

**WORKFORCE INVESTMENT ACT OF 1998  
CONTRACT FOR SERVICE PROVISION**

**1. PARTIES**

This Contract is by and between the Golden Sierra Job Training Agency, hereinafter referred to as "GSJTA" and the El Dorado County Department of Human Services as the administrator of Community Action Agency Programs representing the El Dorado One Stop Operator Consortia, hereinafter referred to as "CONTRACTOR".

**2. PURPOSE**

The parties agree to enter into this Contract for the purpose of delivering augmented Dislocated Worker activities during the term December 1, 2008 through December 31, 2009. This Contract will adhere to all provisions of the Workforce Investment Act (WIA) and the parties will follow all regulations and guidance issued by the U.S. Department of Labor, the State of California and the GSJTA. The parties make the commitment to continue to maintain not only the basic provisions of WIA, but also to enact the basic guiding principles of California's One-Stop delivery system.

**3. REFERENCES**

All policies and procedures referenced in this contract are available online at [www.goldensierra.com](http://www.goldensierra.com), [www.doleta.gov](http://www.doleta.gov), [www.edd.gov](http://www.edd.gov) or other appropriate government entity's website.

**4. EXHIBITS**

This Contract consists of this page and the exhibits listed below.

- Exhibit A – General Terms and Conditions
- Exhibit B – Statement of Work
- Exhibit C – Budget
- Exhibit D – Performance Measures
- Exhibit E – Intellectual Property Provisions
- Exhibit F – Insurance Requirements
- Exhibit G – Debt Collection Procedures
- Exhibit H – Assurances and Certifications
- Exhibit I – Confidentiality of Client Records
- Exhibit J – WIA Complaints/Grievance Procedures
- Exhibit K – Maintenance of Effort

**5. TERM**

This Contract begins on December 1, 2008 and ends on December 31, 2009. Contract funds shall not, without advance written approval by GSJTA, be obligated before the beginning of the term or after the ending of the term.

**6. PAYMENT AND REPORTING**

GSJTA shall reimburse the CONTRACTOR for services performed under this Contract. For services provided herein, GSJTA agrees to pay CONTRACTOR within forty five (45) days of receipt and approval of itemized invoice(s).

Each payment shall be made after timely presentation by the CONTRACTOR of an invoice, no later than **fifteen (15) calendar days** after the end of each month. Each invoice submitted shall be subject to review and approval by GSJTA and must be substantiated by such detailed itemization as required by GSJTA. Total payment to CONTRACTOR under this Contract shall not exceed \$41,925.

The CONTRACTOR is responsible for the allocation of expenditures based on the Economic Stimulus direct grant funding and for insuring that funding limitations and WIA guidelines regarding program activities are adhered to.

**7. DISALLOWED COSTS**

CONTRACTOR shall be liable for and will repay the GSJTA any amounts expended under this agreement found not to be in accordance with the WIA and the provisions of this agreement including, but not limited to, disallowed costs. Such repayment will be from funds (non-federal) other than those received under the WIA. See Office of Management and Budget Circular A-87, Attachment B, Item 6; WIA Directive WIAD05-14; WIA 185(f)(2); and Code of Federal Regulations 667.300.].

**8. CONTRACT ADMINISTRATOR**

The County officer or employee with responsibility for administering this Contract is Debbie Stack, Program Manager, Department of Human Services, or successor.

**9. SIGNATURES**

This Contract may only be modified by a signed, written Contract modification document. No oral conversation shall be considered to be Contract modification. The parties agree to all Contract provisions, including this page and all exhibits, by signing below.

**FOR** Golden Sierra Job Training Agency

**FOR** El Dorado County Department of  
Human Services, responsible for  
Community Action Agency  
Programs

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Signature

Jason Buckingham, Executive Director

Typed Name and Title

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Signature

Ron Briggs , Chairman  
El Dorado County Board of Supervisors

Typed Name and Title

EXHIBIT A

CONTRACT NO.: R970535-02

Number of Exhibit Pages:  1  through  18  Including Index

**GENERAL TERMS AND CONDITIONS**

**INDEX**

The following terms and conditions are contained in this Exhibit.

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1. NOTICES

All notices to be given by the parties hereto shall be in writing and served by depositing same in the United States Post Office, postage prepaid and return receipt requested. Notices, reports and payments shall be sent to the following individuals and addresses.

Golden Sierra Job Training Agency

Jason Buckingham  
Executive Director  
11549 F Ave  
Auburn, CA 95603  
530 – 823-4631

El Dorado County Department of Human Services

Debbie Stack  
Program Manager  
3057 Briw Road, Suite A  
Placerville, CA 95667  
530-642-7325

The individuals and addresses listed above may be changed by written notice to the parties.

2. FISCAL REQUIREMENTS

A. Payment Requests

All payment requests shall be submitted in accordance with Section 5 A. Continued or repeated failure by the CONTRACTOR to submit timely and/or complete invoices may result in suspension or termination of the Contract.

B. Payment Denial

GSJTA has the right to deny all or a portion of any payment request based upon any of the following: a) failure to comply with any Contract provision, all of which are deemed to be material; b) failure to comply with any Workforce Investment Board (WIB) or GSJTA policy; c) recoupment of costs disallowed under this or a previous GSJTA contract; d) recoupment of amounts otherwise owed to GSJTA; e) failure to receive Federal funds, upon which funding for this Contract is based.

C. Funding Streams

All payments to CONTRACTOR shall be in accordance with Exhibit C, the Contract Budget. Separate fund stream budgets may not be exceeded except after execution of a Contract modification. Cost categories and line item costs within a fund stream may be exceeded, but only in accordance with GSJTA policies and procedures.

D. Travel & Per Diem Costs

CONTRACTOR shall not be reimbursed for any travel or per diem costs at rates that exceed those paid to GSJTA employees in accordance with GSJTA policy.

E. Fraud or Abuse Allegations

In the event of allegations of fraud or abuse, GSJTA reserves the right to withhold Contract payments in whole or in part until a determination on the merits of the allegation is made. Such a determination shall not supersede or replace final disallowed cost resolution procedures.

F. Additional Funding

CONTRACTOR shall notify GSJTA, in writing, within ten (10) calendar days of receipt of any additional funding that materially affects the cost and/or quality of the service provided under this Contract. Upon receipt of such written notification, GSJTA, with approval of the Workforce Investment Board and Governing Body, may reduce payment to CONTRACTOR hereunder upon re-determination of the cost reasonableness of the services provided under this Contract.

G. Support of Salaries and Wages

Charges to the program for salaries and wages of CONTRACTOR's employees shall be based upon documented payrolls approved by a responsible official of CONTRACTOR. The distribution of salaries and wages must be supported by personnel activity reports as specified herein. Reports effecting the distribution of activity of each employee must be maintained for all staff members, professional and nonprofessional, whose compensation is charged, in whole or in part, directly to this agreement.

- 1) Invoices shall include a summary report, indicating amounts paid for salaries and wages, by employee.
- 2) This summary shall be supported by individual time records which are subject to monitoring by GSJTA, Federal and State regulations, and others as deemed appropriate.
- 3) Budget estimates do not qualify as support for charges to the program. All salary charges must represent actual, verifiable hours worked on this Contract.

3. DELIVERY OF SERVICES

CONTRACTOR agrees to deliver the quality and quantity of services as specified in Exhibit B, the Statement of Work. Any deviation from the Statement of Work must be approved in writing by GSJTA. Provider will ensure due diligence in managing fund streams included in this Contract, including the carrying out of the appropriate monitoring activities as defined in GSJTA monitoring policies and procedures and taking prompt corrective action to prevent violations of fund stream rules and regulations.

4. COMPLIANCE

A. The Rules

CONTRACTOR shall fully comply with all applicable Federal, State and local laws, regulations, rules, policies and procedures, including but not limited to:

- 1) The WIA, including amendments thereto, and implementing Federal regulations;
- 2) State of California statutes, rules, regulations, directives, policies and procedures implementing the WIA;
- 3) WIB, Governing Body and GSJTA policies and procedures applicable to each fund stream included in this Contract;

- 4) Federal OMB Circulars and applicable State fiscal policies and procedures, which currently include but are not limited to A-87, A-102, A-110, A-122, A-128, A-133, A-21, as amended, and 41 CFR Part 1.15, Subpart 1-15.2;
- 5) GSJTA's WIA plan; and
- 6) Federal, State and GSJTA management information system (MIS) guidelines, manuals, policies and procedures.

B. Rules Changes

CONTRACTOR also understands and agrees that all statutes, regulations, rules, policies, procedures, cost circulars, and periodic publications referenced in § 4.A., above are subject to amendment or replacement during the life of this Contract. All such changes shall take effect upon their effective dates and shall become binding upon actual or constructive notice to CONTRACTOR. Constructive notice includes publication, mailing or distribution to CONTRACTOR or its project manager.

5. CONTRACT CHANGES

A. Unilateral Modification

This Contract may be unilaterally modified at any time by GSJTA as required by changes in Federal or State laws, regulations, or rules. CONTRACTOR must either accept the unilateral modification or may elect to give 30 day notice of Contract termination.

B. Bilateral Modification

This contract may be bilaterally modified at any time by the execution of a written, signed requiring WIB and Governing Body approval.

C. Early Termination

This Contract may be terminated early in whole or in part for any of the following reasons.

- 1) Either party may terminate this Contract for convenience by giving 90 calendar days advance written notice to the other party in person or by certified mail. The 90-day period shall commence when notice is deposited with the post office or personally delivered;
- 2) Either party may terminate this Contract immediately for cause by giving written notice. Breach of any Contract provision shall constitute cause for termination;
- 3) if GSJTA fails to receive sufficient Federal or State funds to meet any or all of its contractual obligations due to fund reduction, suspension or termination or other causes, GSJTA shall have the right to immediately and unilaterally reduce or terminate all or part of this Contract;
- 4) GSJTA may terminate this Contract for cause if CONTRACTOR appears on the register of employers in contempt of court for violations of the National Labor Relations Act.

D. Early Termination Costs

If this Contract is terminated early, CONTRACTOR shall be entitled to allowable costs accrued prior to the date of termination, plus reasonable closeout costs approved by GSJTA.

E. Deobligation and Probation

GSJTA shall have the right to adopt and implement a fund deobligation and probation policy which may shift funds away from or place on probation a Provider who is under utilizing available funds, is failing to meet performance or reporting expectations, or is failing to achieve service levels as established in the Statement of Work.

Should GSJTA's funding be reduced, GSJTA may, notwithstanding any other provision of this Contract, at any time with WIB and Governing Body approval, deobligate or otherwise reduce or withdraw funds allocated to CONTRACTOR pursuant to this Contract or, with WIB and Governing Body approval, terminate this Contract. In the event of deobligation, GSJTA may unilaterally amend this Contract identifying the deobligation. GSJTA shall have no liability to CONTRACTOR based upon said deobligation or termination, specifically including, but not limited to, any liability for CONTRACTOR's consequential damages.

6. REMEDIES, BONDING AND INSURANCE

A. Indemnification

Pursuant to the provisions 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. Disallowed Costs

In the event of disallowed contract costs, CONTRACTOR agrees to share the reasonable costs of resulting litigation to which GSJTA is a party to the extent of its proportionate share of contested disallowed costs.

C. Notice of Claims

Notice shall be promptly submitted to GSJTA of any action or claim being brought against CONTRACTOR resulting from this Contract.



D. Bonding

Prior to initial disbursement of funds to CONTRACTOR, GSJTA must receive a statement from CONTRACTOR or its insurer assuring that all persons receiving and/or disbursing funds are covered by a fidelity bond in an amount equal to the maximum Contract funds that CONTRACTOR can have on hand. If the bond is cancelled or reduced, CONTRACTOR shall immediately notify GSJTA. Bonding may be waived for governmental entities.

Bonding Requirement Waived:

Contractor Initial: \_\_\_\_\_ GSJTA Initial: \_\_\_\_\_

E. Insurance

CONTRACTOR shall not commence work under this Contract until all required insurance and certificates of proof have been furnished to GSJTA. CONTRACTOR shall not allow any subcontractor or agent to commence work until similar insurance has been obtained. All required insurance shall be kept current throughout the term of the Contract. Required insurance includes:

- 1) General Liability Insurance: \$1,000,000.00
- 2) Automobile Liability Insurance: \$1,000,000.00
- 3) Workers Compensation: As required by law
- 4) Property Damage: In the event CONTRACTOR utilizes any real or personal property owned or tagged by GSJTA, CONTRACTOR shall insure property as follows:

Real Property: For the full insurable replacement value against the hazards of fire, vandalism and malicious mischief, and other property-related losses;

Personal Property: For the replacement cost against the hazards of fire, burglary, theft, vandalism and malicious mischief.

