pertinent to this contract for a period of three years from the date of final payment of this contract.

## **C. REPORTS**

Grantees must have the capability to report expenditures and outcome data to the State, in a manner that is timely, thorough, and accurate. Grantees will be required to submit monthly expenditure, reports including subcontractors "Supplemental Budget" (Contractual Services), and "Partner Roles and Responsibilities" sheets. Additionally, grantees will be required to provide an end of project report upon closeout of the project. All funds provided under this SFP are subject to revocation by the State in the event of failure to meet the performance criteria or reporting requirements as described in this SFP and the Grantee's subgrant agreement.

## **D. CONSTRAINTS**

Funds may not be used to replace funding used for already established activities and services. Finance activities that are outside the scope of the focused method of service. Acquire equipment that is not necessary for the operation of the grant. Reimburse project-related costs incurred prior to the effective date of the award.

## **E. PERFORMANCE**

Each proposal must describe specific program and performance goals to enable the EDD to measure the contractor's performance.

## **F. MONITORING AND CLOSEOUT**

### **Monitoring**

Grantees must develop mutually agreed upon evaluation measures to determine the effectiveness of the radio and media outreach strategy targeted to the MSFWs. Evaluation components will include qualitative, as well as quantitative analyses of the project.

### **Closeout**

Grantees must submit closeout reports due no later than 45 days following the end of the current contract, December 15, 2021. Closeout of the project occurs when the operational date of the project expires. The closeout report consists of the submission of a Closeout Status of Cash Report, Closeout Summary of Expenditures Report, and Final Participant Report. Detailed instructions and reporting forms will be provided within 45 days of the expiration of the project to ensure timely reporting.

## **G. INDEPENDENT AUDIT**

An audit by an independent Certified Public Accountant is also required as part of the closeout. The cost of this audit must be considered in planning the budget for this project.

## **H. COMPLIANCE**

All funds are subject to their related State and federal statutory and regulatory requirements. These requirements are detailed in governing documents that include, but are not limited to, Title 22 and its associated federal regulations, including Title 29 of the CFR, and Uniform Guidance.

## **I. EVALUATION**

Evaluation of activities allows the State to determine the effectiveness of the project in addressing the identified needs. As a result, the State may pursue an evaluation of the project awarded through this SFP. In the event that an evaluation is implemented, the applicant will be required to participate in that evaluation by providing requested data and information. All award recipients are expected to document lessons learned, and effective and promising practices ascertained through this project.

# APPENDICES

## **APPENDIX A**

### **ADMINISTRATIVE COST DEFINITIONS**

There is an administrative cost limit of 10 percent of the total funds awarded under this contract.

All local grant recipients and lower tier sub-recipients must follow the federal allowable cost principles that apply to their type of organization. The DOL regulations at Title 29 CFR, Section 95.27 and Title 29 CFR, Section 97.22 identifies the federal principles for determining allowable costs that must be followed.

Although administrative in nature, costs of information technology—computer hardware and software—needed for tracking and monitoring of Wagner-Peyser program, participant, or performance requirements; or for collecting, storing and disseminating information, are excluded from the administrative cost limit calculation.

- A. The cost of administration is that allocable portion of necessary and reasonable allowable costs of direct grant recipients, as well as, local grant recipients, local grant sub-recipients, local fiscal agent, and that are not related to the direct provision of Wagner-Peyser services, including services to participants and employers. These costs can be both personnel and non-personnel, and both direct and indirect.
- B. The costs of administration are the costs associated with performing the following functions:
  - 1. Performing the following overall general administrative functions and coordination of those functions under Wagner-Peyser:
    - (a) Accounting, budgeting, financial and cash management functions.
    - (b) Procurement and purchasing functions.
    - (c) Property management functions.
    - (d) Personnel management functions.
    - (e) Payroll functions.
    - (f) Coordinating the resolution of findings arising from audits, reviews, investigations and incident reports.
    - (g) Audit functions.
    - (h) General legal services functions.
    - (i) Developing systems and procedures, including information systems, required for these administrative functions.
  - 2. Performing oversight and monitoring responsibilities related to Wagner-Peyser administrative functions.

3. Costs of goods and services required for administrative functions of the program, including goods and services such as rental or purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space.
  4. Travel costs incurred for official business in carrying out administrative activities or the overall management of the Wagner-Peyser systems.
  5. Costs of information systems related to administrative functions (for example, personnel, procurement, purchasing, property management, accounting and payroll systems) including the purchase, systems development and operating costs of such systems.
- C. Awards to subrecipients or vendors that are solely for the performance of administrative functions are classified as administrative costs.
1. Personnel and related non-personnel costs of staff that perform both administrative functions specified in paragraph (b) of this section and programmatic services or activities must be allocated as administrative or program costs to the benefiting cost objectives/categories based on documented distributions of actual time worked or other equitable cost allocation methods.
  2. Specific costs charged to an overhead or indirect cost pool that can be identified directly as a program cost are to be charged as a program cost. Documentation of such charges must be maintained.
  3. Except as provided at paragraph (1), all costs incurred for functions and activities of subrecipients and vendors are program costs.
  4. Costs of the following information systems including the purchase, systems development and operating (e.g., data entry) costs are charged to the program category.
    - (a) Tracking of performance information.
    - (b) Information relating to supportive services and unemployment insurance claims for program participants.
  5. Continuous improvement activities are charged to administration or program category based on the purpose or nature of the activity to be improved. Documentation of such charges must be maintained.

