



State of California—Health and Human Services Agency
California Department of Public Health



KAREN L. SMITH, MD, MPH
 Director and State Public Health Officer

EDMUND G. BROWN JR.
 Governor

Date: December 5, 2018
TO: County of Francisco
FROM: California Department of Public Health (CDPH)
SUBJECT: 18-10648 - Perinatal Equity Initiative Grant

Please find attached the above-referenced Grant Agreement between the California Department of Public Health and the County of Francisco for your review and signature.

The Agreement is an Adobe Acrobat PDF document with "READ ONLY" attributes. If you encounter any problems please contact me immediately for assistance. Please do not alter this Agreement, but if necessary, all requests for changes/corrections must be submitted to CDPH for Contract Management Unit approval prior to Grantee signature.

To approve this Agreement print, sign and return only the following checked items:

- Two (2) original copies of the Grant Agreement (cdph 1229) signature page only** (page three of the Grant Agreement) both copies must bear original signatures.
- Four (4) original copies of the Information Technology Standard Agreement (IT/ITIAA Std. 213 www) signature page only** (page one of the contract Agreement) both copies must bear original signatures
- Two (2) original copies of the Standard Agreement Amendment (Std. 213A) signature page only** (page one of the contract Agreement) both copies must bear original signatures
- Two (2) original copies of the Short Form Contract (Std. 210) signature page only** (page one of the contract Agreement) both copies must bear original signatures.
- One (1) original copy of the Std. 204, Payee Data Record or cdph 9083**
- One (1) original copy of the Board Resolution//Order/Motion, ordinance or other similar document authorizing execution of the agreement**
- One (1) copy of the CCC 4/2017, Contractor Certification.** The attached Contractor Certification package contains clauses and conditions that may apply to your Agreement and to person(s) doing business with the State of California this Certification will be kept on file.
- Return (1) copy of the 501c(3) Non-profit status letter** from the Internal Revenue Service to prove your company's non-profit status.



The General Terms and Conditions (GTC 4/2017) can be viewed by clicking on the following link <http://www.documents.dgs.ca.gov/ols/GTC-610.doc> print or save a copy for your files please contact me if you do not have Internet capabilities, and I will email you a copy.

Failure to sign and submit the required forms by the date indicated will result in delayed approval of your agreement.

Please return all requested original signed pages via overnight mail to this address:

**California Department of Public Health (CDPH)
Attn: Michael Neff, Grant Manager
California Home Visiting Program
Maternal, Child and Adolescent Health Division
P.O. Box 997420, MS 8305
Sacramento, CA 95899-7420**

The anticipated start date of this Agreement is December 1, 2018, through September 30, 2019, however please be advised that this Agreement is not valid until final State approval has been obtained. In an effort to expedite this Agreement through the approval process, **we request that the attached items be returned no later than December 13, 2018. Please let me know if you'll need additional time to return the Agreement.** Upon final approval you will receive an executed copy.

If you have any questions and/or concerns, please contact me at the number listed below.

Thank you,

Michael Neff

Michael Neff, Grant Manager
Contract Administrative Oversight Unit
Office: (916) 650-0339
Fax: (916) 650-0309

Attachments

cc: Jessie Moore, CMU Analyst
Susan Hunter, Program Consultant
Central File

CONFIDENTIALITY NOTICE: This communication along with its contents may contain confidential and/or legally privileged information. It is solely for the use of the intended recipient(s). Unauthorized interception, review, use or disclosure is prohibited and may violate applicable laws including the Electronic Communications Privacy Act. If you are not the intended recipient, please contact the sender and destroy all copies of the communication.

CALIFORNIA PERINATAL EQUITY INITIATIVE Awarded By
THE CALIFORNIA DEPARTMENT OF PUBLIC HEALTH, hereinafter “Department”
TO
County of San Francisco, hereinafter “Grantee”
Implementing the project, **“California Perinatal Equity Initiative,”** hereinafter **“Project”**
GRANT AGREEMENT NUMBER 18-10648

The Department awards this Grant and the Grantee accepts and agrees to use the Grant funds as follows:

AUTHORITY: The Department has authority to grant funds for the Project under Health and Safety Code, 123235.

The program may include the provision of educational, preventative, diagnostic and treatment services, including medical care, hospitalization and other institutional care and aftercare, appliances and facilitating services directed toward reducing infant mortality and improving the health of mothers and children. **The department may make grants or contracts or advance funds from any funds that are made available for the purposes of the Maternal and Child Health Program Act (Section 27).**

(Added by Stats. 1995, Ch. 415, Sec. 8. Effective January 1, 1996.)

1. **PURPOSE:** The Department shall provide a grant to and for the benefit of the Grantee; the purpose of the Grant is to
 - a. Deepen understanding of the gaps in services within the Black community contributing to increased infant mortality rates and the promising interventions to reduce Black infant mortality through stakeholder engagement meetings and the initiation of local Perinatal Equity Planning Grants to the 13 Black Infant Health (BIH) counties (note: 13 counties oversee 15 BIH sites.)
 - b. To develop a 3-year Perinatal Equity Initiative “Collective Impact” blueprint that outlines a common goals, agenda and shared measurements to reduce infant mortality among the BIH counties.
 - c. To develop and release a Request for Application (RFA) to reduce infant mortality by March 1, 2019. |

GRANT AMOUNT: The maximum amount payable under this Grant shall not exceed \$402,768|.