A self-insurance program may be accepted by GSJTA in lieu of insurance coverage.

7. CERTIFICATIONS

A. Legal Authority

CONTRACTOR certifies that it possesses the legal authority to execute this Contract and to perform required work.

B. Defective Pricing

If any cost or price under this Contract is significantly increased or decreased as a result of defective data submitted by CONTRACTOR, GSJTA reserves the right to renegotiate the Contract or to disallow and collect funds obtained by CONTRACTOR due to false or negligently submitted pricing data.

C. Internal Controls

CONTRACTOR will administer its programs with safeguards, including proper internal controls, necessary to reasonably prevent fraud and abuse.

D. Sectarian Activities and Maintenance of Effort

CONTRACTOR assures and certifies that:

- (a) This Contract does not provide for the advancement of, 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 whatever, as specified by Article XVI, Section 5, of the Constitution, regarding separation of church and state. There shall be no religious workshops, instruction or proselytic action as part of, or in connection with, the performance of this Contract.
- (b) Clients shall not be employed on the construction, operations, or maintenance of so much of any facility as is used or to be used for sectarian instruction or as a place for religious worship.
- (c) There will be no employment or training of clients in sectarian activities.
- (d) No WIA funds shall be used to support any religious or anti-religious activity.
- (e) All training and/or services shall be free of religious content and all materials shall be devoid of ecclesiastical or sectarian teaching.
- (f) No WIA-funded client or employee may perform any activities which would benefit or be associated with any religious activity.
- (g) The portion of any building utilized for WIA activities shall be separate and distinct from the remainder of the facility and shall be free of all sectarian influence or appearance including religious artifacts, symbols and paraphernalia.
- (h) No religious activity shall be conducted within any portion of the building used for WIA training and/or services during any time that any W IA activity is being conducted or when WIA clients are present in the course of any WIA activity.

E. Independent Contractor

The parties to this Contract will be acting in an independent capacity and not as agents, employees, partners, joint venturers, or associates of each other. The employees or agents of one party shall not be deemed or construed to be the agent or employee of the other party for any purpose whatsoever.

F. Conduct Standards

- 1) Every reasonable course of action will be taken by CONTRACTOR in order to maintain the integrity of this expenditure of public funds and to avoid favoritism and questionable or improper conduct. This Contract will be administered in an impartial manner, free from efforts to gain personal, financial or political gain. Provider agrees to conform to the nondiscrimination requirements in WIA, Section 188.

- 2) CONTRACTOR agrees to comply with the Americans with Disabilities Act (ADA) of 1990 (42 U.S.C. 12101 et seq.), which prohibits discrimination on the basis of disability, and all applicable Federal and State laws and regulations, guidelines, and interpretations issued pursuant to the ADA.
- 3) CONTRACTOR must, perform reasonable due diligence to insure that any of its employees who were formerly employed by the State of California in a position that could have enabled such individuals to impact policy regarding or implementation of activities covered by this Contract, will not be assigned to any part or phase of the activities conducted pursuant to this Contract for a period of not less than two years following the termination of such State employment.
- 4) No relative by blood, adoption or marriage of any executive or employee of CONTRACTOR will receive favorable treatment when considered for enrollment in programs provided by, or employment with, CONTRACTOR.
- 5) Executives and employees of CONTRACTOR will be particularly aware of the varying degrees of influence that can be exerted by personal friends and associates and, in administering the Contract, will exercise due diligence to avoid situations which give rise to an assertion that favorable treatment is being granted to friends and associates.
- 6) An executive or employee of CONTRACTOR and their subcontractors, a GSJTA-area elected official or a member of the WIB, 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 this Contract. Supplies, materials, equipment or services purchased with contract funds will be used solely for purposes allowed under this Contract. No member of the WIB will cast a vote on the provision of services by that member (or any organization, which that member represents) or vote on any matter which would provide direct financial benefit to that member (or immediate family of the member) or any business or organization which the member directly represents.
- 7) The primary purpose of the intended GSJTA Wide Area Network (WAN) is for the exchange of information in order to promote and support WIA activities in an efficient and effective manner throughout the Golden Sierra Workforce Investment Area.

G. Citizenship and Work Status

CONTRACTOR shall fully comply with all laws regarding employment of aliens and others. All employees performing services hereunder meet the citizenship or alien status requirements contained in Federal statutes and regulations including but not limited to, the Immigration Reform and Control Act of 1986, Public Law 99-603.

H. Selective Service

CONTRACTOR shall ensure that participants comply with Section 167(a)(5) of the Military Selective Service Act and other eligibility requirements applicable to the fund stream into which the participant is enrolled.

I. Confidentiality

CONTRACTOR agrees to maintain the confidentiality of participant information. Information shall be divulged to agencies having responsibilities for monitoring or evaluating contract services and performances and to governmental authorities to the extent necessary for proper contract administration.

Sources of confidential participant information may include, but are not limited to, The El Dorado County Community Action Agency and Public Housing Authority, the Employment Development Department, the California Department of Social Services, the California Department of Education, 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. Confidential information is not open to the public and requires special precautions to protect it from loss, unauthorized use, access, disclosure, modification, and destruction. CONTRACTOR agrees to:

- 1) Keep all confidential participant information furnished by GSJTA and/or the State in the strictest confidence, and make the information available to its own employees only on a "need-to-know" basis. Instruct all employees with access to GSJTA and/or State information regarding the confidential nature of the information and the sanctions against unauthorized use of disclosures found in the California Civil Code §1798.55, the Penal Code § 502, the California Unemployment Insurance Code § 2111, and the Welfare and Institution Code, § 10850;
- 2) Store and process confidential information in electronic format, in such a way that unauthorized persons cannot retrieve the information by means of computer, remote terminal, or other means. Return the confidential information promptly or destroy all copies of derivations of that confidential information when its use ends, utilizing an approved method of confidential destruction;
- 3) Ensure that all Provider staff requesting or receiving GSJTA and/or State confidential information date and sign a Confidentiality Statement. If CONTRACTOR enters into an agreement with a subcontractor, CONTRACTOR agrees to include these security and confidentiality provisions in the subcontract; and,
- 4) Designate a person responsible for information and data security and confidentiality, and immediately notify GSJTA, in writing, of any designee changes.

CONTRACTOR security and confidentiality designee is:

Name	Debbie Stack
Title	Program Manager
Address	3057 Briw Road, Ste A Placerville, CA 95667
Telephone No.	530-642-7325
Fax No.	530-626-9060

J. Training and Support Services Funding

CONTRACTOR shall require all participants to make maximum use of non-WIA resources for training and support services, and will report and make available to GSJTA all records relating to participant Pell applications and Pell grant fund receipt and distribution. No WIA training or support services costs shall be incurred without first utilizing other resources. Pell and WIA and funds may be combined, so long as multiple fund sources do not duplicate payments for the same expense.

K. Drug Free Workplace

CONTRACTOR agrees to comply with the requirements of the Drug-Free Workplace Act of 1990 (Government Code Section 8350 et seq. and 29 CFR Part 98) and will provide a drug-free workplace by taking the following actions:

- 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, as required by Government Code Section 8350(a).
- Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b) to inform employees about all of the following:
  - the dangers of drug abuse in the workplace;
  - the person's or organization's policy of maintaining a drug-free workplace;
  - any available counseling, rehabilitation and employee assistance programs; and,
  - penalties that may be imposed upon employees for drug abuse violations.
- Provide, as required by Government Code Section 8355(c), that every employee who works on this Contract:
  - will receive a copy of CONTRACTOR's drug-free policy statement; and,
  - will agree to abide by the terms of CONTRACTOR's statement as a condition of employment on the Contract.

L. Child Support Compliance

In accordance with the Child Support Compliance Act, CONTRACTOR recognizes and acknowledges:

- 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, CONTRACTOR 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).

M. Patents, Copyrights and Data Rights

CONTRACTOR shall disclose to GSJTA any invention, written product, computer program developed or data assembled as a result of performance of work under this Contract within sixty (60) days of invention, development or assembly.

GSJTA, State of California, and U.S. Department of Labor, shall have the right to patent any invention and copyright any written product or computer program. Upon written request, Provider shall transfer all pertinent information specifications and right, title and interest to the designated agency.

CONTRACTOR will retain a non-exclusive, royalty-free license on each subject invention, document, program or data to which GSJTA, State or Department of Labor obtains title, except if CONTRACTOR fails to disclose such invention, document, program, or data. The license is transferable by CONTRACTOR only with the approval of the agency obtaining title, except when transferred to the successor of CONTRACTOR.

Where GSJTA, State and U.S. Department of Labor decline to request the transfer of rights, CONTRACTOR shall retain the entire right, title and interest to each subject invention, document, program or data. In such event, GSJTA, the State and U.S. Department of Labor shall have a non-exclusive, non-transferable, irrevocable, paid up license to use subject invention, document, program, or data throughout the world.

N. Health and Safety

CONTRACTOR shall maintain appropriate standards for health and safety in work and training situations.

O. Clean Air/Clean Water

CONTRACTOR affirms that it is in compliance with all applicable standards, orders, or requirements issued under Section 306 of the Clean Air Act (42 U.S.C. 1857(h)), Section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 C.F.R. Part 15).

P. Debarment and Suspension Certification

By signing this Contract, CONTRACTOR hereby certifies under penalty of perjury under the laws of the State of California that it will comply with regulations implementing Executive Order 12549, Debarment and Suspension, 29 C.F.R. Part 98.510, and that, to the best of CONTRACTOR's knowledge and belief, it and its principals:

- 1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- 2) have not within a three year period preceding this proposal 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;

- 3) 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 paragraph 2 of this certification; and have not within a three year period preceding this agreement had one or more public transactions (Federal, State or local) terminated for cause of default.

Q. Lobbying

CONTRACTOR assures and certifies to the lobbying restrictions which are codified in the DOL regulations at 29 CFR Part 93.

- 1) 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 Contract.
- 2) If any funds have been paid or will be paid 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 Contract, CONTRACTOR shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.
- 3) CONTRACTOR shall include the language of this certification in subcontracts over \$100,000.
- 4) Failure to comply with all lobbying certifications and requirements may result in suspension of payments or contract termination, or both. CONTRACTOR may be ineligible for award of future contracts if any of the following has occurred: (1) false information on the certifications, or (2) failing to carry out the certification requirements.

R. Coordination

CONTRACTOR will, to the maximum extent feasible, coordinate all programs and activities supported under this Contract with other programs under the WIA, including the Wagner-Peyser Act, Title 38 of the United State Code, and other employment and training programs at the State and local level.

S. Litigation Costs

CONTRACTOR agrees that Contract funds cannot be used to litigate against GSJTA or the WIB, or against the Federal, State, or County governments.

T. Nondiscrimination

The conduct of the parties to this agreement will be in accordance with Title VI of the Civil Rights Act of 1964, and the Rules and Regulations promulgated thereunder and the provisions of WIA, Section 188. In addition:

- 1) CONTRACTOR 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.

The evaluation and treatment of employees and applicants for employment shall be free from discrimination and harassment. CONTRACTOR shall comply with the provisions of the Fair Employment and Housing Act (Government Code, Section 12900 et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285.0 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code, Section 12990(a-f), set forth in Chapter 5, Division 4 of Title 2 of the California Code of Regulations are incorporated into this Contract;

2) CONTRACTOR shall include these nondiscrimination and compliance provisions in all subcontracts to perform work under this Contract.

3) Section 504 of the Rehabilitation Act

CONTRACTOR agrees to abide by the provisions of Section 504 of the Rehabilitation Act of 1973, as amended, which provides that no otherwise-qualified individual with a disability shall, by reason of his or her disability, be excluded from participation in, be denied the benefit of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

U. Disputes and Grievances

CONTRACTOR will develop and maintain a system for the handling of grievances and complaints in accordance with the WIA, and guidelines issued by the State and GSJTA.

In any dispute, both parties agree to informally discuss and attempt to resolve issues in a joint meeting. In the event that informal discussion fails to resolve disputed issues, either party may request formal resolution in accordance with GSJTA procedures.

Subject to the previous paragraphs, CONTRACTOR agrees to participate in and be bound by questioned and/or disallowed cost or grievance resolution decisions issued by GSJTA. Such procedures shall include an opportunity for a fair hearing upon request.