## **APPENDIX B**

### **GENERAL PROVISIONS AND STANDARDS OF CONDUCT**

#### **A. COMPLIANCE**

In performance of this sub grant agreement, Grantee will fully comply with the following:

1. The provisions of the *Wagner-Peyser Act* and all regulations, legislation, directives, policies, procedures, and amendments issued pursuant thereto.
2. All State legislation and regulations to the extent permitted by federal law and all policies, directives and/or procedures, which implement *Wagner-Peyser Act*.
3. Grantee will ensure diligence in managing programs under this sub grant agreement. Grantee agrees to conform to the provisions of the *Wagner-Peyser Act* and the contract requirements as referenced in Title 29 CFR, Part 95, Appendix A and Title 29 CFR, Section 97.36 (i) (1-13).

This subgrant agreement contains the entire agreement of the parties and supersedes all negotiations, verbal or otherwise and any other agreement between the parties hereto. This subgrant agreement is not intended to and will not be construed to create the relationship of agent, servant, employee, partnership, joint venture or association between the Grantor and the Grantee. Grantee represents and warrants it is free to enter into and fully perform this sub grant agreement.

#### **B. CERTIFICATION/ASSURANCES**

Except as otherwise indicated, the following certifications apply to all Grantees:

1. Corporate Registration – The Grantee, if it is a corporation, certifies it is registered with the Secretary of State of the State of California.
2. The Grantee agrees to comply with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to ADA. (42 U.S.C.12101 et seq.)
3. Sectarian Activities – The Grantee certifies that this sub grant agreement does not provide for the advancement or aid to any religious sect, church or creed, or sectarian purpose nor does it help to support or sustain any school, college, university, hospital or other institution controlled by any religious creed, church, or sectarian denomination whatsoever, as specified by Article XVI, Section 5, of the Constitution, regarding separation of church and state.
4. National Labor Relations Board – The Grantee (if not a public entity), by signing this sub grant agreement, does swear under penalty of perjury, that no more than one final unappeasable finding of contempt of court by a federal court has been issued against the Grantee within the immediately preceding two-year period because of Grantee's failure to comply with an order of a federal court, which orders the Grantee to comply with an order of the National Labor Relations Board (PCC10296).

5. Prior Findings – The Grantee, by signing this sub grant agreement, does swear under penalty of perjury, that it has not failed to satisfy any major condition in a current or previous subgrant agreement with the DOL or the State of California and has not failed to satisfy conditions relating to the resolution of a final finding and determination, including repayment of debts.
6. The Grantee agrees to comply with Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities.
7. The Grantee agrees to comply with the Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age.
8. The Grantee agrees to comply with Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.
9. Drug-Free Workplace Certification – By signing this sub grant agreement the Grantee hereby certifies under penalty of perjury under the laws of the State of California that the Grantee will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:
  - (a) Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.
  - (b) Establish a Drug-Free Awareness Program as required to inform employees about the following:
    1. The dangers of drug abuse in the workplace.
    2. The person's or organization's policy of maintaining a drug-free workplace.
    3. Any available counseling, rehabilitation, employee assistance programs.
    4. Penalties that may be imposed upon employees for drug abuse violations.
  - (c) Every employee who works on this sub grant agreement will do the following:
    1. Receive a copy of the company's drug-free policy statement.
    2. Agree to abide by the terms of the company's statement as a condition of employment on the sub grant/contract.
10. Child Support Compliance Act – In accordance with the Child Support Compliance Act, the Grantee recognizes and acknowledges the following:
  - (a) The importance of child and family support obligations and shall fully comply with applicable state and federal laws relating to child and family support enforcement, including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with Section 5200) of Part 5 of Division 9 of the Family Code; and that to the best of its knowledge is fully complying with the earnings assignment orders of all employees and is providing the names of all new

employees to the New Employee Registry maintained by the California Employment Development Department (EDD).

11. Debarment and Suspension Certification – By signing this sub grant agreement, the Grantee hereby certifies under penalty of perjury under the laws of the State of California that the Grantee will comply with regulations implementing Executive Order 12549, Debarment and Suspension, Title 29 CFR, Part 98.510, that the prospective participant (i.e., Grantee), to the best of its knowledge and belief, that it and its principals are as follows:
  - (a) Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from covered transitions by any federal department or agency.
  - (b) Have not within a three-year period preceding this sub grant agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property.
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of any of the offenses enumerated in Section 2 of this certification.
  - (d) Have not within a three year period preceding this sub grant agreement had one or more public transactions (federal, state or local) terminated for cause of default.
    1. Where the Grantee is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this agreement.
12. Lobbying Restrictions – By signing this sub grant agreement the Grantee hereby assures and certifies to the lobbying restrictions that are codified in the DOL regulations at Title 29 CFR, Part 93.
  - (a) No federal appropriated funds have been paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress, in connection with this federal contract, grant loan, or cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
  - (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, and officer or employee of Congress, or an employee of a Member of Congress, in connection with this sub grant agreement, the undersigned shall complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying” in accordance with its instructions.