TERM OF GRANT AGREEMENT: The term of the Grant shall begin on [December 1, 2018], or upon approval of this grant, and terminates on [September 30, 2019].

PROJECT REPRESENTATIVES. The Project Representatives during the term of this Grant will be:

California Department of Public Health	Grantee: [County of San Francisco]
Grant Manager: Michael Neff	Name: Mary Hansell, MCAH Director
1615 Capitol Avenue, Suite 73.560, MS 8400	Address: 30 Van Ness Avenue
Sacramento, CA 95814	City, ZIP: San Francisco, CA 94102
(916) 341-6726	Phone: (415) 575-5671
Fax:	Fax:
Michael.Neff@cdph.ca.gov	E-mail: Mary.Hansell@sfdph.org

Direct all inquiries to:

California Department of Public Health, [Maternal and Infant Health Branch]	Grantee: County of San Francisco
Susan Hunter	Attention: Colleen Matthews
1615 Capital Avenue, Suite 73.540	Address: 30 Van Ness Avenue
Sacramento, CA 95814	City, Zip: San Francisco, CA 94102
(916) 341-6333	Phone: (415) 575-5682
Fax	Fax:
Susan.Hunter@cdph.ca.gov	E-mail: Colleen.Matthews@sfdph.org

Either party may change its Project Representative upon written notice to the other party.

All payments from CDPH to the Grantee; shall be sent to the following remittance address:

Grantee: [County of San Francisco]
Attention: Elizabeth Woo
Address: 1380 Howard Street, RM #417
City, Zip: San Francisco, CA 94103
Phone: (415) 255-3656
Fax:
E-mail: elizabeth.woo@sfdph.org

STANDARD PROVISIONS. The following exhibits are attached and made a part of this Grant by this reference:

- Exhibit A WORKPLAN
- Exhibit B BUDGET DETAIL AND PAYMENT PROVISIONS
- Exhibit C STANDARD GRANT CONDITIONS
- Exhibit D ADDITIONAL PROVISIONS
- Exhibit E CONTRACTOR EQUIPMENT PURCHASED WITH CDPH FUNDS
- Exhibit F INVENTORY / DISPOSITION OF CDPH FUNDED EQUIPMENT
- Exhibit G CONTRACTOR’S RELEASE

GRANTEE REPRESENTATIONS: The Grantee(s) accept all terms, provisions, and conditions of this grant, including those stated in the Exhibits incorporated by reference above. The Grantee(s) shall fulfill all assurances and commitments made in the application, declarations, other accompanying documents, and written communications (e.g., e-mail, correspondence) filed in support of the request for grant funding. The Grantee(s) shall comply with and require its contractors and subcontractors to comply with all applicable laws, policies, and regulations.

IN WITNESS THEREOF, the parties have executed this Grant on the dates set forth below.

Executed By:

Date: 12/12/18



Greg Wagner, Acting Director of
Health County of San Francisco
Address: 101 Grove Street
San Francisco, CA 94102

Date: _____

Angela Salas, Chief
Contracts and Purchasing Services Section |
California Department of Public Health
1616 Capitol Avenue, Suite 74.262
P.O. Box 997377, MS 1800- 1804
Sacramento, CA 95899-7377

Exhibit A – Workplan

The California Legislature found and declared a continuing statewide gap between mortality rates for Black infants and those for other population groups. Although statistically significant declines in infant mortality have been achieved, the rate of mortality among Black infants continues to be two to four time higher than the rates for other groups statewide. Preterm birth, the leading cause for infant death, has increased for the third straight year in California. One response to the crises is the Black Infant Health (BIH) Program, an evidenced-informed intervention program focusing on social support, stress management, and empowerment designed to reduce Black infant mortality.

To augment the current BIH services, the California Legislature appropriated new funding and directed the California Department of Public Health (CDPH) to establish the California Perinatal Equity Initiative to expand the scope of interventions. This Initiative shall foster the implementation of perinatal health interventions to fill gaps in current programming offered through the BIH Program.

During the current FY 2018/19, CDPH will award Planning Grants on a sliding funding scale for up to 13 Local County Health Departments to implement the following:

Objective	Activity	Deliverable
<p>1: MCAH Director and other designated staff will attend State Learning and Brainstorming Sessions throughout 2019.</p>	<ol style="list-style-type: none"> 1. Provide feedback on Strengths, Weakness, Opportunities, and Threats contributing to Black maternal and infant well-being and more importantly, to explore possibilities for solutions to reversing the negative trend of Black maternal and infant mortality. 2. Participate in broad conceptual strategic thinking and planning for developing Perinatal Equity Initiative interventions including: <ol style="list-style-type: none"> a. Evidenced-Based Group Prenatal Care b. Pregnancy Intentionality (Preconception/Interconception Care) c. Fatherhood or Partnership Initiatives 	<ol style="list-style-type: none"> 1. Attendance/participation in State Session. 2. Attendance/participation in State Session.

