

**ATTACHMENT 2 - CONTRACT TERMS**  
**EXHIBIT A - AOC GENERAL TERMS AND CONDITIONS**  
**(NON-IT SERVICES)**

Each proposer must state in its proposal whether it accepts the below, standard contract terms and conditions. Any exceptions must be included, if at all, with the proposal submission. **Please note:** (1) Terms marked with an asterisk (\*) are *mandatory minimum terms* of the procurement, and taking any material exception will render a proposal non-responsive; and (2) exceptions taken to other terms and conditions may be a negative factor in evaluation of a proposal.

**1. INDEMNIFICATION (\*)**

The Contractor shall indemnify, defend (with counsel satisfactory to the State), and save harmless the State and its officers, agents, and employees from any and all claims and losses accruing or resulting to any and all other contractors, Subcontractors, suppliers, and laborers, and any other person, firm, or corporation furnishing or supplying Work, Materials, Data, or services in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm, or corporation who may be injured or damaged by the Contractor or its agents or employees in the performance of this Agreement.

**2. RELATIONSHIP OF PARTIES**

The Contractor and the agents and employees of the Contractor, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of the State of California.

**3. TERMINATION FOR CAUSE**

A. Pursuant to this provision, the State may terminate this Agreement in whole or in part under any one of the following circumstances, by issuing a written Notice of termination for default to the Contractor:

- i. If the Contractor (a) fails to perform the services within the time specified herein or any extension thereof, (b) fails to perform any requirements of this Agreement, or (c) so fails to make progress as to endanger performance of this Agreement in accordance with its terms, and, after receipt of a written Notice from the State specifying failure due to any of the preceding three (3) circumstances, the Contractor does not cure such failure within a period of five (5) business days or a longer period, if authorized in the Notice of failure; or,
- ii. If the Contractor should cease conducting business in the normal course, become insolvent or bankrupt, make a general assignment for the benefit of creditors, admit in writing its inability to pay its debts as they mature, suffer or permit the appointment of the receiver for its business or assets, merge with or be purchased by another entity, or avail itself of or become subject for a period of thirty (30) Days to any proceeding under any statute of any State authority

relating to insolvency or protection from the rights of creditors.

- B. In the event the State terminates this Agreement in whole or in part, due to the Contractor's failure to perform, the State may procure, upon such terms and in such manner as it may deem appropriate, supplies or services similar to those so terminated, and the Contractor shall be liable to the State for any excess costs for such similar supplies or services, subject to the limitations contained elsewhere herein; further, the Contractor shall continue the performance of this Agreement to the extent not terminated under this provision.
- C. The Contractor shall not be liable for any excess costs if the failure to perform the Agreement arises out of acts of Force Majeure; but in every case, the failure to perform must be beyond the control and without the fault or negligence of the Contractor.
- D. If, after Notice of termination for default of this Agreement, it is determined for any reason that the Contractor was not in default under this provision, or that the default was excusable under this provision, the obligations of the State shall be to pay only for the services rendered at the rates set forth in the Agreement.
- E. The rights and remedies of either party provided in this provision shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

**4. NO ASSIGNMENT**

Without the written consent of the State, the Contractor shall not assign this Agreement in whole or in part.

**5. TIME OF ESSENCE**

Time is of the essence in Contractor's performance of this Agreement.

**6. VALIDITY OF ALTERATIONS**

Alteration or variation of the terms of this Agreement shall not be valid unless made in writing and signed by the parties, and an oral understanding or agreement that is not incorporated shall not be binding on any of the parties.

**7. CONSIDERATION**

The consideration to be paid to the Contractor under this Agreement shall be compensation for all the Contractor's expenses incurred in the performance of this Agreement, including travel and per diem, unless otherwise expressly provided.

## 8. DEFINITIONS

Terms defined below and elsewhere throughout the Contract Documents shall apply to the Agreement as defined.

- A. **“Acceptance”** means the written acceptance issued to the Contractor by the State after the Contractor has completed a Deliverable or other Contract requirement, in compliance with the Contract Documents, including without limitation, the statement of work.
- B. **“Administrative Director”** refers to that individual or authorized designee, empowered by the State to make final and binding executive decisions on behalf of the State.
- C. **“Amendment”** means a written document issued by the State and signed by the Contractor, which alters the Contract Documents and identifies the following: (i) a change in the Work; (ii) a change in Contract Amount; (iii) a change in time allotted for performance; and/or (iv) an adjustment to the Agreement terms.
- D. **“AOC”** shall mean the Administrative Office of the Courts, the staff agency to the Judicial Council of California.
- E. **“Confidential Information”** means trade secrets, financial, statistical, personnel, technical, and other Data and information relating to the State’s business or the business of its constituents. Confidential Information does not include: (i) information that is already known by the receiving party, free of obligation of confidentiality to the disclosing party; (ii) information that becomes generally available to the public, other than as a result of disclosure by the receiving party in breach of this Agreement; (iii) information that is independently developed by the receiving party without reference to the Confidential Information; and (iv) information that the receiving party rightfully obtains from a Third Party free of the obligation of confidentiality to the disclosing party.
- F. The **“Contract”** or **“Contract Documents”** constitute the entire integrated agreement between the State and the Contractor, as attached to and incorporated by a fully executed State Standard Agreement form. The terms “Contract” or “Contract Documents” may be used interchangeably with the term “Agreement.”
- G. **“Contract Amount”** means the total amount encumbered under this Agreement for any payment by the State to the Contractor for performance of the Work, in accordance with the Contract Documents.
- H. The **“Contractor”** means the individual, association, partnership, firm, company, consultant, corporation, affiliates, or combination thereof, including joint ventures, contracting with the State to do the Contract Work. The Contractor is one of the parties to this Agreement.
- I. **“Data”** means all types of raw data, articles, papers, charts, records, reports, studies,

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research, memoranda, computation sheets, questionnaires, surveys, and other documentation.

