

**SCO ID:**

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

**STANDARD AGREEMENT**

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER <b>17-MITPPS-21025</b>	PURCHASING AUTHORITY NUMBER (If Applicable)
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1. This Agreement is entered into between the Contracting Agency and the Contractor named below:

CONTRACTING AGENCY NAME

DEPARTMENT OF HOUSING AND COMMUNITY DEVELOPMENT

CONTRACTOR NAME

County of Sonoma

2. The term of this Agreement is:

START DATE

Upon HCD Approval

THROUGH END DATE

6/25/2025

3. The maximum amount of this Agreement is:

\$500,000

4. The parties agree to comply with the terms and conditions of the following exhibits, which are by this reference made a part of the Agreement.

Exhibits	Title	Pages
Exhibit A	Authority, Purpose, and Scope of Work	5
Exhibit B	Budget Detail and Payment Provisions	5
Exhibit C *	State of California General Terms and Conditions	GTC 4/17
Exhibit D	CDBG - Mitigation Terms and Conditions	26
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*Items shown with an asterisk (\*), are hereby incorporated by reference and made part of this agreement as if attached hereto.**These documents can be viewed at <https://www.dgs.ca.gov/OLS/Resources>***IN WITNESS WHEREOF, THIS AGREEMENT HAS BEEN EXECUTED BY THE PARTIES HERETO.****CONTRACTOR**

CONTRACTOR NAME (if other than an individual, state whether a corporation, partnership, etc.)

County of Sonoma

CONTRACTOR BUSINESS ADDRESS

2300 County Drive, 220

CITY

Santa Rosa

STATE

CA

ZIP

95403


PRINTED NAME OF PERSON SIGNING

Christopher Godley

TITLE

Director of Emergency Management

CONTRACTOR AUTHORIZED SIGNATURE

**Christopher Godley**

 Digitally signed by Christopher Godley  
 Date: 2022.11.03 09:10:35 -07'00'

DATE SIGNED

**SCO ID:**

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

**STANDARD AGREEMENT**

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AGREEMENT NUMBER <b>17-MITPPS-21025</b>	PURCHASING AUTHORITY NUMBER (If Applicable)
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**STATE OF CALIFORNIA**

CONTRACTING AGENCY NAME

Department of Housing and Community Development

CONTRACTING AGENCY ADDRESS

2020 W El Camino Ave

CITY

Sacramento

STATE

CA

ZIP

95833

PRINTED NAME OF PERSON SIGNING

**Synthia Rhinehart**

TITLE

**Contract Services Section Manager**

CONTRACTING AGENCY AUTHORIZED SIGNATURE

*Synthia Rhinehart*

DATE SIGNED

**12/12/2022**

CALIFORNIA DEPARTMENT OF GENERAL SERVICES APPROVAL

EXEMPTION (If Applicable)

**Exempt per: SCM Vol. 1 4.04.A.3 (DGS memo dated 6/12/1981)**

## EXHIBIT A

### AUTHORITY, PURPOSE AND SCOPE OF WORK

#### 1. Authority & Purpose

The California Department of Housing and Community Development (hereinafter "Department") is the lead and responsible entity for administering the Community Development Block Grant – Mitigation (hereinafter "CDBG-MIT") funds appropriated under Public Law 115-123 and allocated to the State of California by the U.S. Department of Housing and Urban Development (hereinafter "HUD"). CDBG-MIT supports the State of California to carry out strategic and high-impact activities to mitigate disaster risks and reduce future losses in areas impacted by the Federal Emergency Management Agency's Major Disaster Declaration DR-4344 in October 2017 and DR-4353 in December 2017/January 2018. CDBG-MIT Planning and Public Services Program (hereinafter "MIT-PPS") projects are funded by CDBG-MIT funds to address risks to, or across, community lifelines that support human health and safety and provide mitigation for individual and community-based systems.

#### 2. Scope of Agreement

##### A. **Grant Funds**

Subject to the terms and conditions of this Standard Agreement (hereinafter "Agreement"), the Department has allocated and agrees to provide grant funds in the maximum amount identified below to the subrecipient identified as "Contractor" on page 1, Section 1 of the STD 213 form (hereinafter "Subrecipient") for all Work (defined below) identified in this Agreement (hereinafter "Subrecipient Award"). All payments made to the Subrecipient will adhere to the provisions described in Exhibit B, Section 4 (Method of Payment) herein. In no instance shall the Department be liable for any costs in excess of this amount, nor for any unauthorized or ineligible costs or expenses. The Subrecipient Award is and shall not exceed \$500,000 per project and \$2,500,000 per subrecipient.

This Agreement governs the Subrecipient Award and each individual Project thereafter proposed by the Subrecipient and approved by the Department (each an "Approved Project", and collectively the "Approved Projects"), the budget for each of which is to constitute some portion of the Subrecipient Award. The cumulative total amount of all Approved Projects shall not exceed the total amount of the Subrecipient Award.

##### B. **Implementation of Agreement**

By entering into this Agreement and thereby accepting the Award of grant funds, the Subrecipient agrees to comply with and implement this Agreement in a manner satisfactory to the Department and HUD and consistent with all

## EXHIBIT A

applicable laws, regulations, policies and procedures that may be required from time to time as a condition of the Department providing the grant funds, including but not limited to, all applicable CDBG-MIT Program Administration and Compliance requirements set forth by this Agreement, and in accordance with the Application documentation previously provided by the Subrecipient and made a part hereof. The Department's providing of grant funds under this Agreement is specifically conditioned on Subrecipient's compliance with this provision and all terms and conditions of this Agreement, the most recently published version of the Department's CDBG- MIT Action Plan for 2017 disasters (<https://www.hcd.ca.gov/community-development/disaster-recovery-programs/cdbg-dr/cdbg-mit-2017/index.shtml>) and any amendments thereto, related Federal Register notices, and the requirements of the authorities cited above, as the same may be amended from time to time.

This Agreement is subject to written modification and termination as necessary by the Department in accordance with requirements contained in any future state or federal legislation and/or state or federal regulations. All other modifications must be in written form and approved by both parties.

### 3. **Subrecipient Scope of Work**

The Subrecipient scope of work (hereinafter "Work") for this Agreement shall consist of the following:

The Subrecipient shall perform the funded activities described in the Work, as detailed in Exhibit F. All written materials or alterations submitted as addenda to the original Application and which are approved in writing by the Department are hereby incorporated as part of the Application. The Department reserves the right to require the Subrecipient to modify any or all parts of the Application in order to comply with CDBG-MIT program requirements. The Department reserves the right to monitor all Work to be performed by the Subrecipient, its contractors, and subgrantees in relation to this Agreement. Any proposed revision to the Work must be submitted in writing for review and approval by the Department and may require an amendment to this Agreement. Approval shall not be presumed unless such approval is made by the Department in writing.

- A. For the purposes of performing the Work, the Department agrees to provide the amount(s) identified in Exhibit B Budget as detailed in Exhibit F, Additional Provisions. Unless amended, the Department shall not be liable for any costs in excess of the total approved budget. The Department shall not, under any conditions, be liable for any unauthorized or ineligible costs.
- B. Planning activity(ies), as defined in the MIT-PPS Policies and

## EXHIBIT A

Procedures, do not have to meet a CDBG-Mitigation National Objective. Public Service activity(ies), as defined in the MIT-PPS Policies and Procedures, shall meet one of the two CDBG-Mitigation National Objectives:

1. Benefit to Low/Moderate Income Persons; or
  2. Urgent Need Mitigation
- C. Subrecipient shall collect data and submit reports to the Department in accordance with the reporting requirements detailed in Section 24 of Exhibit D herein.
- D. The Subrecipient shall monitor all Approved Projects in accordance with the requirements of Section 1.9 of the MIT-PPS Policies and Procedures.

#### 4. Effective Date and Commencement of Work

- A. This Agreement is effective upon approval by the Department representative's signature on page one of the fully executed Standard Agreement, STD 213 (the "Effective Date").
- B. Subrecipient agrees that no Work toward the implementation of the project activity or program activity, as identified in Exhibit F, shall commence without prior written authorization from the Department prior to the execution of this Agreement by the Department.

#### 5. Term of Agreement and Performance Milestones

- A. Term of Agreement: With the exception of the grant closeout procedures set forth in Exhibit B, Section 7, the Subrecipient shall complete the Approved Project(s) activities on or before the expenditure deadline identified on the STD 213 of this Agreement and identified below. Time is of the essence in order to ensure complete and compliant Projects before grant closeout. All grant funds must be expended by: **06/25/2025, unless expressly extended by the department in writing**  
This Agreement will expire on: **06/25/2025**
- B. Performance Milestones: Subrecipient shall adhere to the performance milestones below. Time is of the essence with respect to all such milestones.

## EXHIBIT A

1. Subrecipient must submit monthly report data in accordance with the requirement of Section 1.24 of the MIT-PPS Policy and Procedure to HCD during the term of this Agreement.
2. Subrecipient must fully expend all MIT-PPS activity funds within three years of execution of this Agreement. If Subrecipient fails to fully expend MIT-PPS activity funds within three years of execution of this Agreement, the Department reserves the right to disencumber the Subrecipient's Award amount in this Agreement by the amount then unspent.

Failure to meet performance milestones:

If any performance milestones listed above are not met, the Department reserves the right to withhold further payments to Subrecipient until such time as satisfactory progress is made toward meeting the performance measures. Subrecipient shall diligently work with MIT-PPS staff to submit: (a) a written mitigation plan specifying the reason for the delay; (b) the actions to be taken to complete the task that is the subject of the missed measure deadline; and, (c) the date by which the completion of said task will occur.

The Department reserves the right to reallocate unobligated grant funds within the MIT-PPS program, in its sole and absolute discretion if the Department determines the Subrecipient is unable to meet the performance milestones in a timely manner following the failure to meet said milestones. The Department reserves all rights and remedies available to it in case of a default by Subrecipient of its responsibilities and obligations under the terms of this Agreement. All remedies available to the Department are cumulative and not exclusive.

- C. The Subrecipient and its Contractors, as applicable, shall adhere to all performance and Project milestones as established above.

### 8. **MIT-PPS Program Contract Management**

- A. Department Contract Manager: The Department Contract Manager for this Agreement is the MIT-PPS Program Manager or the Program Manager's designee. Written communication regarding this Agreement shall be directed to the Department Contract Manager at the following address:

CA Department of Housing and Community Development  
Division of Financial Assistance – MIT-PPS  
P.O. Box 952054

## EXHIBIT A

Sacramento, CA 94252-2054

- B. Contract Management: Day-to-day administration of this Agreement shall take place via Grants Network, including but not limited to:
1. Financial Reports (Funds Requests)
  2. Activity Reports
  3. Other Reports, as required
  4. Submittal of any and all requested supporting documentation
  5. Standard Agreement Issuance and Amendments
- C. Subrecipient Contract Administrator: The Subrecipient Contract Administrator (must be a Subrecipient employee) is identified in Exhibit G, Profile. Unless otherwise directed by the Department, any notice, report, or other communication required by this Agreement shall be directed via Grants Network or written to the Subrecipient's Contract Administrator at the contact information identified in Exhibit G, Profile.

## EXHIBIT B

### **BUDGET DETAILS AND PAYMENT PROVISIONS**

#### 1. **Budget**

All Budget amounts are specified in Exhibit F, section 3, Budget Worksheet.

#### 2. **Availability of Funds**

- A. The Department's provision of funding to Subrecipient pursuant to this Agreement is contingent on the availability of CDBG-MIT funds, and subject to the requirements to spend 50% of program funds to benefit the MID, and 70% of grant-wide funds for LMI benefit, and continued federal and state authorization for CDBG- MIT activities and is subject to amendment or termination due to lack of funds or authorization.
- B. The Department shall be relieved of any obligation for making payments to the Subrecipient if funds allocated to the State by HUD cease to be available for any reason or there is any limitation on, or withdrawal of, the Department's authority to administer the CDBG-MIT program or any portion thereof.

#### 3. **Expenditure of Funds**

##### **A. Project and Activity Costs**

No Project or Activity costs may be incurred or funds reimbursed until and unless Subrecipient provides documented compliance with the National Environmental Protection Act (NEPA) requirements established in 24 CFR 50, 24 CFR 58, and 42 USC 4321, et seq. and California Environmental Quality Act (CEQA); California Code of Regulations, Title 14, Division 6, Chapter 3, Sections 15000 – 15387 as referenced in Exhibit D, section 14

Activity Delivery Costs may be incurred prior to documented NEPA and CEQA compliance. See Section 4(A)(3) below for reimbursement requirements of Activity Delivery costs.

##### **B. Priority of Funds**

The Grantee agrees to utilize funds available under this Agreement to supplement rather than supplant funds otherwise available.

##### **C. Withholding Funds**

The Department reserves the right to withhold payments pending timely delivery of program and project reports or documents as may be required under this Agreement, and for defaults by the Subrecipient, as noted in Exhibit D.



## EXHIBIT B

### D. Disencumbering Funds

Disencumbering Funds: The Grantee agrees that funds determined by the Department to be surplus upon completion of the activity, or that have not been spent prior to the Expenditure Deadline, will be subject to disencumbrance by the Department.

### E. Indirect Costs

The Department will only consider reimbursement of indirect cost expenditures from Subrecipients that have an approved Indirect Cost Rate Proposal from the Department, HUD or other cognizant federal agency. If Subrecipient does not have an approved Indirect Cost Rate Proposal, Subrecipient shall develop a proposal for determining the appropriate CDBG-MIT share of indirect costs and shall submit it to the Department for approval prior to submission of Financial Reports for reimbursement of indirect cost expenditures.

### F. Compliance with the OMB Uniform Guidance Audit Requirements

Grant funds will not be disbursed to any Subrecipients identified by the State Controller's Office (SCO) as non-compliant with the Federal Single Audit Act, as described in the OMB Uniform Guidance and 2 CFR Part 200 Sub-Part F. No funds may be disbursed until compliance with the Uniform Guidance is demonstrated to the satisfaction of the Department.

### G. Grant Administration

The Subrecipient agrees to administer this Agreement in accordance with the provisions of Section 7097 through and including Section 7126 of Title 25 of the California Code of Regulations.