Exhibit A – Workplan

	<ul style="list-style-type: none"> d. Evidenced-Based/Evidenced Informed Home Visitation/Case Management e. Other Service (Blend of social and medical interventions, e.g. Doula/Patient Navigator services). <ul style="list-style-type: none"> 3. Participate in Results Based Accountability Training and input on measurement design 4. Share and discuss findings from the environmental scan and data analysis of Black Infant Mortality and preterm births. 	<ul style="list-style-type: none"> 3. Attendance/participation in State Session. 4. Attendance/participation in State Session.
<p>2: By June 1, 2019 conduct an Environmental Scan to gain a deeper understanding of the Black Community and its Infant Mortality rate.</p>	<ul style="list-style-type: none"> 1. Review local County Vital Statistics, local Black infant mortality data, FIMR & SIDS findings, CPSP chart reviews, and other data to understand where in the community Black infant mortality is occurring, the contributing factors to Black infant mortality and preterm birth, where women are delivering, how and where women receive prenatal care and how women are supported before, during and after pregnancy. 2. Conduct and/or draw from previous findings (learnings) from recent environmental scans concerning the gaps in perinatal health care and community services that contribute to the reduction of Black Infant Mortality to provide clarity on challenges, barriers, service gaps, and needs to improve African American birth outcomes, 3. Conduct a minimum of 2 local community and stakeholder Engagement Learning Sessions to 	<ul style="list-style-type: none"> 1. Report/Findings from review of local data. 2. Report/Findings from review of local data. 3. Report/Findings from review of local data.

Exhibit A – Workplan

	<p>understand what moms, fathers, community, social support programs and others believe are the causes of Infant Mortality and what can be done to drive change.</p>	
<p>3: By June 1, 2019 partner and fund 2-5 Hospitals with highest Black Preterm singleton births to conduct a medical records review of preterm births to understand causes and possible interventions.</p>	<ol style="list-style-type: none"> 1. Meet with hospital leadership from 2-5 hospitals with above average Black preterm births to discuss the Perinatal Equity Initiative and the proposal for conducting medical record reviews on Black preterm births. 2. Fund and partner with hospitals to conduct medical records reviews. 3. Engage local Regional Perinatal Programs of California in the review of medical records to understand barriers and opportunities in addressing preterm birth in the identified hospitals. 4. Conduct a focus group with moms from the hospital in the county with the highest Black preterm birth rate to understand the delivery experience and causes of preterm birth and possible interventions 5. Engage local Regional Perinatal Programs of California to understand barriers and opportunities in addressing preterm birth in the identified hospitals. 6. Discuss with the State and other BIH counties the protocol for hospital chart reviews and template to be utilized; develop a timeline for conducting reviews at each hospital. Medical Record Review content include but not limited to the following categories: <ol style="list-style-type: none"> a. Health status prior to pregnancy 	<ol style="list-style-type: none"> 1. Summary of commitment and interest of hospital leadership in participating in the initiative. 2. List of hospitals receiving funding. 3. Findings from the focus groups. 4. Date of meeting with RPPC Directors. 5. Report on hospitals findings from the chart review.

Exhibit A – Workplan

	<ul style="list-style-type: none">i. Goodii. Excellentiii. Otherb. Pre-existing chronic conditions<ul style="list-style-type: none">i. Diabetesii. Hypertensioniii. Heart diseaseiv. Asthmav. Otherc. Prenatal Care Visits<ul style="list-style-type: none">i. Number of Prenatal Care Visitsii. Content of Prenatal Care Visitsd. Nutrition and Weight<ul style="list-style-type: none">i. Overweight prior to pregnancyii. Obese prior to pregnancyiii. Excessive weigh gain during pregnancyiv. Food insecurity during pregnancye. Hardships<ul style="list-style-type: none">i. Homeless or no regular place to sleepii. Moved due to problems paying rent or mortgageiii. Woman or partner lost jobiv. Woman or partner had pay or hours cut backv. Became separated or divorcedvi. Had no support systemvii. Became separated or divorcedviii. Had no support system	
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Exhibit A – Workplan

	<p>7. Develop a summary of findings from each hospital and a collective report of all hospitals surveyed and overall findings, along with potential recommendations to improve the quality of care and share learnings at State Collaborative Learning Sessions.</p>	
<p>4: By March 1, 2019 establish a local Perinatal Health Equity Community Advisory Board to input on the needs and opportunities to reduce Black Infant Mortality</p>	<p>1. Establish a local Perinatal Health Equity Community Advisory Board which meets monthly to engage local stakeholders, including moms, families, hospitals, clinics, CPSP, public health entities, BIH, providers, non-profits, WIC, faith community etc., to understand gaps and solutions to reduce Black infant mortality.</p> <ul style="list-style-type: none"> a. Identify Strengths, Weakness, Opportunities, and Threats contributing to maternal and infant well-being and more importantly to specify solutions to reverse the negative trend associated with Black maternal and infant mortality. b. Introduce and discuss Perinatal Equity Initiative interventions with Stakeholders to raise awareness and to solicit input on the interventions that are the most promising in targeted communities or areas of focus. Interventions are delineated as follows: <ul style="list-style-type: none"> ▪ Evidenced-Based Group Prenatal Care ▪ Pregnancy Intentionality (Preconception/Interconception Care) ▪ Fatherhood or Partnership Initiatives ▪ Evidenced-Based/Evidenced Informed Home Visitation/Case Management ▪ Other Innovative Services (Blend of social and medical interventions, e.g. 	<p>1. Community Advisory Board roster, meeting agendas, minutes, and report on findings and list of Stakeholder attendees.</p>