- J. **“Day”** means calendar day, unless otherwise specified.
- K. **“Deliverable(s)”** or **“Submittal(s)”** means one or more items, if specified in the Contract Documents, that the Contractor shall complete and deliver or submit to the State for acceptance.
- L. **“Force Majeure”** means a delay which impacts the timely performance of Work which neither the Contractor nor the State are liable for because such delay or failure to perform was unforeseeable and beyond the control of the party. Acts of Force Majeure include, but are not limited to:
- i. Acts of God or the public enemy;
  - ii. Acts or omissions of any government entity;
  - iii. Fire or other casualty for which a party is not responsible;
  - iv. Quarantine or epidemic;
  - v. Strike or defensive lockout; and,
  - vi. Unusually severe weather conditions.
- M. **“Judicial Branch Entity”** has the meaning stated in Government Code sections 900.3 and 940.3: any superior court, court of appeal, the Supreme Court, the Judicial Council, or the Administrative Office of Courts (**“AOC”**); and these entities comprise the **“Judicial Branch.”**
- N. **“Key Personnel”** refers to the Contractor’s personnel identified in their resumes and whom the State has identified and approved to perform the Work of the Contract.
- O. **“Material”** means all types of tangible personal property, including but not limited to goods, supplies, equipment, commodities, and information and telecommunication technology.
- P. **“Notice”** means a written document initiated by the authorized representative of either party to this Agreement and given by:
- i. Depositing in the U. S. Mail (or approved commercial express carrier) prepaid to the address of the appropriate authorized representative of the other party, which shall be effective upon date of receipt; or
  - ii. Hand-delivered to the other party’s authorized representative, which shall be effective on the date of service.
- Q. **“Standard Agreement Coversheet”** refers to the form used by the State to enter into agreements with other parties. Several originally signed, fully executed versions of the Standard Agreement Coversheet, together with the integrated Contract Documents, shall

each represent the Agreement as an individual “**Contract Counterpart.**”

- R. “**Stop Work Order**” means the written Notice, delivered in accordance with this Agreement, by which the State may require the Contractor to stop all, or any part, of the Work of this Agreement, for the period set forth in the Stop Work Order. The Stop Work Order shall be specifically identified as such and shall indicate that it is issued pursuant to the Stop Work provision in this Attachment.
- S. “**Subcontractor**” shall mean an individual, firm, partnership, or corporation having a contract, purchase order, or agreement with the Contractor, or with any Subcontractor of any tier for the performance of any part of the Agreement. When the State refers to Subcontractor(s) in this document, for purposes of this Agreement and unless otherwise expressly stated, the term “Subcontractor” includes, at every level and/or tier, all subcontractors, sub-consultants, suppliers, and materialmen.
- T. “**Task(s)**” means one or more functions, if specified in the Contract Documents, to be performed by the Contractor for the State.
- U. “**Third Party**” refers to any individual, association, partnership, firm, company, corporation, consultant, Subcontractor, or combination thereof, including joint ventures, other than the State or the Contractor, which is not a party to this Agreement.
- V. “**To Be Determined**” or “**TBD**” is the item that is not yet identified. Any and all To Be Determined items, set forth herein, shall be determined prior to award or by mutual agreement between the Contractor and the State and incorporated into the Agreement via Amendment(s).
- W. “**Work**” or “**Work to be Performed**” or “**Contract Work**” may be used interchangeably to refer to the service, labor, Materials, Data, and other items necessary for the execution, completion and fulfillment of the Agreement by the Contractor to the satisfaction of the State. Work may be defined to include Tasks, Deliverables, and/or Submittals, as required by the Contract.

## 9. MANNER OF PERFORMANCE OF WORK

The Contractor shall complete all Work specified in these Contract Documents to the State's satisfaction and in compliance with the Non-discrimination/No Harassment Clause, as set forth in this Attachment.

## 10. TERMINATION OTHER THAN FOR CAUSE

- A. In addition to termination for cause under *paragraph 3*, above, the State may terminate this Agreement at any time upon providing the Contractor written Notice at least ten (10) days before the effective date of termination. Upon receipt of the termination Notice, the Contractor shall promptly discontinue all services affected unless the Notice specifies otherwise.

- B. If the State terminates all or a portion of this Agreement other than for cause, the State shall pay the Contractor for the fair value of satisfactory services rendered before the termination, not to exceed the total Contract Amount.

**11. STATE'S OBLIGATION SUBJECT TO AVAILABILITY OF FUNDS (\*)**

- A. The State's obligation under this Agreement is subject to the availability of authorized funds. The State may terminate the Agreement or any part of the Contract Work, without prejudice to any right or remedy of the State, for lack of appropriation of funds. If expected or actual funding is withdrawn, reduced or limited in any way prior to the expiration date set forth in this Agreement, or in any Amendment hereto, the State may terminate this Agreement in whole or in part, upon written Notice to the Contractor. Such termination shall be in addition to the State's rights to terminate for convenience or default.
- B. Payment shall not exceed the amount allowable for appropriation by Legislature. If the Agreement is terminated for non-appropriation:
  - i. The State will be liable only for payment in accordance with the terms of this Agreement for services rendered prior to the effective date of termination; and
  - ii. The Contractor shall be released from any obligation to provide further services pursuant to the Agreement as are affected by the termination.
- C. Funding for this Agreement beyond the current appropriation year is conditional upon appropriation by the Legislature of sufficient funds to support the activities described in this Agreement. Should such an appropriation not be approved, the Agreement may terminate at the close of the current appropriation year. The appropriation year ends on June 30 of each year.