V. Public Statements and Marketing

CONTRACTOR shall indicate in any press release or statement to the public related to the program that it is funded by the Golden Sierra Workforce Investment Area. CONTRACTOR shall identify the WIB or its brand in all contract-funded marketing.

W. Unemployment Benefits

CONTRACTOR shall not place participants with employers improperly failing to provide Unemployment Insurance benefits.

X. Staff Levels

CONTRACTOR agrees to maintain a consistent level of staffing for the programs in this Contract in accordance with the staffing levels proposed in the Budget. If maintaining the level of staffing is not possible, CONTRACTOR agrees to submit a corrective action plan within sixty (60) days of any staffing shortfall in order to reprogram funds from vacant staff positions for the benefit of program participants.



Y. Assignments and Subcontracts

CONTRACTOR agrees not to assign or subcontract any part or all of its interest in this Contract without prior written approval from GSJTA.

All applicable provisions and requirements of this Contract shall apply to any subcontracts or agreements. CONTRACTOR shall be held responsible for the performance of all subcontractors. Subcontracts must be in writing and a copy of each subcontract must be provided to GSJTA. This paragraph shall not require pre-approval of individual On-the-Job Training (OJT) agreements, Work Experience Agreements or training purchases from the WIA Eligible Training Providers' List (ETPL).

Z. Labor Organizations

CONTRACTOR will consult with the appropriate labor organizations and/or employer representatives in the design, operation or modification of the programs under this agreement.

No funds under this Contract will be used to assist, promote, or deter union organizing.

AA. Intellectual Property Provisions

CONTRACTOR acknowledges that its rights and the rights of GSJTA regarding intellectual property acquired or created with funds provided pursuant to this Contract are specifically limited by the Intellectual Property Provisions of GSJTA's state sub-grant and, accordingly, CONTRACTOR shall comply with the Intellectual Property Provisions attached hereto as Exhibit E and incorporated herein by reference.

AB. Facilities

CONTRACTOR agrees to provide the services funded by this Contract in facilities that meet federal, state, and local safety and health laws and regulations, including, but not limited to, federal and state occupational safety and health laws and regulations and the California Safe Drinking Water and Toxic Enforcement Act of 1986, and to maintain said facilities in accordance with these laws and regulations.

AC. Kickbacks

No officer, agent, or employee of CONTRACTOR shall solicit or accept any favor or any financial interest from any supplier or potential supplier of goods or services under this Contract including any extension thereof.

AD. Fraud and Program Abuse

CONTRACTOR shall establish and implement appropriate internal program management procedures to prevent fraud, abuse and criminal activity. CONTRACTOR shall notify GSJTA within twenty-four (24) hours of any suspected or proven fraud, abuse or criminal acts involving WIA funds or WIA-funded activities.

AE. Immigration Reform and Control Act of 1986

CONTRACTOR assures that it shall be in compliance with the Immigration Reform and Control Act of 1986, specifically including, but not by way of limitation, the anti-discrimination provisions of Section 102, as well as requirements disqualifying certain legalized aliens from receiving benefits under this Contract for five (5) years from the date they were granted temporary resident status, even if they have been provided status according to Section 245A (amnesty or legalization) and 210A (replenishment workers) of the Immigration and Nationality Act, as amended.

8. ACCOUNTING AND PROPERTY PROVISIONS

A. Generally Accepted Accounting Principles

CONTRACTOR must establish and continually maintain an adequate accounting system in accordance with generally accepted accounting principles and standards as required by Federal, State and local laws, regulations, and policies. In addition, WIA regulations require that the CONTRACTOR maintain a separate accounting system for all claims submitted under this Contract.

B. Cost Allocation Plan

A Cost Allocation Plan (CAP) will be required to support the distribution of any joint costs attributable to program activities. All costs included in the CAP will be supported by accounting records which will substantiate the propriety of charges. Budget allocations alone are not adequate allocation documentation. CONTRACTOR will retain on file documentation supporting the methodology utilized to determine the reasonableness of allocated costs. Failure to comply may result in no payment, or a partial or reduced payment, until CONTRACTOR is in compliance. In addition, failure to comply may result in contract termination. Alternate allocation methods may be accepted upon approval of the Golden Sierra Administrative entity

C. Program Income

Program Income means income received by CONTRACTOR which has been generated by contract supported activity, or earned as a result of the Contract. For a public or private non-profit entity, all revenues in excess of costs for each separate program are to be treated as program income. These funds shall be retained by CONTRACTOR to underwrite additional training or training related services for GSJTA approved programs. CONTRACTOR will be responsible for tracking contract revenues and expenditures separately for each fund stream in accordance with GSJTA policies and procedures.

D. Stand-In Funds

Allowable WIA costs which are paid using other fund sources may potentially qualify as stand-in costs. CONTRACTOR shall identify, document, and account for uncharged WIA costs. Such stand-in costs shall be reported to GSJTA on a quarterly basis.

E. Property

All property, finished or unfinished documents, data, studies and reports prepared or purchased by CONTRACTOR under this Contract will be disposed of in accordance with GSJTA directions. In addition, any tools and/or equipment furnished by GSJTA or purchased by CONTRACTOR with contract funds, will be used for activities outlined in this Contract and will remain the property of the United States Government, the State of California and/or GSJTA. Upon termination of this Contract, CONTRACTOR will immediately return tools and/or equipment to GSJTA or dispose of them in accordance with GSJTA's directions. CONTRACTOR agrees to maintain all equipment, including equipment supplied by GSJTA, in good working order for the duration of the Contract.

F. Lease of Property or Facility

All new leases of properties must be reviewed and approved by GSJTA prior to execution.

All lease agreements shall incorporate the following provisions. CONTRACTOR shall amend any current lease agreements to incorporate the following provisions:

All leases of property or facilities procured to house a GSJTA WIA program under this Agreement must contain a provision that allows GSJTA, at its sole option, to assume the lease for its remaining term, under the same terms and conditions then in effect, in the event that GSJTA terminates the CONTRACTOR's WIA Agreement or if the CONTRACTOR abandons the lease.

All leases of property or facilities procured to house a Golden Sierra Consortium WIA program under this Agreement must contain a provision that provides that any improvements made to the facility or property by the CONTRACTOR paid for with WIA funds that inure to the benefit of GSJTA, GSJTA may elect, at its sole option, to remove such improvements.

All new leases of property or facilities procured to house a Golden Sierra Consortium WIA program under this Agreement must contain the following provision:

"Landlord acknowledges that Tenant's funding for this lease is in large part dependant upon receipt of certain state and federal funds by Tenant. Tenant may terminate this lease upon sixty (60) days notice if funds are not budgeted in any fiscal year for the leasehold of these premises."

Tenant (Capital) improvements to facility are not payable from funds provided under this Agreement. All leases must be approved by GSJTA and be on file with GSJTA before the release of cash.

CONTRACTOR shall not sublease, assign, or amend in any manner leases paid for with WIA funds without prior written approval of GSJTA, which shall not be unreasonably withheld.

CONTRACTOR shall advise GSJTA in writing when leasing through an asset management company. Any negotiated fees require prior GSJTA approval after review for reasonable cost.

CONTRACTOR Owned Facility--Depreciation Use Allowance

Reimbursement for the CONTRACTOR owned facilities shall be based upon OMB circulars A-87, A-102 and A-122, which shall remain applicable to WIA contracts unless a City or State directive has been issued that supersedes them.

Building Depreciation: Building depreciation includes the costs of buildings and capital improvements through allowances for depreciation or other equivalent costs. Where the depreciation method is followed, adequate property records must be maintained, and a generally accepted method of computing depreciation shall be used. The computation of depreciation or use allowance must be based on acquisition cost and exclude the cost of land. The computation will exclude the cost of any portion of the building and improvements either donated or otherwise borne directly or indirectly by the State or Federal Government. If actual cost records have not been maintained, a reasonable estimate of the original acquisition cost may be used as the basis for the depreciation or use allowance, subject to GSJTA approval

G. Improvements of Real Property

All improvements of real property paid for with WIA funds require advance, written GSJTA approval.

H. Indirect Costs

Any indirect cost rates must be approved by a cognizant Federal agency.

I. Contract Closeout

CONTRACTOR shall provide GSJTA with a complete closeout package within 30 calendar days after the termination of this Contract. Closeout packages must comply with GSJTA policies and procedures, and must follow the prescribed format. No additional claims for reimbursement will be accepted after submission of the closeout package

9. PROGRAM REPORTS, EVALUATIONS, MONITORING RECORDS AND FISCAL AUDITS

A. Reports

CONTRACTOR shall submit all MIS, performance and other reports required by GSJTA within 15 days, and shall provide access to staff and copies of all records and data necessary to verify or clarify information requested or provided in such reports.

B. Evaluations and Monitoring

GSJTA will conduct ongoing evaluation and monitoring of CONTRACTOR's program. Evaluation and monitoring will include, but may not be limited to, contract compliance and effectiveness of the program contracted for. CONTRACTOR shall adequately monitor its own program and shall establish sufficient internal controls necessary to safeguard against non-compliance, fraud or abuse, and to regularly assess and evaluate program effectiveness.

C. Submission of MIS Documents

CONTRACTOR agrees to submit copies of all participant application, registration/enrollment and exit forms and/or other documents deemed necessary by GSJTA within ten (10) business days of any such action.

D. Submission of Training Materials

CONTRACTOR agrees to submit upon request, copies of training agreements, outlines and materials. CONTRACTOR agrees that training curricula and materials will be considered part of the ongoing assessment, evaluation, inspection, monitoring, and auditing of this Contract and the attainment of contract goals.

E. Record Retention

- 1) GSJTA will aid Contractor by operating a participant data system (MIS) as prescribed by the state. This assistance will occur until such time that the Contractor is able to effectively operate a participant data system as prescribed by GSJTA and State requirements.
- 2) CONTRACTOR will retain all records pertinent to this Contract for a period of five years from the date of the final contract payment. If at the end of five years there is litigation or an audit involving those records, CONTRACTOR will retain the records until the resolution of such litigation or audit.
- 3) CONTRACTOR shall include these Record Retention provisions in all subcontracts issued by it in connection with this Contract, including the requirement that the same be inserted into any lower tier subcontracts.

F. Audit Rights and Requirements

- 1) CONTRACTOR is responsible for obtaining and financing an independent audit in compliance with Federal and State rules and procedures. All governmental and non-profit organizations must follow the audit requirements of OMB Circular A-133 (29 CFR 97.26 and 29 CFR 95.26).
- 2) CONTRACTOR shall allow the independent auditor or monitor of GSJTA, and the Employment Development Department (EDD) auditors, investigators, monitors and their representatives at all times during the Contract period and for a period of four years thereafter, to have access to all related records and financial statements and to individuals with knowledge of the records and financial statements as may be necessary to ensure compliance with the WIA statute, regulations, and directives.
- 3) CONTRACTOR and/or auditors performing monitoring or audits of CONTRACTOR or its subcontractors will immediately report to GSJTA any incidents of fraud, abuse or other criminal activity in relation to this Contract, the WIA or its regulations.
- 4) CONTRACTOR shall include these Audit Rights and Requirements provisions in all subcontracts issued by it in connection with this Contract, including the requirement that the same be inserted into any lower tier subcontracts.

**EXHIBIT B**

CONTRACT NO.: R970535-02

Number of Exhibit Pages: 1 through 10 Including Index

**STATEMENT OF WORK**

**INDEX**

The following terms and conditions are contained in this Exhibit.

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| 1. Counties   | C. Supportive Services                               |
| 2. Programs   | D. Pell and Other Education Grants                   |
| 3. One-Stop Centers   | E. Non-Traditional Employment                        |
|   | F. Follow-Up Services and Program Quality Evaluation |
| 4. Program Design   | G. Skill Training                                    |
| A. Dislocated Workers   | H. Work Experience (WEX)                             |
| 1) Core Services  | 6. Performance Expectations                          |
| 2) Intensive Services   | 7. One-Stop Principles                               |
| 3) Training Services  |  |
| B. Registration/Enrollment  |  |
| C. Individual Training Accounts (ITAs) and Eligible Training Provider List (ETPL) |  |
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| A. Individual Service Strategy  |  |
| B. Case Management  |  |

1. COUNTIES

Services will be delivered within the following counties.

- El Dorado       Alpine       Placer       Nevada

2. PROGRAMS

CONTRACTOR is subject to State, Federal and GSJTA rules, policies and procedures for the following program(s). Multiple boxes may be checked.