## 4. Method of Payment

Payments will be made directly to Subrecipients as reimbursements based on the documented and satisfactory completion of agreed upon performance milestones detailed in Subrecipient Work as indicated in Exhibit A, and confirmation of Subrecipient's compliance with the terms of this Agreement.

Financial Reports shall be submitted electronically through Grants Network. The Department shall not authorize payments or reimbursements unless it has determined the activities indicated in the Financial Report have been performed in compliance with the terms of this Agreement and any other agreements executed by the parties in connection herewith. Financial Reports shall be submitted by the Subrecipient to the Department at least once per month.

## EXHIBIT B

### A. Reimbursements for Costs Incurred

1. The Subrecipient may use grant funds for reimbursement by the Department for Eligible Expenses as defined herein, applied to Activities approved by the Department through the application processes described in Exhibit A. Eligible Expenses include but are not limited to, costs associated with Subrecipient program implementation, including staff time and development of policies and procedures for Approved Activities, as determined by the MIT-PPS Program Policies and Procedures.
2. Activity Delivery Costs expenditures shall be paid only after such costs are expended for Work satisfactorily completed, provided the Department determines that the Program Performance Milestones in this Agreement and/or Approved Project Performance Milestones are on track. Subrecipient may expend up to the indicated Activity Delivery amount identified in Exhibit A.
3. To receive reimbursement for Projects and Activities, the Subrecipient shall timely submit all required Department forms via Grants Network. Financial Reports must include the level of documentation specified by the Department in the Department's Grant Administration Manual located on the Department's website, in order to be reviewed and processed.

### B. Final Financial Reports

1. The final Financial Report for the Subrecipient Award must be submitted to the Department before the expenditure deadline of this Agreement.
2. If the final Financial Report for costs expended during the term of this Agreement has not been received by the Department before the expenditure deadline in Exhibit A, the Department may disencumber any funds remaining in which case grant funds will no longer be available to the Subrecipient.

### 5. Recapture of Funds

A Subrecipient may be required to repay all or a portion of the funds received from the Department, including Activity Delivery, pursuant to this Agreement if the Subrecipient, among other things, does not fulfill its obligations under this Agreement or fails to meet applicable federal requirements. The reasons for a recapture of funds by the Department include, but are not limited to, the following:

- A. The Subrecipient does not comply with the terms of this Agreement or any agreement executed by the Subrecipient and the Department in connection here with;

## EXHIBIT B

- B. The Subrecipient withdraws from the Program prior to completion of the Project(s) or Activity(ies);
- C. The Subrecipient fails to meet a National Objective.

The potential recapture of funds pursuant to this provision is in addition to, and not in lieu of, any other rights and remedies of the Department under this Agreement.

### 6. **Project Budget Revisions and Amendments**

Budget line item adjustments may be made in accordance with the following:

- A. Budget Revisions: Adjustments to the Budget that do not require an increase or reduction of total activity budget, a change in National Objective, or a change in the type or a reduction in number of beneficiaries assisted may be completed as a Budget Revision. Budget Revisions shall include but not be limited to:

- 1. Adjustments that reallocate funds between budget line items
- 2. Adjustments that increase or decrease the detail included in the submitted lined item budgets, including adding and removing budget line items, without increasing or decreasing the scope of work and without changing the overall budget.

Budget Revisions must be approved by the Department prior to implementation. Approval shall be provided either through the online grant management system, or in writing, as appropriate. If approved, Budget Revisions shall automatically be deemed a part of, and incorporated into, this Agreement. Project budget revisions must be submitted through Grants Network and subsequently approved by the Department prior to implementation. Approval shall be provided through Grants Network.

- B. Agreement Budget Revisions: Adjustments to the Subrecipient Award that result in an increased or a reduced total award amount shall require an Agreement amendment. Agreement amendments must be fully executed by both the Subrecipient and the Department prior to implementation.

### 7. **Project and Activity Closeout Procedures**

The Subrecipient must submit the following to the Department at the completion of each Project and Activity.

- 1. A Final Activity Report (Project Completion Report) that includes all required reporting data for the Activity including but not limited to eligible

## EXHIBIT B

activities, costs, beneficiaries, and National Objective;

2. If applicable, a copy of the produced plan
3. If applicable, Final Labor Standards Report as described in Exhibit D(14)(A)(2) herein.
4. Evidence, satisfactory to the Department, of compliance with any other Special Conditions of this Agreement; and,
5. A resolution from the governing body acknowledging the accomplishments of the Approved Project and confirming that the Approved Activity is complete and that all Financial Reports have been processed and reimbursed.

Upon receipt of the above documentation, the Department will close the Activity and finalize the activity in DRGR for final reporting to HUD.

### 8. **Document Retention Policy**

Subrecipient shall retain all books, records, accounts, documentation, and all other materials relevant to this Agreement for a minimum period of five (5) years after the Department notifies the Subrecipient that the grant agreement between HUD and the State of California has been closed.

## EXHIBIT D

### **CDBG-MITIGATION TERMS AND CONDITIONS**

#### **1. Definitions**

Activity Funds – means any reasonable and necessary costs that are directly related to labor and/or direct construction and/or direct Project implementation costs which will meet a national objective as defined in 42 U.S.C. 5304(b)(3), as amended and 24 CFR 570.483.

Activity Delivery Funds - means any reasonable and necessary costs for the implementation, management or oversight of a Project.

Activity Reports – Reports submitted by the Subrecipient that describe Project and Activity progress and/or beneficiaries served during a given reporting period.

Approved Activity – An Activity that has been submitted to the Department through the Notice of Funding Availability and reviewed and approved to fund with the Subrecipient Award by the Department.

Area Median Income (AMI) - means the median family income for specific geographic areas, adjusted for household size, as calculated by HUD, and published annually by the Department at <https://www.hcd.ca.gov/grants-funding/income-limits/state-and-federal-income-limits.shtml>.

California Environmental Quality Act (CEQA) - is a state statute that requires state and local agencies to identify the significant environmental impacts of their actions and to avoid or mitigate those impacts, if feasible.

Department – means the California Department of Housing and Community Development.

Disaster Recovery Grant Reporting System (DRGR) – The electronic system primarily used by the Department to access grant funds from HUD and report performance accomplishments for grant-funded activities to HUD. The DRGR system is used by HUD to review grant-funded activities, prepare reports to Congress and other interested parties, and monitor program compliance.

Duplication of Benefits (DOB) - Financial assistance received from another source that is provided for the same purpose as the CDBG Mitigation-MIT funds, in accordance with Federal Register Notices 84 FR 28836 and 84 FR 28848.

Eligible Expenses – Those necessary and reasonable costs under 2 CFR 200.400 through 475, and applicable notices and waivers, and as identified in Section 1.13 of the

## EXHIBIT D

MIT-PPS Policies and Procedures Manual, and as approved by the Department. Eligible Expenses do not include any costs which are disallowed or otherwise deemed ineligible by the State of California and/or HUD.

Financial Reports (Funds Requests) - the forms and processes required for a Subrecipient to request the drawdown of grant funds.

Grant Funds – The CDBG-MIT funds allocated to the Subrecipient for the implementation of the MIT-PPS program and eligible Approved Projects. Grant funds include Activity Funds and Activity Delivery Funds.

Household - One or more persons occupying a housing unit.

HUD – The United States Department of Housing and Urban Development.

Indirect Costs - means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of indirect costs. Indirect cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.

Indirect Cost Rate Proposal - means the documentation prepared by a governmental unit or subdivision thereof to substantiate its request for the establishment of an indirect cost rate as further defined in 2 CFR 200.56 and 2 CFR 200.57.

Low- to Moderate- Income (LMI) – Low to moderate income people are those having incomes not more than the “moderate-income” level (80% Area Median Family Income) set by the federal government for the HUD-assisted housing programs. This income standard changes from year to year and varies by Household size, county and the metropolitan statistical area.

Standard Agreement (“Agreement”) – The contractual arrangement between the Department and the Subrecipient which sets forth the terms and conditions by which CDBG-MIT funds must be utilized with regards to Approved Projects.

National Environmental Policy Act (NEPA) – The federal law and associated regulations which establishes a broad national framework for protecting the environment. NEPA's basic policy is to assure that all branches of government consider the environment prior to undertaking any major federal action that could significantly affect the environment.

Subrecipient – A ‘Subrecipient’ is a non-State or Federal entity receiving a direct award of grant funds from the Department for the purpose of funding Approved Projects to carry out activities that produce a plan or meet a National Objective.

## EXHIBIT D

Subrecipient Award – The amount of grant funds allocated to the Subrecipient for Approved Activities.

### 2. **National Objectives**

In accordance with 24 CFR 570.208, Section 104(b)(3) of the Housing and Community Development Act of 1974, and as further outlined within the waivers and alternative requirements at Federal Register Notice 84 FR 45838, all CDBG-MIT funded activities, with the exception of Planning activities, must satisfy either the Low-to Moderate Income (LMI) or the Urgent Need Mitigation (UNM) national objective. HUD created a new National Objective - Urgent Need Mitigation (UNM) – for CDBG-MIT programs. This National Objective provides a better fit for CDBG-MIT activities that aim to address risks that do not tie back to the disaster events of the 2017 CDBG-DR funding or subsequent disasters. Projects using the UNM national objective must provide documentation that demonstrates a measurable and verifiable impact on reducing risks at the completion of the activity.

- Address the current and future risks as identified in the Mitigation Needs Assessment of the most impacted and distressed areas; and
- Result in a measurable and verifiable reduction in the risk of loss of life and property.

Planning activities do not require a national objective be established. HUD's Federal Register Notice (84 FR 45838) governing the MIT allocation describes planning efforts as addressing the national objectives without the limitation of any circumstances. All Public Services activities must meet one national objective criterion, LMI or UNM, related to its specific mitigation impact and defined direct benefits or service area.

Upon completion of the Approved Project(s) funded under this Agreement and prior to the funding expiration date of this Agreement, the Subrecipient must document that the Approved Project(s) met the LMH National Objective. The Department shall review the actual National Objective achievements of the Subrecipient. If the Subrecipient does not or cannot satisfactorily document the National Objective achievement of an Approved Project, the Approved Project may be deemed ineligible and repayment of funds may be required of the Subrecipient.

### 3. **Duplication of Benefits**

A Duplication of Benefits (DOB) occurs when a program beneficiary receives assistance from multiple sources for a cumulative amount that exceeds the total need for a particular recovery purpose. The amount of the duplication is the amount of assistance provided in excess of the total need for the same purpose. It is the Department's responsibility to ensure that MIT-PPS provides assistance only to the extent that the disaster recovery need has not been fully met by funds that have already been paid, or will be paid, from another source.

## EXHIBIT D

The Subrecipient must report all funds obtained for the activity from any source from the date of the disaster until the Project is completed.

The Subrecipient agrees to repay to the Department immediately upon demand any assistance later received for the same purpose as the CDBG–MIT funds and that exceeds the total need for the particular recovery purpose.

### 4. **Remedies and Termination for Noncompliance**

A. **Remedies for Noncompliance:** In addition to any other rights and remedies the Department may have under this Agreement, at law, or in equity, the Department may initiate remedies for noncompliance as identified in 2 CFR 200.339 at any time it has been determined that the Subrecipient is no longer meeting the terms and conditions of this Agreement. Remedies for noncompliance may be required in addition to, in lieu of, or prior to termination. Such remedies for noncompliance with a federal statute or regulation, a state statute or regulation, an assurance, in a State plan or application, or elsewhere may include, as appropriate:

1. Temporarily withhold cash payments pending correction of the deficiency by the Subrecipient.
2. Disallow all or part of the cost of the action not in compliance.
3. Wholly or partly suspend or terminate the Subrecipient's grant funds.
4. Withhold further and/or future awards for CDBG-MIT funds and/or any other funds administered by the Department.
5. Request that the Federal Awarding Agency initiate suspension or debarment proceedings.
6. Take other remedies that may be legally available, such as:

In the case of costs incurred without meeting a National Objective, require repayment of all funds reimbursed and/or paid to the Subrecipient, including Activity Delivery, as appropriate.

In the case of Duplication of Benefits, require repayment of all CDBG-MIT funds reimbursed and/or paid to the Subrecipient where other financial assistance was received for the same purpose or in excess of the need.

In taking an action to remedy noncompliance, the Department will provide the Subrecipient an opportunity for such hearing, appeal, or other administrative proceeding to which the Subrecipient is entitled under any statute or regulation



## EXHIBIT D

applicable to the action involved as per 2 CFR 200.342. Such appeal shall be governed by, and conducted in accordance with, the appeal processes and procedures set forth in section 5 herein.

Effects of Suspension and Termination. Subrecipient costs resulting from obligations incurred by the Subrecipient or any of the Subrecipient's Contractors during a suspension or after termination of an Agreement are not allowable unless otherwise authorized by the Department in a written notice or as allowable in 2 CFR 200.343. The enforcement remedies identified in this Section do not preclude a Subrecipient or any of the Subrecipient's Contractors from being subject to 2 CFR Part 2424. CDBG-MIT funds may not be provided to excluded or disqualified persons pursuant to 24 CFR 570.489(l) and 2 CFR 200.339.

The remedies available to the Department under this Agreement are cumulative and not exclusive.

- B. Termination for Noncompliance: Grant funds provided by this Agreement may be terminated in whole or in part as per federal regulation at 2 CFR 200.340 by HUD or by HCD if Subrecipient fails to comply with the terms and conditions of the Agreement that include the terms and conditions of the federal award. All terminations shall include written notification setting forth the reason(s) for such termination, the effective date, and the portion to be terminated in the case of partial terminations and will follow termination notification requirements identified in 2 CFR 200.341.
- C. Termination Without Cause: This Agreement may be terminated by the Department in whole or in part at any time without cause only with the consent of the Subrecipient. In the case of a termination of the whole Agreement, the parties shall agree upon termination conditions, including the effective date. In the case of a partial termination, the parties shall agree upon termination conditions, including the portion to be terminated and the effective date.
- D. Termination With Cause: This Agreement may be terminated by the Department in whole or in part at any time for cause by giving at least 14 days' prior written notice to the Subrecipient. Termination with cause includes termination prior to the end of the period of performance for failure to comply with the terms and conditions of this Agreement, and pursuant to 2 CFR 200.340(c), such termination shall be reported to the appropriate federal program integrity and performance system accessible through the System for Award Management. Termination with cause also includes, without limitation, a failure by Subrecipient to comply with the Project Schedule, Project and Activity Performance Milestones, Reporting Requirements, and/or Special Conditions issued for a Project to use CDBG-MIT funds.