**12. STOP WORK**

- A. The State may, at any time, by written Notice to the Contractor, require the Contractor to stop all, or any part, of the Work of this Agreement, for a period up to ninety (90) Days after the Notice is delivered to the Contractor, and for any further period to which the parties may agree. The Stop Work Order shall be specifically identified as such and shall indicate it is issued under this provision. Upon receipt of the Stop Work Order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the Work covered by the Stop Work Order during the period of Work stoppage. Within a period of ninety (90) Days after a Stop Work Order is delivered to the Contractor, or within any extension of that period to which the parties shall have agreed, the State shall either:
  - i. Cancel the Stop Work Order; or
  - ii. Terminate the Work covered by the Stop Work Order as provided for in either of the termination provisions of this Agreement.

- B. If a Stop Work Order issued under this provision is canceled or the period of the Stop Work Order or any extension thereof expires, the Contractor shall resume Work. The State shall make an equitable adjustment in the delivery schedule, the Contract Amount, or both, and the Agreement shall be modified, in writing, accordingly, if:
  - i. The Stop Work Order results in an increase in the time required for, or in the Contractor's cost properly allocable to the performance of any part of this Agreement; and
  - ii. The Contractor asserts its right to an equitable adjustment within thirty (30) Days after the end of the period of Work stoppage; however, if the State decides the facts justify the action, the State may receive and act upon a proposal submitted at any time before final payment under this Agreement.
- C. If a Stop Work Order is not canceled and the Work covered by the Stop Work Order is terminated in accordance with the Termination Other Than For Cause provision or the State's Obligation Subject to Availability of Funds provision, as set forth under this Attachment, the State shall allow reasonable costs resulting from the Stop Work Order in arriving at the termination settlement.
- D. The State shall not be liable to the Contractor for loss of profits because of the Stop Work Order issued under this provision.

**13. AGREEMENT ADMINISTRATION/COMMUNICATION**

- A. Under this Agreement, the AOC Project Manager, shall monitor and evaluate the Contractor's performance. All requests and communications about the Work to be Performed under this Agreement shall be made through the AOC Project Manager.
  - i. Any Notice from the Contractor to the State shall be in writing and shall be delivered the AOC Project Manager as follows:

Judicial Council of California  
Administrative Office of the Courts  
TBD, AOC Project Manager  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688
  - ii. Other than for Notices, the AOC Project Manager may be contacted as follows:

Telephone:[TBD]  
Facsimile: [TBD]  
Email: [TBD]
- B. Notice to the Contractor shall be directed in writing to: TBD.

**14. STANDARD OF PROFESSIONALISM**

The Contractor shall conduct all work consistent with professional standards for the industry and type of work being performed under the Agreement.

**15. EVALUATION OF CONTRACTOR**

The State shall evaluate the Contractor's performance under the Agreement.

**16. ACCEPTANCE OF THE WORK**

- A. The AOC Project Manager shall be responsible for the *Acceptance of the Work and Sign-off Form (Appendix B)* required and submitted pursuant to this Agreement. Prior to approval of the Work and prior to approval for payment, the AOC Project Manager will apply the Acceptance Criteria set forth in subparagraph B of this provision, as appropriate, to determine the acceptability of the Work provided by the Contractor. Unsatisfactory ratings will be resolved as set forth in this provision.
- B. Acceptance Criteria for Work (“**Criteria**”) provided by the Contractor pursuant to this Agreement:
  - i. Timeliness: The Work was delivered on time;
  - ii. Completeness: The Work contained the Data, Materials, and features required in the Contract; and
  - iii. Technical accuracy: The Work is accurate as measured against commonly accepted standard (for instance, a statistical formula, an industry standard, or de facto marketplace standard).
- C. The Contractor shall provide the Work to the State, in accordance with direction from the AOC Project Manager. The State shall accept the Work, provided the Contractor has delivered the Work in accordance with the Criteria.
- D. If the State rejects the Work provided, the AOC Project Manager shall submit to the Contractor a written rejection using *Acceptance and Sign-off Form (Appendix 2)*, describing in detail the failure of the Work as measured against the Criteria. If the State rejects the Work, then the Contractor shall have a period of ten (10) business days from receipt of the Notice of rejection to correct the stated failure(s) to conform to the Criteria.
- E. If the AOC Project Manager requests further change, the Contractor shall meet with the AOC Project Manager, within three (3) business days of such request, to discuss changes for the final submission of the Work. The Contractor shall provide the Work within three (3) business days after this meeting, at which time the Work will be accepted or the question of its acceptability referred to the Administrative Director of the AOC and a principal of the Contractor, as set forth in subparagraph F, below.

- F. If agreement cannot be reached between the AOC Project Manager and the Contractor on the Work's acceptability, a principal of the Contractor and the Administrative Director of the AOC, or its designee, shall meet to discuss the problem. If agreement cannot be reached, in the reasonable judgment of the Administrative Director of the AOC, or its designee, and/or the Contractor fails to cure such deficiencies that are perceived in the Work to the reasonable satisfaction of the Administrative Director, or its designee, in the reasonable time established by the Administrative Director, the State may reject the Work and will notify the Contractor in writing of such action and the reason(s) for so doing. Upon rejection of the Work, the State may terminate this Agreement pursuant to the terms of paragraph 3, above.