Exhibit A – Workplan

	Doula/Patient Navigator services, evidence based strategies that reduce preterm birth and infant mortality.)	
<p>5: By September 1, 2019 develop and implement a Public Health Awareness Campaign to raise awareness and to promote health messages to vulnerable populations with the highest rates of preterm birth and infant mortality.</p>	<ol style="list-style-type: none"> 1. Create a plan to launch a Public Health Awareness Campaign to engage the community and to raise awareness regarding Black preterm birth rates, health inequities, Black maternal and infant mortality rates and the promotion of health activities that contribute to health and well-being, (e.g. how to support Black women to have healthy babies, promotion of self-care to reduce the impact of stress, chronic worry and racial injustice and importance of knowing the symptoms of preterm labor. Plan to include but not limited to targeted and paid social media messages, internet banners, web graphics, signs and posters highlighting the health education videos, YouTube videos, radio, television, and/or bill board ads. 2. Designate a liaison to represent the County needs and opportunities and participate in a State communication planning process to standardize and coordinate the communication messages, social media, Campaign images, opportunities and plans and receive technical assistance and guidance as needed from state Maternal, Child and Adolescent Health Division staff. 3. Explore through reviews of the literature and conversations with women in the community, including past and present BIH participants, about where and how Black women of reproductive age and the community receive and share information. 	<ol style="list-style-type: none"> 1. Public Awareness Campaign plan. 2. Copies of Campaign content. 3. Report out on how and where Black women and the community receive and share information.

Exhibit A – Workplan

	<ol style="list-style-type: none">4. Identify partnerships and organizations that can help distribute and promote messages and a social media campaign.5. Launch a coordinated strategic Public Health Awareness Campaign by September 1, 2019.	<ol style="list-style-type: none">4. Partnership contact list of new partnerships established to support the campaign.5. Distribution list of where and how campaign was featured/aired.
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Exhibit B
Budget Detail and Payment Provisions

1. Invoicing and Payment

- A. Upon execution of the Grant, and upon receipt and approval of the invoice(s), the State agrees to reimburse the Grantee for activities performed and expenditures incurred in accordance with the costs specified herein.
- B. Invoices shall include the Grant Number and shall be submitted in triplicate not more frequently than quarterly to:

Contract Manager
California Department of Public Health
Maternal, Child and Adolescent Health Division
MS Code 8305
1615 Capitol Avenue, P.O. Box 997420
Sacramento, CA 95899-7420

- C. Invoices shall:
 - 1) Be prepared on Grantee letterhead. If invoices are not on produced letterhead invoices must be signed by an authorized official, employee or agent certifying that the expenditures claimed represent activities performed and are in accordance with Exhibit A under this Grant.
 - 2) Bear the Grantee's name as shown on the Grant.
 - 3) Identify the billing and/or performance period covered by the invoice.

2. Budget Contingency Clause

- A. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Grantee or to furnish any other considerations under this Agreement and Grantee shall not be obligated to fulfill any provisions of this Agreement.
- B. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either cancel this Agreement with no liability occurring to the State, or offer an agreement amendment to Grantee to reflect the reduced amount.

3. Prompt Payment Clause

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

Exhibit B
Budget Detail and Payment Provisions

4. Timely Submission of Final Invoice

- A. A final undisputed invoice shall be submitted for payment no more than thirty (30) calendar days following the expiration or termination date of this Grant, unless a later or alternate deadline is agreed to in writing by the program grant manager. Said invoice should be clearly marked "Final Invoice", indicating that all payment obligations of the State under this Grant have ceased and that no further payments are due or outstanding.
- B. The State may, at its discretion, choose not to honor any delinquent final invoice if the Grantee fails to obtain prior written State approval of an alternate final invoice submission deadline.

5. Travel and Per Diem Reimbursement

Any reimbursement for necessary travel and per diem shall be at the rates currently in effect as established by the California Department of Human Resources (CalHR).

EXHIBIT C

STANDARD GRANT CONDITIONS

1. **APPROVAL:** This Grant is of no force or effect until signed by both parties and approved by the Department of General Services, if required. The Grantee may not commence performance until such approval has been obtained
2. **AMENDMENT:** No amendment or variation of the terms of this Grant shall be valid unless made in writing, signed by the parties, and approved as required. No oral understanding or Agreement not incorporated in the Grant is binding on any of the parties. In no case shall the Department materially alter the scope of the Project set forth in Exhibit A.
3. **ASSIGNMENT:** This Grant is not assignable by the Grantee, either in whole or in part, without the written consent of the Grant Manager in the form of a written amendment to the Grant.
4. **AUDIT:** Grantee agrees that the Department, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to this Grant. Grantee agrees to maintain such records for a possible audit for a minimum of three (3) years after final payment or completion of the project funded with this Grant, unless a longer period of records retention is stipulated. Grantee agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Grantee agrees to include a similar right of the State to audit records and interview staff in any subcontract related to the project.
5. **CONFLICT OF INTEREST:** Grantee certifies that it is in compliance with all applicable state and/or federal conflict of interest laws.
6. **INDEMNIFICATION:** Grantee agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the project, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by Grantee in the performance of any activities related to the Project.
7. **FISCAL MANAGEMENT SYSTEMS AND ACCOUNTING STANDARDS:** Grantee agrees that, at a minimum, its fiscal control and accounting procedures will be sufficient to permit tracing of all grant funds to a level of expenditure adequate to establish that such funds have not been used in violation of any applicable state or federal law, or the provisions of this Grant. Grantee further agrees that it will maintain separate Project accounts in accordance with generally accepted accounting principles.
8. **GOVERNING LAW:** This Grant is governed by and shall be interpreted in accordance with the laws of the State of California.