- WIA Title I-B Adult                       WIA Title I-B Rapid Response  
 WIA Title I-B Youth  
 WIA Title I-B Dislocated Workers       Business Services

3. ONE-STOP CENTERS

CONTRACTOR must operate at least one comprehensive one-stop center that provides a full range of services throughout a given county as defined by WIA. The center must offer core, intensive and training services. The center must: (1) operate all twelve months of the year; (2) must be open at least eight hours per day, Monday through Friday exclusive of holidays; and (3) must include all fund streams covered by this Contract.

CONTRACTOR must also comply with the "One-Stop Principles" which is included in this Statement of work.

CONTRACTOR must establish written resource sharing agreements (RSAs) with other partners operating in El Dorado and Alpine County in accordance with WIA requirements.

4. PROGRAM DESIGN

A. Dislocated Workers

Providers must offer access to a continuum of services for dislocated workers. The services are organized into three levels: core, intensive and training.

1) Core Services

All dislocated workers have access to core employment-related information and self-service tools without restrictions or additional eligibility requirements, assuming sufficient funds are available. These types of services include:

- Assistance for establishing eligibility
- Outreach, intake and may include worker profiling
- Initial assessment of skill levels, aptitudes, abilities, and support service needs
- Job search and placement assistance and may include career counseling
- Local labor market information, including open job orders and listings, and the information to contact employers
- Performance and program cost information on eligible training providers
- Information on One-Stop operator performance

- Information on supportive services
- Information on filing for Unemployment Insurance
- Assistance in establishing eligibility for welfare to work activities, financial aid assistance for training and education programs available in the local area (not funded under WIA)
- Follow-Up Services, including counseling, after they have entered employment

## 2) Intensive Services

Intensive services are provided when a determination is made that unemployed individuals would be unable to obtain employment after receiving core services, or when employed individuals are determined to be in need of these intensive services to obtain or retain employment that allows for self-sufficiency. These may include:

- Comprehensive and specialized assessment, including diagnostic testing and interviewing
- Development of Individual Service Strategy
- Group Counseling
- Individual Counseling & Career Planning
- Case Management
- Short-Term Pre-vocational Services
- Support Services
- Work Experience

## 3) Training Services

Training services are only available after a determination that the individual is unable to obtain or retain employment that leads to self-sufficiency through intensive services. These may include:

- Occupational Skills Training
- On-the-Job Training
- Workplace Training and Cooperative Education Programs
- Private Sector Training Programs
- Skill Upgrading and Retraining
- Entrepreneurial Training
- Job/Work Readiness Training
- Adult Education and literacy activities in combination with training
- Customized Training

## B. Registration/Enrollment

Dislocated Workers who are primarily seeking information and do not seek direct, one-on-one staff assistance, do not need to be registered. However, when an individual seeks more than minimal assistance from staff in taking the next steps toward self-sufficient employment, then eligibility must be determined and the individual is enrolled at that point.

Registration/enrollment is also the point at which information that is used in performance measurement begins to be collected.



C. Individual Training Accounts (ITAs) and Eligible Training Provider List (ETPL)

Dislocated Workers who have been determined in need of training may access training with an ITA from an approved provider listed on the ETPL. Applications from training providers must be submitted to GSJTA and approved by the WIB prior to placing a participant at a training vendor. ITAs at a minimum will be used to pay for tuition to training providers for occupational and vocational skill training that leads to an identifiable occupation. ITAs may include payments for additional services such as, books, transportation, childcare and other supportive services determined by the WIB. CONTRACTOR must follow GSJTA's local policy(s) governing ITAs and ETPLs.

5. PROGRAM REQUIREMENTS

A. Individual Service Strategy

The Individual Service Strategy (ISS) is an ongoing strategy jointly developed by the participant and the case manager that identifies the participant's employment goals, the appropriate achievement objectives, and the appropriate combination of services for the participant to achieve the employment goals.

The ISS shall be reviewed monthly to evaluate the progress of each participant in meeting the objectives of the service strategy including an evaluation of the participant's progress in acquiring skills and the adequacy of supportive services provided.

B. Case Management

Case management is a client centered approach to the delivery of services designed to prepare and coordinate comprehensive employment plans, such as service strategies, for participants to ensure access to necessary workforce investment activities and supportive services, using where feasible, computer-based technologies; and to provide job and career counseling during program participation and after job placement. Case management efforts will be documented at least once a month. CONTRACTOR agrees to ensure that CONTRACTOR and all subcontractors will maintain individual client case files, if applicable, and make these files available to and open for inspection by appropriate GSJTA, EDD, and federal DOL representatives.

C. Supportive Services

Supportive services may only be provided to individuals who are participating in core, intensive or training services and unable to obtain supportive services through other programs providing such services. Supportive services may only be provided when they are necessary to participate in WIA activities

Supportive services shall be reasonable and necessary for the individual to complete training and to obtain/retain permanent employment. Supportive services include but are not limited to: 1) transportation; 2) health care; 4) drug and alcohol abuse counseling and referral; 5) individual and family counseling; 6) special services and materials for individuals with disabilities; 7) job coaches; 8) child care and dependent care; 9) meals; 10) temporary shelter; and 11) financial counseling.

All supportive service payments will be CONTRACTOR's responsibility.

D. Pell and Other Education Grants

CONTRACTOR shall notify GSJTA in writing of the amounts and disposition of Higher Education Act (HEA) Title IV awards (Pell grants) and other types of financial aid to each WIA customer pursuant to WIA §134(d)(4), 20 CFR S663.320.

For WIA agreements where Pell Grants or other HEA awards are involved, CONTRACTOR shall document in the IEP its determination with the educational institution of the customer's training-related financial assistance needs and the proper mix of WIA and Pell Grant funds, since a Pell grant may be used for applicable living expenses as well as for tuition, fees, and books.

All WIA customers awarded a Pell grant shall execute an agreement on a form to be provided by GSJTA with the CONTRACTOR, which indicates the portion of the HEA grant to be applied to the cost of tuition, fees and books. This information shall be verified during program monitoring. A copy of this agreement shall be maintained in the customer's file. Customers shall not be required to apply for Pell Grants as a condition of participating in a WIA program.

A WIA customer may enroll in WIA-funded training while his/her application for a Pell Grant is pending, as long as CONTRACTOR has made arrangements with the training provider and the WIA customer regarding allocation of the Pell Grant, if it is subsequently awarded. In that case, the training provider must reimburse the contract or the WIA funds used to underwrite the training for the amount the Pell Grant covers. Reimbursement is not required from the portion of the Pell Grant assistance disbursed to the WIA customer for education-related expenses.

E. Non-Traditional Employment

Providers must offer non-traditional training, placement and job retention activities for women. Non-traditional employment is defined as:

"Occupations or field of work where individuals from one gender comprise less than 25 percent of the individuals employed in such occupation or field of work."

F. Follow-Up Services and Program Quality Evaluation

The follow-up process shall ensure that participants continue in long-term, self-sufficient, unsubsidized employment.

Follow-up should:

- Offer continued placement or re-placement services, if necessary
- Intervene as necessary to resolve potential or actual problems between the participant and the employer
- Occur at least quarterly for the first twelve months after exit
- Provide regular follow-up interviews.

The follow-up process will be used to evaluate and improve program quality. The data collected during the follow-up interviews will be used to assess the worth of WIA services and their effect upon the participant's ability to obtain and retain unsubsidized employment. A program's success will be evaluated from the time an individual attends the program information meeting until the follow-up process ends.

Follow-up interviews will also be used to measure 1) return on investment, 2) participant satisfaction with the services provided, and 3) employer satisfaction. The

results will be used to determine whether and to what extent contracts are extended or continued from year to year.

#### G. Skill Training

All One-Stop Centers must offer classroom training, Work Experience and on-the-job training and may offer customized training.

The best occupational skills training design integrates work, classroom training, and basic skills. What is taught in class is used on the job as soon as possible. Consider including both work and classroom training components in the program design, with as much emphasis on open entrance/open exit learning and concurrent activities as possible. Training should be flexible enough to respond to assessed trainee and labor market needs.

- 1) Classroom Training may be provided by CONTRACTOR or through other educational agencies. Classroom training provides instruction in vocational skills and may be coupled with work readiness and or basic skills instruction.
- 2) OJT is training by an employer that is provided to a paid participant while engaged in productive work in a job that:
  - Provides knowledge of skills essential to the full and adequate performance of the job
  - Provides reimbursement to the employer of up to 50% of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training and
  - Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate.
  - CONTRACTOR must not contract with an employer who has exhibited a pattern of failing to provide OJT participants with continued long-term employment with wages, benefits and working conditions that are equal to those provided to regular employees who have worked a similar length of time and are doing the same type of work.

#### 3) Customized Training

Customized training is training that is designed to meet the special requirements of an employer to employ, or in the case of an incumbent worker, continue to employ, an individual on successful completion of the training and for which the employer pays for not less than 50 percent of the cost of the training.

#### H. Work Experience (WEX)

WEX is a short-term or part-time work assignment at a public, private non-profit or private for profit work site to develop good work habits and acquaint the participant with basic work skills. There must be a job description and brief training outline for each work site. Participants in the activity must be paid at the same rate as similarly situated employees or trainees, but in no event less than the minimum wage. CONTRACTOR, or its GSJTA approved subcontractor will be responsible

for the development of work sites, attendance documentation and payroll distribution. Providers should include the total amount of wage and benefit costs necessary for this activity in their budgets.

Providers must evaluate each participant's progress at least once during the training period. CONTRACTOR will utilize GSJTA's appropriate "report of visit" form.

## 6. PERFORMANCE EXPECTATIONS

GSJTA is required to meet or exceed performance standards in order to receive continued funding. This requirement is passed on to all Operators and is a primary measurement of success and eligibility for continued funding. An explanation of the current WIA measures is contained in WIA Information Bulletin WIA B99-15. These performance expectations will include meeting or exceeding the common measures when introduced in Program Year 2008-2009. In addition, CONTRACTOR must meet or exceed performance measures and numbers as proposed in the El Dorado County Consortium Operator Plan and accepted by the WIB. Continuous improvement is a guiding principle of WIA and shall be defined in modifications to this Contract including specific numbers regarding performance measurement. See Exhibit D.

- CONTRACTOR and all subcontractors and collaborators shall comply with all procedures for customer satisfaction surveys of customers and businesses, as delineated in WIB/GSJTA policy, and any amendments thereto as they are developed.
- CONTRACTOR shall develop a system of customer comments for continuous improvement of customer services received from the CONTRACTOR, collaborators, and subcontractors. System shall incorporate customer advisory groups and surveys.

### ▪ WIA Title I-B Dislocated Workers Program

#### State and GSJTA Performance Standards

- Entered Employment Rate
- Employment Retention Rate
- Earnings Replacement Rate
- Employment and Credential Attainment Rate

## 7. ONE-STOP PRINCIPLES

Providers are responsible and accountable to GSJTA for the following One-Stop principles:

- **Customer Access:** The One-Stop must provide a threshold level of service to all job, education and training seekers and employers. Client access to these services should be available through multiple entry points – both physical and electronic.
  - **Mandatory Partners:** At a minimum, the One-Stop must include the programs and activities as outlined in Section 121 of the WIA.
  - At least one One-Stop Career center operated by CONTRACTOR must be operated as a “Comprehensive” service center.
  - **Core Services:** Specified core services must be available for both employers and job, education and training seekers. Other services may be included based on local needs. All services should be customer-focused, convenient and easy for customers to access and use. There should be an emphasis on self-service and group activities for most clients, realizing that individual staff assistance will be required for some customers.
  - **Customer Choice:** Clients will be provided sufficient information to enable them to exercise an informed choice in regard to services they wish to pursue and how those services will be delivered.
  - **Service Integration:** Services and information must be integrated. A One-Stop should not simply be a collocation of partners. A plan should be in place which identifies processes and procedures which promote integration (e.g., staff cross-training, common forms/practices, shared case management).
  - **Community Support:** The plan must have the support of local elected officials.
  - **Complaint Procedures - CONTRACTOR shall adopt GSJTA WIA Complaint Procedures.** CONTRACTOR shall designate an Equal Opportunity (EO)/Complaints staff person who will be responsible for administering the CONTRACTOR’s complaint procedures and ensuring all EO/nondiscrimination provisions required under 29 CFR, Part 37. CONTRACTOR shall be responsible for adhering to all time frames noted in the complaint procedure. Failure to do so will, in and of itself, constitute a grievable issue.
  - CONTRACTOR shall obtain a copy of all subcontractors’ complaint procedures, which must meet the requirements of GSJTA’s WIA complaint process. Subcontractors that do not have their own complaint procedures may adopt GSJTA’s complaint procedures. It is the responsibility of the CONTRACTOR to ensure that such procedures are in place and to require that its subcontractors follow the procedures.
  - CONTRACTOR shall require that it be notified within 24 hours of receipt of all WIA complaints that have been filed with a collaborator/subcontractor, eligible training provider, and customized training, On-the-Job Training and Work site training contractors. CONTRACTOR shall be responsible for Level One review and processing of complaints pursuant to the requirements of GSJTA Complaint Procedures. It is the responsibility of the CONTRACTOR

to ensure that all collaborators have complaint procedures in place and monitor such procedures to ensure that they are followed by the collaborators and subcontractors.