## **17. CONTRACTOR'S PERSONNEL AND REPLACEMENT OF PERSONNEL**

- A. The State reserves the right to disapprove the continuing assignment of any of the Contractor's personnel provided to the State under this Agreement if in the State's opinion, either the performance of the Contractor's personnel is unsatisfactory, or continued assignment of any of Contractor's personnel is not in the best interest of the State. The State agrees to provide Notice to the Contractor in the event it makes such a determination. If the State exercises this right, the Contractor shall immediately assign replacement personnel, possessing equivalent or greater experience and skills.
- B. If any of the Contractor's Key Personnel become unavailable, or are disapproved in accordance with subparagraph A, above, during the term of this Agreement, the Contractor shall immediately assign replacement personnel acceptable to the AOC Project Manager, possessing equivalent or greater experience and skills as that demonstrated in the resumes set forth.
- C. The Contractor shall endeavor to retain the same individuals on the Project during the performance of the Work of this Agreement. However, the Contractor may, with approval of the AOC Project Manager, introduce personnel to the Project with specific skill sets or release personnel from the Project whose skill set is not needed at the time, except for the Contractor's Project contact.
- D. If any of the Contractor's Key Personnel become unavailable or are disapproved and the Contractor cannot furnish a replacement acceptable to the State, the State may terminate this Agreement for cause pursuant to paragraph 3, above.

## **18. SUBCONTRACTING**

The Contractor shall not subcontract this Agreement or services provided under this Agreement, unless the State agrees to the subcontracting in writing. Any authorized subcontract(s) shall be executed in the same manner as this Agreement. No party to this Agreement shall in any way contract on behalf of or in the name of another party to this Agreement.

**19. NOTICE OF FORCE MAJEURE**

If performance is delayed as a result of Force Majeure, the affected party shall provide prompt Notice to the other party and shall be excused from default or delay in performance while such circumstances prevail so long as such party continues to use commercially reasonable efforts to recommence performance as soon as possible.

**19. SERVICES WARRANTY**

The Contractor warrants and represents that each of its employees, independent contractors or agents assigned to perform any services or provide any technical assistance in planning, development, training sessions, consulting or related services under the terms of this Agreement shall have the skills, training, and background reasonably commensurate with his or her level of performance or responsibility, so as to be able to perform in a competent and professional manner. The Contractor further warrants that the services provided hereunder will conform to the requirements of this Agreement. All warranties, including any special warranties specified elsewhere herein, shall inure to the State, its successors, assigns, customer agencies, and any other recipients of the services provided hereunder.

**20. CHANGES AND AMENDMENTS**

Changes or Amendments to any component of the Contract Documents can be made only with prior written approval from the AOC Project Manager. Requests for changes or Amendments must be submitted in writing and must be accompanied by a narrative description of the proposed change and the reasons for the change. Additional funds may not be encumbered under the Agreement due to an act of Force Majeure, although the performance period of the Agreement may be amended due to an act of Force Majeure. After the AOC Project Manager reviews the request, a written decision shall be provided to the Contractor. Amendments to the Agreement shall be authorized via bilateral execution of a State Standard Agreement.

**21. ACCOUNTING SYSTEM REQUIREMENT**

The Contractor shall maintain an adequate system of accounting and internal controls that meets Generally Accepted Accounting Principles or GAAP.

**22. RETENTION OF RECORDS**

The Contractor shall maintain all financial Data, supporting documents, and all other records relating to performance and billing under this Agreement for a period in accordance with State and Federal law, a minimum retention period being no less than four (4) years. The retention period starts from the date of the submission of the final payment request. The Contractor is also obligated to protect Data adequately against fire or other damage.

**23. AUDIT**

The Contractor shall permit the authorized representative of the State or its designee or both at

any reasonable time to inspect or audit all Data relating to performance to the State under this Agreement. The Contractor further agrees to maintain such Data for a period of four (4) years after the expiration date of this Agreement, whichever occurs later.

## 24. INSURANCE REQUIREMENTS

- A. General. The Contractor shall obtain and maintain the minimum insurance set forth in subparagraph B, below. By requiring such minimum insurance, the State shall not be deemed or construed to have assessed the risks that may be applicable to the Contractor under this Agreement. The Contractor shall assess its own risks and if it deems appropriate and/or prudent, maintain greater limits and/or broader coverage. For full coverage, each insurance policy shall be written on an “occurrence” form; excepting that insurance for professional liability, when required, may be acceptable on a “claims made” form. If coverage is approved and purchased on a “claims made” basis, the Contractor warrants continuation of coverage, either through policy renewals or the purchase of an extended discovery period, if such extended coverage is available, for not less than three (3) years from the date of completion of the Work which is the subject of this Agreement.
- B. Minimum Scope and Limits of Insurance. The Contractor shall maintain coverage and limits no less than the following:
- i. In the event Contractor has employees: Workers' Compensation at statutory requirements of the State of residency.
  - ii. In the event Contractor has employees: Employers' Liability with limits not less than \$1,000,000.00 for each accident.
  - iii. Commercial General Liability Insurance with limits not less than \$1,000,000.00 for each occurrence, Combined Single Limit Bodily Injury and Property Damage.
  - iv. Business Automobile Liability Insurance with limits not less than \$1,000,000.00 for each occurrence, Combined Single Limit Bodily Injury and Property Damage, including owned and non-owned and hired automobile coverage, as applicable.
- C. Deductibles and Self-Insured Retentions. Any deductibles or self-insured retentions must be declared to, and approved by, the State. The deductible and/or self-insured retention of the policies shall not limit or apply to the Contractor’s liability to the State and shall be the sole responsibility of the Contractor.
- D. Other Insurance Provisions. The General Liability policy required in this Agreement is to contain, or be endorsed to contain, the following provisions:

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- i. The State, its officers, officials, employees and agents are to be covered as additional insureds as respects liability arising out of activities performed by or on behalf of the Contractor in connection with this Agreement.
  - ii. To the extent of the Contractor's negligence, the Contractor's insurance coverage shall be primary insurance as respects the State, its officers, officials, employees and agents. Any insurance and/or self-insurance maintained by the State, its officers, officials, employees or agents shall not contribute with the insurance or benefit the Contractor in any way.
  - iii. The Contractor's insurance shall apply separately to each insured against whom a claim is made and/or lawsuit is brought, except with respect to the limits of the insurer's liability.
- E. The Contractor shall provide the State certificates of insurance satisfactory to the State evidencing all required coverages before Contractor begins any Work under this Agreement, and complete copies of each policy upon the State's request.
- F. If at any time the foregoing policies shall be or become unsatisfactory to the State, as to form or substance, or if a company issuing any such policy shall be or become unsatisfactory to the State, the Contractor shall, upon Notice to that effect from the State, promptly obtain a new policy, and shall submit the same to the State, with the appropriate certificates and endorsements, for approval.
- G. All of the Contractor's policies shall be endorsed to provide advanced written Notice to the State of cancellation, nonrenewal, and reduction in coverage, within fifteen (15) Days, mailed to the following address: Judicial Council, Administrative Office of the Courts, Senior Manager, Business Services, 455 Golden Gate Avenue, 7<sup>th</sup> Floor, San Francisco, CA 94102-3688.

## **25. CONFIDENTIALITY**

- A. Both the State and the Contractor acknowledge and agree that in the course of performing the Work under this Agreement, the State may disclose Confidential Information to the Contractor.
- B. The Contractor agrees not to disclose the Confidential Information to any Third Party and to treat it with the same degree of care as it would its own confidential information. It is understood, however, that the Contractor may disclose the State's Confidential Information on a "need to know" basis to the Contractor's employees and Subcontractors and, as directed by the AOC Project Manager, representatives of the State that are working on the Project. All such employees and Subcontractors of the Contractor shall have executed a confidentiality agreement with the Contractor requiring a promise of confidentiality concerning the Contractor's clients and business.
- C. The Contractor shall acquire no right or title to the Confidential Information. The Contractor agrees not to use the Confidential Information for any purpose except as

contemplated pursuant to this Agreement. Notwithstanding the foregoing, the Contractor may disclose the Confidential Information (i) to the extent necessary to comply with any law, rule, regulation or ruling applicable to it; (ii) as appropriate to respond to any summons or subpoena applicable to it; or (iii) to the extent necessary to enforce its rights under this Agreement.

## **26. COPYRIGHTS AND RIGHTS IN DATA**

All copyrights and rights in the Data produced with funding from this Agreement that may presumptively vest in the Contractor shall be transferred to the State.

## **27. OWNERSHIP OF RESULTS**

- A. Unless the Contractor and the State reach a written agreement to the contrary, the Contractor agrees for itself and its personnel that pursuant to the State's requirement (i) all documents, deliverables, software, systems designs, disks, tapes, and any other Data or Materials created in whole or in part by the Contractor in the course of or related to providing services to the State shall be treated as if it were "work for hire" for the State, and (ii) the Contractor will immediately disclose to the State all discoveries, inventions, enhancements, improvements, and similar creations (collectively, "**Creations**") made, in whole or in part, by the Contractor in the course of or related to providing services to the State.
- B. All ownership and control of the above Data, Materials, and Creations, including any copyright, patent rights, and all other intellectual property rights therein, shall vest exclusively with the State, and the Contractor hereby assigns all right, title, and interest that the Contractor may have in such Data, Materials, and Creations to the State, without any additional compensation and free of all liens and encumbrances of any type. The Contractor affirms that the amount encumbered under this Agreement for the Work performed includes payment for assigning such rights to the State. The Contractor agrees to execute any documents required by the State to register its rights and to implement the provisions herein. Upon the State's written request, the Contractor shall provide the State with all this Data within thirty (30) Days of the request.
- C. The Contractor agrees not to assert any rights at common law, or in equity, or establish any claim to statutory copyright in such Data. The Contractor shall not publish or reproduce such Data in whole, or part, or any manner or form, or authorize others to do so without the written consent of the State.

## **28. LIMITATION ON PUBLICATION**

The Contractor shall not, without prior written consent of the State, directly or indirectly, make use of advertising or publicity containing any reference to the State or any of its employees.

**29. LIMITATION ON STATE'S LIABILITY**

The State shall not be responsible for loss of or damage to any non-State equipment arising from causes beyond the State's control.

**30. USE OF STATE OR COURT PROVIDED EQUIPMENT**

Neither the state nor the courts shall be responsible for any damage to persons or property as a result of the use, misuse or failure of any equipment used by the contractor, or by any of its employees, subcontractors or agents, even though such equipment may be furnished, rented, or loaned to the contractor by the state or courts.

**31. CONFLICT OF INTEREST**

A. The Contractor and employees of the Contractor shall not participate in proceedings that involve the use of State funds or that are sponsored by the State if the person's partner, family, or organization has a financial interest in the outcome of the proceedings. The Contractor and employees of the Contractor shall also avoid actions resulting in or creating the appearance of (i) use of an official position with the government for private gain; (ii) preferential treatment to any particular person associated with this Agreement or the Work of this Agreement; (iii) loss of independence or impartiality; (iv) a decision made outside official channels; or (v) adverse effects on the confidence of the public in the integrity of the government or this Agreement.

B. The Contractor certifies and shall require any Subcontractor to certify to the following:

Former State employees will not be awarded a contract for two (2) years from the date of separation if that employee had any part of the decision making process relevant to the contract, or for one (1) year from the date of separation if that employee was in a policy making position in the same general subject area as the proposed contract within the twelve (12) month period of his or her separation from state service.

**32. COVENANT AGAINST GRATUITIES**

The Contractor warrants by signing this Agreement that no gratuities, in the form of entertainment, gifts, or otherwise, were offered by the Contractor or any agent, director, or representative of the Contractor, to any officer, official, agent, or employee of the State with a view toward securing the Contract or securing favorable treatment with respect to any determinations concerning the performance of the Contract. For breach or violation of this warranty, the State will have the right to terminate the Contract, either in whole or in part, and any loss or damage sustained by the State in procuring, on the open market, any items, which the Contractor agreed to supply, shall be borne and paid for by the Contractor. The rights and remedies of the State provided in this provision shall not be exclusive and are in addition to any other rights and remedies provided by law or under the Contract.