- 9. INCOME RESTRICTIONS:** Grantee agrees that any refunds, rebates, credits, or other amounts (including any interest thereon) accruing to or received by the Grantee under this Grant shall be paid by the Grantee to the Department, to the extent that they are properly allocable to costs for which the Grantee has been reimbursed by the Department under this Grant.
- 10. INDEPENDENT CONTRACTOR:** Grantee, and its agents and employees of Grantee, in the performance of the Project, shall act in an independent capacity and not as officers, employees or agents of the Department.
- 11. MEDIA EVENTS:** Grantee shall notify the Department's Grant Manager in writing at least twenty (20) working days before any public or media event publicizing the accomplishments and/or results of the Project and provide the opportunity for attendance and participation by Department's representatives.
- 12. NO THIRD-PARTY RIGHTS:** The Department and Grantee do not intend to create any rights or remedies for any third- party as a beneficiary of this Grant or the project.
- 13. NOTICE:** Grantee shall promptly notify the Department's Grant Manager in writing of any events, developments or changes that could affect the completion of the project or the budget approved for this Grant.
- 14. PROFESSIONALS:** Grantee agrees that only licensed professionals will be used to perform services under this Grant where such services are called for.
- 15. RECORDS:** Grantee certifies that it will maintain Project accounts in accordance with generally accepted accounting principles. Grantee further certifies that it will comply with the following conditions for a grant award as set forth in the Request for Applications (Exhibit D) and the Grant Application (Exhibit A).
- A. Establish an official file for the Project which shall adequately document all significant actions relative to the Project;
 - B. Establish separate accounts which will adequately and accurately depict all amounts received and expended on this Project, including all grant funds received under this Grant;
 - C. Establish separate accounts which will adequately depict all income received which is attributable to the Project, especially including any income attributable to grant funds disbursed under this Grant;
 - D. Establish an accounting system which will adequately depict final total costs of the Project, including both direct and indirect costs; and,
 - E. Establish such accounts and maintain such records as may be necessary for the state to fulfill federal reporting requirements, including any and all reporting requirements under federal tax statutes or regulations.
- 16. RELATED LITIGATION:** Under no circumstances may Grantee use funds from any disbursement under this Grant to pay for costs associated with any litigation between the Grantee and the Department.

17. RIGHTS IN DATA: Grantee and the Department agree that all data, plans, drawings, specifications, reports, computer programs, operating manuals, notes, and other written or graphic work submitted under Exhibit A in the performance of the Project funded by this Grant shall be in the public domain. Grantee may disclose, disseminate and use in whole or in part, any final form data and information received, collected, and developed under this Project, subject to appropriate acknowledgment of credit to the Department for financial support. Grantee shall not utilize the materials submitted to the Department (except data) for any profit making venture or sell or grant rights to a third-party who intends to do so. The Department has the right to use submitted data for all governmental purposes.

18. VENUE: The Department and Grantee agree that any action arising out of this Grant shall be filed and maintained in the Superior Court, California. Grantee waives any existing sovereign immunity for the purposes of this Grant, if applicable.

19. STATE-FUNDED RESEARCH GRANTS:

- A. Grantee shall provide for free public access to any publication of a department-funded invention or department-funded technology. Grantee further agrees to all terms and conditions required by the California Taxpayer Access to Publicly Funded Research Act (Chapter 2.5 (commencing with Section 13989) of Part 4.5 of Division 3 of Title 2 of the Government Code).
- B. As a condition of receiving the research grant, Grantee agrees to the following terms and conditions which are set forth in Government Code section 13989.6 ("Section 13989.6"):
 - 1) Grantee is responsible for ensuring that any publishing or copyright agreements concerning submitted manuscripts fully comply with Section 13989.6.
 - 2) Grantees shall report to the Department the final disposition of the research grant, including, but not limited to, if it was published, when it was published, where it was published, when the 12-month time period expires, and where the manuscript will be available for open access.
 - 3) For a manuscript that is accepted for publication in a peer-reviewed journal, the Grantee shall ensure that an electronic version of the peer-reviewed manuscript is available to the department and on an appropriate publicly accessible database approved by the Department, including, but not limited to, the University of California's eScholarship Repository at the California Digital Library, PubMed Central, or the California Digital Open Source Library, to be made publicly available not later than 12 months after the official date of publication. Manuscripts submitted to the California Digital Open Source Library shall be exempt from the requirements in subdivision (b) of Section 66408 of the Education Code. Grantee shall make reasonable efforts to comply with this requirement by ensuring that their manuscript is accessible on an approved publicly accessible database, and notifying the Department that the manuscript is available on a department-approved database. If Grantee is unable to ensure that their manuscript is accessible on an approved publicly accessible database, Grantee may comply by providing the manuscript to the Department not later than 12 months after the official date of publication.

- 4) For publications other than those described in paragraph B.3 above,, including meeting abstracts, Grantee shall comply by providing the manuscript to the Department not later than 12 months after the official date of publication.
- 5) Grantee is authorized to use grant money for publication costs, including fees charged by a publisher for color and page charges, or fees for digital distribution.