- (c) The undersigned shall require that the language of the lobbying restrictions be included in the award documents for sub grant agreement transactions over \$100,000 (per OMB) at all tiers (including sub grant agreements, contracts and subcontracts, under grants, loan, or cooperative agreements), and that all sub recipients shall certify and disclose accordingly.
- (d) This certification is a material representation of fact upon which reliance is placed when this transaction is executed. Submission of the Lobbying Certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, and U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure.

13. Priority Hiring Considerations

- (a) If this sub grant includes services in excess of \$200,000, the Grantee shall give priority consideration in filling vacancies in positions funded by the sub grant to qualified recipients of aid under Welfare and Institutions Section Code 11200 in accordance with Public Contract Code Section 10353.

14. Sweat Free Code of Conduct

- (a) All Grantees contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The Grantee further declares under penalty of perjury that they adhere to the Sweat Free Code of Conduct as set forth on the California Department of Industrial Relations Website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.
- (b) The Grantee agrees to cooperate fully in providing reasonable access to the Grantees' records, documents, agents or employees, or premises if reasonably required by authorized officials of the Subgrantor, the Department of Industrial Relations, or the Department of Justice to determine the Grantees' compliance with the requirements under paragraph a of the Sweat free Code of Conduct.

15. Unenforceable Provision – In the event that any provision of this subgrant agreement is unenforceable or held to be unenforceable, then the parties agree that all other provisions of this subgrant agreement have force and effect and shall not be affected hereby.

## 16. Nondiscrimination Clause

(a) The conduct of the parties to this sub grant agreement will be in accordance with Title VI of the Civil Rights Act of 1964, and the Rules and Regulations promulgated there under and the provisions of WIOA, Section 188. In addition, the parties will conform to the following:

1. During the performance of this sub grant agreement, Grantee and Subcontractors shall not unlawfully discriminate, harass or allow harassment, against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (cancer), age (over 40), marital status, pregnancy disability and denial of family care leave. Grantees and Subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Grantee and Subcontractor shall comply with the provisions of the Fair Employment and Housing Act (Government Code, Section 12900 g-f, et seq.) and the applicable regulations promulgated there under (California Code of Regulations, Title 2, and Section 7285. et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code, Section 12990(a-f), set forth in Chapter 5, Division 4 of Title 2 of the California Code of Regulations are incorporated into this sub grant agreement or its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.
2. This Grantee shall include the nondiscrimination and compliance provisions of this clause in all Subcontracts to perform work under the sub grant agreement.
3. This Grantee agrees to conform to federal nondiscrimination provisions of the *Wagner-Peyser Act* and other federal nondiscrimination requirements referenced in Title 29 CFR, Part 37.

## 17. Indemnification

(a) The following provision applies only if the Grantee is a governmental entity: Pursuant to the provision of Section 895.4 of the California Government Code, each party agrees to indemnify and hold the other party harmless from all liability for damage to persons or property arising out of or resulting from acts or omissions of the indemnifying party.

(b) The following provision applies only if the Grantee is a non-governmental entity: The Grantee agrees to the extent permitted by law, to indemnify, defend and save harmless the Grantor, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all Contractors, Subcontractors, materials persons, laborers and any other persons, firms or corporations, furnishing or supplying work, services, materials, or supplies in connection with the performance of this agreement, and from any and all claims and losses accruing or resulting to any persons, firms or corporations that may be injured or damaged by the Grantee in the performance of this sub grant agreement.

1. Failure to comply with all requirements of the certifications in Section 2 may result in suspension of payment under this sub grant agreement or termination of this sub grant agreement or both, and the Grantee may be ineligible for award of future state subgrant agreements/contracts if the department determines that any of the following has occurred: (1) false information on the certifications, or (2) violation of the terms of the certifications by failing to carry out the requirements as noted above.

### **C. STANDARDS OF CONDUCT**

The following standards apply to all Grantees:

1. General Assurance – Every reasonable course of action will be taken by the Grantee in order to maintain the integrity of this expenditure of public funds and to avoid favoritism and questionable or improper conduct. This sub grant agreement will be administered in an impartial manner, free from efforts to gain personal, financial or political gain. Grantee agrees to conform to the nondiscrimination requirements as referenced in the *Wagner-Peyser Act*.
2. Avoidance of Conflict of Economic Interest – An executive or employee of the Grantee, an elected official in the area or a member of the Local Board, will not solicit or accept money or any other consideration from a third person, for the performance of an act reimbursed in whole or part by the Grantee or Grantor: Supplies, materials, equipment or services purchased with subgrant agreement funds will be used solely for purposes allowed under this sub grant agreement. No member of the Local Board will cast a vote on the provision of services by that member (or any organization, which that member represents) or vote on any matter that would provide direct financial benefit to that member (or immediate family of the member) or any business or organization that the member directly represents.

### **D. COORDINATION**

The Grantee will, to the maximum extent feasible, coordinate all programs and activities supported under this part with other programs under the *Wagner-Peyser Act*. Title 38 of the United States Code, and other employment and training programs at the state and local level.