**33. NATIONAL LABOR RELATIONS BOARD**

By executing this Agreement, the Contractor certifies under penalty of perjury under the laws of the State of California that no more than one (1) final, unappealable finding of contempt of court by a federal Court has been issued against the Contractor within the immediately preceding two (2) year period because of the Contractor's failure to comply with an order of the National Labor Relations Board.

**34. DRUG-FREE WORKPLACE**

The Contractor certifies that it will provide a drug-free workplace as required by California Government Code, §8355 through §8357.

**35. NONDISCRIMINATION/NO HARASSMENT CLAUSE**

- A. During the performance of this Agreement, the Contractor and its Subcontractors shall not unlawfully discriminate against any employee or proposer for employment because of race, religion, color, national origin, ancestry, physical or mental disability, medical condition, marital status, age (over 40), sex, or sexual orientation. The Contractor shall ensure that the evaluation and treatment of employees and proposers for employment are free of such discrimination.
- B. During the performance of this Agreement, the Contractor and its Subcontractors shall not engage in unlawful harassment, including sexual harassment, with respect to any persons with whom the Contractor or its Subcontractors interact in the performance of this Agreement. The Contractor and its Subcontractors shall take all reasonable steps to prevent harassment from occurring.
- C. The Contractor shall comply with applicable provisions of the Fair Employment and Housing Act, California Government Code, §§12990 et seq., and the applicable regulations promulgated under California Code of Regulations, title 2, §§7285 et seq. The applicable regulations of the Fair Employment and Housing Commission implementing California Government Code, §12990, set forth in chapter 5 of division 4 of title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part of it as if set forth in full.
- D. The Contractor and any of its Subcontractors shall give written Notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.
- E. The Contractor shall include the nondiscrimination/no harassment and compliance provisions of this clause in any and all subcontracts issued to perform Work under the Agreement.

**36. AMERICANS WITH DISABILITIES ACT**

By signing this Agreement, Contractor assures the State that it complies with applicable provisions of the Americans with Disabilities Act (“ADA”) of 1990 (42 U.S.C. §§012101 et seq.), which prohibits discrimination on the basis of disability, as well as with all applicable regulations and guidelines issued pursuant to the ADA.

**37. PERMITS AND LICENSES**

The Contractor shall observe and comply with all federal, state, city, and county laws, rules, and regulations affecting services under this Agreement. The Contractor shall procure and keep in full force and effect during the term of this Agreement all permits and licenses necessary to accomplish the Work contemplated in this Agreement.

**38. CALIFORNIA LAW**

This Agreement shall be subject to and construed in accordance with the laws of the State of California.

**39. SEVERABILITY**

If any term or provision of this Agreement is found to be illegal or unenforceable, this Agreement shall remain in full force and effect and that term or provision shall be deemed stricken.

**40. WAIVER**

The omission by either party at any time to enforce any default or right, or to require performance of any of this Agreement's terms, covenants, or provisions by the other party at the time designated, shall not be a waiver of the default or right, nor shall it affect the right of the party to enforce those provisions later.

**41. SIGNATURE AUTHORITY**

The parties signing this Agreement certify that they have proper authorization to do so.

**42. SURVIVAL**

The termination or expiration of the Agreement shall not relieve either party of any obligation or liability accrued hereunder prior to or subsequent to such termination or expiration, nor affect or impair the rights of either party arising under the Agreement prior to or subsequent to such termination or expiration, except as expressly provided herein.

**43. ENTIRE AGREEMENT**

This Agreement, consisting of all documents as defined herein, constitutes the entire agreement between the parties with respect to the subject matter hereof and shall supersede all previous

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proposals, both oral and written, negotiations, representations, commitments, writing and all other communications between the parties. No waiver, alteration, modification of, or addition to the terms and conditions contained herein shall be binding unless expressly agreed in writing by a duly authorized representative of the State.

**44. SB 78 APPENDIX**

This Agreement incorporates the terms and conditions set forth in Appendix A entitled “SB 78 Appendix for Agreements” (SB 78 Appendix), attached to this Agreement. If there is any conflict between a provision in the SB 78 Appendix and any other provision of this Agreement, the provision contained in the SB 78 Appendix prevails.

***END OF EXHIBIT A***

**EXHIBIT B - PAYMENT PROVISIONS**

**1. CONTRACT AMOUNT**

The total amount the State may pay to the Contractor under this Agreement for performing the Work set forth in *Exhibit C, Work to be Performed*, shall be the firm fixed price per Deliverable, not to exceed the Contract Amount of **\$TBD**, as set forth in this Exhibit.

**2. COMPENSATION FOR CONTRACT WORK**

A. In accordance with *Exhibit A, AOC General Terms And Conditions, paragraph 16, Acceptance of the Work*, the State will pay the Contractor the firm fixed price per Deliverable, as set forth in Table 1, below, upon the completion and acceptance of each Deliverable as identified in *Exhibit C, Work to be Performed*. The firm fixed prices set forth in Table 1, below, shall be inclusive of all costs, benefits, expenses, overhead and fees payable to the Contractor for services rendered to the State.