Exhibit D
Additional Provisions

1. Cancellation / Termination

- A. This Grant may be cancelled by CDPH without cause upon thirty (30) calendar days advance written notice to the Grantee.
- B. CDPH reserves the right to cancel or terminate this Grant immediately for cause. The Grantee may submit a written request to terminate this Grant only if CDPH substantially fails to perform its responsibilities as provided herein.
- C. The term “for cause” shall mean that the Grantee fails to meet the terms, conditions, and/or responsibilities of this agreement. Causes for termination include, but are not limited to the following occurrences:
 - 1) If the Grantee knowingly furnishes any statement, representation, warranty, or certification in connection with the agreement, which representation is materially false, deceptive, incorrect, or incomplete.
 - 2) If the Grantee fails to perform any material requirement of this Grant or defaults in performance of this agreement.
 - 3) If the Grantee files for bankruptcy, or if CDPH determines that the Grantee becomes financially incapable of completing this agreement.
- D. Grant termination or cancellation shall be effective as of the date indicated in CDPH’s notification to the Grantee. The notice shall stipulate any final performance, invoicing or payment requirements.
- E. In the event of early termination or cancellation, the Grantee shall be entitled to compensation for services performed satisfactorily under this agreement and expenses incurred up to the date of cancellation and any non-cancelable obligations incurred in support of this Grant.
- F. In the event of termination, and at the request of CDPH, the Grantee shall furnish copies of all proposals, specifications, designs, procedures, layouts, copy, and other materials related to the services or deliverables provided under this Grant, whether finished or in progress on the termination date.
- G. The Grantee will not be entitled to reimbursement for any expenses incurred for services and deliverables pursuant to this agreement after the effective date of termination.
- H. Upon receipt of notification of termination of this Grant, and except as otherwise specified by CDPH, the Grantee shall:
 - 1) Place no further order or subgrants for materials, services, or facilities.
 - 2) Settle all outstanding liabilities and all claims arising out of such termination of orders and subgrants.

Exhibit D
Additional Provisions

- 3) Upon the effective date of termination of the Grant and the payment by CDPH of all items properly changeable to CDPH hereunder, Grantee shall transfer, assign and make available to CDPH all property and materials belonging to CDPH, all rights and claims to any and all reservations, grants, and arrangements with owners of media/PR materials, or others, and shall make available to CDPH all written information regarding CDPH's media/PR materials, and no extra compensation is to be paid to Grantee for its services.
 - 4) Take such action as may be necessary, or as CDPH may specify, to protect and preserve any property related to this agreement which is in the possession of the Grantee and in which CDPH has or may acquire an interest.
- I. CDPH may, at its discretion, require the Grantee to cease performance of certain components of the Scope of Work as designated by CDPH and complete performance of other components prior to the termination date of the Grant.

2. Avoidance of Conflicts of Interest by Grantee

- A. CDPH intends to avoid any real or apparent conflict of interest on the part of the Grantee, subgrants, or employees, officers and directors of the Grantee or subgrants. Thus, CDPH reserves the right to determine, at its sole discretion, whether any information, assertion or claim received from any source indicates the existence of a real or apparent conflict of interest; and, if a conflict is found to exist, to require the Grantee to submit additional information or a plan for resolving the conflict, subject to CDPH review and prior approval.
- B. Conflicts of interest include, but are not limited to:
- 1) An instance where the Grantee or any of its subgrants, or any employee, officer, or director of the Grantee or any subgrant or has an interest, financial or otherwise, whereby the use or disclosure of information obtained while performing services under the grant would allow for private or personal benefit or for any purpose that is contrary to the goals and objectives of the grant.
 - 2) An instance where the Grantee's or any subgrant's employees, officers, or directors use their positions for purposes that are, or give the appearance of being, motivated by a desire for private gain for themselves or others, such as those with whom they have family, business or other ties.
- C. If CDPH is or becomes aware of a known or suspected conflict of interest, the Grantee will be given an opportunity to submit additional information or to resolve the conflict. A Grantee with a suspected conflict of interest will have five (5) working days from the date of notification of the conflict by CDPH to provide complete information regarding the suspected conflict. If a conflict of interest is determined to exist by CDPH and cannot be resolved to the satisfaction of CDPH, the conflict will be grounds for terminating the grant. CDPH may, at its discretion upon receipt of a written request from the Grantee, authorize an extension of the timeline indicated herein.