## EXHIBIT D

5. Appeals Process for Finding of Noncompliance: If Subrecipient disagrees with a finding of noncompliance and/or any accompanying remedy and/or termination that are associated with such finding, the Subrecipient may appeal the disputed decision to the Department in writing via U.S. Mail no later than thirty (30) calendar days from the date of HCD's issuance of the disputed decision. In the event the 30th day falls on a weekend or a recognized state or federal holiday, the Subrecipient's written request for appeal shall be due by 5:00 pm Pacific Time the following business day.

There are two levels of appeal available to aggrieved subrecipients:

- Level I Request for Reconsideration, and
- Level II Request for Official Review

A Subrecipient must first submit a written Level I Request for Reconsideration to the Program Manager within thirty (30) calendar days from HCD's issuance of the underlying decision as described above. If the written request is timely submitted, the Program Manager then has ten (10) calendar days of receipt of such request within which to issue any stay requested by the Subrecipient, in full or in part, and thirty (30) calendar days within which to issue a written reconsideration decision. Submitting a timely Level I Request for Reconsideration (and receiving a subsequent reconsideration decision from the Program Manager) is a necessary predicate to the Subrecipient having a right to initiate a Level II Request for Official Review.

A Subrecipient who disagrees with a Reconsideration decision may submit a Level II Request for Official Review to the Disaster Recovery Section Chief or Designee within thirty (30) calendar days from the issuance of the underlying reconsideration decision, as described above. The Section Chief or Designee will conduct an independent review and has thirty (30) calendar days within which to issue a written Official Review decision, which shall be final and binding and not subject to further appeal.

Time is of the essence with regards to the Subrecipient's obligation to timely file appeals or requests to the Department within the time periods set forth in this Appeals Process. As such, any appeal by Subrecipient that is not timely made in strict accordance herewith shall be void and not considered, and the initial decision or finding shall automatically remain as originally issued.

## 6. Severability

- A. If any provision of this Agreement, or an underlying obligation, is held invalid by a court of competent jurisdiction, such invalidity may not affect any other provisions of this Agreement and the remainder of this Agreement shall remain in full force

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and effect. Therefore, the provisions of this Agreement are, and shall be, deemed severable.

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

### 7. Waivers

No waiver or any breach of this Agreement shall be held to be a waiver of any prior or subsequent breach. The failure of the Department to enforce, at any time, the provisions of this Agreement or to require, at any time, performance by the Subrecipient of these provisions shall in no way be construed to be a waiver of such provisions nor to affect the validity of this Agreement or the right of the Department to enforce these provisions. All waivers by the Department must be in writing in order to be valid.

### 8. Uniform Administrative Requirements

The Subrecipient, its agencies or instrumentalities, shall comply with the policies, guidelines and Administrative Requirements of 2 CFR Part 200, et seq., as applicable, as they relate to the cost principles, audit requirements, acceptance and use of federal funds under this part.

- A. **Single Audit Compliance:** Funds will not be disbursed to any Subrecipient identified by the State Controller's Office (SCO) as non-compliant with the Federal Single Audit Act, as described in the Uniform Administrative Requirements, Cost Principles, And Audit Requirements for Federal Awards at 2 CFR 200 Sub-Part F. No funds may be disbursed until compliance with the Uniform Guidance is demonstrated to the satisfaction of the Department.
- B. **Accounting Standards:** The Subrecipient agrees to comply with, and administer the activity in conformance with, 2 CFR Part 200.300, et seq., and agrees to adhere to the accounting principles and procedures required therein, utilize adequate internal controls and maintain necessary source documentation for all costs incurred.
- C. **Suspension and Debarment:** By executing this Agreement, Subrecipient verifies and affirms that it has not been suspended or debarred from participating in or receiving federal government contracts, subcontracts, loans, grants, or other assistance programs. Subrecipient further agrees to verify that its Developers and Contractors have not been suspended or debarred from participating or receiving federal government contracts, subcontracts, loans, grants, or other assistance programs.

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### 9. **Compliance with State and Federal Laws and Regulations**

- A. The Subrecipient, its agencies or instrumentalities, Contractors shall comply with all local, state, and federal laws, statutes, and regulations, as well as policies and procedures established by the Department for the administration of MIT-PPS, as the same may be amended from time to time.
- B. The Subrecipient shall comply with the requirements of 24 CFR 570, the HUD regulations concerning Community Development Block Grants, 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Final Guidance, adopted by HUD at 2 CFR 2400, and all federal regulations, rules, and policies issued pursuant to these regulations. The Subrecipient further agrees to utilize funds available under this Agreement to supplement rather than supplant funds otherwise available.

### 10. **Authority to Impose Additional Special Conditions**

In accordance with 2 CFR 200.208, Department reserves the right and authority to impose additional specific conditions issued under this Standard Agreement under any of the following circumstances:

- A. When, in HCD's sole discretion, HCD finds that Subrecipient has a history of failure to comply with the general or specific terms and conditions applicable to the CDBG-MIT funds allocated under this agreement or to other awards of federally-funded grant or loan assistance passed through the Department.
- B. When Subrecipient fails to meet expected performance goals under this agreement.
- C. When Subrecipient poses an increased risk for noncompliance based on factors including, but not limited to, financial stability, quality of management systems, history of performance under Federal awards, history of timeliness under Federal awards, history of conformance with terms and conditions of previous federal awards, and reports and findings from audits.
- D. When, in the Department's sole discretion, such conditions are necessary to ensure timely and compliant performance under the federal award.

Such specific conditions, or special conditions, may include, withholding of authority to proceed to the next phase of an Approved Project until receipt of evidence of acceptable performance within a given period of performance, requiring additional detailed financial reports, requiring additional project monitoring, requiring the Subrecipient to obtain technical or management assistance, establishing additional prior

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approvals, or any other condition HCD deems reasonable and necessary to safeguard Federal funds.

### 11. Equal Opportunity Requirements and Responsibilities

The obligations undertaken by Subrecipient include, but are not limited to, the obligation to comply with all federal laws and regulations described in Subpart K of 24 CFR Part 570 and specifically with each of the following, among other things, as the same may be amended from time to time:

- A. **Title VI of the Civil Rights Act of 1964:** This act provides that no person shall be excluded from participation, denied program benefits, or subject to discrimination based on race, color, and/or national origin under any program or activity receiving federal financial assistance.
- B. **Title VII of the Civil Rights Act of 1968 (The Fair Housing Act):** This act prohibits discrimination in housing on the basis of race, color, religion, sex and/or national origin. This law also requires actions which affirmatively promote fair housing.
- C. **Restoration Act of 1987:** This act restores the broad scope of coverage and clarifies the application of the Civil Rights Act of 1964. It also specifies that an institution which receives federal financial assistance is prohibited from discriminating on the basis of race, color, national origin, religion, sex, disability or age in a program or activity which does not directly benefit from such assistance.
- D. **Section 109 of Title 1 of the Housing and Community Development Act of 1974 [42 U.S.C. 5309]:** This section of Title 1 provides that no person shall be excluded from participation (including employment), denied program benefits, or subject to discrimination on the basis of race, color, national origin, or sex under any program or activity funded in whole or in part under Title 1 of the Act.
- E. **The Fair Housing Amendment Act of 1988:** This act amended the original Fair Housing Act to provide for the protection of families with children and people with disabilities, strengthen punishment for acts of housing discrimination, expand the Justice Department jurisdiction to bring suit on behalf of victims in federal district courts, and create an exemption to the provisions barring discrimination on the basis of familial status for those housing developments that qualify as housing for persons age 55 or older.
- F. **The Age Discrimination Act of 1975:** This act provides that no person shall be excluded from participation, denied program benefits, or subject to

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- discrimination on the basis of age under any program or activity receiving federal funding assistance. Effective January 1987, the age cap of 70 was deleted from the laws. Federal law preempts any State law currently in effect on the same topic.
- G. **Section 504 of the Rehabilitation Act of 1973:** It is unlawful to discriminate based on disability in federally assisted programs. This Section provides that no otherwise qualified individual shall, solely by reason of his or her disability, be excluded from participation (including employment), denied program benefits, or subjected to discrimination under any program or activity receiving federal funding assistance.
- H. **The Americans with Disabilities Act of 1990 (ADA):** This act modifies and expands the Rehabilitation Act of 1973 to prohibit discrimination against "a qualified individual with a disability" in employment and public accommodations. The ADA requires that an individual with a physical or mental impairment who is otherwise qualified to perform the essential functions of a job, with or without reasonable accommodation, be afforded equal employment opportunity in all phases of employment.
- I. **Executive Order 11063:** This executive order provides that no person shall be discriminated against on the basis of race, color, religion, sex, or national origin in housing and related facilities provided with federal assistance and lending practices with respect to residential property when such practices are connected with loans insured or guaranteed by the federal government.
- J. **Executive Order 12259:** This executive order provides that the administration of all federal programs and activities relating to housing and urban development be carried out in a manner to further housing opportunities throughout the United States.
- K. **The Equal Employment Opportunity Act:** This act empowers the Equal Employment Opportunity Commission (EEOC) to bring civil action in federal court against private sector employers after the EEOC has investigated the charge, found "probable cause" of discrimination, and failed to obtain a conciliation agreement acceptable to the EEOC. It also brings federal, state, and local governments under the Civil Rights Act of 1964.
- L. **The Uniform Guidelines on Employee Selection Procedures adopted by the Equal Employment Opportunity Commission in 1978:** This manual applies to employee selection procedures in the areas of hiring, retention, promotion, transfer, demotion, dismissal and referral. It is designed to assist employers, labor organizations, employment agencies, licensing and certification boards in complying with the requirements of federal laws prohibiting discriminatory

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employment.

- M. **The Vietnam Era Veterans' Readjustment Act of 1974 (revised Jobs for Veterans Act of 2002):** This act was passed to ensure equal employment opportunity for qualified disabled veterans and veterans of the Vietnam War. Affirmative action is required in the hiring and promotion of veterans.
- N. **Executive Order 11246:** This executive order applies to all federally assisted construction contracts and subcontracts. It provides that no person shall be discriminated against on the basis of race.

### 12. **Relocation, Displacement, and Acquisition**

The Subrecipient shall comply with the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and regulations adopted to implement the Act in 24 CFR Part 42, 49 CFR Part 24, and Section 104(d) of the Housing and Community Development Act of 1974 as they apply to the performance of this Agreement.

### 13. **The Training, Employment, and Contracting Opportunities for Business and Lower Income Persons Assurance of Compliance (Section 3):**

- A. The Subrecipient and the Subrecipient's Contractors and Developers shall comply with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u), and implementing regulation at 24 CFR, Part 75. The responsibilities outlined in 24 CFR Part 75.19 include:
- Implementing procedures designed to notify Section 3 residents within the neighborhood service area of the project about training and employment opportunities generated by Section 3 covered assistance and Section 3 business concerns about contracting opportunities generated by Section 3 covered assistance.
  - Notifying potential Contractors for Section 3 covered projects of the requirements of Part 75, Subpart C and incorporating the Section 3 clause set forth below in all solicitations and contracts in excess of \$100,000 as required at 24 CFR 75.27.

#### **Section 3 Clause**

The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted

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projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

The parties to this contract agree to comply with HUD's regulations in 24 CFR Part 75, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 75 regulations.

The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and subrecipients for training and employment positions can see the notice. The notice shall describe the Section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

The contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 75 and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 75. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 75.

The contractor acknowledges that subrecipients, contractors, and subcontractors are required to meet the employment, training, and contraction requirements of 24 CFR 75.19, regardless of whether Section 3 language is included in recipient or subrecipient agreements, program regulatory agreements, or contracts.

The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 75 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR Part 75.



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Noncompliance with HUD's regulations in 24 CFR Part 75 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

The contractor agrees to submit, and shall require its subcontractors to submit to them, annual reports detailing the total number of labor hours worked on the Section 3 Project, the total number of labor hours worked by Section 3 Workers, and the total number of hours worked by Targeted Section 3 Workers, and any affirmative efforts made during the quarter to direct hiring efforts to low- and very low-income persons, particularly persons who are Section 3 workers and Targeted Section 3 workers.

Facilitating the training and employment of Section 3 workers and the award of contracts to Section 3 business concerns by undertaking activities such as described in Section 75.25(b), as appropriate, to reach the goals set forth in Section 75.23 and in Federal Register Vol. 85, No. 189, page 60909, until superseded by HUD in a subsequent publication. As of September 29, 2020, the minimum Section 3 benchmark is twenty-five (25) percent or more of the total number of labor hours worked by all workers on a Section 3 project are Section 3 workers; and five (5) percent or more of the total number of labor hours worked by all workers on a Section 3 project are Targeted Section 3 workers.

Documenting actions taken to comply with the foregoing requirements, the results of those actions taken and impediments, if any.