**Table 1: Deliverable Number, Due Date, and Firm Fixed Price**

| <b>Deliverable</b>           | <b>Due Date</b>    | <b>Firm Fixed Price</b> |
|------------------------------|--------------------|-------------------------|
| 1                            | June 29, 2012      | \$TBD                   |
| 2                            | July 31, 2012      | \$TBD                   |
| 3                            | August 17, 2012    | \$TBD                   |
| 4                            | August 31, 2012    | \$TBD                   |
| 5                            | September 14, 2012 | \$TBD                   |
| 6                            | September 28, 2012 | \$TBD                   |
| <b>Total Contract Amount</b> |                    | \$TBD                   |

B. For completion and acceptance of the Deliverables, as set forth in *Exhibit C*, the total amount the State may pay the Contractor, pursuant to this paragraph, shall be **\$TBD** for the Work of this Agreement.

**3. DIRECT EXPENSES**

All fees and charges noted in this Agreement are inclusive of any and all anticipated travel, lodging, transportation, clerical support, Materials, direct and indirect labor, fees, overhead, profits, and other costs and/or expenses incidental to the performance of the specified requirements under this Agreement.

**4. METHOD OF PAYMENT**

A. Upon completion and acceptance of each Deliverable, as set forth in *Exhibit C*, the Contractor shall submit an invoice.

B. The State will make payment in arrears after receipt of the Contractor’s invoice and any

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required documentation. The Invoice must clearly indicate the following information:

- i. Contract number;
- ii. Unique invoice number;
- iii. Contractor's name and address;
- iv. Preferred remittance address, if different from the mailing address;
- v. The name and telephone number, facsimile number, and e-mail address of the Contractor's accounting contact;
- vi. Program title ("Technical Assistance in Sharing Information in Juvenile Dependency Cases")
- vii. Deliverable(s) completed and accepted;
- viii. Contractual charges, including the appropriate firm fixed price for Deliverable(s)
- ix. Appropriate documentation for reimbursement; and
- x. The signature(s) of the authorized Contractor's official(s). (Use blue ink to indicate an original invoice).

C. The Contractor shall submit the invoices to:

Judicial Council of California  
Administrative Office of the Courts  
Attn: Grant Accounting  
455 Golden Gate Avenue  
San Francisco, Ca 94102-3688

D. For payment, the Work must be provided from **June 29, 2012** through **September 30, 2012**. Any and all obligations must be liquidated prior to the Contractor's *final invoice*. The Contractor's *final invoice, labelled as such*, must be received by Accounting no later than **TBD**.

## 5. **DISALLOWANCE**

If the Contractor receives payment from the State for a reimbursement that is later disallowed by the State, the Contractor shall promptly refund the disallowed amount to the State upon the State's request. At its option, the State may offset the amount disallowed from any payment due or that may become due to the Contractor under this Agreement or any other agreement.

## 6. **PAYMENT DOES NOT IMPLY ACCEPTANCE OF WORK**

The granting of any payment by the State, as provided herein, shall in no way lessen the liability of the Contractor to replace unsatisfactory Work or Material, even if the unsatisfactory character of such Work or Material may not have been apparent or detected at the time such payment was made. Materials, Data, components, or workmanship that do not conform to *Exhibit C*, shall be rejected and shall be replaced by the Contractor without delay.

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**7. TAXES**

The State is exempt from federal excise taxes and no payment will be made for any taxes levied on the Contractor's or any Subcontractor's employees' wages. The State will pay for any applicable State of California or local sales or use taxes on the services rendered or equipment or parts supplied pursuant to this Agreement.

**8. AOC ACCOUNTING CONTACT**

The Contractor shall contact the following AOC Grant Accounting contact for any accounting concerns:

Donna Truong-Nguyen  
Telephone: (415) 865-7949  
Facsimile: (415) 865-4337  
Email: [Donna.Truong-Nguyen@jud.ca.gov](mailto:Donna.Truong-Nguyen@jud.ca.gov)

***END OF EXHIBIT B***

## **EXHIBIT C - WORK TO BE PERFORMED**

### **1. SCOPE OF SERVICES**

#### **1.1 Provision of Education and Training: Juvenile Court**

- 1.1.1 Contractor is expected to provide the AOC Project Manager with written curricula on legal aspects of information sharing in child welfare cases, including learning objectives, PowerPoint slides, materials and evaluation instruments for:
- a. Training legal experts including dependency attorneys, county counsel and judicial officers;
  - b. Training child welfare professionals including social workers, court appointed special advocates and probation officers.
- 1.1.2 Training curricula must include the following topics:
- Introduction to basics of information sharing including understanding the federal Health Insurance Portability and Accountability Act, the California Confidentiality of Medical Information Act, the federal Family Educational Rights and Privacy Act, California Welfare and Institutions Code, section 827, and other relevant statutes, regulations, rules and case law.
  - Real-world examples of jurisdictions collaborating on information sharing.
  - Resources for attendees
- 1.1.3 Contractor will work with AOC Project Manager to set up a training schedule in 10 local courts including three counties in the Sacramento area, three counties in the San Francisco Bay Area and four counties in the Los Angeles/San Bernardino area.
- 1.1.4 Contractor will provide either two 3.5-hour or one 7-hour training sessions to a multi-disciplinary group at each of 10 courts including three counties in the Sacramento area, three counties in the San Francisco Bay Area and four counties in the Los Angeles/San Bernardino area.
- 1.1.5 Contractor will distribute and collect training sessions' evaluations and provide to AOC Project Manager.
- 1.1.6 The courts selected for training sessions will be selected by the AOC Project Manager by the first conference call with the Contractor in late June. For purposes of the cost proposal, training session costs should be budgeted on the assumption that the project will require 3 one-day trips to the Sacramento area, 3 one-day trips to the Los Angeles/San Bernardino area, and 4 one-day trips to the San Francisco Bay area.

