



COUNTY OF LOS ANGELES TREASURER AND TAX COLLECTOR

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ttc.lacounty.gov and propertytax.lacounty.gov

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Second District
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Fourth District
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Fifth District

KEITH KNOX
TREASURER AND TAX COLLECTOR

February 29, 2024

SENT VIA EMAIL

Dear Interested Party:

REQUEST FOR STATEMENT OF QUALIFICATIONS FOR THE PROVISION OF MUNICIPAL ADVISORY SERVICES

The County of Los Angeles (County) Department of Treasurer and Tax Collector (TTC) is issuing this Request for Statement of Qualifications (RFSQ) for the provision of Municipal Advisory Services. The TTC intends to establish a Municipal Advisory Pool (Pool) of Firms to provide Municipal Advisory Services for the County.

You may download the RFSQ from the Internet by accessing the County's website at <https://camisvr.co.la.ca.us/lacobids/>, selecting "Open Solicitations," and then searching by the solicitation title of **Municipal Advisory Services**. You may also download the RFSQ by accessing the TTC's website <https://ttc.lacounty.gov/contract-opportunities/>. Firms are responsible for downloading and reviewing the entire RFSQ.

The RFSQ contains the service requirements, Statement of Qualifications (SOQ) content and format requirements, a description of the SOQ selection process, and a sample Master Agreement. Firms that meet the minimum requirements identified in RFSQ, Paragraph 3, Minimum Mandatory Requirements, are invited to submit an SOQ to provide the services described in Exhibit D, Statement of Work, of Appendix A, Sample Contract. Firms should carefully review the RFSQ and ensure their SOQ complies with all RFSQ requirements.

Firms must prepare the SOQ in accordance with RFSQ, Paragraph 7, Statement of Qualifications Requirements. Firms understand and agree that submission of an SOQ constitutes acknowledgement and acceptance of, and a willingness to comply with all terms and conditions of this RFSQ and any addenda, including but not limited to, Appendix A, Master Agreement. **The terms and conditions of RFSQ, Appendix A, Master Agreement, are not negotiable.**

SOQs are due by 5:00 p.m. Pacific Time on March 28, 2024, and must be emailed to: contracts@ttc.lacounty.gov. The TTC will seek approval from the County of Los Angeles Board of Supervisors to execute and administer Master Agreements with qualified Firms that submitted SOQs by the initial deadline to establish an initial Pool. The Master

Interested Party
February 29, 2024
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Agreement Term shall be for a period of three years commencing upon the execution of the first individual Master Agreement, unless sooner terminated or extended.

The TTC may, at its sole discretion, continue to accept SOQs after the initial deadline for inclusion in the Pool until such time as the TTC determines that the number of Firms in the Pool is sufficient to meet the needs of the County. The TTC may, at its sole discretion, elect to stop accepting SOQs at any time after the initial deadline.

Very truly yours,

A handwritten signature in black ink that reads "Elizabeth B. Minsberg for". The signature is written in a cursive style and is positioned above the printed name and title.

KEITH KNOX
Treasurer and Tax Collector

KK:VN:DS:lac



**COUNTY OF LOS ANGELES
TREASURER AND TAX COLLECTOR**

REQUEST FOR STATEMENT OF QUALIFICATIONS (RFSQ)

**FOR THE PROVISION OF
MUNICIPAL ADVISORY SERVICES
TTC RFSQ 2024-01 MAS**

FEBRUARY 2024

Prepared By
County of Los Angeles

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APPENDICES

- A Master Agreement:** Identifies the terms and conditions in the Master Agreement.
- B Required Forms:** Forms that must be completed and included in the Statement of Qualifications (SOQ).
- C Solicitation Requirements Review (SRR) Request:** Transmittal sent to Department requesting a Solicitation Requirements Review.

1 SOLICITATION INFORMATION AND MINIMUM MANDATORY REQUIREMENTS

Request for Statement of Qualifications (RFSQ) Release Date	02/29/24
Request for Solicitation Requirements Review Due	03/11/24
Written Questions Due	03/11/24
Questions and Answers Released via Addendum on or about	03/20/24
Statement of Qualifications (SOQ) Due by 5:00 p.m. Pacific Time (PT) (initial deadline)	03/28/24
Anticipated Master Agreement Term	<p>Base Term: Three years</p> <p>Option periods: Three additional one-year periods, and/or six month-to-month extensions</p> <p>Maximum total Master Agreement Term: Six years and six months</p> <p>Option periods are exercised at the sole discretion of the Treasurer and Tax Collector</p>
Minimum Mandatory Requirements	<ol style="list-style-type: none"> 1. Firm must be an independent municipal advisory firm that is registered as a Municipal Advisor with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB). Firm must provide proof of registration as a municipal advisor with the SEC and its MSRB registration number. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u> 2. Firm must not provide underwriting services and/or be a participant in the County's current Underwriter Pool at the time of the Statement of Qualifications