### 14. Environmental Compliance

- A. The Subrecipient shall comply with the California Environmental Quality Act (CEQA) requirements as they apply to this Project(s).
- B. The Subrecipient shall comply with the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251, *et seq.*, as amended, 1318 relating to inspection, monitoring, entry, reports, and information, as well as other requirements specified in said Section 114 of the Clean Air Act and Section 308 of the Clean Water Act, and all regulations and guidelines issued thereunder.
- C. The Subrecipient shall comply with the requirements of the Clean Air Act, 42 U.S.C. 1857, *et seq.*, as amended.
- D. The Subrecipient shall comply with Environmental Protection Agency (EPA) regulations pursuant to 40 CFR Parts 15 and 50, as amended.
- E. The Subrecipient shall comply with the requirements of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001). The Subrecipient shall assure that for

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- activities located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, that flood insurance under the National Flood Insurance Program is obtained and maintained as a condition of financial assistance for acquisition or construction purposes (including rehabilitation).
- F. The Subrecipient shall comply with the requirements of the Residential Lead-Based Paint Hazard Reduction Act of 1992 and Section 401(b) of the Lead-Based Paint Poisoning Prevention Act of 1971. The Subrecipient agrees that any construction or rehabilitation of residential structures with assistance provided under this Agreement shall be subject to HUD Lead-Based Paint Regulations at 24 CFR 570.608, and 24 CFR Part 35, Subpart B. Such regulations pertain to all CDBG-assisted housing and require that all owners, prospective owners, and tenants of properties constructed prior to 1978 be properly notified that such properties may include lead-based paint. Such notification shall point out the hazards of lead-based paint and explain the symptoms, treatment and precautions that should be taken when dealing with lead-based paint poisoning and the advisability and availability of blood lead level screening for children under seven. The notice should also point out that if lead-based paint is found on the property, abatement measures may be required.
- G. The Subrecipient shall comply with the Historic Preservation requirements set forth in the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), the Archaeological and Historical Preservation Act of 1974 (Public Law 93-291), and the procedures set forth in 36 CFR Part 800, Advisory Council on Historic Preservation Procedures for Protection of Historic Properties, insofar as they apply to the performance of this agreement. The Subrecipient shall also comply with Executive Order 11593 on the protection and enhancement of the cultural environment. In general, this requires concurrence from the State Historic Preservation Officer for all rehabilitation and demolition of historic properties that are fifty years old or older or that are included on a federal, state, or local historic property list.
- H. Subrecipient shall comply with all National Environmental Policy Act (NEPA) requirements as applicable to the performance of this Agreement as found in 24 CFR Part 50, 24 CFR Part 58, as applicable, and 40 CFR 1500 – 1508. Subrecipient shall not receive authority to incur activity costs until they have successfully documented compliance with the applicable NEPA requirements, including public noticing and publishing.

The subrecipient understands and agrees that this Agreement does not constitute a commitment of funds or site approval, and the commitment of funds or approval may occur only upon satisfactory completion of environmental review and receipt by the Department of an approval of the request for release of funds and certification from HUD or the Department under 24 CFR Part 58. The

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provision of any funds to the project is expressly conditioned on the Department's determination to proceed with, modify or cancel the project based on the results of the environmental review.

### 15. Procurement

The Subrecipient shall comply with the procurement provisions in 2 CFR Part 200.318 – 200.326, Procurement Standards as well as all other Administrative Requirements for Subrecipient and Cooperative Agreements to State, local and federally recognized Indian tribal governments as set forth in 2 CFR 200, et seq., as applicable. All procurements must be conducted in a fair, open, and competitive manner in compliance with both the spirit and the letter of applicable federal and state procurement laws.

### 16. Procurement of Recovered Materials

In accordance with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act, the Contractor shall procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition. The Contractor shall procure items designated in the EPA guidelines that contain the highest percentage of recovered materials practicable unless the Contractor determines that such items: (1) are not reasonably available in a reasonable period of time; (2) fail to meet reasonable performance standards, which shall be determined on the basis of the guidelines of the National Institute of Standards and Technology, if applicable to the item; or (3) are only available at an unreasonable price.

This clause shall apply to items purchased under this Agreement where: (1) the Contractor purchases in excess of \$10,000 of the item under this contract; or (2) during the preceding Federal fiscal year, the Contractor: (i) purchased any amount of the items for use under a contract that was funded with Federal appropriations and was with a Federal agency or a State agency or agency of a political subdivision of a State; and (ii) purchased a total of in excess of \$10,000 of the item both under and outside that contract.

### 17. Construction Standards

The Subrecipient and Developer shall ensure that all Approved Projects comply with the following requirements:

The Architectural Barriers Act of 1968 (42 U.S.C. 4151-4157)

The Architectural Barriers Act (ABA) stands as the first measure by Congress to ensure access to the built environment for people with disabilities. The law requires that buildings or facilities that were designed, built, or altered with federal dollars or leased

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by federal agencies after August 12, 1968 be accessible.

### California Green Buildings Standards Code (CALGreen) (Title 24, Part 11 of the California Code of Regulations)

All new construction of residential buildings or reconstruction of substantially damaged buildings must incorporate California Green Buildings Standards Code (CALGreen).

### Sustainability Requirements

All rehabilitation, reconstruction, and new construction must be designed to incorporate principles of sustainability, including water and energy efficiency, resilience, and mitigating the impact of future disasters. Wherever feasible, the Subrecipient, Subrecipient's and Contractors must follow best practices, such as those provided by the U.S. Department of Energy.

### National Floodplain Elevation Standards

Subrecipients and Contractors must comply with the national floodplain elevation standards for new construction, repair of substantially damaged structures, or substantial improvements to residential structures in flood hazard areas. All structures designed for residential use within a 100-year (or one percent annual chance) floodplain will be elevated with the lowest floor at least two feet above the base flood elevation level and comply with the requirements of 83 FR 5850 and 83 FR 5861.

### Wildland-Urban Interface Building Codes (WUI Codes)

All Approved Projects under this program that are located in a CAL FIRE high fire zone must comply with applicable WUI codes, found in Title 24, Chapter 7a of the California Building Code, which offer specific material, design and construction standards to maximize ignition- resistance.

## **18. Federal Labor Standards Provisions**

The Subrecipient and the Developer shall at all times comply, and cause all Project contractors to comply, with applicable federal labor standards, including without limitation, the following:

- A. Davis-Bacon Act (40 U.S.C. §§ 3141-3148), which requires that workers receive no less than the prevailing wages being paid for similar work in their locality. Prevailing wages are computed by the Federal Department of Labor and are issued in the form of federal wage decisions for each classification of work. The

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law applies to most construction, alteration, or repair contracts over \$2,000.

- B. "Anti-Kickback Act of 1986" (41 U.S.C. §§ 51-58), which prohibits attempted as well as completed "kickbacks," which include any money, fees, commission, credit, gift, gratuity, thing of value, or compensation of any kind. The act also provides that the inclusion of kickback amounts in contract prices is prohibited conduct in itself. This act requires that the purpose of the kickback was for improperly obtaining or rewarding favorable treatment. It is intended to embrace the full range of government contracting.
- C. Contract Work Hours and Safety Standards Act - CWHSSA (40 U.S.C. § 3702), which requires that workers receive "overtime" compensation at a rate of one and one-half (1-1/2) times their regular hourly wage after they have worked forty (40) hours in one week.
- D. Title 29, Code of Federal Regulations CFR, Subtitle A, Parts 1, 3 and 5, which are the regulations and procedures issued by the Secretary of Labor for the administration and enforcement of the Davis-Bacon Act, as amended.

The Subrecipient shall maintain documentation that demonstrates compliance with hour and wage requirements of this part. Such documentation shall be made available to the Department for review upon request. Subrecipient shall be responsible for monitoring Developer, contractors, and subcontractors, as applicable, for compliance with these provisions.

### 19. State Prevailing Wages

- A. The Subrecipient shall ensure that the requirements of California Labor Code (LC), Chapter 1, commencing with Section 1720, Part 7 [LC Section 1720-1743] pertaining to the payment of prevailing wages and administered by the California Department of Industrial Relations are met.
- B. For the purposes of this requirement "construction work" includes, but is not limited to rehabilitation, alteration, demolition, installation, or repair done under contract and paid for, in whole or in part, through this Agreement. All construction work shall be done through the use of a written contract with a properly licensed building contractor incorporating these requirements (the "Construction Contract"). Where the Construction Contract will be between the Subrecipient and a licensed building contractor, the Subrecipient shall serve as the "awarding body" as that term is defined in the LC. Where the Subrecipient will provide funds to a third party that will enter into the Construction Contract with a licensed building contractor, the third party shall serve as the "awarding body." Prior to any disbursement of funds, including but not limited to release of any final retention payment, the Department may require a certification from the awarding body that prevailing wages have been or will be paid.

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- C. The applicable wage rate determination on construction work will be the more restrictive of the rate prescribed in LC Section 1770-1784 or the Davis-Bacon Wage Determination.

### 20. Agreements with Contractors

- A. The Subrecipient shall not enter into any agreement, written or oral, with any Contractor or other party without the prior determination that the Contractor or other party is eligible to receive federal funds and is not listed on the Federal Consolidated List of Debarred, Suspended, and Ineligible Contractors.

The terms "other party" is defined as public or private nonprofit agencies or organizations and certain (limited) private for-profit entities who receive grant funds from a Subrecipient to undertake Approved Projects.

- B. An agreement between the Subrecipient and any Contractor or other party shall require:
- 1) Compliance with all State and federal requirements described in this Agreement including without limitation those that pertain to labor standards, nondiscrimination, Americans with Disabilities Act, Equal Employment Opportunity and Drug Free Workplace, and prevailing wages. In addition to these requirements, all contractors and subcontractors shall comply with the applicable provisions of the California Labor Code.
  - 2) Maintenance of at least the minimum State required Workers' Compensation Insurance for those employees who will perform the Approved Project activities.
  - 3) Maintenance, as required by law, of unemployment insurance, disability insurance and liability insurance, which is reasonable to compensate any person, firm, or corporation, who may be injured or damaged by the contractor, or any subcontractor in performing the Approved Project activities.
  - 4) Compliance with the applicable Equal Opportunity Requirements described in Section 10 of this Exhibit.
- C. Contractors shall:
- 1) Perform the Approved Project activities in accordance with federal, state and local regulations, as are applicable.

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- D. Contractors and Subcontractors: Drug-Free Workplace Act of 1988
- 1) Publish and give a policy statement to all covered employees informing them that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the covered workplace and specifying the actions that will be taken against employees who violate the policy.
  - 2) Establish a drug-free awareness program to make employees aware of a) the dangers of drug abuse in the workplace; b) the policy of maintaining a drug-free workplace; c) any available drug counseling, rehabilitation, and employee assistance programs; and d) the penalties that may be imposed upon employees for drug abuse violations.
  - 3) Notify employees that as a condition of employment on a federal contract or grant, the employee must a) abide by the terms of the policy statement; and b) notify the employer, within 5 calendar days, if he or she is convicted of a criminal drug violation in the workplace.
  - 4) Notify the contracting or granting agency within 10 days after receiving notice that a covered employee has been convicted of a criminal drug violation in the workplace.
  - 5) Impose a penalty on or require satisfactory participation in a drug abuse assistance or rehabilitation program by any employee who is convicted of a reportable workplace drug conviction.
  - 6) Make an ongoing, good faith effort to maintain a drug-free workplace by meeting the requirements of the act.

### 21. Rights to Inventions Made Under a Contract or Agreement

If a Federal award meets the definition of “funding agreement” under 37 CFR 401.2(a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of recipient or subrecipient must comply with requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulation issued by the awarding agency.

### 22. Special Conditions Pertaining to Hazards, Safety Standards and Accident Prevention

- A. Use of Explosives: When the use of explosives is necessary for the prosecution of the work, the Contractor shall observe all local, state and federal laws in purchasing and handling explosives. The Contractor shall take all necessary

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precaution to protect completed work, neighboring property, water lines, or other underground structures. Where there is danger to structures or property from blasting, the charges shall be reduced, and the material shall be covered with suitable timber, steel or rope mats.

The Contractor shall notify all owners of public utility property of intention to use explosives at least 8 hours before blasting is done close to such property. Any supervision or direction of use of explosives by the engineer does not in any way reduce the responsibility of the Contractor or his Surety for damages that may be caused by such use.

- B. Danger Signals and Safety Devices: The Contractor shall make all necessary precautions to guard against damages to property and injury to persons. The Contractor shall put up and maintain in good condition, sufficient red or warning lights at night, suitable barricades and other devices necessary to protect the public.
- C. Protection of Lives and Health: The Contractor shall exercise proper precaution at all times for the protection of persons and property and shall be responsible for all damages to persons or property, either on or off the worksite, which occur as a result of prosecution of the work. The safety provisions of applicable laws and building and construction codes, in addition to specific safety and health regulations described by Chapter XIII, Bureau of Labor Standards, Department of Labor, Part 1518, Safety and Health Regulations for Construction, as outlined in the Federal Register, Volume 36, No. 75, Saturday, April 17, 1971, Title 29 - LABOR, shall be observed and the Contractor shall take or cause to be taken, such additional safety and health measures as the Developer may determine to be reasonably necessary.

### 23. Prohibition Against Payments of Bonus or Commission

The assistance provided under this Agreement shall not be used in the payment of any bonus or commission for the purpose of:

- A. Obtaining the Department's approval of the Application for such assistance; or,
- B. Any other approval or concurrence of the Department required under this Agreement, Title I of the Housing and Community Development Act of 1974, or the State regulations with respect thereto; provided, however, that reasonable fees for bona fide technical, consultant, managerial or other such services, other than actual solicitation, are not hereby prohibited if otherwise eligible as program costs.

### 24. Reporting Requirements

- A. Subrecipient must timely submit the reports prescribed below. The Department



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reserves the right to request additional detail and support for any report made. Reports must be made according to the dates identified, in the formats provided by the Department, and via the Department's Grants Network unless otherwise specified at the discretion of the Department. The Subrecipient's performance under this Agreement will be assessed based in part on whether it has submitted the reports on a timely basis.

- 1) Monthly Activity Report: Subrecipient must submit a Monthly Activity Report that addresses the following, at a minimum: (1) a description of the current status of the Collective Work; (2) a description of activities to be undertaken in the next reporting period; (3) a description of problems or delays encountered in Collective Work and course of action taken to address them; (4) a description of actions taken to achieve Collective Work expenditure deadlines; and (5) a summary of Collective Work fiscal status, including award amount, funds drawn, and remaining balance. Unless otherwise waived in writing by the Department, Monthly Activity Reports must begin on the 10<sup>th</sup> calendar day of the second month following execution of this Agreement and must continue through the receipt and approval by the Department of the Project Completion Report, detailed below.
- 2) Semi-Annual Labor Standards Report: During the term of construction for each Approved Project, each April 1<sup>st</sup> and October 1<sup>st</sup>, the Subrecipient must submit the Labor Standards Cover Memo, the HUD Form 4710 and the Davis Bacon Labor Standards Report 5.7 (if applicable). These forms are located on the Department's website and are also available upon request.
- 3) Activity Completion Report: At the completion of construction and once an Approved Project is placed in service, the Subrecipient must submit a Project Completion Report. The performance metrics will be identified in Exhibit A.