### **E. SUBCONTRACTING**

1. Any of the work or services specified in this sub grant agreement that will be performed by other than by the Grantee will be evidenced by a written agreement specifying the terms and conditions of such performance.
2. The Grantee will maintain and adhere to an appropriate system, consistent with federal, state and local law, for the award and monitoring of contracts that contain acceptable standards for insuring accountability.

3. The system for awarding contracts will contain safeguards to insure that the Grantee does not contract with any entity whose officers have been convicted of fraud or misappropriation of funds within the last two years.

## F. INSURANCE

Except for city and county governmental entities, Grantees must provide the Grantor evidence of the coverage specified in a, b, c, and d below. The evidence of coverage shall include the registration number of the sub grant agreement for identification purposes.

1. The Grantee will provide general liability insurance with a combined limit of \$1,000,000 or public liability and property damage coverage with a combined limit of not less than \$1,000,000.
2. The Grantee will provide broad form automobile liability coverage with limits as set forth in (b) above, which applies to both owned/leased and non-owned automobiles used by the Grantee or its agents in performance of this sub grant agreement, or, in the event that the Grantee will not utilize owned/leased automobiles but intends to require employees, trainees or other agents to utilize their own automobiles in performance of this sub grant agreement, Grantee will secure and maintain on file from all such employees, trainees or agents a self-certification of automobile insurance coverage.
3. Grantee will provide Worker's Compensation Insurance, which complies with provisions of the California Labor Code, covering all employees of the Grantee and all participants enrolled in work experience programs. Medical and Accident Insurance will be carried for those participants not qualifying as "employee" (Section 3350, et seq. of the California Labor Code) for Worker's Compensation.
4. The Grantor will be named as "Certificate Holder" of policies secured in compliance with paragraphs a-d above and will be provided certificates of insurance or insurance company "binders" prior to any disbursement of funds under this sub grant agreement, verifying the insurance requirements have been complied with. The coverage noted in b and c above must contain the following clauses:
  - (a) Insurance coverage will not be canceled or changed unless 30 days prior to the effective date of cancellation or change written notice is sent by the Grantee to the following:

Wagner-Peyser Financial Management Unit  
Employment Development Department  
PO Box 826880, MIC 69  
Sacramento, CA 94280-0001
  - (b) State of California, its officers, agents, employees and servants are included as additional insured, but only insofar as the operations under this sub grant agreement are concerned.
  - (c) The State of California is not responsible for payment of premiums or assessments on this policy.

## **G. RESOLUTION**

A county, city, district or other local public body must provide the state with a copy of a resolution, order, motion, or ordinance of the local governing body, which by law has authority to enter into an agreement, authorizing execution of this sub grant agreement. Preferably, resolutions should authorize a designated position rather than a named individual.

## **H. FUNDING**

It is mutually understood between the parties that this sub grant agreement may have been written before ascertaining the availability of congressional and legislative appropriation of funds, for the mutual benefit of both parties, in order to avoid program and fiscal delays that would occur if the sub grant agreement was executed after that determination was made.

This sub grant agreement is valid and enforceable only if (1) sufficient funds are made available by the State Budget Act of the appropriate state fiscal years covered by this sub grant agreement for the purposes of this program and; (2) sufficient funds available to the state by the United States Government for the fiscal years covered by this sub grant agreement for the purposes of this program.

In addition, this sub grant agreement is subject to any additional restrictions, limitations, or conditions enacted by the Congress and Legislature or any statute enacted by the Congress and Legislature that may affect the provisions, terms, or funding of this sub grant agreement in any manner.

1. At the expiration of the terms of this sub grant agreement or upon termination prior to the expiration of this sub grant agreement, funds not obligated for the purpose of this sub grant agreement will be immediately remitted to the Grantor, and no longer available to the Grantee.
2. The Grantor retains the right to suspend financial assistance, in whole or in part, to protect the integrity of the funds or to ensure proper operation of the program, providing the Grantee is given prompt notice and the opportunity for an informal review of the Grantor's decision. The Chief Deputy Director or his designee will perform this informal review and will issue the final administrative decision within 60 days of receiving the written request for review. Failure on the part of the Grantee or a Subcontractor of the Grantee to comply with the provisions of this sub grant agreement, or with the *Wagner-Peyser Act* or regulations, when such failure involves fraud or misappropriation of funds, may result in immediate withholding of funds.

## **I. ACCOUNTING AND CASH MANAGEMENT**

1. Grantee will comply with controls, record keeping and fund accounting procedure requirements of the *Wagner-Peyser Act*, federal and state regulations and directives to ensure the proper disbursement of, and accounting for, program funds paid to the Grantee and disbursed by the Grantee, under this sub grant agreement.