Exhibit D
Additional Provisions

Dispute Resolution Process

- A. A Grantee grievance exists whenever there is a dispute arising from CDPH's action in the administration of an agreement. If there is a dispute or grievance between the Grantee and CDPH, the Grantee must seek resolution using the procedure outlined below.
- 1) The Grantee should first informally discuss the problem with the CDPH Program Grant Manager. If the problem cannot be resolved informally, the Grantee shall direct its grievance together with any evidence, in writing, to the program Branch Chief. The grievance shall state the issues in dispute, the legal authority or other basis for the Grantee's position and the remedy sought. The Branch Chief shall render a decision within ten (10) working days after receipt of the written grievance from the Grantee. The Branch Chief shall respond in writing to the Grantee indicating the decision and reasons therefore. If the Grantee disagrees with the Branch Chief's decision, the Grantee may appeal to the second level.
 - 2) When appealing to the second level, the Grantee must prepare an appeal indicating the reasons for disagreement with Branch Chief's decision. The Grantee shall include with the appeal a copy of the Grantee's original statement of dispute along with any supporting evidence and a copy of the Branch Chief's decision. The appeal shall be addressed to the Deputy Director of the division in which the branch is organized within ten (10) working days from receipt of the Branch Chief's decision. The Deputy Director of the division in which the branch is organized or his/her designee shall meet with the Grantee to review the issues raised. A written decision signed by the Deputy Director of the division in which the branch is organized or his/her designee shall be directed to the Grantee within twenty (20) working days of receipt of the Grantee's second level appeal.
- B. If the Grantee wishes to appeal the decision of the Deputy Director of the division in which the branch is organized or his/her designee, the Grantee shall follow the procedures set forth in Division 25.1 (commencing with Section 38050) of the Health and Safety Code and the regulations adopted thereunder. (Title 1, Division 2, Chapter 2, Article 3 (commencing with Section 1140) of the California Code of Regulations).
- C. Disputes arising out of an audit, examination of an agreement or other action not covered by subdivision (a) of Section 20204, of Chapter 2.1, Title 22, of the California Code of Regulations, and for which no procedures for appeal are provided in statute, regulation or the Agreement, shall be handled in accordance with the procedures identified in Sections 51016 through 51047, Title 22, California Code of Regulations.
- D. Unless otherwise stipulated in writing by CDPH, all dispute, grievance and/or appeal correspondence shall be directed to the CDPH Grant Manager.
- E. There are organizational differences within CDPH's funding programs and the management levels identified in this dispute resolution provision may not apply in every contractual situation. When a grievance is received and organizational differences exist, the Grantee shall be notified in writing by the CDPH Grant Manager of the level, name, and/or title of the appropriate management official that is responsible for issuing a decision at a given level.

INSTRUCTIONS FOR CDPH 1203
(Please read carefully.)

The information on this form will be used by the California Department of Public Health (CDPH) Asset Management (AM) to tag contract equipment and/or property (see definitions A, and B) which is purchased with CDPH funds and is used to conduct state business under this contract. After the Standard Agreement has been approved and each time state/CDPH equipment and/or property has been received, the CDPH Program Contract Manager is responsible for obtaining the information from the Contractor and submitting this form to CDPH AM. The CDPH Program Contract Manager is responsible for ensuring the information is complete and accurate. (See *Public Health Administrative Manual (PHAM)*, Section 1-1030 and Section 1-1070.)

Upon receipt of this form from the CDPH Program Contract Manager, AM will fill in the first column with the assigned state/ CDPH property tag, if applicable, for each item (See definitions A and B). AM will return the original form to the CDPH Program Contract Manager, along with the appropriate property tags. The CDPH Program Contract Manager will then forward the property tags and the original form to the Contractor and retain one copy until the termination of this contract. The Contractor should place property tags in plain sight and, to the extent possible, on the item's front left-hand corner. The manufacturer's brand name and model number are not to be covered by the property tags.

1. If the item was shipped via the CDPH warehouse and was issued a state/CDPH property tag by warehouse staff, fill in the assigned property tag. If the item was shipped directly to the Contractor, leave the first column blank.
2. Provide the quantity, description, purchase date, base unit cost, and serial number (if applicable) for each item of:
 - A. **Major Equipment:**
 - Tangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more.
 - Intangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more (e.g., software, video).

These items are issued green numbered state/ CDPH property tags.
 - B. **Minor Equipment/Property:** Specific tangible items with a life expectancy of one (1) year or more that have a base unit cost less than \$5,000. **These items are issued green unnumbered "BLANK" state/ CDPH property tags** with the exception of the following, which are issued numbered tags: Personal Digital Assistant (PDA), PDA/cell phone combination (Blackberries), laptops, desktop personal computers, LAN servers, routers, and switches. NOTE: It is CDPH policy not to tag modular furniture. (See your Federal rules, if applicable.)
3. Provide the CDPH Purchase Order (STD 65) number if the items were purchased by CDPH.
4. If a vehicle is being reported, provide the Vehicle Identification Number (VIN) and the vehicle license number to CDPH Vehicle Services.
5. If all items being reported do not fit on one form, make copies and write the number of pages being sent in the upper right-hand corner (e.g., "Page 1 of 3.") The CDPH Program Contract Manager should retain one copy and send the original to: California Department of Public Health, Asset Management, MS 1801, P.O. Box 997377, 1501 Capitol Avenue, Sacramento, CA 95899-7377.
6. Property tags that have been lost or destroyed must be replaced. Replacement property tags can be obtained by contacting AM at (916) 341-6168.
7. Use the version on the CDPH Intranet forms site. The CDPH 1203 consists of one page for completion and one page with information and instructions.

INSTRUCTIONS FOR CDPH 1204
(Please read carefully.)

The information on this form will be used by the California Department of Public Health (CDPH) Asset Management (AM) to; (a) conduct an inventory of CDPH equipment and/or property (see definitions A, and B) in the possession of the Contractor and/or Subcontractors, and (b) dispose of these same items. Report all items, regardless of the items' ages, per number 1 below, purchased with CDPH funds and used to conduct state business under this contract. (See *Public Health Administrative Manual (PHAM)*, Section 1-1000 and Section 3-1320.)