### 25. Fiscal Controls

The Subrecipient shall be responsible for the internal control and monitoring of fiscal and programmatic/operational goals and procedures. The Subrecipient shall establish and maintain such fiscal controls and fund accounting procedures as required by Federal regulations, or as may be deemed necessary by the Department to ensure the proper disbursement of, and accounting for, funds paid to the Subrecipient under this Agreement.

- A. Deposit of Funds: Subrecipient shall maintain separate accounts within established bookkeeping systems for the deposit of CDBG-MIT funds and Program Income. Deposits in minority banks are encouraged.

## EXHIBIT D

- B. **Fiscal Liability:** Subrecipients shall be liable for all amounts which are determined to be due by the Department, including but not limited to, disallowed or ineligible costs which are the result of Subrecipient's or its Contractor's conduct under this Agreement. Subrecipients shall also be liable for the repayment of any and all amounts it has received under this Agreement and which HUD is seeking reimbursement for from the Department. Subrecipient's obligation to repay the foregoing amounts to the Department shall survive indefinitely the expiration or earlier termination of this Agreement. Subrecipient shall be notified in writing and shall be permitted to respond regarding any controversy or proceeding between the Department and HUD arising from this Agreement.
- C. **Fiscal Records:** All financial transactions must be supported by complete and verifiable source documents. Records shall provide a clear audit trail and shall be maintained as specified in Section 7 herein.

### **26. Monitoring Requirements**

The Department monitors its Subrecipients based upon an assessment of risk posed by the Subrecipient and according to specific monitoring criteria per 2 CFR 200.332. During the term of this Agreement, the Department shall perform program and/or fiscal monitoring of the Subrecipient and Approved Projects to ensure compliance with federal and state requirements and timely project completion. The Subrecipient shall be required to resolve any monitoring findings to the Department's satisfaction by the deadlines set by the Department. In the event Subrecipient disagrees with a finding and/or any accompanying corrective actions or sanction(s) that are associated with such finding, Subrecipient shall follow an appeals process provided by the Department.

### **27. Audit/Retention and Inspection of Records**

- A. The Subrecipient must have intact, auditable fiscal and program records at all times. If the Subrecipient is found to have missing audit reports from the California State Controller's Office (SCO) during the term of this Agreement, the Subrecipient will be required to submit a plan to the State for submitting the audit to the SCO. If the deadlines are not met, the Department may initiate remedies for noncompliance in accordance with Section 4 herein. The Subrecipient's audit completion plan is subject to prior review and approval by the Department.
- B. The Subrecipient agrees that the Department or its designee will have the right to review, obtain, and copy all records pertaining to performance of this Agreement. The Subrecipient agrees to provide the Department or its designee with any relevant information requested and shall permit the Department or its designee access to its premises, during normal business hours for the purpose of interviewing employees and inspecting and copying such books, records,

## EXHIBIT D

accounts, and other material that may be relevant to a matter under investigation for the purpose of determining compliance with California Public Contract Code (PCC) Section 10115 et seq., Government Code (GC) Section 8546.7 and 2 CCR 1896.60, et seq., and other requirements of this Agreement. The Subrecipient further agrees to maintain such records for a minimum period of five (5) years after the Department notifies Subrecipient that the HUD/the Department contract has been closed according to the record retention requirements at 2 CFR 200.334. The Subrecipient shall comply with the caveats and be aware of the penalties for violations of fraud and for obstruction of investigation as set forth in Public Contract Code section 10115.10.

- C. An expenditure which is not authorized by this Agreement or which cannot be adequately documented shall be disallowed and must be reimbursed to the Department or its designee by the Subrecipient.
- D. Absent fraud or material error on the part of the Department, the determination by the Department of the allowability or validity of any expenditure shall be final and conclusive.
- E. For the purposes of annual audits, Subrecipient shall comply with 2 CFR Part 200 Subpart F for the State MIT-PPS Program. Pursuant to 2 CFR Part 200 Subpart F, the Subrecipient shall perform an annual audit at the close of each fiscal year in which this Agreement is in effect. The costs of the MIT-PPS related portion of the audit may be charged to the program in accordance with Public Law 98-502, 2 CFR Part 200 Subpart F, and Title 25 CCR Section 7122.
  - 1) The audit shall be performed by a qualified State, department, local or independent auditor. The agreement/contract for audit shall include a clause which permits access by the Department to the independent auditor's working papers.
  - 2) If there are audit findings, the Subrecipient must submit a detailed response to the Department for each audit finding. The Department will review the response and, if it agrees with the response, the audit process ends, and the Department will notify the Subrecipient in writing. If the Department is not in agreement, the Subrecipient will be contacted in writing and informed what corrective actions must be taken. This action may include the repayment of disallowed costs or other remediation.
  - 3) The Department shall not approve reimbursement for any expenditures for the audit, prior to receiving an acceptable audit report.
  - 4) If so, directed by the Department upon termination of this Agreement, the Subrecipient shall cause all records, accounts, documentation and all other materials relevant to the grant activity(ies) to be delivered to the

## EXHIBIT D

Department as depository.

- F. Notwithstanding the foregoing, the Department will not reimburse the Subrecipient for any audit cost incurred after the expenditure deadline of this Agreement.

### 28. **Signs**

If the Subrecipient places signs stating that the Approved Activity is funded with private or public dollars and the Department is also providing financing, it shall indicate in a typeface and size commensurate with the Department's funding portion of the Approved Activity that the Department is a source of financing through the MIT-PPS Program.

### 29. **Insurance**

The Subrecipient shall have and maintain in full force and effect during the term of this Agreement such forms of insurance, at such levels as may be determined by the Subrecipient and the Department to be necessary for specific components of the grant activity(ies) described in Exhibit A.

### 30. **Anti-Lobbying Certification**

The Subrecipient shall require that the language of this certification be included in all contracts or subcontracts entered into in connection with the Approved Project(s) and shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into.

Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and no more than \$100,000 for such failure.

- A. No federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- B. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form

## EXHIBIT D

LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

### 31. **Conflict of Interest**

Pursuant to 24 CFR 570.489(h), no member, officer, or employee of the Subrecipient, or its designees or agents, no member of the governing body of the locality in which the program is situated, and no other public official of such locality or localities who exercise or have exercised any functions or responsibilities with respect to MIT-PPS activities assisted under this part, or who are in a position to participate in a decision making process or gain inside information with regard to such activities, including members and delegates to the Congress of the United States, may obtain a financial interest or benefit from a MIT-PPS assisted activity, or have a financial interest in any contract, subcontract or agreement with respect to a MIT-PPS assisted activity or its proceeds, either for themselves or those with whom they have business or immediate family ties, during their tenure, or for 1 year thereafter. The Subrecipient shall incorporate, or cause to be incorporated, in all such contracts or subcontracts a provision prohibiting such interest pursuant to the purposes of this section.

### 32. **Obligations of Subrecipient with Respect to Certain Third-Party Relationships**

The Subrecipient shall remain fully obligated under the provisions of this Agreement notwithstanding its designation of any third party or parties for the undertaking of all or any part of the Collective Work with respect to which assistance is being provided under this Agreement to the Subrecipient. The Subrecipient shall comply with all lawful requirements of the Department necessary to ensure that the Collective Work, with respect to which assistance is being provided under this Agreement to the Subrecipient, is carried out in accordance with the Department's Assurance and Certifications, including those with respect to the assumption of environmental responsibilities of the Department under Section 104(g) of the Housing and Community Development Act of 1974 [42 U.S.C. § 5304(g)].

### 33. **Energy Policy and Conservation Act**

This Agreement is subject to mandatory standards and policies relating to energy efficiency which are contained in the State Energy Conservation Plan issued in compliance with the federal Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871).

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

- A. All contracts, except for State construction projects that are funded in whole or in part by the Federal government, must contain a 30-day cancellation clause and

## EXHIBIT D

the following provisions:

1. It is mutually understood between the parties that this contract may have been written for the mutual benefit of both parties before ascertaining the availability of congressional appropriation of funds to avoid program and fiscal delays that would occur if the contract were executed after that determination was made.
  2. This contract is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the purpose of this Program. In addition, this contract is subject to any additional restrictions, limitations, or conditions enacted by the Congress or to any statute enacted by the Congress that may affect the provisions, terms, or funding of this contract in any manner.
  3. The parties mutually agree that if the Congress does not appropriate sufficient funds for the program, this contract shall be amended to reflect any reduction in funds.
  4. The Department has the option to invalidate the contract under the 30 day cancellation clause or to amend the contract to reflect any reduction in funds.
- B. Exemptions from provisions A.1 through A.4 above may be granted by the Department of Finance provided that the director of the State agency can certify in writing that Federal funds are available for the term of the contract.
- C. Gov. Code § 8546.4(e) provides that State agencies receiving Federal funds shall be primarily responsible for arranging for Federally required financial and compliance audits, and shall immediately notify the Director of Finance, the State Auditor, and the State Controller when they are required to obtain Federally required financial and compliance audits.

## EXHIBIT E

### **SPECIAL TERMS AND CONDITIONS**

#### 1. **Application Review**

Subrecipient has provided the Department with information about the Subrecipient's experience, processes, policies, and procedures related to the management of federal funding in the Subrecipient's jurisdiction. These submissions, in addition to discussions with the Subrecipient, have been used to inform this Agreement and are being materially relied upon by the Department in agreeing to enter into this Agreement.

Should there be substantive changes to the organization, key personnel, methods, capacity, policies, or processes of the Subrecipient that impact the implementation of this Agreement, the Subrecipient shall promptly notify the Department of said changes.

#### 2. **Risk Assessment**

During the term of this Agreement, Subrecipient agrees to timely provide documents and information to facilitate the Department's Subrecipient monitoring risk assessment process. Subrecipient further agrees to comply with the requirements, requests, and results of the Department's risk assessment, including participation in Subrecipient monitoring events.

#### 3. **Special Conditions**

Pursuant to the Department's initial Risk Assessment, Subrecipient agrees to adhere to the following Special Conditions: None.

## EXHIBIT F

### ADDITIONAL PROVISIONS

#### Sonoma County - Community Resilience Centers Needs Assessment

1. **Project Overview:** See attached application below.
  
2. **THE NATIONAL OBJECTIVE TO BE ACHIEVED AS A RESULT OF THIS PROJECT:** N/A  

Per 84 FR 45838, Planning activities do not require a national objective be established as they are considered to already address the national objectives without the limitation of any circumstances
  
3. **THE NUMBER OF INDIVIDUALS BENEFITTING AS A RESULT OF THIS PROJECT:**
  - Total beneficiaries: 486,145
  - Total low/mod beneficiaries: 199,775



## Applications: Sonoma County Community Resilience Centers Needs Assessment

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Mitigation - Planning and Public Services (MIT-PPS)

**Profile**

Sheri.Lang@sonoma-county.org

**What project type are you applying for?**

Planning

**Do you commit to having capacity to carry out program activities?**

Yes

**If yes, please describe the capacity and staffing in detail.**

The County of Sonoma created a new Department of Emergency Management in 2019 expanding funding from \$840K to \$2.4M and staffing from 3.5FTE to 12.5 FTE. This has created significant capacity to develop and implement large, long-term projects. The Department has a dedicated Grants Program Manager to oversee grant administration and one of our four Emergency Services Coordinators will be assigned as lead for overall project management with up to 400 staff hours dedicated per year. The County's Department of General Services has agreed to serve as the project design/build manager and will oversee all aspects of the design and build. General Services also manages each of the properties on which the sites will be developed. Environmental compliance will be coordinated by General Services and our Permit Sonoma compliance division.

**Are you applying for more than one Planning Activity?**

Yes

**Planning Activity**

Critical Lifelines

**Is this planning project to build capacity to implement projects under the Resilient Infrastructure Program?**

Yes

**Is the project regional in approach?**

Yes

**If yes, name the regions.**

Sonoma County Operational Area.

**Does the project include collaboration amongst jurisdictional and nonprofit partners?**

Yes

**If yes, name the jurisdictional and nonprofit partners.**

Stakeholders will be identified through the scoping and community outreach process

Eligible Applicants are required to identify which of the 2017 declared disasters the submitted project is related to. The disaster(s) related to the project can be determined by the MID area(s) the project serves or benefits. CDBG-MIT does not require a project tie-back to the 2017 declared disaster.

**What disaster is this project related to?**

DR-4344

**Eligible applicant type**

County

**Is this a project on behalf of another government entity or special district other than the Eligible Applicant?**

No

**Project Title**

Sonoma County Community Resilience Centers Needs Assessment

**Org Name**

Sonoma County Department of Emergency Management

**Provide a snapshot summary of the project.**

We propose to conduct a Programming and Design study for the construction of Community Resilience Centers in Sonoma County communities that are the most vulnerable and often the most significantly impacted by disaster events. Background Recent real-world incidents including the 2017 Wine Country Wildfires, the 2019 Russian River Flood, and the 2019 Kincadee Wildfire, a dozen regional electrical system disruptions, and the 2020 LNU Complex and Glass Wildfires have underscored the need to reinforce the ability of local communities to respond quickly and effectively to no-notice disasters. Encompassing more than 1,700 square miles, many areas of Sonoma County are rural and are often difficult to access when the single roads servicing them are disrupted. Many areas of the County are also subject to frequent and/or persistent loss of electricity with no local facilities that can be equipped with alternate power supplies. Many of these most-impacted communities do not have reasonable access to government facilities or services increasing their physical and functional isolation during disaster events. Organizational Structure We will create an organization structure for the development of our CRC project. The goal of this organizational structure is to creature efficient, inclusive designs, ensure all segments of the community are represented and have a voice in the process, and to complete tasks on time and within budget. Within this process we will incorporate inclusive stakeholder engagement, environmentally sound best practices and benefits to LMI communities day-to-day, as well as during disasters.