2. Grantee will submit requests for cash to coincide with immediate cash needs and assure that no excess cash is on deposit in their accounts or the accounts of any sub-contracting service provider in accordance with procedures established by the Subgrantor. Failure to adhere to these provisions may result in suspending cash draw down privileges and providing funds through a reimbursement process.
3. The Grantor retains the authority to adjust specific amounts of cash requested if the Grantor's records and subsequent verification with the Grantee indicate that the Grantee has an excessive amount of cash in its account.
4. Income (including interest income) generated as a result of the receipt of *Wagner-Peyser Act* funds on deposits, will be utilized in accordance with policy and procedures established by the Grantor Grantee will account for any such generated income separately.
5. Grantee shall not be required to maintain a separate bank account but shall separately account for *Wagner-Peyser Act* funds on deposit. All funding under this sub grant agreement, will be made by check or wire transfer payable to the Grantee for deposit in Grantee bank account or city and county governmental bank accounts. To provide for the necessary and proper internal controls, funds should be withdrawn and disbursed by no less than two representatives of the Grantee. The Grantor will have a lien upon any balance of *Wagner-Peyser Act* funds in these accounts, which will take priority over all other liens or claims.

## **J. AMENDMENTS**

This sub grant agreement may be unilaterally modified by the Grantor under the following circumstances:

1. There is an increase or decrease in federal or state funding levels.
2. A modification to the sub grant is required in order to implement an adjustment to a Grantee's plan.
3. Funds awarded to the Grantee have not been expended in accordance with the schedule included in the approved Grantee's plan. After consultation with the Grantee, the Grantor has determined that funds will not be spent in a timely manner, and such funds are for that reason to the extent permitted by and in a manner consistent with state and federal law, regulations and policies, reverting to the Grantor.
4. There is a change in state and federal law or regulation requiring a change in the provisions of this sub grant agreement.
5. An amendment is required to change the Grantees' name as listed on this sub grant agreement. Upon receipt of legal documentation of the name change the state will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

Except as provided above, this sub grant agreement may be amended only in writing by the mutual agreement of both parties.

**K. REPORTING**

Grantee will compile and submit reports of activities, expenditures, status of cash and closeout information by the specified dates as prescribed by the Grantor. All expenditure reports must be submitted using the accrual basis of accounting. Failure to adhere to the reporting requirements of this agreement will result in funds not being released.

**L. TERMINATION**

This sub grant agreement may be terminated in whole or in part for either of the two following circumstances:

1. Termination for Convenience – Either the Grantor or the Grantee may request a termination, in whole or in part, for convenience. The Grantee will give a ninety (90) calendar-day advance notice in writing to the Grantor. The Grantor will give a ninety (90) calendar-day advance notice in writing to the Grantee.
2. Termination for Cause – The Grantor may terminate this sub grant agreement in whole or in part when it has determined that the Grantee has substantially violated a specific provision of the *Wagner-Peyser Act* regulations or implementing state legislation and corrective action has not been taken.
  - (a) All notices of termination must be in writing and be delivered personally or by deposit in the U. S. Mail, postage prepaid, "Certified Mail-Return Receipt Requested", and will be deemed to have been given at the time of personal delivery or of the date of postmark by the U. S. Postal Service.

**Notices to the Grantee will be addressed to:**

Grantee Name:

\_\_\_\_\_

Attention:

\_\_\_\_\_

Address:

\_\_\_\_\_

City, State, Zip:

\_\_\_\_\_

**Notices to the Grantor will be addressed as follows:**

Financial Management Unit  
Workforce Services Division  
Employment Development Department  
PO Box 826880, MIC 69  
Sacramento, CA 94280-0001

**M. RECORDS**

1. If participants are served under this sub grant agreement, the Grantee will establish a participant data system as prescribed by the Grantor.
2. Grantee will retain all records pertinent to this sub grant agreement for a period of three years from the date of final payment of this sub grant agreement. If, at the end of three years, there is litigation or an audit involving those records, the Grantee will retain the records until the resolution of such litigation or audit.
3. The Grantor and/or the U. S. DOL, or their designee will have access to and right to examine, monitor and audit all records, documents, conditions and activities related to programs funded by this sub grant agreement. For purposes of this section, "access to" means that the Grantee shall at all times maintain within the State of California a complete set of records and documents related to programs funded by this agreement. The Grantee shall comply with this requirement regardless of whether it ceases to operate or maintain a presence within the State of California before the expiration of the sub grant. Grantee's performance under the terms and conditions herein specified will be subject to an evaluation by the Grantor of the adequacy of the services performed, timeliness of response and a general impression of the competency of the firm and its staff.

**N. AUDITS**

1. The Grantee will maintain and make available to auditors, at all levels, accounting and program records including supporting source documentation and cooperate with all auditors. All governmental and non-profit organizations must follow the audit requirements (**single audit or program-specific audit requirement**) of OMB Circular A-133 (Title 29 CFR, Section 97.26 and Title 29 CFR, Section 95.26)
2. The Grantee and/or auditors performing monitoring or audits of the Grantee or its sub-contracting service providers will immediately report to the Grantor any incidents of fraud, abuse or other criminal activity in relation to this sub grant agreement, the *Wagner-Peyser Act*, or its regulations.

## **O. DISALLOWED COSTS**

Except to the extent that the state determines it will assume liability, the Grantee will be liable for and will repay, to the Grantor, any amounts expended under this subgrant agreement found not to be in accordance with the *Wagner-Peyser Act* including, but not limited to, disallowed costs. Such repayment will be from funds (Non-Federal), other than those received under the *Wagner-Peyser Act*.