- CONTRACTOR shall be responsible for compiling and maintaining a log of all complaints filed against them, their collaborators, and their subcontractors, and shall provide those log records upon request by GSJTA. CONTRACTOR is required to maintain, in the complainant's file and in a central log, copies of all correspondence relating to complaints that have been resolved at the CONTRACTOR level including the disposition or settlement of the complaint and the terms of that settlement.
- CONTRACTOR shall be responsible for notifying GSJTA, EO/Compliance Unit within 24 hours of receipt of any complaint including allegation of discrimination and/or sexual harassment.
- Universal access – All One-Stop career centers operated under this agreement will follow WIA accepted policies and procedures as they relate to serving persons with disabilities.
- All Facilities shall have TTY-TDD line access and be in compliance with the Americans with Disabilities Act (ADA) 42 USC 12101 *et seq.* and all applicable regulations, the California Building Standards Code (Title 24) and City Directive 02-37.
- Identifiable: The physical One-Stop may have an identifying name which is distinctive to the partnership as a whole, but must identify each respective partner. The WIB intends to establish a regional brand for all One-Stop Centers (full service) and satellites. CONTRACTOR is responsible for fully implementing WIB policy(s) concerning branding including relation and size of any identifying names relative to the WIB adopted brand name for all One-Stop Centers. Any and all published marketing materials developed by the Contractor or its sub-contractors for any provision of services funded under this contract shall include identification of the Golden Sierra Workforce Investment Board as the funding agent in whole or in part for the marketed activities.
- Signage: Any and all signage at a One-Stop Center and/or satellite shall conform to WIB marketing and branding policy(s)/ guidelines as they are developed
- Performance Driven: The One-Stop must be committed to meeting outcome measures and quality assurance requirements as defined in this agreement.
- Electronic Infrastructure: It is the intention of the WIB to develop a policy outlining an integrated electronic infrastructure, which all providers will be required to follow for the sharing of information, data, job leads, job seekers and any other information which supports a system-wide approach to delivering services to businesses and job seekers. Who will purchase any new equipment required?

At all times, the One-Stop must provide an electronic infrastructure to ensure that their customers will have easy access to various types of high quality information. The provision of core, intensive and training services should be technology-based whenever possible. The electronic infrastructure should focus on the following:

- 1) An open systems architecture;
- 2) Increasing connectivity between partners at the local level and the state;
- 3) Increasing the hardware/software capacity at the local level
- 4) Developing local applications when those applications are unique to the individual One-Stop; and
- 5) Collaborating with state entities in application development where products have statewide application.

**EXHIBIT C**

CONTRACT NO.: \_R9070535-02

Number of Exhibit Pages:  1  through  1

1. **PROGRAM COST LIMITS**

Budget limits on program costs may not be exceeded. The budget page that follows establishes definitive limits on program expenditures.

**BUDGET**

<i>Line Item</i>	<i>Budget</i>
Staff Salaries	\$ <b><u>7,781.00</u></b>
Staff Benefits	<b><u>4,377.00</u></b>
<b>WEX Wages</b>	<b>0.00</b>
<b>WEX Benefits</b>	<b>0.00</b>
Communications - Telephone	0.00
Maintenance Bldgs & Improvements	0.00
Maintenance - Janitorial	0.00
Membership/Publications	0.00
Office Supplies	0.00
Indirect Costs – A-87 costs	0.00
<b>Subcontracted Services</b>	<b>0.00</b>
Advertising (Brochures, etc)	0.00
Rents/Leases	0.00
Equipment - Computers	0.00
Equipment – non computer	0.00
<b>Client Supportive Services</b>	<b>4,000.00</b>
<b>Direct Training Contracts</b>	<b>25,767.00</b>
Employee Training	0.00
Travel/Mileage	0.00
Utilities	0.00
<b>TOTAL WIA BUDGET:</b>	<b>\$41,925.00</b>



Exhibit D

**El Dorado Consortium Performance Measures**

	<b><u>2006-2007</u></b>	<b><u>2007-2008</u></b>	<b><u>2008-2009 Draft(TBD ON ANNOUNCEMENT OF LEVELS FROM STATE)</u></b>
<b><u>ADULTS</u></b>			
Entered Employment Rate	76.6%	<b><u>77</u></b>	<b><u>77</u></b>
Employment Retention Rate	79.2%	<b><u>83</u></b>	<b><u>83</u></b>
Earnings Rate	\$3,100	<b><u>3200</u></b>	<b><u>3200</u></b>
Credential Rate	56.0%	<b><u>58</u></b>	<b><u>58</u></b>
<b><u>DISLOCATED WORKERS</u></b>			
Entered Employment Rate	81.4%	<b><u>85</u></b>	<b><u>85</u></b>
Employment Retention Rate	85.4%	<b><u>87</u></b>	<b><u>87</u></b>
Earnings Rate	-\$3,000	<b><u>-2900</u></b>	<b><u>-2900</u></b>
Credential Rate	66%	<b><u>67</u></b>	<b><u>67</u></b>
<b><u>OLDER YOUTH 19-21</u></b>			
Entered Employment Rate	74.5%	<b><u>76</u></b>	<b><u>76</u></b>
Employment Retention Rate	75.3%	<b><u>78</u></b>	<b><u>78</u></b>
Earnings Rate	\$3,718	<b><u>3900</u></b>	<b><u>3900</u></b>
Credential Rate	38%	<b><u>39</u></b>	<b><u>39</u></b>
<b><u>YOUNGER YOUTH 14-18</u></b>			
Skill Attainment Rate	83.5%	<b><u>86</u></b>	<b><u>86</u></b>
Diploma Rate	66%	<b><u>67</u></b>	<b><u>67</u></b>
Retention Rate	67.9%	<b><u>68</u></b>	<b><u>68</u></b>

**EXHIBIT E**

**INTELLECTUAL PROPERTY PROVISIONS**

1. **FEDERAL FUNDING**

In any agreement funded in whole or in part by the federal government, Golden Sierra Job Training Agency may acquire and maintain the Intellectual Property rights, title and ownership, which result directly or indirectly from the Agreement, except as provided in 37 Code of Federal Regulations part 4014.14. However, pursuant to 29 CFR section 97.34 the federal government shall have a royalty-free, non-exclusive, irrevocable, paid-up license throughout the worlds in any manner for governmental purposes and to have and permit others to do so.

2. **OWNERSHIP**

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

(b) For the purposes of this Agreement, Intellectual Property means recognized protectable rights and interest such as: patents (whether or not issued), copyrights, trademarks, service arks, 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 Golden Sierra, 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, county 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 similar nature, film, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, education 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 purpose 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 Agreement, CONTRACTOR may exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this Agreement. In addition, under this Agreement, CONTRACTOR may access and utilize certain of Golden Sierra's Intellectual Property in existence prior to the effective date of this Sub-grant. Except as otherwise set forth herein, CONTRACTOR shall not use any of Golden Sierra's Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of Golden Sierra. Except as otherwise set forth herein, neither the CONTRACTOR nor Golden Sierra shall give any ownership interest in or rights to its Intellectual Property to the other Party. If during the term of this Agreement, CONTRACTOR accesses any third-party Intellectual Property that is licensed to Golden Sierra, CONTRACTOR agrees to abide by all license and confidentiality restrictions applicable to Golden Sierra in the third-party's license agreement.

- (d) CONTRACTOR agrees to cooperate with Golden Sierra in establishing or maintaining Golden Sierra's exclusive rights in the Intellectual Property, and in assuring Golden Sierra's sole rights against third parties with respect to the Intellectual Property. If the CONTRACTOR enters in any agreements or subcontracts with other parties in order to perform this Agreement, CONTRACTOR shall require the terms of the agreement(s) to include all Intellectual Property provisions of **paragraphs one through nine**. Such terms must include, but are not limited to, the CONTRACTOR assigning and agreeing to assign to Golden Sierra all rights, title and interest in Intellectual Property made, conceived derived from, or reduced to practice by the CONTRACTOR or Golden Sierra and which result directly or indirectly from this Agreement or any contract.
- (e) CONTRACTOR further agrees to assist and cooperate with Golden Sierra 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 Golden Sierra'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 CONTRACTOR or Golden Sierra and which result directly or indirectly from this Agreement, CONTRACTOR shall retain title to all of its Intellectual Property to the extent such Intellectual Property is in existence prior to the effective date of this Agreement. CONTRACTOR hereby grants to Golden Sierra, without additional compensation, a permanent, non-exclusive, royalty free, paid-up, worldwide, irrevocable, perpetual, non-terminable license to use, reproduce, manufacture, sell, offer to sell, import, export, modify, publicly and privately display/perform, distribute and dispose of CONTRACTOR's Intellectual Property with the right to sublicense through multiple layers, for any purpose whatsoever, to the extent it is incorporated in the Intellectual Property resulting from this Sub-grant, unless CONTRACTOR assigns all rights, titles and interest in the Intellectual Property as set forth herein.
- (b) Nothing in this provision shall restrict, limit, or otherwise prevent CONTRACTOR from using any ideas, concepts, know-how, methodology or techniques related to its performance under this Sub-grant, provided that CONTRACTOR's use does not infringe the patent, copyright, trademark rights, license or other Intellectual Property rights of Golden Sierra or third party, or result in a breach or default of any provisions of **paragraph one through nine** or result in a breach of any provisions of law relating to confidentiality.

### 4. COPYRIGHT

- (a) CONTRACTOR agrees that for purposes of copyright law, all works (as defined in Ownership, Section 2, paragraph (b)1.)) of authorship made by or on behalf of CONTRACTOR in connection with CONTRACTOR's performance of this Agreement shall be deemed "works made for hire." CONTRACTOR further agrees that the work of each person utilized by CONTRACTOR in connection with the performance of this Agreement will be "work made for hire," whether that person is an employee of CONTRACTOR or that person has entered into an agreement with CONTRACTOR to perform the work. CONTRACTOR shall enter into a written agreement with any such person that: (I) all work performed for CONTRACTOR shall be deemed a "work made for hire" under the Copyright Act and (II) that person shall assign all right, title and interest to Golden Sierra to any work product made, conceived, derived from, or reduced to practice by CONTRACTOR and which result directly or indirectly from this Agreement.
- (b) All materials, including, but not limited to, computer software, visual works or text, reproduced or distributed pursuant to this Agreement that include Intellectual Property

made, conceived, derived from or reduced to practice by CONTRACTOR or Golden Sierra and which result directly or indirectly from this Agreement may not be reproduced or disseminated without prior written permission from Golden Sierra.

5. PATENT RIGHTS

With respect to inventions made by CONTRACTOR in the performance of this Agreement, which did not result from research and development specifically included in the Agreement's scope of work, CONTRACTOR hereby grants to Golden Sierra a license as described under **paragraph three** 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 Agreement's scope of work, then CONTRACTOR agrees to assign to Golden Sierra, without additional compensation, all its right, title and interest in and to such inventions and to assist Golden Sierra in securing United State and foreign patents with respect thereto.

6. THIRD-PARTY INTELLECTUAL PROPERTY

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

7. WARRANTIES

(a) CONTRACTOR represents and warrants that:

- 1) It has and will secure all rights and licenses necessary for its performance of this Agreement.
- 2) Neither CONTRACTOR's performance of this Agreement, nor the exercise by either Party of the rights granted in this 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 CONTRACTOR and which result directly or indirectly from this 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 is currently no actual or threatened claim by any such third party based on an alleged violation of any such right by CONTRACTOR.
- 3) Neither CONTRACTOR's performance nor any part of its performance will violate the right of privacy of, or constitute a libel or slander against any person or entity.
- 4) It has secured and will secure all rights and licenses necessary for Intellectual Property including, 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 and right that would or might derogate, encumber, or interfere with any of the rights granted to Golden Sierra in this Agreement.
  - 7) It has appropriate systems and controls in place to ensure that WIA funds will not be used in the performance of this 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 CONTRACTOR's performance of this Agreement.
- (b) GOLDEN SIERRA MAKES NO WARRANTY THAT THE INTELLECTUAL PROPERTY RESULTING FROM THIS AGREEMENT DOES NOT INFRINGE UPON ANY PATENT, TRADEMARK, COPYRIGHT OR THE LIKE, NOW EXISTING OR SUBSEQUENTLY ISSUED.