**Upload project description, if available.**

Needs Assessment Detailed Project Description and Scope of Work 5-10-22.docx

**Project Location Description**

Project location to be determined through the scoping process. Emphasis will be given to LMI communities above 51%.

**Does the project fall into one of these zip codes/counties?**

Sonoma County

Public Services projects must select a National Objective. Planning projects do not require a National Objective. The Urgent Need Mitigation (UNM) national objective is for CDBG-MIT activities that aim to address risks that do not tie back to the disaster events of the 2017 CDBG-DR funding, or subsequent disasters. Projects using the UNM national objective must provide documentation that demonstrates a measurable and verifiable impact on reducing risks at the completion of the activity. Projects using the LMI national objective are those that have a benefit to Low to moderate income person, which is defined as persons having incomes not more than the "moderate-income" level (80% Area Median Family Income) set by the federal government for the HUD-assisted Housing Programs.

**Does the project benefit an LMI population or area?**

Yes

**Describe how the project benefits a LMI area (additional material and information may be required)**

The project will incorporate social equity considerations in determining optimal site locations and in the design of potential community access. One of the greatest challenges in serving communities with concentrations of low and moderate-income residents is that they are often located a great distances from government services and facilities. This project will enable the County and allied stakeholders to ensure placement of resources and energy resilience in areas underserved by existing government facilities. As locations permit, the County intends to utilize the sites to augment community disaster preparedness programs by enabling direct access by community volunteers, including CERT teams. Priority will be given to communities with LMI above 51%.

Below is a list of the LMI block groups in the County

152502/2, 153102/1, 153704/2, 150607/2, 153102/4, 153903/2, 151301/3, 153006/1, 153704/3, 153104/1, 150901/2, 150305/1, 150800/2, 153006/6, 152201/3, 150306/1, 153003/1, 153705/2, 150901/3, 153401/5, 151311/2, 153003/3, 152701/4, 150202/4, 151800/4, 53704/4, 151402/1, 153300/4, 152203/3, 153902/1, 152501/3, 150901/1, 152000/2, 152100/3, 151402/5, 151201/1, 151700/5, 152905/1, 152000/1, 151305/2, 153808/1, 153003/4, 152801/1, 152203/4, 151900/3, 152201/2, 153001/3, 153703/5, 150306/2, 153006/2, 153102/3, 151306/4, 154201/2, 153003/2, 152100/2, 153300/3, 153902/4, 151305/3, 151311/4, 152202/5, 152202/2, 154100/1, 152802/4, 151900/4, 153703/3, 151305/4, 151900/1, 151502/5, 153704/1, 153200/4, 151308/3, 153703/4, 152701/5, 151308/1, 154201/3, 153002/4, 151401/2, 154201/4, 153801/1, 153200/1, 151900/2, 153705/3, 150603/5, 150305/2, 151308/2, 153200/3, 152100/1, 152802/2, 153002/3, 151402/2, 152201/4, 151201/5, 150305/3, 152802/1, 153102/2, 153002/1, 151402/4, 152701/2, 150304/3, 153005/6, 153703/2, 151305/1, 154201/1, 151204/3, 154202/3, 153002/2, 152903/2, 150609/2, 153001/1, 153705/1, 153103/3, 153104/3, 152802/5, 152903/3, 153104/2

**Upload document of data supporting the LMI population to be benefitted and/or a map of the service area (Optional)**

ServiceAreaSonomaCounty.pdf

**Does the project service area benefit the MID?**

Yes

**Describe how the project benefits a MID area (additional material and information may be required)**

The Community Resilience Center (CRC) Sites would serve multiple purposes, including year-round needed services, such as education/training, location for non-profit service administration, etc. On a limited basis, in times of disaster response, the CRC can serve as an evacuation center, emergency shelter, community disaster logistics and operations site, etc. The Community Disaster Logistics and Operations Sites would serve three primary missions: 1. Currently, communities throughout the Sonoma County Operational Area lack the ability to locally pre-position critical resources and operationally support local response efforts – especially for no-notice events such as wildfires. This has delayed responses, hamstrung logistics management and constrained incident support functions. Each site would provide for the secure storage, maintenance and staging of critical assets. Using existing resources, the County of Sonoma, cities and stakeholders would equip each facility with the following assets at a minimum: • Mobile Mass Shelter supply trailer (can support up to 100 residents) • MREs and canned water (for 100 persons for 72 hours) • Temporary Evacuation Point reception station supplies • Mobile electrical generator • Communications equipment cache Additional strategic assets would also be located at selected sites as the hazard assessment indicates. This would include the following equipment already maintained by local partners: • Mobile public safety radio Prime Site Antenna Trailer.

**Upload documentation that supports how the project benefits a MID area (Optional)**

**What Census Tracts/Block Groups are served by this project?**

The project will serve all block groups in Sonoma County. Project location to be determined through the scoping process. Emphasis will be given to Census Tracts/Block Group with LMI ratings above 51%.

Below is a list of the LMI block groups in the County

152502/2, 153102/1, 153704/2, 150607/2, 153102/4, 153903/2, 151301/3, 153006/1, 153704/3, 153104/1, 150901/2, 150305/1, 150800/2, 153006/6, 152201/3, 150306/1, 153003/1, 153705/2, 150901/3, 153401/5, 151311/2, 153003/3, 152701/4, 150202/4, 151800/4, 53704/4, 151402/1, 153300/4, 152203/3, 153902/1, 152501/3, 150901/1, 152000/2, 152100/3, 151402/5, 151201/1, 151700/5, 152905/1, 152000/1, 151305/2, 153808/1, 153003/4, 152801/1, 152203/4, 151900/3, 152201/2, 153001/3, 153703/5, 150306/2, 153006/2, 153102/3, 151306/4, 154201/2, 153003/2, 152100/2, 153300/3, 153902/4, 151305/3, 151311/4, 152202/5, 152202/2, 154100/1, 152802/4, 151900/4, 153703/3, 151305/4, 151900/1, 151502/5, 153704/1, 153200/4, 151308/3, 153703/4, 152701/5, 151308/1, 154201/3, 153002/4, 151401/2, 154201/4, 153801/1, 153200/1, 151900/2, 153705/3, 150603/5, 150305/2, 151308/2, 153200/3, 152100/1, 152802/2, 153002/3, 151402/2, 152201/4, 151201/5, 150305/3, 152802/1, 153102/2, 153002/1, 151402/4, 152701/2, 150304/3, 153005/6, 153703/2, 151305/1, 154201/1, 151204/3, 154202/3, 153002/2, 152903/2, 150609/2, 153001/1, 153705/1, 153103/3, 153104/3, 152802/5, 152903/3, 153104/2

**What is the total dollar amount of the project?**

500,000

**Anticipated CDBG-MIT funding need (\$ amount)**

500,000

**Have you applied for other sources of funds for this project?**

No

**Project Budget broken down by eligible activity and activity costs**

Needs Assessment Budget Final.xlsx

**Basis of Total Project Cost and Amount of CDBG-MIT requested**

This budget was created based on input from the Tuolumne County Community Resilience Center Project, Phase 1.

**Describe prior experience and previous success in implementing planning and/or public services projects.**

Sonoma County's General Services Division has ample experience in implementing planning and scoping of construction projects. Department of Emergency Management has experience with planning projects and documents, including Emergency Operations Plan, Hazard Mitigation Plan rewrite/update, Pandemic Annex, Alert and Warning Plans, etc.

**Is the proposed project identified as a priority project in your hazard mitigation plan?**

Yes

**What community lifeline will this project protect? Health and Safety are prioritized in the Planning and Public Services program.**

Health & Medical, Safety & Security, Communications, Food, Water & Sheltering, Energy (Power & Fuel)

**How will this project reduce risk to community lifeline(s)?**

This project will serve to harden communities access to lifelines by creating an independent energy generation source, access to food/water and sheltering supplies, a location to access health, medical, safety and security resources. This strategically located HUB will ensure that communities will have ready access to these lifelines in the event of a disaster.

**How will this project improve resilience for protected classes, underserved communities, and vulnerable populations?**

This project will focus on providing protected classes, underserved communities and vulnerable populations with access to services and resources to aid in striving toward a level of resiliency that allows its resident to respond to, recover from and emergency. These centers will foster social cohesion, stronger bonds, encourage economic development and support sustainable future outcomes and recovery from future natural disasters.

**Can this project be replicated in other communities?**

Yes

**If yes, provide a description.**

These projects can be used as template for other communities to follow. We hope to start with one CRC, in one District of Sonoma County and increase that to one in each district over time. This project can be scaled in this way, as well as altered to meet specific jurisdictional needs. In fact, we are replicating a project that was born out of Tuolumne County.

**Will you be able to quantitatively measure the impact the proposed project will have on current and future risk?**

Yes

**Explain how you will quantitatively measure the impact of the proposed project on current and future risk.**

**Upload quantitative data showing a project's anticipated impact on current and future risks.**

**Given a 3 year Period of Performance and Assuming Spring 2021 start date, what is your expected period of performance? (anticipated start date and completion date)**

July 2022 through June 2024

**Proposed Project Timeline**

Needs Assessment Detailed Project Description and Scope of Work Final.docx

## **APPLICABLE LOCAL POLICIES AND PLANS**

**Do you have procurement policies and procedures?**

Yes

**If yes, upload your procurement policies and procedures.**

county\_purchasing\_policy (1).pdf

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

**Do you have a current hazard mitigation plan?**

Yes

**If yes, upload your plan**

Hazard Mitigation Plan.pdf

**If yes, but the plan is in another previously uploaded document, please name the document.**

In using HUD funds for projects, Subrecipients must comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended by the Uniform Relocation Act Amendments of 1987 (URA or Uniform Act).

**Do you have existing policies and procedures to ensure compliance with the Uniform Relocation Act (URA)?**

Yes

**If yes, upload your policies and procedures.**

URA Compliance.docx

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

**Do you have policies and procedures for completing National Environmental Policy Act (NEPA) and California Environmental Quality Act (CEQA) environmental reviews?**

Yes

**If yes, upload your policies and procedures.**

Environmental Review PP Final.pdf

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

Section 3 of the Housing and Urban Development Act of 1968 (Section 3), as amended, requires that economic opportunities generated by CDBG-DR funds be targeted toward Section 3 residents. A Section 3 plan must establish standards and procedures to be used to ensure that the objectives of Section 3 are met and records, reports, and other documents or items to demonstrate compliance with Section 3 regulations are maintained.

**Do you have a Section 3 plan?**

Yes

**If yes, upload your plan.**

Federal Labor Standards PP Final.pdf

**If yes, but the Section 3 plan is in another previously uploaded document, please name the document.**

**Do you have anti-lobbying policies and procedures?**

Yes

**If yes, upload your anti-lobbying policies and procedures.**

Anti-lobbying.docx

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

**Do you have conflict of interest policies and procedures?**

Yes

**If yes, upload your conflict of interest policies and procedures.**

Conflict of Interest.docx

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

**Do you have non-discrimination policies and procedures?**

Yes

**If yes, upload your non-discrimination policies and procedures.**

Nondiscrimination.docx

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

**Do you have timekeeping policies and procedures?**

Yes

**If yes, upload your timekeeping policies and procedures.**

Timekeeping \_1\_.docx

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

**Do you have financial management policies and procedures?**

Yes

**If yes, upload your financial management policies and procedures.**

Fiscal Policies Manual.pdf

**If yes, but the policies and procedures are in another previously uploaded document, please name the document.**

**Do you affirm that your policies and procedures are consistent with 2 CFR part 200?**

Yes

## **ORGANIZATIONAL STRUCTURE, CAPACITY, AND AUTHORITY**

**What is your governing board meeting schedule?**

Our Governing Body meets weekly on Tuesdays at 8:30a.m. We have submitted the Authorizing Resolution to the Board and it will appear before them on the March 16th Agenda.

Documentation for staff experience may include one or both of the following: A narrative description of the experience details of key staff for this project and whether they are new hires or existing staff. A chart of staff by experience in CDBG and/or federal grants management AND experience related to content of the project applied for.