## **P. CONFLICTS**

1. Grantee will cooperate in the resolution of any conflict with the U.S. DOL that may occur from the activities funded under this agreement.
2. In the event of a dispute between the Grantor and the Grantee over any part of this sub grant agreement, the dispute may be submitted to non-binding arbitration upon the consent of both the Grantor and the Grantee. An election for arbitration pursuant to this provision will not preclude either party from pursuing any remedy for relief otherwise available.

## **Q. GRIEVANCES AND COMPLAINT SYSTEM**

Grantee will establish and maintain a grievance and complaint procedure in compliance with the *Wagner-Peyser Act*, federal regulations and state statutes, regulations and policy.

## **R. PROPERTY**

All property, whether finished or unfinished documents, data, studies and reports prepared or purchased by the Grantee under this sub grant agreement, will be disposed of in accordance with the direction of the Grantor. In addition, any tools and/or equipment furnished to the Grantee by the Grantor and/or purchased by the Grantee with funds pursuant to this sub grant agreement will be limited to use within the activities outlined in this sub grant agreement and will remain the property of the United States Government and/or the Grantor. Upon termination of this sub grant agreement, Grantee will immediately return such tools and/or equipment to the Grantor or dispose of them in accordance with the direction of the Grantor.

## **S. INTELLECTUAL PROPERTY PROVISIONS**

1. Federal Funding
  - (a) In any sub grant funded in whole or in part by the federal government, Grantor may acquire and maintain the Intellectual Property rights, title, and ownership, which result directly or indirectly from the sub grant, except as provided in 37 Code of Federal Regulations part 401.14. However, pursuant to Title 29 CFR, Section 97.34 the federal government shall have a royalty-free, non-exclusive, irrevocable, paid-up license throughout the world to use,

duplicate, or dispose of such Intellectual Property throughout the world in any manner for governmental purposes and to have and permit others to do so.

## 2. Ownership

(a) Except where Grantor has agreed in a signed writing to accept a license, Grantor shall be and remain, without additional compensation, the sole owner of any and all rights, title and interest in all intellectual property, from the moment of creation, whether or not jointly conceived, that are made, conceived, derived from, or reduced to practice by Grantee or Grantor and which result directly or indirectly from this sub grant agreement.

(b) For the purposes of this sub grant agreement, Intellectual Property means recognized protectable rights and interest such as: patents, (whether or not issued) copyrights, trademarks, service marks, applications for any of the foregoing, inventions, trade secrets, trade dress, logos, insignia, color combinations, slogans, moral rights, right of publicity, author's rights, contract and licensing rights, works, mask works, industrial design rights, rights of priority, know how, design flows, methodologies, devices, business processes, developments, innovations, good will, any data or information maintained, collected or stored in the ordinary course of business by Grantor, and all other legal rights protecting intangible proprietary information as may exist now and/or hereafter come into existence, and all renewals and extensions, regardless of whether those rights arise under the laws of the United States, or any other state, country or jurisdiction.

1. For the purposes of the definition of Intellectual Property, "works" means all literary works, writings and printed matter including the medium by which they are recorded or reproduced, photographs, art work, pictorial and graphic representations and works of a similar nature, film, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, educational materials, interactive videos, computer software and any other materials or products created, produced, conceptualized and fixed in a tangible medium of expression. It includes preliminary and final products and any materials and information developed for the purposes of producing those final products. "Works" does not include articles submitted to peer review or reference journals or independent research projects.

(c) In the performance of this sub grant agreement, Grantee may exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this sub grant agreement. In addition, under this sub grant agreement, Grantee may access and utilize certain of Grantor's intellectual property in existence prior to the effective date of this sub grant agreement. Except as otherwise set forth herein, Grantee shall not use any of Grantor's Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of Grantor. Except as otherwise set forth herein, neither the Grantee nor Grantor shall give any ownership interest in or rights to its Intellectual Property to the other Party. If, during the term of this sub grant agreement, Grantee accesses any third-party

Intellectual Property that is licensed to Grantor, Grantee agrees to abide by all license and confidentiality restrictions applicable to Grantor in the third-party's license agreement.

- (d) Grantee agrees to cooperate with Grantor in establishing or maintaining Grantor's exclusive rights in the Intellectual Property, and in assuring Grantor's sole rights against third parties with respect to the Intellectual Property. If the Grantee enters into any agreements or subcontracts with other parties in order to perform this sub grant agreement, Grantee shall require the terms of the agreement(s) to include all Intellectual Property provisions of Sub-Section S a) through i). Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to Subgrantor all rights, title and interest in Intellectual Property made, conceived, derived from, or reduced to practice by the subcontractor, Grantee or Subgrantor and which result directly or indirectly from this sub grant agreement or any subcontract.
- (e) Pursuant to Sub-Section S (2) (c) of the Intellectual Property Provisions in Exhibit BB to this sub grant agreement, the requirement for the Grantee to include all Intellectual Property Provisions of Sub-Section S a) through i) of the Intellectual Property Provisions in all agreements and subcontracts it enters into with other parties does not apply to sub grant agreements or subcontracts that are for customized and on-the-job training as authorized under 20 CFR 663.700-730.
- (f) Grantee further agrees to assist and cooperate with Subgrantor in all reasonable respects, and execute all documents and, subject to reasonable availability, give testimony and take all further acts reasonably necessary to acquire, transfer, maintain, and enforce Subgrantor's Intellectual Property rights and interests.