8. INTELLECTUAL PROPERTY INDEMNITY

- (a) CONTRACTOR shall indemnify, defend and hold harmless Golden Sierra 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 losses, liabilities (or actions or proceedings with respect to any thereof), whether or not rightful, arising from any and all actions or claims by any third party or expenses related thereto (including, but not limited to, all legal expenses, court costs, and attorney's fees incurred in investigating, preparing, serving as a witness in, or defending against, any such claim action, or proceeding, commenced or threatened) to which any of the Indemnities may be subject, whether or not CONTRACTOR is a party to any pending or threatened litigation, which arise out of or are related to (i) the incorrectness or breach of any of the representations, warranties, covenants or agreements of CONTRACTOR pertaining to Intellectual Property; or (ii) any Intellectual Property infringement, or any other type of actual or alleged infringement claim, arising out of Golden Sierra's use, reproduction, manufacture, sale, offer to sell, distribution, import, export, modification, public and private performance/display, license and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by CONTRACTOR or Golden Sierra and which result directly or indirectly from this 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 date of this Sub-grant. Golden Sierra reserves the right to participate in and/or control, at CONTRACTOR's expense, any such infringement action brought against Golden Sierra.

- (b) Should any Intellectual Property licensed by the CONTRACTOR to Golden Sierra under this Agreement become the subject of an Intellectual Property infringement claim, CONTRACTOR will exercise its authority reasonable and in good faith to preserve Golden Sierra's right to use the licensed Intellectual Property in accordance with this Agreement at no expense to Golden Sierra. Golden Sierra shall have the right to monitor and appear through its own counsel (at CONTRACTOR's expense) in any such claim or action. In the defense or settlement of the claim, CONTRACTOR may obtain the right for Golden Sierra to continue using the licensed Intellectual Property; or, replace or modify the licensed Intellectual Property so that such replacement or modification is functionally equivalent to the original licensed Intellectual Property. If such remedies are not reasonably available, Golden Sierra may be entitled to a refund of all monies paid under this Agreement, without restrictions or limitation of any other rights and remedies available at law or in equity.
- (c) CONTRACTOR agrees that damages alone would be inadequate to compensate Golden Sierra for breach of any term of this Intellectual Property provisions of **paragraphs one through nine** by CONTRACTOR. CONTRACTOR acknowledges Golden Sierra would suffer irreparable harm in the event of such breach and agrees Golden Sierra shall be entitled to obtain equitable relief, 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 Agreement or any project schedule.

**EXHIBIT F**

**INSURANCE REQUIREMENTS**

1. **INSURANCE**

CONTRACTOR shall file with Golden Sierra a Certificate of Insurance, with companies acceptable to Golden Sierra, with a Best's Rating of no less than A:VII showing the following coverage.

A. **Workers' Compensation and Employer's Liability Insurance**

- 1) Workers' Compensation Insurance shall be provided, as required, by any applicable law or regulation. Employer's Liability Insurance shall be provided in amounts not less than five hundred thousand dollars (\$500,000) each accident for bodily injury by accident, five hundred thousand dollars (\$500,000) policy limit for bodily injury by disease, and five hundred thousand dollars (\$500,000) each employee for bodily injury by disease.
- 2) If there is an exposure of injury to CONTRACTOR employees under the U. S. Longshoremen and Harbor Workers' Compensation Act, the Jones Act, or under laws, regulations or statutes applicable to maritime employees, coverage shall be included for such injuries or claims.
- 3) Each Workers' Compensation policy shall be endorsed with the following specific language:

Cancellation Notice "This policy shall not be cancelled or materially changed without first giving thirty (30) days prior written notice to Golden Sierra Job Training Agency."

- 4) CONTRACTOR shall require all sub-CONTRACTOR to maintain adequate Workers' Compensation Insurance. Certificates of Workers' Compensation shall be filed forthwith with Golden Sierra upon demand.

B. **General Liability Insurance**

- 1) Comprehensive General Liability or Commercial General Liability insurance shall be provided covering all operations by, or on behalf of CONTRACTOR, covering bodily injury liability and property damage liability for the limits of liability indicated below and including coverage for contractual liability insuring the obligations assumed by CONTRACTOR in this Agreement.
- 2) One of the following forms is required:
  - a) Comprehensive General Liability;
  - b) Commercial General Liability (Occurrence); or
  - c) Commercial General Liability (Claims Made).
- 3) If CONTRACTOR carries a Comprehensive General Liability policy, the limits of liability shall not be less than a Combined Single Limit for bodily injury, property damage, and Personal Injury Liability of:
  - a) One million dollars (\$1,000,000) each occurrence;
  - b) One million dollars (\$1,000,000) aggregate;

- 4) If CONTRACTOR carries a Commercial General Liability (Occurrence) policy:
  - a) The limits of liability shall not be less than:
    - i) One million dollars (\$1,000,000) each occurrence (combined single limit for bodily injury and property damage);
    - ii) One million dollars (\$1,000,000) for Products-Completed Operations;
    - iii) One million dollars (\$1,000,000) General Aggregate.
  - b) If the policy does not have an endorsement providing that the General Aggregate Limit applies separately to this contract, or if defense costs are included in the aggregate limits, then the required aggregate limits shall be two million dollars (\$2,000,000).
- 5) Special Claims Made Policy From Provisions:

CONTRACTOR shall not provide a Commercial General Liability (Claims Made) policy without the express prior written consent of Golden Sierra, which consent, if given, shall be subject to the following conditions:

- a) The limits of liability shall not be less than:
  - i) One million dollars (\$1,000,000) each occurrence (combined single limit for bodily injury and property damage);
  - ii) One million dollars (\$1,000,000) aggregate for Products-Completed Operations;
  - iii) One million dollars (\$1,000,000) General Aggregate.
- b) The insurance coverage provided by CONTRACTOR shall contain language providing coverage up to six (6) months following the completion of the contract in order to provide insurance coverage for the hold harmless provisions herein if the policy is a claims made policy.

#### C. Endorsements

Each Comprehensive or Commercial General Liability policy shall be endorsed with the following specific language:

- 1) "The Governing Body of Golden Sierra Job Training Agency, its officers, agents, employees and volunteers, are to be covered as additional insured for all liability arising out of operations, or on behalf of, the named insured in the performance of this Agreement."
- 2) "The insurance provided by the CONTRACTOR, including any excess liability or umbrella form coverage, is primary coverage to Golden Sierra with respect to any insurance or self-insurance programs maintained by the Agency, and no insurance held or owned by the Agency shall be called upon to contribute to a loss."
- 3) "This policy shall not be cancelled or materially changed without first giving thirty (30) days prior written notice to Golden Sierra."

#### D. Automobile Liability Insurance

- 1) Automobile Liability insurance shall be provided covering bodily injury and property damage in an amount no less than one million dollars (\$1,000,000) combined single limit for each occurrence.
- 2) Covered vehicles should include owned, non-owned, and hired automobiles/trucks.



2. INDEMNITY

CONTRACTOR hereby agrees to protect, defend, indemnify and hold Golden Sierra free and harmless from any and all losses, claims, liens, demands and causes of action of every kind and character including, but not limited to, the amounts of judgments, penalties, interest, court costs, legal fees and all other expenses incurred by the Agency arising in favor of any party, including claims, liens, debts, personal injuries, death, or damages to property (including employees or property of Golden Sierra) and without limitation by enumeration, all other claims, or demands of every character occurring, or in any way incident to, in connection with or arising directly or indirectly out of this contract or agreement. CONTRACTOR agrees to investigate, handle, respond to, provide defense for and defend any such claims, demand, or suit at the sole expense of the CONTRACTOR. CONTRACTOR also agrees to bear all other costs and expenses related thereto, even if the claim or claims alleged are groundless, false, or fraudulent. This provision is not intended to create any cause of action in favor of any third party against CONTRACTOR or Golden Sierra or to enlarge, in any way, the CONTRACTOR's liability but is intended solely to provide for indemnification of Golden Sierra from liability for damages or injuries to third persons or property arising from CONTRACTOR's performance pursuant to this contract or agreement.

## EXHIBIT G

### **DEBT COLLECTION PROCEDURES**

Effective 7/1/02

When a debt is established at the CONTRACTOR level as a result of an audit, a monitoring finding, an investigation, or other means, aggressive action will be taken to collect the debt.

These debt collection procedures outline action to be taken by Golden Sierra.

#### Golden Sierra Job Training Agency's Liability

As the recipient of WIA funds, Golden Sierra will be held liable for all funds received from Golden Sierra by its CONTRACTORS found not to have been expended in accordance with applicable laws and regulations. In order to help assure that Golden Sierra will be granted a waiver of liability for the disallowed costs incurred by a CONTRACTOR, Golden Sierra will:

- a. Adhere to a system for the award and monitoring of contracts with CONTRACTORS which includes standards for ensuring accountability;
- b. Enter into written contracts which establish clear goals;
- c. Act with due diligence to monitor the implementation of the CONTRACTOR's contract, including monitoring and auditing;
- d. Take prompt and appropriate corrective action, including debt collection, upon becoming aware of any evidence of a violation of the Act or regulations under the Act by the contractor.

#### CONTRACTOR Liability

The CONTRACTOR assumes liability for its actions under its contracts with Golden Sierra. If the Federal Government, the State of California, Golden Sierra or any other legally authorized entity, demands repayment of funds as a result of the CONTRACTOR or its delegate agency's violation of laws, regulations or contract provisions, the CONTRACTOR will repay to Golden Sierra the amount of funds directly related to the violation, including the actual cost of recovery.

1. Golden Sierra will normally follow a three-stage process to establish that a debt exists.
  - a. Questioned costs – Golden Sierra will question a cost when, in Golden Sierra's opinion, the cost is in violation of applicable Federal and State statutes or regulations, or Golden Sierra policies or contract stipulations, and/or the cost is not properly supported by documentation. Golden Sierra will inform the CONTRACTOR in writing of the questioned cost, and allow the CONTRACTOR a maximum of 30 days for corrective action or appeal to Golden Sierra.
  - b. Disallowed Costs – If the CONTRACTOR has not corrected and/or successfully appealed the questioned cost within the time allotted, Golden Sierra will inform the CONTRACTOR, in writing, that the cost is disallowed, and request a repayment or appeal to Golden Sierra within 30 days. The notice will also contain possible sanctions and options available, if any, for repayment.
  - c. Debt – A disallowed cost that has not been corrected or successfully appealed within the time allotted will be considered a debt, and Golden Sierra will implement the debt collection procedures specified below.
2. After the time allowed for appeals has lapsed or after a decision that established a debt is rendered following an appeal, a written notification will be issued to the CONTRACTOR by Golden Sierra establishing a final debt. The notice will include:
  - a. An invoice issued by Golden Sierra;

- b. Notification of the date the debt will be considered delinquent;
  - c. Possible sanctions if the debt is not repaid (including being barred from further finding pursuant to CUIC Section 15061 (b));
  - d. The rate at which interest will be charged, if applicable; and
  - e. Options available, if any, for repayment.
3. A 30- and 60- day notice will be sent to the CONTRACTOR if payment has not been received or a satisfactory alternative repayment plan has not been negotiated.
4. When a debt is still outstanding after 90 days, a determination on a course of action will be made by Golden Sierra, or the appropriate committee, to use another method or collection. In making this determination, the following factors will be considered:
- a. The amount of the debt;
  - b. Cost of further debt collection;
  - c. The amount collected to date; and
  - d. The probable success of pursuing further action to collect the debt.
5. Cash is the required method of repayment where there is a misexpenditure of funds due to willful disregard of the requirements of the Act, gross negligence, incidents of fraud, malfeasance, misapplication of funds, illegal acts or irregularities or failure to observe accepted standards of administration under WIA Section 184.
- a. Generally cash payments will be made in a lump sum in accordance with the policies and procedures described in WIA Directive D01-5 within 30 calendar days of the date on which the debt was established as final.
  - b. Cash installment repayments may be used as a rare, last resort instance when debt collection efforts are impeded by an inability to pay the full debt amount in a lump sum.
    - i. Installment repayment agreements will usually be of short duration, from three to 12 months, with a maximum of 36 months (the duration is to be negotiated based on size of the debt and the debtor's ability to pay).
    - ii. Installment repayment agreements must be approved by WIA's Compliance Resolution Division (CRD). Requests must include documentary evidence of the debtor's current financial position and a certified statement by the debtor's chief executive officer describing:
      - 1) All efforts to acquire sufficient non-federal funds to liquidate the debt; and
      - 2) The proposed repayment plan, including the amount, schedule and source of payments.