**Staff Experience: How many staff do you have with experience in CDBG or federal grants management? How many staff do you have with experience related to content of the project being applied for?**

CDBG Project Org Chart\_Sonoma County Emergency Management.pdf

**Debarment Check**

SoCo Debarment Report.pdf

**Government Agency Taxpayer ID Form**

IRS Letter of Tax Status.pdf

**Payee Data Record STD 204 Form**

std204.pdf

**Have you reviewed the sample authorizing resolution?**

Yes

## **Budget Worksheet**

**View Budget Worksheet**

<https://portal.ecivis.com/#/peerBudget/A2426E5B-C75E-46A3-A7E6-0441BFE77B9A>

## **Goals Worksheet**

**View Application Goals**

<https://portal.ecivis.com/#/peerGoals/B9AC77AC-A1EC-480F-8D5A-45D152553792>

**Additional Information**

Budget\_Report\_April\_28\_22 (1).xlsx

**Additional Information**

Needs Assessment Environmental Review Signed.pdf

**Additional Information**

10.26.21 Item 3 CBDG MIT PPS Resolution.pdf

**Additional Information**

17MIT PPS DOB Affidavit CRC Needs Assessment.pdf

**Additional Information**

**Additional Information**

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**File Upload**

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**Additional Information**

**# of Reviews**

0

**# of Denials**

0

**Average Score**

**File Upload**

**File Upload**

**File Upload**

**File Upload**

## Applications: File Attachments

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**Upload document of data supporting the LMI population to be benefitted and/or a map of the service area (Optional)**

ServiceAreaSonomaCounty.pdf

**Project Budget broken down by eligible activity and activity costs**

Needs Assessment Budget Final.xlsx

**Staff Experience: How many staff do you have with experience in CDBG or federal grants management? How many staff do you have with experience related to content of the project being applied for?**

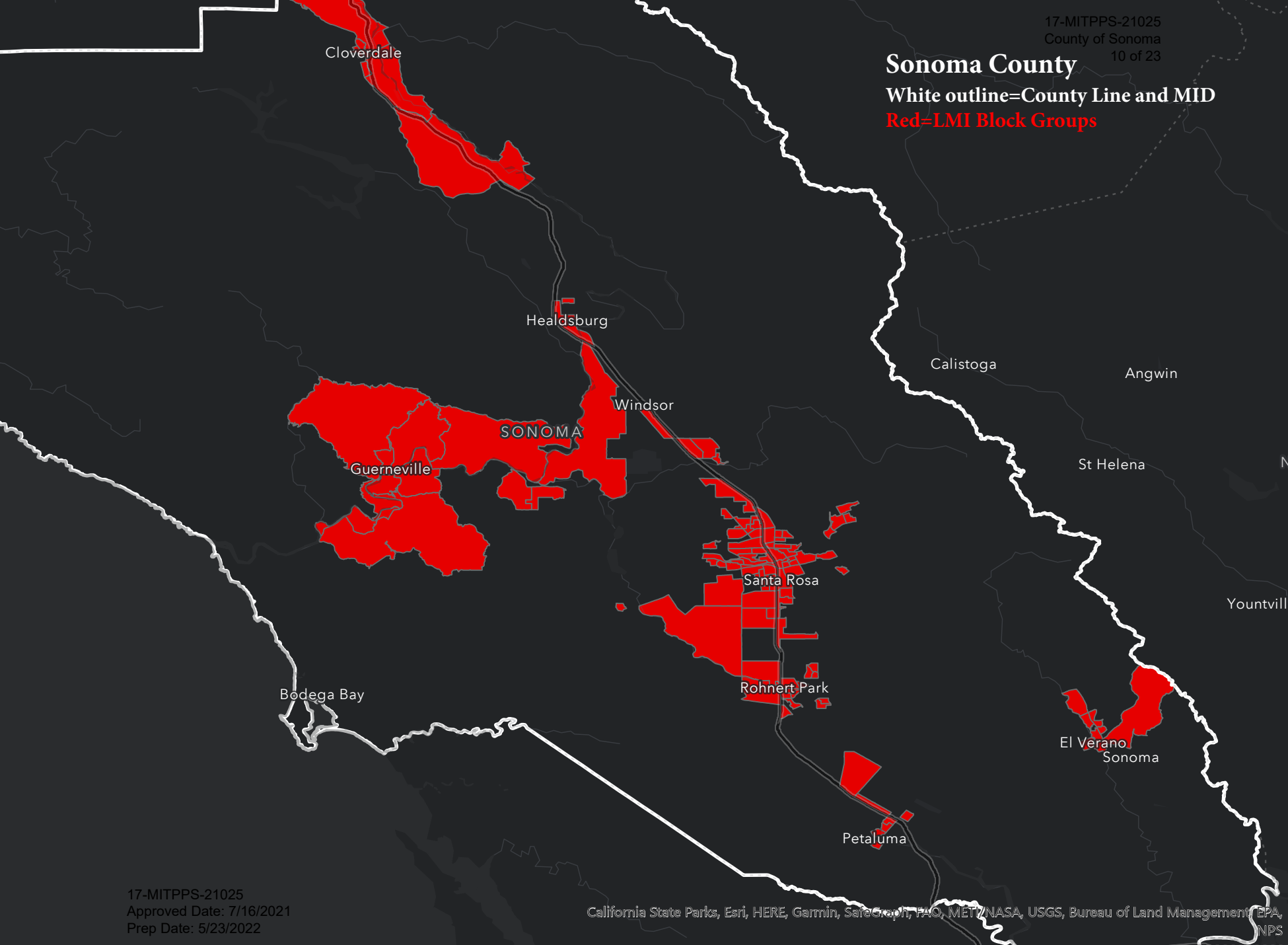
CDBG Project Org Chart\_Sonoma County Emergency Management.pdf



# Sonoma County

White outline=County Line and MID

Red=LMI Block Groups



Tract	BLKGRP	Low	Lowmod	Lowmod_pct
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152502	2	345	630	0.5101
153102	1	155	575	0.5134
153704	2	215	335	0.5154
150607	2	250	430	0.5181
153102	4	405	560	0.5234
153903	2	465	555	0.5261
151301	3	370	1020	0.5271
153006	1	110	240	0.5275
153704	3	155	320	0.5289
153104	1	925	1150	0.5324
150901	2	355	400	0.5333
150305	1	395	460	0.538
150800	2	510	645	0.5397
153006	6	360	800	0.5442
152201	3	405	640	0.5447
150306	1	290	490	0.5475
153003	1	240	380	0.5507
153705	2	175	380	0.5507
150901	3	425	685	0.5524
153401	5	355	530	0.555
151311	2	495	645	0.556
153003	3	650	1190	0.5587
152701	4	315	465	0.5602
150202	4	235	1065	0.5605
151800	4	315	1220	0.5609
153704	4	585	820	0.5616
151402	1	590	1165	0.5642
153300	4	1660	3190	0.5661
152203	3	525	615	0.5668
153902	1	340	955	0.5668
152501	3	400	610	0.5674
150901	1	115	630	0.5676
152000	2	325	435	0.5686
152100	3	200	530	0.5699
151402	5	940	1160	0.57
151201	1	565	770	0.5704
151700	5	285	605	0.5708
152905	1	255	695	0.5744
152000	1	435	560	0.5803
151305	2	250	430	0.5811
153808	1	400	860	0.5811
153003	4	385	1215	0.5813
152801	1	695	805	0.5876
152203	4	520	650	0.5882

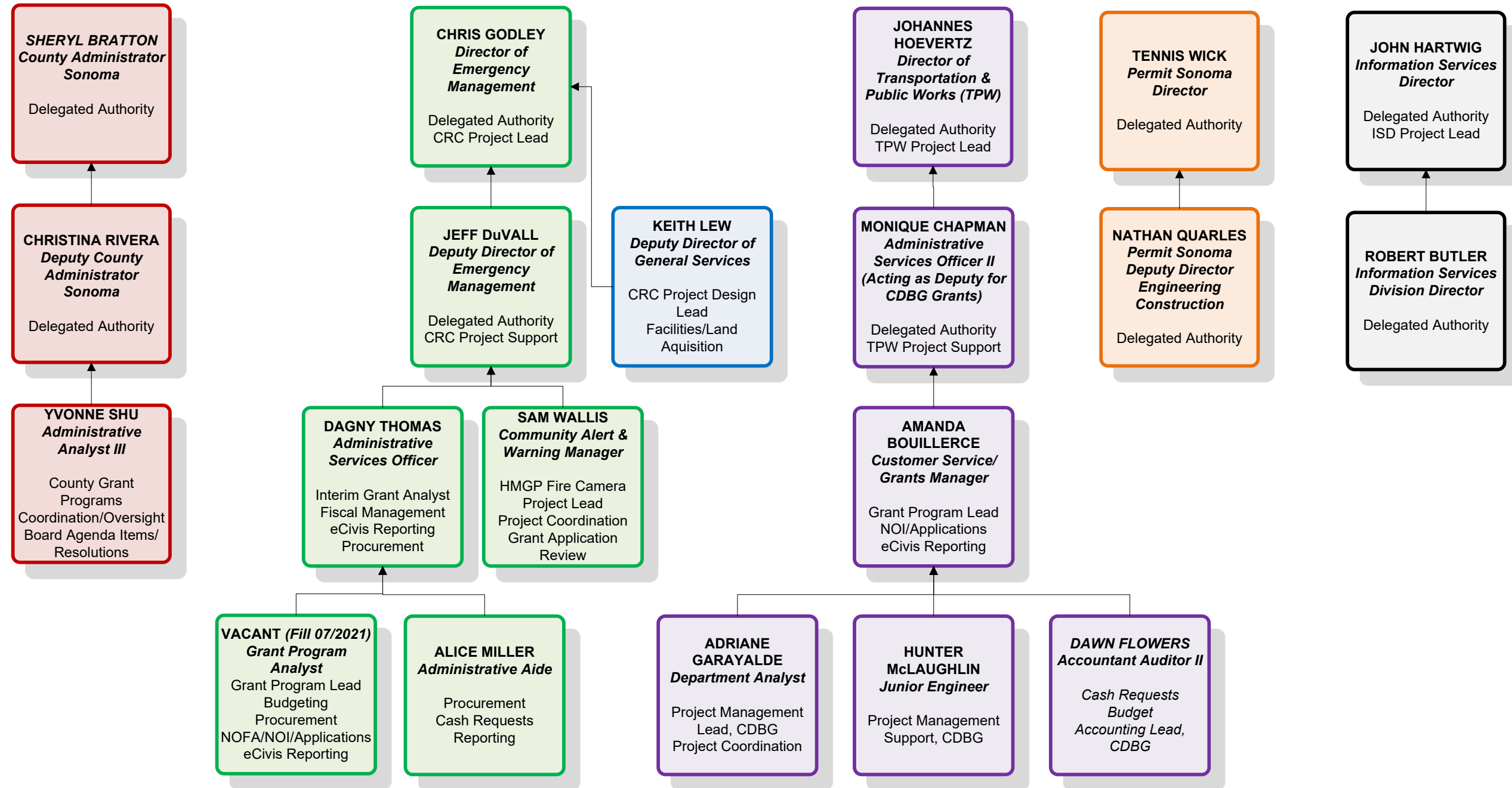
Countywide LMI Block Groups				
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151900	3	310	430	0.589
152201	2	265	395	0.5896
153001	3	1275	2240	0.5942
153703	5	205	305	0.598
150306	2	510	680	0.6018
153006	2	345	435	0.6042
153102	3	305	580	0.6042
151306	4	320	665	0.6045
154201	2	190	360	0.6102
153003	2	460	645	0.6114
152100	2	120	530	0.6127
153300	3	355	1010	0.614
153902	4	560	695	0.615
151305	3	330	930	0.6179
151311	4	655	980	0.6183
152202	5	450	615	0.6244
152202	2	630	1390	0.6261
154100	1	195	430	0.6277
152802	4	565	1335	0.6282
151900	4	465	610	0.6289
153703	3	180	265	0.631
151305	4	685	815	0.6318
151900	1	330	435	0.635
151502	5	910	1005	0.6361
153704	1	340	455	0.6408
153200	4	1845	2690	0.6412
151308	3	145	255	0.6456
153703	4	225	315	0.6495
152701	5	400	685	0.6524
151308	1	380	470	0.6573
154201	3	270	365	0.6577
153002	4	515	655	0.6583
151401	2	550	825	0.66
154201	4	445	710	0.6605
153801	1	910	1220	0.6612
153200	1	70	540	0.6626
151900	2	435	535	0.6646
153705	3	400	715	0.6651
150603	5	365	605	0.6685
150305	2	745	1465	0.6689
151308	2	970	1260	0.6811
153200	3	1090	1500	0.6834
152100	1	400	445	0.6846
152802	2	675	895	0.6885

153002	3	225	420	0.6885
151402	2	1035	1675	0.6907
152201	4	350	500	0.6944
151201	5	810	1550	0.7029
150305	3	1105	1915	0.7053
152802	1	285	660	0.7097
153102	2	745	1410	0.7103
153002	1	615	1310	0.712
151402	4	215	240	0.7164
152701	2	405	740	0.7184
150304	3	825	1435	0.7193
153005	6	1045	1310	0.7218
153703	2	230	485	0.7405
151305	1	990	1470	0.7406
154201	1	125	1110	0.7475
151204	3	370	485	0.7519
154202	3	120	290	0.7532
153002	2	795	1240	0.7538
152903	2	1005	1610	0.7559
150609	2	580	805	0.7594
153001	1	970	1540	0.7662
153705	1	235	815	0.815
153103	3	535	635	0.8301
153104	3	1010	1450	0.8455
152802	5	975	1280	0.8767
152903	3	655	1210	0.938
153104	2	125	290	0.9667
			94775	

<b>Community Resilience Centers Needs Assessment</b>				MTDC
<b>Item</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Total Cost</b>	
<i>Community Outreach and Stakeholder Engagement (contractor)</i>	100,000.00	0.00	100,000.00	\$ 25,000.00
<i>Community Needs Assessment (contractor)</i>	150,000.00	0.00	150,000.00	\$ 25,000.00
<i>Feasibility Study (contractor and/or General Services)</i>	0.00	162,500.00	162,500.00	\$ 25,000.00
<i>Project Scoping (General Services)</i>	50,000.00	0.00	50,000.00	\$ 25,000.00
<i>Project Support Costs</i>			25,000.00	\$ 25,000.00
<i>Indirect Costs (10% de minimis)</i>			12,500.00	\$ 12,500.00
<b>TOTAL</b>			<b>500,000.00</b>	
			<b>\$ 500,000.00</b>	

# SONOMA COUNTY CDBG-DR/MIT GRANTS MANAGEMENT



## Scope of Work

**Project Title:** Community Resilience Centers Needs Assessment

**Project Summary:** The objective of this 2-year project conduct a comprehensive needs assessment and feasibility study within areas of the County where a Community Resilience Center facility might be located (communities that are most vulnerable and often the most significantly impacted by disaster events). The project will include developing a survey tool with questions designed to inform the County of a wide range of disaster preparedness and response needs, distributing/conducting the survey, conducting in-person interviews with key community stakeholder organizations, collecting responses and analyzing the results, combining results along with US Census Bureau information into a report that can be published/printed.

The October 2017 wildfires that ravaged California and prompted the California Disaster Declaration 4344, as well as the 2019 Russian River Flood, and the 2019 Kincadee Wildfire, the regional electrical system disruptions, and the 2020 LNU Complex and Glass Wildfires have all underscored the need to reinforce the ability of local communities to respond quickly and effectively to no-notice disasters. Encompassing more than 1,700 square miles, many areas of Sonoma County are rural and are often difficult to access when the single roads servicing them are disrupted. Many areas of the County are also subject to frequent and/or persistent loss of electricity with no local facilities that can be equipped with alternate power supplies. Many of these most-impacted communities do not have reasonable access to government facilities or services increasing their physical and functional isolation during disaster events. We will create an organization structure for the development of our CRC project. The goal of this organizational structure is to create efficient, inclusive designs, ensure all segments of the community are represented and have a voice in the process. Within this process we will incorporate inclusive stakeholder engagement, environmentally sound best practices and benefits to LMI communities day-to-day, as well as during disasters.