### 3. Retained Rights/License Rights

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

party, or result in a breach or default of any provisions of Sub-Section S a) through i) or result in a breach of any provisions of law relating to confidentiality.

#### 4. Copyright

- (a) Grantee agrees that for purposes of copyright law, all works (as defined in Ownership, Sub-Section S (2) (B) (1) of authorship made by or on behalf of Grantee in connection with Grantee's performance of this sub grant agreement shall be deemed "works made for hire." Grantee further agrees that the work of each person utilized by Grantee in connection with the performance of this sub grant agreement will be a "work made for hire," whether that person is an employee of Grantee or that person has entered into an agreement with Grantee to perform the work. Grantee shall enter into a written agreement with any such person that: (i) all work performed for Grantee shall be deemed a "work made for hire" under the Copyright Act and (ii) that person shall assign all right, title, and interest to Grantor to any work product made, conceived, derived from or reduced to practice by Grantee or Grantor and which result directly or indirectly from this sub grant agreement.
- (b) All materials, including, but not limited to, computer software, visual works or text, reproduced or distributed pursuant to this sub grant agreement that include Intellectual Property made, conceived, derived from, or reduced to practice by Grantee or Grantor and which result directly or indirectly from this sub grant agreement may not be reproduced or disseminated without prior written permission from Grantor.

#### 5. Patent Rights

With respect to inventions made by Grantee in the performance of this sub grant agreement, which did not result from research and development specifically included in the Grant's scope of work, Grantee hereby grants to Grantor a license for devices or material incorporating, or made through the use of such inventions. If such inventions result from research and development work specifically included within the sub grant agreement's scope of work, then Grantee agrees to assign to Grantor, without addition compensation, all its right, title and interest in and to such inventions and to assist Grantor in securing United States and foreign patents with respect thereto.

#### 6. Third-Party Intellectual Property

Except as provided herein, Grantee agrees that its performance of this sub grant agreement shall not be dependent upon or include any Intellectual Property of Grantee or third party without first:

- (a) Obtaining Grantor's prior written approval.
- (b) Granting to or obtaining for Grantor's, without additional compensation, a license, for any of Grantee's or third-party's Intellectual Property in existence prior to the effective date of this sub grant agreement. If such a license upon these terms is unattainable, and Grantor determines that the Intellectual Property should be included in or is required for Grantee's

performance of this sub grant agreement, Grantee shall obtain a license under terms acceptable to Grantor.

## 7. Warranties

(a) Grantee represents and warrants that:

1. It has secured and will secure all rights and licenses necessary for its performance of this sub grant agreement.
2. Neither Grantee's performance of this sub grant agreement, nor the exercise by either Party of the rights granted in this sub grant agreement, nor any use, reproduction, manufacture, sale, offer to sell, import, export, modification, public and private display/performance, distribution, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Grantee or Grantor and which result directly or indirectly from this sub grant agreement will infringe upon or violate any Intellectual Property right, non-disclosure obligation, or other proprietary right or interest of any third-party or entity now existing under the laws of, or hereafter existing or issued by, any state, the United States, or any foreign country. There are currently no actual or threatened claims by any such third party based on an alleged violation of any such right by Grantee.
3. Neither Grantee's performance nor any part of its performance will violate the right of privacy of, or constitute a libel or slander against any person or entity.
4. It has secured and will secure all rights and licenses necessary for Intellectual Property including, but not limited to, consents, waivers or releases from all authors.
5. Of music or performances used, and talent (radio, television and motion picture talent), owners of any interest in and to real estate, sites locations, property or props that may be used or shown.
6. It has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to Grantor in this sub grant agreement.
7. It has appropriate systems and controls in place to ensure that state and federal funds will not be used in the performance of this sub grant agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.
8. It has no knowledge of any outstanding claims, licenses or other charges, liens, or encumbrances of any kind or nature whatsoever that could affect in any way Grantee's performance of this sub grant agreement.

(b) Grantor makes no warranty, that the intellectual property resulting from this sub grant agreement does not infringe upon any patent, trademark, copyright or the like, now existing or subsequently issued.

## 8. Intellectual Property Indemnity

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

court of competent jurisdiction, without restriction or limitation of any other rights and remedies available at law or in equity.