The proposed repayment agreement must include a provision rendering the agreement null and void and the balance due and immediately payable 30 calendar days after a missed scheduled payment.

- iii. Make checks submitted as cash repayments payable to EDD and send them, within ten-calendar days of receipt by the LWIA to:

Employment Development Department  
Compliance Review Division, MIC 22M  
P.O. Box 826880  
Sacramento, CA 94280-0001

To insure proper credit, payments must include the Grant Number, the Program Year, the Title and Cost Category, and, when applicable, the Incident Report Number associated with the debt for which payment is being made.

- c. Adjustment in Payment: Under this method an agreement may be entered into with the CONTRACTOR whereby the grant is reduced by the amount of the debt while the program is maintained at an undiminished cost level supported by nonfederal contributions.
  - d. Withholding: This repayment method will involve Golden Sierra withholding amounts owed the CONTRACTOR for past services of other considerations already provided in satisfaction of the debt owed.
  - e. Stand-in costs: The CONTRACTOR must identify allowable costs associated with the contract during the contract period, but not charged to the contract and substitute those costs for the disallowed costs, thus erasing the debt. Such costs are subject to audit. Documentation must be maintained when such agreements are made.
  - f. Services in Lieu of Cash: This method involves a repayment agreement with the contractor whereby additional contractor services, above those originally agreed to with Golden Sierra, paid through nonfederal funds are negotiated. When it becomes clear that a CONTRACTOR cannot repay through any other repayment method, an agreement of this nature may be negotiated. This method requires a written agreement signed by both parties with conditions regarding the type of funds to be used, documentation subject to audit, a description of the services rendered, and a time limitations.
6. An accounts receivable will be set up on Golden Sierra's General Ledger with manual controls in the Fiscal Department to account for all debt collection cases and accomplishments related thereto. (This record must be maintained permanently and available for State and Federal review).
  7. When there is a misexpenditure of funds, copies of local final audit determinations must be provided to CRD. These copies must be provided regardless of the final determination with respect to the suspected or apparent fraud, mismanagement, or abuse. The EDD may then either concur with the local audit determination or initiate its own determination process, which will supersede the local determination.
  8. As soon as it becomes apparent to Golden Sierra that the CONTRACTOR cannot or will not repay a debt, within a reasonable amount of time, Golden Sierra will begin negotiations with the grantor agency (WID/DOL) for a waiver of Golden Sierra's liability from the debt. The waiver of Golden Sierra's liability to the Grantor Agency will not necessarily lead to a waiver for the CONTRACTOR's liability to Golden Sierra.

9. The following sanctions include a range of options available to Golden Sierra for minimizing the occurrence and/or repetition of questioned or disallowed costs or debts with a CONTRACTOR:
  - a. Failure by the CONTRACTOR to appropriately respond to a notice or questioned or disallowed costs, or a notice of debt may result in contract termination and/or withholding of funds.
  - b. In emergency situations, if Golden Sierra determines it necessary to protect the integrity of the funds or to ensure the proper operations of the program, Golden Sierra may immediately terminate or suspend financial assistance, in whole or in part if the CONTRACTOR is given prompt notice and the opportunity for a subsequent hearing by Golden Sierra, within 30 days after such termination or suspension.
  - c. Sanctions may include specific reporting requirements, increased service levels, reduced costs per client, or more stringent performance requirements, and/or the development and implementation of specific policies and procedures by the CONTRACTOR as a condition of contract continuations.
  - d. Golden Sierra may pursue litigation to recapture disallowed costs or debts incurred by the CONTRACTOR.

#### 10. Protests and Appeals-

- a. Questioned Costs - The CONTRACTORs must appeal the questioned cost to Golden Sierra in the time allotted in the notice of Questioned Costs. If the CONTRACTOR is dissatisfied with the outcome of a verbal appeal, he/she may put their appeal in writing, specifying the costs questioned by Golden Sierra, and the CONTRACTOR's reasons for disagreement, including relevant documentation to support the CONTRACTOR's contentions.
- b. Disallowed Costs - If Golden Sierra denies the CONTRACTOR's appeal, Golden Sierra will notify the CONTRACTOR, in writing, specifying the reasons why, including relevant documentation to support Golden Sierra's contentions. The notice will also specify sanctions that may be imposed and the CONTRACTOR's right to appeal, in writing, within 30 days of receipt of the notice to Golden Sierra.
- c. Debts - Once a debt has been established, Golden Sierra will notify the CONTRACTOR, in writing, of the amount due, the repayment method, time frames for repayment, and sanctions that have or may be imposed. The CONTRACTOR may appeal any or all of these criteria to Golden Sierra. The appeal must be submitted to Golden Sierra within 30 days of the CONTRACTOR's receipt of initial notice of debt, contain specific objections and alternatives proposed by the CONTRACTOR, and relevant supporting documentation.
- d. Golden Sierra's Governing Body – Golden Sierra will present the written notices sent to the CONTRACTOR, the CONTRACTOR's written appeal, and relevant supporting documentation to Golden Sierra's Governing Body, with copies of the same to the CONTRACTOR. Golden Sierra's Governing Body will review the material and listen to a verbal presentation by the CONTRACTOR and Golden Sierra. The decision of Golden Sierra's Governing Body will be final.

**EXHIBIT H**

**ASSURANCES AND CERTIFICATIONS**

**I. GENERAL ASSURANCES**

- A. CONTRACTOR assures that it will fully comply with the requirements of the Workforce Investment Act (WIA) and any state statutes implementing the WIA (State Statutes), or as those laws may be amended, all federal and state regulations issued pursuant to those Acts, the Governor's policies and procedures issued pursuant to WIA and State Statutes.
- B. CONTRACTOR, in operating a program funded under the WIA, assures that: (1) it will administer such program in full compliance with safeguards against fraud and abuse as set forth in WIA and the regulations promulgated thereunder ; and (2) no portion of its WIA program will in any way discriminate against, deny benefits to, deny employment to, or exclude from participation any individual on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any WIA Title I financially-assisted program or activity.
- C. Every reasonable course of action will be taken by CONTRACTOR in order to maintain the integrity of this expenditure of public funds and to avoid any favoritism, questionable or improper conduct. This contract will be administered in an impartial manner, free from efforts to gain personal, financial or political gain. CONTRACTOR, its officers, directors, executive staff and employees, in administering the contract, will avoid situations which give rise to a suggestion that any decision was influenced by prejudice, bias, special interest, or desire for personal gain.
- D. Officers, directors, executives and employees of CONTRACTOR will be particularly aware of the varying degrees of influence that can be exerted by personal friends and associates and, in administering this contract, will exercise due diligence to avoid situations which may give rise to an assertion that favorable treatment is being granted to friends and associates. When it is in the public interest for CONTRACTOR to conduct business with a friend or associate of an officer, director, executive or employee of CONTRACTOR, an elected official in the area or a member of the Workforce Investment Board, a permanent record of the transaction shall be retained.
- E. As a condition to the award of financial assistance under WIA from the Department of Labor, CONTRACTOR assures, with respect to operation of the WIA-funded program or activity and all agreements or arrangements to carry out the WIA-funded program or activity, that it will comply fully with the nondiscrimination and equal opportunity provisions of the Workforce Investment Act of 1998 (WIA), as amended including the Nontraditional Employment for Women Act of 1991; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; the Age Discrimination Act of 1975, as amended; Title IX of the Education Amendments of 1972, as amended; and with all applicable requirements imposed by or pursuant to regulations implementing those laws, including, but not limited to, 29 CFR Part 37. The United States has the right to seek judicial enforcement of this assurance.

- F. CONTRACTOR assures that it will designate an Equal Opportunity Officer or designate an appropriate individual responsible for adoption and publication of complaint procedures as required by federal regulations, 29 CFR Part 37 and that it will provide the following notice, in the manner required by 29 CFR §37.31, to applicants, eligible applicants, clients, applicants for employment, employees and members of the public, including those with impaired vision or hearing, and unions or professional organizations holding collective bargaining or professional agreements with CONTRACTOR:

***Equal Opportunity is the Law***

It is against the law for this recipient of federal financial assistance to discriminate on the following basis:

- ✓ Against any individual in the United States, on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief; and
- ✓ Against any beneficiary of programs financially assisted under Title 1 of the Workforce Investment Act of 1998 (WIA), on the basis of the beneficiary's citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any WIA Title I financially-assisted program or activity.

The recipient must not discriminate in any of the following areas: 1) deciding who will be admitted, or have access, to any WIA Title I financially-assisted program or activity; 2) providing opportunities in, or treating any person with regard to, such a program or activity; or 3) making employment decisions in the administration of, or in connection with, such a program or activity.

**II. ADDITIONAL ASSURANCES**

CONTRACTOR hereby assures and certifies that it will comply with applicable laws, regulations, policies, guidelines, and requirements, including OMB Circulars Nos. A-95 and A-102, 45 CRF Part 74, and 45 CFR Part 92, and with applicable federal cost principles contained in OMB Circulars Nos. A-21, A-87, and A-122 as they relate to the acceptance and use of federal funds for this federally-funded project. CONTRACTOR also assures and certifies, with respect to the contract, that:

- A. If CONTRACTOR is a corporation it is registered with the Secretary of State of the State of California.
- B. It possesses legal authority to administer the funds; that a resolution, motion, or similar action has been duly adopted or passed as an official act of CONTRACTOR's governing body (i.e., Board of Directors), authorizing the execution and acceptance of this contract, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of CONTRACTOR to act in connection with the contract and to provide such additional information as may be required.
- C. It will comply with Title VII of the Civil Rights Act of 1964, as amended, and the California Fair Employment and Housing Act (FEHA), (Government Code §§12900 et seq.), as amended, which provide that no person shall, on the ground of race, color, sex, age, religion, national origin, ancestry, physical disability, medical condition or marital status, be excluded from participation, in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity or which CONTRACTOR receives federal or state financial assistance.
- D. It will comply with Title VII of the Civil Rights Act of 1964, as amended, and the California Fair Employment and Housing Act (FEHA), as amended, prohibiting employment

discrimination where (1) the primary purpose of the funding is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the funded activity.

- E. It will comply with provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, and any amendments thereto, (42 U.S.C. §§4601 et seq.) which provides for fair and equitable treatment of persons displaced as a result of federal and federally-assisted programs or activities.
- F. It will comply, as applicable, with provisions of the Hatch Act, and any amendments thereto, (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
- G. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, and any amendments thereto, (29 U.S.C. §§201 et seq.) as they apply to employees of institutions of higher education, hospitals, and other nonprofit organizations as defined in these regulations.
- H. No funds received pursuant to this Contract will be used to assist, promote, or deter union organizing.
- I. It will comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. §§12101 et seq.) and with all requirements imposed by the Equal Employment Opportunity Commission and by the U.S. Department of Labor pursuant to the regulations of the U.S. Department of Health and Human Services (45 CFR Part 85) promulgated under the foregoing statutes. CONTRACTOR agrees that, in accordance with the foregoing requirements, no otherwise-qualified handicapped person by reason of handicap, shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance, and assures that it will take any measure necessary to effectuate this agreement.
- J. It will include for activities funded under any contract with GSJTA the equal employment opportunity clause prescribed by Executive Order 11246, as amended, and will require that its subcontractors include the clause in all contracts or subcontracts which have or are expected to have an aggregate value within a 12 month period exceeding \$10,000, in accordance with U.S. Department of Labor regulations.
- K. It will comply with standards for environmental quality control that may be prescribed pursuant to responsibilities of the federal government under the National Environmental Policy Act of 1969, and any amendments thereto, (42 U.S.C §§4321 et seq.) and Executive Order 11514, and any amendments thereto.
- L. It will comply with all applicable laws, regulations, Governor and GSJTA policies and procedures regarding the release of client identities and information. It further assures that it will:
  - 1. 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. 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. Where 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. 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 GSJTA or the State.
5. Include these data and security and confidentiality requirements in any agreements with a third party to provide WIA services. 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.
6. Designate an employee who shall be responsible for overall security and confidentiality of its data and information systems and promptly notify GSJTA of any changes in that designation.