Strategies / Activities	Timeline	To Be Performed By	Measurable Deliverables	Measurable Program Outcomes
1. Establish the Project Steering Committee with representatives from County Emergency Management, Community Development, Human Services, Health Services, General Services and the Office of Equity.	July 2022	Department of Emergency Management (DEM) Project Manager	Establishment Project Steering Committee with designated primary and alternate representatives.	N/A

Strategies / Activities	Timeline	To Be Performed By	Measurable Deliverables	Measurable Program Outcomes
2. Create the Stakeholder Advisory Committee with representatives from the geographical area(s), community service providers, and agencies that may office services at the CRC and/or support operations of the CRC.	July 2022	DEM Project Manager	Establishment of Stakeholder Advisory Committee, Committee communications protocols, and community engagement process.	N/A
3. Survey potential CRC locations including existing property owned by the County and/or operational area jurisdictions and stakeholder agencies. Potentially conduct a commercial market survey and/or solicitation to identify alternate properties.	August – December 2022	General Services, Real Estate Division	Survey results recorded and records maintained with analysis notes and outcome.	N/A
4. Develop and conduct a Request for Proposal (RFP) procurement for a contractor to develop the needs assessment including these key actions: <ul style="list-style-type: none"> <li>• Post solicitation</li> <li>• Evaluate proposals</li> <li>• Award event in compliance with 2 CFR 200</li> <li>• Contract with awardee</li> </ul>	January 2023	Grants Program Analyst	Procurement records/documents filed in grant file, including all proposals, evaluation documents, Notice of Intent to award notice, as well as all contract documents (contract including all exhibits, proof of insurance and living wage ordinance questionnaire)	Consultant in contract as per project timeline.
5. Conduct kick-off meeting to introduce key members of the Project Steering and Stakeholder Advisory Committees, clarify the scope of work, refine timeline, identify points of contact, and address any project questions	March 2023	DEM Project Manager	Conduct kickoff meeting according to project timeline	N/A

<b>Strategies / Activities</b>	<b>Timeline</b>	<b>To Be Performed By</b>	<b>Measurable Deliverables</b>	<b>Measurable Program Outcomes</b>
6. Prepare an outline, draft and final project work plan that will be reviewed and approved by the Director of Emergency Management. Project work plan to include overall project goal, roles, responsibilities, risk, resources, schedules, deliverables, outreach/engagement strategy, research/data collection methods and report formats (final and status)	March 2023	Contractor	Create and submit to DEM the work plan (outline, draft and final) according to timeline	Approved project work plan and report formats
7. Conduct needs assessment community survey as well as conduct in-person interviews with key community stakeholder organizations	March – April 2023	Contractor	Develop community survey approach and tools. Integrate equity considerations. Maintain records of surveys and in person interviews according to approved work plan;	100% compliance with survey and interview goals per approved work plan
8. Analyze survey/interview results	April 2023	Contractor/ DEM Project Manager	Conduct analysis of survey data including key findings, data patterns, themes, trends, and recommendations for additional information development. Compare with analysis from similar projects in other jurisdictions.	N/A
9. Create final needs assessment report including: <ul style="list-style-type: none"> <li>• Recommendations for priority of need</li> <li>• Criteria for: site selection, facility configuration, and potential scope of services to be provided</li> </ul>	May 2023	Contractor/ Project Steering Committee	Complete final Needs Assessment Report according to timeline	Final Needs Assessment Report submitted on time according to the work plan



Strategies / Activities	Timeline	To Be Performed By	Measurable Deliverables	Measurable Program Outcomes
10. Develop and conduct a Request for Proposal (RFP) procurement for a contractor to complete a feasibility study <ul style="list-style-type: none"> <li>• Post solicitation</li> <li>• Evaluate proposals</li> <li>• Award event in compliance with 2 CFR 200</li> <li>• Contract with awardee</li> </ul>	January 2023	Grants Program Analyst	Procurement records/documents filed in grant file, including all proposals, evaluation documents, Notice of Intent to award notice, as well as all contract documents (contract including all exhibits, proof of insurance and living wage ordinance questionnaire)	N/A
11. Develop a feasibility project work plan and a communications plan that will be reviewed and approved by the Director of Emergency Management.	June 2023	Contractor / DEM Project Manager	Create and submit to DEM the work plan (outline, draft and final) according to timeline	N/A
12. Conduct stakeholder outreach and discussions and solicit public input on the design, services, and locations	August 2023	Contractor	Maintain records of stakeholder discussions according to approved work plan	100% compliance with discussion goals per approved work plan
13. Define alternatives	September 2023	Contractor / DEM Project Manager	Submit defined alternative report to Director of Emergency Management	Defined alternatives report submitted on time according to the work plan
14. Evaluate viable alternatives	September 2023	Contractor / DEM Project Manager	Submit viable alternative report to Director of Emergency Management	Viable alternatives report submitted on time according to the work plan
15. Identify and develop the preferred alternative	September 2023	Contractor / DEM Project Manager	Submit preferred alternative report to Director of Emergency Management	Preferred alternatives report submitted on time according to the work plan

Strategies / Activities	Timeline	To Be Performed By	Measurable Deliverables	Measurable Program Outcomes
16. Prepare the Implementation Plan	October 2023	Contractor / DEM Project Manager	Submit Implementation Plan to Director of Emergency Management	Implementation plan submitted on time according to the work plan
17. Develop the CRC facility development budget (approximate construction and project development/management costs)	October 2023	Contractor	Complete CRC facility budget	N/A
18. Prepare the site design prospectus package	November – December 2023	Contractor	Complete site design prospectus package	N/A
19. Prepare final Feasibility Study including project requirements, the technical evaluation and the financial analysis	November – December 2023	Contractor / DEM Project Manager	Submit Feasibility Study to Director of Emergency Management	Feasibility Study submitted on time according to the work plan
20. Complete monthly project status reports utilizing the format in the approved project work plan.	Ongoing	All Contractors and General Services	Submit monthly status reports	100% compliance with project update requirements
21. Complete Quarterly, Semi-Annual, Annual and Final Reports Grant Activity Reports including Financial Reports	Ongoing	Grant Program Analyst	Collect data and invoices required for reports  Enter reports in Grants Network and submit to HCD	100% of reports filed on time

**Organizational Structure:** We will create an efficient and inclusive organization structure for the development of our CRC Needs Assessment project with both project management and stakeholder advisory components. The goal of this organizational structure is to conduct a comprehensive needs assessment and a feasibility study, ensure all segments of the community are represented and have a voice in the process, incorporate equity considerations, and to complete tasks on time and within budget.

**Project Steering Committee:** A steering committee compiled to provide high-level oversight and guidance to the projects. This committee will provide leadership and management of this planning process and will be led by County personnel. Represented County departments will include Emergency Management, Community Development, Human Services, Health Services, General Services and the County Office of Equity.

**Community Stakeholder Advisory Committee:** The stakeholder advisory committee will be created to be representative of the geographic area where the CRC will be located and representatives of the various agencies who may partner with providing services and programs at the CRC's as well as absorbing costs of operations and ongoing maintenance. Additionally, we will collaborate with the Sonoma County Office of Equity to ensure that cultural competency and equity considerations are incorporated into the design process.

**Site Options:** General Services, Real Estate Division will conduct a survey of existing property owned by the County and allied jurisdictions to determine potential site options appropriate for CRC locations. Should no suitable options be found, they will conduct an extensive solicitation to identify alternate options.

**Contractor Management:** DEM will provide direct management oversight to both contractors selected for the Needs Assessment and Feasibility Study. Additionally, all project management efforts will incorporate the following overarching practices:

- Contractor to record of all meetings, interviews and facilities assessments (including the date, location, attendees/participants, and a summary).
- Contractor to communicate read-ahead information to the project steering and stakeholder committees.
- Contractor to develop and submit monthly project progress reports. Contractor to also communicate regularly with assigned project managers.
- Contractor to provide all deliverables in MS Word, Excel, or other editable electronic format

### **Community Needs Assessment**

The County proposes to issue a formal Request for Proposal (RFP) to secure the services of contractor to conduct a comprehensive needs assessment within areas of the County where a CRC facility might be located. The project will include creating a survey with questions designed to inform the County of a wide range of disaster preparedness and response needs, distributing/conducting the survey, conducting in-person interviews with key community stakeholder organizations, collecting responses and analyzing the results, combining results along with US Census Bureau information into a report that can be published/printed. The proposed scope of work includes:

1. Create a comprehensive survey consistent with CDBG Organizational Standards. Work with the County Project Management Team to ensure questions in survey address County disaster response and recovery programs, needs of full community, inclusive/unbiased, etc. Identify indicators for key concerns/issues (ex. accessibility). Potential target information to be collected includes:
  - a. Demographics, language, cultures, and notable characteristics of the community to be served by the CRC.
  - b. Barriers experienced by individuals with access and functional needs in obtaining disaster response/recovery information and services.
  - c. How do community-based organizations, disability service providers and government systems support community members.

- d. How can a CRC support current and future disaster response/recovery services and resources?
  - e. Concerns or questions about locating the CRC in the community.
2. Work with County staff to distribute survey to clients & constituents in the targeted community areas. Address key demographic indicators and identify methods for representative outreach as well as engaging with community members living with access and functional needs. Survey processes to include online and printed. Conduct up to 15 key stakeholder organization interviews and/or community focus groups.
  3. Collect & Analyze the survey/interview results. Research and collect information from other reputable resources such as the US Census Bureau data to include in the final report.
  4. Create a final needs assessment report, in publishable format, with all rights given to the County for use. Develop recommendations for priority of needs to be addressed by the CRC and identify criteria for determining best CRC siting, configuration, and scope of services to be supported. Provide key data and input for the follow-on feasibility study.

### **Feasibility Study**

Given that the CRC concept is relatively new and suggests a broad scope of potential services, the County proposes to issue a formal Request for Proposal (RFP) to secure the services of contractor to conduct a feasibility study. The study will address key project elements including:

- CRC siting
- Zoning
- Infrastructure support
- Natural hazard exposure
- Access
- Potential design/construction challenges

The study will support the project's larger goals including:

1. Gauge community interest/support
2. Assess long-term financial viability
3. Clarify vision
4. Continue and strengthen community engagement
5. Ensure final mission and scope for facility design and construction

## **Sonoma County Community Centers Needs Assessment Budget Narrative**

### Consultant for Community Outreach and Stakeholder Engagement

- \$100,000 in year one of project
- Will develop and implement the outreach and engagement strategy which will include community surveys and in-person interviews with key community stakeholder organizations

### Consultant for Community Needs Assessment

- \$150,000 in year one of project
- Will conduct analysis of survey data including key findings, data patterns, themes, trends, and recommendations for additional information development; compare with analysis from similar projects in other jurisdictions; create a Needs Assessment report

### Feasibility Study to be completed by a consultant and/or County of Sonoma General Services Department

- \$162,500 in year two of project
- Prepare final Feasibility Study including project requirements, the technical evaluation and the financial analysis Project Scoping to be completed by the County of Sonoma General Services Department

### Project Scoping – County of Sonoma General Services

- \$50,000 in year one of project
- General Services, Real Estate Division will conduct a survey of existing property owned by the County and allied jurisdictions to determine potential site options

### Project Support Costs

- \$25,000
- 5% - Necessary costs directly relating to the management and administration of the grant, such as financial management, reporting and oversight of those involved in the operational aspects of the grant.

### Indirect Costs

- \$12,500
- 10% de minimis

## Budget Report

**Passthrough Agency:** California Department of Housing and Community Development  
**Program:** CDBG-Mitigation Planning & Public Services NOFA  
**Stage:** Pre-Award

**Report Date:** 05/17/2022  
**Requested By:** Sheri Lang  
[sheri.lang@sonoma-county.org](mailto:sheri.lang@sonoma-county.org)

### Budget Items

Category	Title	Description	Units	Unit Cost	Extended Cost	Direct Cost	Indirect Cost	GL Account	Cost Share	Type
<b>Activity</b>										
	Community Outreach and Stakeholder Engagement (contractor)	Community Outreach and Stakeholder Engagement (contractor)	1	\$100,000.00	\$100,000.00	\$100,000.00	\$0.00		\$0.00	Direct Cost
	Community Needs Assessment (contractor)	Community Needs Assessment (contractor)	1	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00		\$0.00	Direct Cost
	Feasibility Study (contractor and/or General Services)	Feasibility Study (contractor and/or General Services)	1	\$162,500.00	\$162,500.00	\$162,500.00	\$0.00		\$0.00	Direct Cost
	Project Scoping (General Services)	Project Scoping (General Services)	1	\$50,000.00	\$50,000.00	\$50,000.00	\$0.00		\$0.00	Direct Cost
<b>Activity Total</b>			<b>4</b>	<b>\$462,500.00</b>	<b>\$462,500.00</b>	<b>\$462,500.00</b>	<b>\$0.00</b>		<b>\$0.00</b>	
<b>General Administration</b>										
<b>General Administration Total</b>			<b>0</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>	
<b>Activity Delivery</b>										
	Project Support Costs	Grant Management	1	\$25,000.00	\$25,000.00	\$25,000.00	\$0.00		\$0.00	Direct Cost
	Indirect Cost (10% de minimis)	Indirect Cost (10% de minimis)	1	\$12,500.00	\$12,500.00	\$12,500.00	\$0.00		\$0.00	Direct Cost
<b>Activity Delivery Total</b>			<b>2</b>	<b>\$37,500.00</b>	<b>\$37,500.00</b>	<b>\$37,500.00</b>	<b>\$0.00</b>		<b>\$0.00</b>	
<b>Other</b>										
<b>Other Total</b>			<b>0</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>	
<b>Grant Total</b>			<b>6</b>	<b>\$500,000.00</b>	<b>\$500,000.00</b>	<b>\$500,000.00</b>	<b>\$0.00</b>		<b>\$0.00</b>	

Budget Report, Created by Sheri Lang, sheri.lang@sonoma-county.org, 05/17/2022  
 Source: eCivis™ Portal  
<http://www.ecivis.com/>