9. Survival

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

**T. CONFIDENTIALITY REQUIREMENTS**

The State of California and the Grantee will exchange various kinds of information pursuant to this sub grant agreement. That information will include data, applications, program files, and databases. These data and information are confidential when they define an individual or an employing unit. Confidential information requires special precautions to protect it from unauthorized use, access, disclosure, modification, and destruction. The sources of information may include, but are not limited to, the Employment Development Department, the California Department of Social Services, the California Department of Education, the California Department of Corrections, the County Welfare Department(s), the County IV-D Directors Office of Child Support, the Office of the District Attorney, the California Department of Mental Health, the California Office of Community Colleges and the Department of Alcohol and Drug Programs. The Grantor and Grantee agree that:

1. Each party shall keep all information that is exchanged between them in the strictest confidence and make such information available to their own employees only on a “need-to-know” basis.
2. Each party shall provide written instructions to all of its employees with access to information provided by the other party of the confidential nature of the information and of the penalties for unauthorized use or disclosure found in section 1798.55 of the Civil Code, section 502 of the Penal Code, section 2111 of the Unemployment Insurance Code, section 10850 of the Welfare and Institutions Code and other applicable local, state and federal laws.
3. Each party shall (where it is appropriate) store and process information in electronic format, in such a way that unauthorized persons cannot reasonably retrieve the information by means of a computer.
4. Each party shall promptly return to the other party confidential information when its use ends, or destroy the confidential information utilizing an approved method of destroying confidential information: shredding, burning, or certified or witnessed destruction. Magnetic media are to be degaussed or returned to the other party.
5. If the Grantor or Grantee enters into an agreement with a third party to provide *Wagner Peyser Act* services, the Grantor or Grantee agrees to include these data and security and confidentiality requirements in the agreement with that third party. In no event shall said information be disclosed to any individual outside of that third party’s authorized staff, subcontractor(s), service providers, or employees.

## U. ADDITIONAL CONFIDENTIALITY REQUIREMENTS

Additional requirements for subcontractor providing resume-distribution services to Job Center clients:

1. The Grantee may, in its operation of the Job Centers, permit a Job Center Operator to enter into a subcontract to manage confidential information. This subcontract may allow an individual to register for resume-distribution services at the same time the individual enrolls in CalJOBS.
2. Grantee shall ensure that all such subcontracts comply with the intellectual property requirements of paragraph 19 of this Subgrant, the confidentiality requirements of paragraph 20 of this Subgrant and any other terms of this Subgrant that may be applicable. In addition, the following requirements must be included in the subcontracts:
  - (a) All client information submitted over the Internet to the subcontractor's databases must be protected, at a minimum, by 128-bit Secure Socket Layer (SSL) encryption. Clients' social security numbers must be stored in a separate database within the subcontractor's network of servers, and protected by a firewall and a secondary database server firewall or AES data encryption. If a subcontractor receives client social security numbers or other confidential information in the course of business, for example a resume-distribution service that provides enrollment in CalJOBS, social security numbers must be destroyed within two days after the client registers for CalJOBS. If a subcontractor obtains confidential information as an agent of the Grantee, the subcontract must specifically state the purpose for the data collection and the term of records retention must be stated, and directly related, to the purpose and use of the information. In accordance with 29 Code of Federal Regulations 97.42, social security numbers and other client specific information shall not be retained for more than three years after a client completes services. The Grantee should extend this period, only if any litigation, claim, negotiation, audit, or other action involving the records has been started before the end of the three-year retention period. In this case the records should be maintained until completion of the action and resolution of all issues arising from it, or until the close of the three-year retention period, whichever is later. (Title 29 CFR, Section 97.42 (b) (2).
  - (b) Client information (personal information that identifies a client such as name and social security number) and/or demographic information of a client (such as wage history, address, and previous employment) shall not be used as a basis for commercial solicitation during the time the client or agency is using the subcontractor's services. Client information and/or demographic information shall not be used for any purposes other than those specific program purposes set forth in the subcontract.
  - (c) A Job Center client must still be given the option to use the Job Center's services, including CalJOBS, even if he or she chooses not to use any services of the subcontractor. This option shall be prominently, clearly and immediately communicated to the client upon registration

within the Job Center or for CalJOBS, the subcontractor's resume-distribution services, or any other services subcontractor offers to the client or the Job Center Operator.

(d) The subcontractor must clearly disclose all of its potential and intended uses of the client's personal and/or demographic information for the services the client seeks and for any other services the subcontractor offers. The subcontractor shall not use a client's personal and/or demographic information without the client's prior permission. A link to the subcontractor's Privacy Policy shall appear prominently on the registration screens that list the potential and intended uses of the client's personal and/or demographic information.

(e) When the Grantor modifies State automated systems such as the State CalJOBS System, it shall provide reasonable notice of such changes to the Grantee. The Grantee shall be responsible to communicate such changes to the Job Center Operator(s) in the local area.

3. Each party shall designate an employee who shall be responsible for overall security and confidentiality of its data and information systems and each party shall notify the other of any changes in that designation. As of this date, the following are those individuals:

**FOR THE GRANTOR**

<b>Name</b>	Nicole Laktash
<b>Title</b>	Data Security Coordinator
<b>Address</b>	PO Box 826880, MIC 50 Sacramento, CA 94280-0001
<b>Phone</b>	1-916-654-6804
<b>Fax</b>	1-916-654-9657

**FOR THE GRANTEE**

Grantee Name: \_\_\_\_\_

Attention/Title: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_

FAX: \_\_\_\_\_

**V. SIGNATURES**

This sub grant agreement is of no force and effect until signed by both of the parties hereto. Grantee will not commence performance prior to the beginning of this sub grant agreement.