## 1.2 **Provision of Education and Training: Family Court**

1.2.1 Contractor is expected to provide the AOC Project Manager with written curricula on legal aspects of information sharing in child custody cases, including learning objectives, PowerPoint slides, materials and evaluation instruments for training legal experts including family law attorneys, child custody mediators and judicial officers;

1.2.2 Training curricula must include the following topics:

- Introduction to basics of information sharing including understanding the federal Health Insurance Portability and Accountability Act, the California Confidentiality of Medical Information Act, the federal Family Educational Rights and Privacy Act, California Welfare and Institutions Code, section 827, and other relevant statutes, regulations, rules and case law.
- Real-world examples of jurisdictions collaborating on information sharing.
- Resources for attendees

1.2.3 Contractor will work with AOC Project Manager to set up a training schedule at 5 regional training sessions including one county in the Sacramento area, two counties in the San Francisco Bay Area and two counties in the Los Angeles/San Bernardino area.

1.2.4 Contractor will provide one 1.5 to 3-hour training to a multidisciplinary group at each of the 5 regional training sessions including one county in the Sacramento area, two counties in the San Francisco Bay Area and two counties in the Los Angeles/San Bernardino area.

1.2.5 Contractor will distribute and collect training sessions' evaluations and provide to AOC Project Manager.

1.2.6 The courts selected for training sessions will be selected by the AOC Project Manager. For purposes of the cost proposal, training session costs should be budgeted on the assumption that the project will require 1 one-day trip to the Sacramento area, 2 one-day trips to the Los Angeles/San Bernardino area, and 2 one-day trips to the San Francisco Bay area.

1.3 Consulting with courts in their efforts to establish memoranda of understanding and other agreements to share information in their counties.

1.3.1 AOC Project Manager will identify 5 jurisdictions in the process of establish memoranda of understanding to share child welfare, health, education, juvenile justice and juvenile court data.

1.3.2 Contractor will provide at least 8 hours assistance to each jurisdiction through conference calls and feedback on drafts of memoranda of understanding.

- 1.4 Prepare briefing paper on child welfare information sharing under Welfare and Institutions Code, section 827.
  - 1.4.1 Briefing paper will be in the format of previous AOC briefings on information sharing found at this link: <http://www.courts.ca.gov/cfcc-publications.htm#acc12610>
  - 1.4.2 Briefing paper will cover, for non-legal professionals in the child welfare system, the basics of what can and cannot be shared under W&I Code, section 827.
- 2.1 **Deliverables and Due Dates:** The Contractor will be asked to do the following, by the dates listed to the right of the deliverable:

2.3.1 **Deliverable 1: Finalize Juvenile Law Training Curricula**

| Deliverable 1  | Due Date      |
|--|---------------|
| Provide curricula including learning objectives, PowerPoint presentations, learning materials and evaluation instruments<br>Edit and resubmit curricula based on AOC Project Manager’s feedback. | June 29, 2012 |

2.3.2 **Deliverable 2: Training Sessions in Courts**

| Deliverable 2  | Due Date      |
|--|---------------|
| Deliver training sessions in 5 juvenile courts (see 1.1.3).                            | July 31, 2012 |
| Provide AOC Project Manager with attendance sheets and training sessions’ evaluations. |               |

2.3.3 **Deliverable 3: Finalize Family Law Training Curricula and Continue Training Sessions**

| Deliverable 3  | Due Date        |
|--|-----------------|
| Provide curricula including learning objectives, PowerPoint presentations, learning materials and evaluation instruments<br>Edit and resubmit curricula based on AOC Project Manager’s feedback. | August 17, 2012 |
| Deliver training sessions in 5 juvenile courts (see 1.1.3).<br>Provide AOC Project Manager with attendance sheets and training sessions’ evaluations.  |                 |

*[Remainder of page left blank intentionally]*

**2.3.4 Deliverable 4: Deliver Family Law Training at Regional Training Sessions**

| <b>Deliverable 4</b>  | <b>Due Date</b> |
|---|-----------------|
| Deliver training sessions at 3 regional training sessions on family law (see 1.2.4)<br>Provide AOC Project Manager with attendance sheets and training sessions' evaluations. | August 31, 2012 |

**2.3.5 Deliverable 5: Deliver Family Law Training at Regional Training Sessions and Provide Draft Memorandum of Understanding**

| <b>Deliverable 5</b>   | <b>Due Date</b>    |
|--|--------------------|
| Deliver training sessions at 2 regional training sessions on family law. (see 1.2.4)<br>Provide AOC Project Manager with attendance sheets and training sessions' evaluations. | September 14, 2012 |
| Consult with 3 juvenile courts by conference call and provide memorandum of understanding to AOC Project Manager (see 1.3).  |                    |

**2.3.6 Deliverable 6: Complete Consulting with Courts on Memorandum of Understanding; deliver briefing paper on W&I Code, section 827**

| <b>Deliverable 6</b>   | <b>Due Date</b>    |
|--|--------------------|
| Consult with 2 additional juvenile courts by conference call and provide memorandum of understanding to AOC Project Manager.   | September 28, 2012 |
| Provide AOC Project Manager with briefing paper on information sharing aspects in W&I code 827. Briefing paper will cover, for non-legal professionals in the child welfare system, the basics of what can and cannot be shared under W&I Code, section 827. |                    |

**3. CONTRACTOR RESPONSIBILITIES**

A. The Contractor will have the following responsibilities under this Contract:

- i. Works closely with the AOC Project Manager;
- ii. Proactively assists with resolution of issues with any aspect of the Work;
- iii. Proactively anticipates Project deviations and is responsible for taking immediate corrective action; and
- iv. Works with AOC Project Manager to manage and coordinate work and knowledge transfer.

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#### **4. AOC RESPONSIBILITIES**

The AOC Project Manager will be responsible for managing, scheduling, and coordinating all Project activities, including Project plans, timelines, and resources, and escalating issues for resolution to AOC management.

***END OF EXHIBIT C***