### III. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT (40 U.S.C. §§ 327-333)

CONTRACTOR assures and certifies that it will comply with the provisions of the Contract Work Hours and Safety Standards Act as further set forth below:

#### A. Overtime Requirements

No CONTRACTOR or subcontractor contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of eight hours in any calendar day or in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times his or her basic rate of pay for all hours worked in excess of eight hours in any calendar day or in excess of forty hours in such workweek, as the case may be.

#### B. Violation; liability for unpaid wages; liquidated damages

In the event of any violation of the clause set forth in subparagraph (A), CONTRACTOR and any subcontractor responsible therefore shall be liable to any affected employee for his or her unpaid wages. In addition, such CONTRACTOR and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic employed in violation of the clause set forth in subparagraph (A), in the sum of \$10 for each calendar day on which such employee was required or permitted to work in excess of eight hours or in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in subparagraph (A).

#### C. Withholding for unpaid wages and liquidated damages

The U. S. Department of Labor may withhold or cause to be withheld, from any moneys payable on account of work performed by CONTRACTOR or subcontractor, such sums as may administratively be determined to be necessary to satisfy any liabilities of such CONTRACTOR or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in subparagraph (B).

#### D. Records

CONTRACTOR shall maintain payroll records containing the information specified in 29 CFR §516.2(a). Such records shall be preserved for three (3) years from the completion of the Contract.

## EXHIBIT I

### POLICY ON CONFIDENTIALITY OF CLIENT RECORDS

It is the policy of GSJTA to ensure confidentiality of all client records and to assure compliance with the Information Practices Act of 1977 and the Federal Privacy Act of 1974, amended. In order to implement this Policy, this statement outlines the standards which must be followed by all GSJTA employees, as well as all staff and Board Members of all GSJTA-funded programs.

Client records, for purposes of this Policy, are defined to be those records concerning individual clients that GSJTA or the Program Operator is required to prepare, maintain, or submit pursuant to governmental regulations and, where applicable, a Program Operator Agreement with GSJTA, and the information contained therein.

Program Operator, for purposes of this Policy, is defined to include all agencies that are operating programs who are recipients of GSJTA funding, whether as a subgrantee, contractor, delegate agency or other recipient.

#### OWNERSHIP

All client records are the property of GSJTA and shall revert to GSJTA at the termination of a Program Operator's funding. Program Operators are only the custodians of client records and shall ensure the confidentiality of the records in their possession on behalf of GSJTA. Retention of all records, including client records, is controlled by various federal and state laws and regulations, as well as GSJTA policies, subcontracts and sub-grants. Nothing herein shall be interpreted as requiring retention of client records by GSJTA or a Program Operator beyond the time period specified in any controlling statute, regulation, subcontract or sub-grant.

#### ACCESS

- 1) Those persons that may have possession of client records include only:
  - a) Specific program staff designated by the Program Operator; and
  - b) Those persons designated by GSJTA.
- 2) The only persons who may review the client records, in addition to those specified in 1), are GSJTA-authorized public and/or private auditors.
- 3) Access by any persons to client records shall be in a manner consistent with governmental regulations and, where applicable, the terms of the Program Operator Agreement between GSJTA and the Program Operator.
- 4) Unless otherwise specifically provided for in this policy, or mandated by state or federal law or administrative regulations, no other person, group, agency, or institution shall have access to client records.

#### DISSEMINATION OF INFORMATION

Neither GSJTA employees nor any Program Operator shall disseminate any information derived from client records, without prior written approval from GSJTA, except in the following instances:

- a) Delivery of records to GSJTA pursuant to the terms of the Program Operator Agreement or to comply with the rules, regulations, and conditions established by the federal or state government and/or the GSJTA Governing Body;

- b) Delivery to an entity specifically designated in a release of information form signed by the subject client authorizing such dissemination. In cases where the subject client is a minor (i.e., Head Start enrollees) the release of information must be signed by the minor's parent or guardian; or
- c) Upon request of authorized GSJTA auditors and staff.

### CLIENT ACCESS TO HIS/HER OWN RECORDS

- I. All clients shall have an absolute right, which may not be abridged in any manner whatsoever, to review and obtain copies of his/her own records.
- II. The client may request to review his/her records at any reasonable time, during normal working hours and that requests shall be granted without exception. If the client wishes a copy of his/her records, a copy of such records shall be provided within five (5) working days after the request, upon payment of an optional fee not to exceed twenty-five cents (\$0.25) per page.
- III. For any records in the possession of GSJTA, a client must communicate in writing, his/her request to review his/her records. Such a request shall be granted within five (5) working days at a reasonable time during working hours. If a client wishes a copy of his/her records, such request shall be communicated in writing and such requests shall be granted within five (5) working days at a cost not to exceed twenty-five (\$0.25) per page.
- IV. If a client believes there is an error in his/her records, such client shall be allowed to indicate the error and to request, in writing, a change in the record, and any such request shall be inserted into the records maintained by the Program Operator and GSJTA, and the change made if the records are inaccurate.

### REQUEST FOR RECORDS UNDER THE PUBLIC RECORDS ACT AND/OR THE FEDERAL FREEDOM OF INFORMATION ACT

Generally, information regarding personnel data on program clients is confidential and cannot be released by either GSJTA staff or a Program Operator.

With respect to client information concerning clients who are TANF recipients (which would include all CalWORKs recipients, all Refugee Targeted Assistance clients and certain welfare referral clients of other GSJTA programs), all client information is absolutely confidential and cannot be disclosed to any individual pursuant to Welfare and Institutions Code Section 10850.

Both the Public Records Act and the Freedom of Information Act preclude disclosure of personnel information and similar information unless the need for the information clearly outweighs the individual right to privacy. In such situations, a determination must be made on a case-by-case basis whether the disclosure of the information would constitute an unwarranted invasion so personal privacy. Thus, a blanket decision to never release any client records, in order to protect all of the clients' privacy, would be erroneous. Also, generally speaking, it is probably appropriate, upon request, to disclose the name, position and salary of a client, unless the client is a welfare recipient, as noted above. Although, as further noted above, each case generally suggested that before any information other than the name, position and salary of a client is released, that an attempt should be made to obtain the permission of the client for the release of the information. Protection of the client's right to privacy is significantly important enough to consider the client's right to confidentiality in the information prior to disclosing it to third parties.

**Because a decision not to release information requested pursuant to the Freedom of Information and Public Records Acts can be challenged in court, it is appropriate to obtain legal advice with respect to a request for any information in which the client has**

**a right to privacy. Thus, GSJTA staff should bring to the attention of the Executive Director any requests for such information and Program Operators are encouraged to seek independent legal advice before responding to such requests.**

### SUBPOENA OF RECORDS

When any GSJTA employee or any Program Operator is served with a subpoena requesting information regarding a client, the following procedures should be followed:

1. Forward immediate written notice (see attachment) to the client or the client's attorney of record stating that a subpoena has been served and will be complied with within the appropriate time, unless a court order is served upon the agency prior to that date, ordering the agency not to release the information. All Golden Sierra Job Training Agency employees and all Program Operators shall also notify the Golden Sierra Job Training Agency Executive Director immediately after receiving a subpoena.
2. If no court order is served within the period set forth, the subpoena should be complied with by either forwarding the records requested or, if necessary, making a personal appearance pursuant to the subpoena in order to provide the records.
3. If at any time a GSJTA employee or a Program Operator has concerns regarding a subpoena, or if the subpoena has not provided adequate time for notification of the client, the GSJTA Executive Director should be contacted prior to any action being taken.
4. Any Program Operator or individual served with a subpoena is entitled to compensation for the costs of providing these records. Payment may be requested in advance for release of records or a statement may be forwarded with the records. A fee should be set in accordance with fees charged any individual requesting documents or records.

Each Program Operator should designate one or more individuals as "Custodian of the Records", to be responsible for compliance with subpoena requests. If a subpoena is personally served upon the Custodian of the Records, this Custodian should be instructed to immediately request witness fees from the process server. All funds become the property of the Program Operator served.

### DOCUMENTATION FOR REQUEST OF INFORMATION

GSJTA and all Program Operators should maintain a current file on all requests for information regarding program clients. Each request should be documented.

1. Documentation should include what information was requested, by whom, for what reason and what information was provided.
2. Documentation should also be made for information that was denied.

It is the responsibility of all GSJTA employees and all program operators to ensure that this policy is followed. Any deviation is grounds for disciplinary action against an employee and termination of any applicable program operator agreement.

Date: \_\_\_\_\_

To: \_\_\_\_\_

Dear, \_\_\_\_\_ :

Please be advised that on \_\_\_\_\_ *[date]* , the \_\_\_\_\_ *[name of GSJTA-funded program]* was served with a subpoena from \_\_\_\_\_ *[party serving the subpoena]* in the matter of \_\_\_\_\_ *[case name]* requesting that the records of \_\_\_\_\_ *[client name]* be produced.

**(Here recite language from the subpoena identifying records sought.)**

This letter serves to notify you that unless the undersigned is served with a court order quashing the subpoena, or otherwise prohibiting production of the above documents, all materials will be forwarded pursuant to the subpoena on \_\_\_\_\_ *[date]* .

Sincerely,

\_\_\_\_\_  
Custodian of the Records for  
[Name of GSJTA-funded Agency]

EXHIBIT J

**CLIENT COMPLAINT PROCEDURES**

Participation in \_\_\_\_\_'s program does not create an entitlement to services and nothing shall be construed to establish a private right for any services described or recommended by \_\_\_\_\_. However, if you believe that your rights as a client have been violated in any of the ways described below, the following two procedures describe how complaints will be handled:

- A. If your complaint alleges: 1) a violation of the Workforce Investment Act - Title I, regulations governing the Act, the grant agreement or any sub-agreement; 2) discrimination on the basis of race, color, religion, sex, national origin, age, handicap (disability), political affiliation or belief, you should use the following procedures:
1. Discuss your complaint with the Site Manager of the office where you are registered.
  2. If you feel your complaint is not resolved satisfactorily, you may file a written complaint on an official \_\_\_\_\_ Complaint Form (official Complaint Forms may be obtained at \_\_\_\_\_).
  3. An investigation of the allegations will then be conducted by \_\_\_\_\_.
  4. If not settled informally, a hearing will be held.
  5. The Hearing Officer will issue the final determination of \_\_\_\_\_ along with the right of appeal.
- B. If your complaint alleges a violation of the terms and conditions of employment or training, you should use the procedures of your employer or training provider. The complaint procedures of your employer or training provider should be given to you at the time you begin employment or training. If your employer or training provider does not have a complaint procedure, you may use procedure A, above.

The Department of Labor (DOL)/Office of Inspector General (OIG) has established a hotline telephone number for employees and the public to notify DOL/OIG of suspected fraud, or waste in DOL-funded programs. The hotline may be accessed by dialing 1-800-347-3756.

The hotline will allow individuals to report incidents anonymously and avoid the fear of reprisal. The information being provided via the hotline should be as specific as possible, enabling the DOL/OIG to identify, investigate, and take corrective action, thereby ensuring the integrity of DOL-funded programs. The hotline is not to be used for resolving employee grievances, Equal Employment Opportunity complaints, labor disputes, or other personal concerns.

I certify that I have been notified, in writing, of the complaint procedures of \_\_\_\_\_. I further certify that I have been informed that certain employers and/or training providers may require drug testing prior to participation.

Should you have any questions concerning the complaint procedures of \_\_\_\_\_, call the Complaints/EEO Officer, \_\_\_\_\_, at (\_\_\_\_\_) \_\_\_\_\_-\_\_\_\_\_.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**EXHIBIT K**

**MAINTENANCE OF EFFORT**

In the performance of this Contract, CONTRACTOR AGREES and certifies that:

- a) No currently-employed worker shall be displaced by a client (including partial displacement, such as a reduction in the hours of non-overtime work, wages or employment benefits).
- b) CONTRACTOR shall consult with the appropriate labor organizations and/or employer representatives in the design, operation or modification of the programs under this Contract. CONTRACTOR's program shall not impair existing employer or labor organization concurs in writing with respect to any elements of the proposed activities which affect such agreement, or either such party fails to respond to written notification requesting its concurrence within thirty (30) calendar days of receipt thereof.
- c) No client shall be employed or job opening filled (1) when any other individual is on layoff from the same or any substantially equivalent job, or (2) when the employer has terminated the employment of any regular employee without cause created by hiring a client whose wages are subsidized under this Contract.
- d) No Jobs shall be created in a promotional line that will infringe in any way upon the promotional opportunities of currently employed individuals.