The CDPH Program Contract Manager is responsible for obtaining information from the Contractor for this form. The CDPH Program Contract Manager is responsible for the accuracy and completeness of the information and for submitting it to AM.

Inventory: List all CDPH tagged equipment and/or property on this form and submit it within 30 days prior to the three-year anniversary of the contract's effective date, if applicable. **The inventory should be based on previously submitted CDPH 1203s**, "Contractor Equipment Purchased with CDPH Funds." AM will contact the CDPH Program Contract Manager if there are any discrepancies. (See PHAM, Section 1-1020.)

Disposal: (*Definition: Trade in, sell, junk, salvage, donate, or transfer; also, items lost, stolen, or destroyed (as by fire).*) The CDPH 1204 should be completed, along with a "Property Survey Report" (STD. 152) or a "Property Transfer Report" (STD. 158), whenever items need to be disposed of; (a) during the term of this contract and (b) 30 calendar days before the termination of this contract. After receipt of this form, the AM will contact the CDPH Program Contract Manager to arrange for the appropriate disposal/transfer of the items. (See PHAM, Section 1-1050.)

1. List the state/ CDPH property tag, quantity, description, purchase date, base unit cost, and serial number (if applicable) for each item of;
 - A. Major Equipment: **(These items were issued green numbered state/ CDPH property tags.)**
 - Tangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more.
 - Intangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more (e.g., software, video.)
 - B. Minor Equipment/Property: **(These items were issued green state/ CDPH property tags.)**

Specific tangible items with a life expectancy of one (1) year or more that have a base unit cost less than \$5,000. The minor equipment and/or property items were issued green unnumbered "BLANK" state/ CDPH property tags with the exception of the following, which are issued numbered tags: Personal Digital Assistant (PDA), PDA/cell phone combination (Blackberries), laptops, desktop personal computers, LAN servers, routers and switches.
2. If a vehicle is being reported, provide the Vehicle Identification Number (VIN) and the vehicle license number to CDPH Vehicle Services. (See PHAM, Section 17-4000.)
3. If all items being reported do not fit on one page, make copies and write the number of pages being sent in the upper right-hand corner (e.g. "Page 1 of 3.")
4. The CDPH Program Contract Manager should retain one copy and send the original to: California Department of Public Health, Asset Management, MS1801, P.O. Box 997377, Sacramento, CA 95899-7377.
5. Use the version on the CDPH Intranet forms site. The CDPH 1204 consists of one page for completion and one page with information and instructions.

For more information on completing this form, call AM at (916) 341-6168.

Contractor's Release

Instructions to Contractor:

With final invoice(s) submit one (1) original and one (1) copy. The original must bear the original signature of a person authorized to bind the Contractor. The additional copy may bear photocopied signatures.

Submission of Final Invoice

Pursuant to contract number 18-10648 entered into between the State of California Department of Public Health (CDPH) and the Contractor (identified below), the Contractor does acknowledge that final payment has been requested via invoice number(s) _____, in the amount(s) of \$ _____ and dated _____. If necessary, enter "See Attached" in the appropriate blocks and attach a list of invoice numbers, dollar amounts and invoice dates.

Release of all Obligations

By signing this form, and upon receipt of the amount specified in the invoice number(s) referenced above, the Contractor does hereby release and discharge the State, its officers, agents and employees of and from any and all liabilities, obligations, claims, and demands whatsoever arising from the above referenced contract.

Repayments Due to Audit Exceptions / Record Retention

By signing this form, Contractor acknowledges that expenses authorized for reimbursement does not guarantee final allowability of said expenses. Contractor agrees that the amount of any sustained audit exceptions resulting from any subsequent audit made after final payment will be refunded to the State.

All expense and accounting records related to the above referenced contract must be maintained for audit purposes for no less than three years beyond the date of final payment, unless a longer term is stated in said contract.

Recycled Product Use Certification

By signing this form, Contractor certifies under penalty of perjury that a minimum of 0% unless otherwise specified in writing of post consumer material, as defined in the Public Contract Code Section 12200, in products, materials, goods, or supplies offered or sold to the State regardless of whether it meets the requirements of Public Contract Code Section 12209. Contractor specifies that printer or duplication cartridges offered or sold to the State comply with the requirements of Section 12156(e).

Reminder to Return State Equipment/Property (If Applicable)

(Applies only if equipment was provided by CDPH or purchased with or reimbursed by contract funds)

Unless CDPH has approved the continued use and possession of State equipment (as defined in the above referenced contract) for use in connection with another CDPH agreement, Contractor agrees to promptly initiate arrangements to account for and return said equipment to CDPH, at CDPH's expense, if said equipment has not passed its useful life expectancy as defined in the above referenced contract.

Patents / Other Issues

By signing this form, Contractor further agrees, in connection with patent matters and with any claims that are not specifically released as set forth above, that it will comply with all of the provisions contained in the above referenced contract, including, but not limited to, those provisions relating to notification to the State and related to the defense or prosecution of litigation.

ONLY SIGN AND DATE THIS DOCUMENT WHEN ATTACHING TO THE FINAL INVOICE

Contractor's Legal Name (as on contract): _____

Signature of Contractor or Official Designee: _____ Date: _____

Printed Name/Title of Person Signing: _____

CDPH Distribution: Accounting (Original) Program