	<p>submission and throughout the term of the Master Agreement. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p> <p>3. Firms must have a minimum of five years' experience within the last ten years of providing municipal advisory services within the State of California. In the event a firm has not been in business for the minimum number of years, then at least one of the firm's principals, partners, or officers who will be providing services to the County under the Master Agreement must personally meet this minimum mandatory requirement from previous organizations. Firms must explicitly state that they are seeking to qualify under this provision. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p> <p>4. Firm must maintain a business office in the Los Angeles metropolitan area, which includes Los Angeles County and any of the counties that border it. Firm must provide the address of its business office in its proposal. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p> <p>5. Firm must provide a list of Municipal Advisory Services performed for a minimum of ten financing projects for Municipal Entities in California, which resulted in the issuance of debt securities or debt instruments, such as short-term notes, lease-revenue bonds, general obligation bonds and letters of credit or other types of credit facilities since January 1, 2017. <u>The Proposer must provide a confirming statement</u></p>
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	<p><u>demonstrating that it meets this requirement.</u></p> <p>6. Firm must attest to its capability and intention to perform all of the services listed in Appendix A (Master Agreement), Exhibit D (Statement of Work), Paragraph 3.0 (Scope of Services) of this RFSQ by completing Exhibit 1 (Organization Questionnaire/Affidavit), of Appendix B (Required Forms), of this RFSQ. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p> <p>7. Firm must agree to comply with the Department of Treasurer and Tax Collector’s requirement prohibiting municipal advisory Firms from making cash contributions or providing in-kind services to promote or facilitate California school or community college district campaigns for general obligation bond ballot measures. Furthermore, Firms must also comply with related restrictions promulgated by the MSRB in Rule G-37. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p> <p>8. Firm or principal owner(s) must not appear on the Listing of Contractors Debarred in the County. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u> https://doingbusiness.lacounty.gov/listing-of-contractors-debarred-in-los-angeles-county/</p> <p>9. If Firm’s compliance with a County contract has been reviewed by the Department of Auditor-Controller (A-C) within the last ten years, Firm must not have unresolved questioned costs identified by the A-C, in an amount over</p>
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	<p>\$100,000, that are confirmed to be disallowed costs by the contracting County department, and remain unpaid for six months or more from the date of disallowance, unless such disallowed costs are the subject of current good faith negotiations to resolve the disallowed costs, in the opinion of the County. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p>
RFSQ Contact	<p>David Sandoval, Contract Analyst Email: contracts@ttc.lacounty.gov Office: (213) 974-7360</p>

2 GENERAL INFORMATION

The County of Los Angeles (County) Department of Treasurer and Tax Collector (TTC) is issuing a Request for Statement of Qualifications (RFSQ) for Firms to provide Municipal Advisory Services.

The County is authorized under California Government Code Section 31000 to contract for special services on behalf of the County. Pursuant to this authority, the County may contract with private businesses for the provision of Municipal Advisory Services. Pursuant to California Government Code Section 23005, the TTC will seek approval from the Board of Supervisors (Board) to execute and administer Master Agreements with qualified Firms to form the Municipal Advisory Pool (Pool).

The Municipal Advisory Services detailed in the RFSQ are synonymous with "municipal advisory activities" as defined by the Securities and Exchange Commission (SEC). The Securities and Exchange Act of 1934 Rule 15Ba1-1(e) defines municipal advisory activities to mean: providing advice to or on behalf of a municipal entity regarding municipal financial products or issuing municipal securities, including advice regarding the structure, timing, terms, and other similar matters concerning such financial products or issues. A detailed description of the scope of Municipal Advisory Services can be found in Appendix A (Master Agreement), Exhibit D (Statement of Work (SOW)), Paragraph 3.0 (Scope of Services) of the RFSQ.

In 2010, the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act) established a federal regulatory framework that required municipal advisors to register with the SEC, effective October 1, 2010, and instituted a statutory fiduciary duty to Municipal Entity clients. The SEC adopted an interim final rule to establish a temporary means for municipal advisors to satisfy the registration requirement. The final rules for municipal advisor registration became effective July 1, 2014. The Dodd-Frank Act also granted the Municipal Securities Rulemaking Board (MSRB) authority to regulate municipal advisors engaging in municipal advisory activities. Municipal advisors are subject to a variety of rules promulgated by the MSRB that establish core standards of conduct for municipal advisors. All prospective Firms who apply to be in the Pool must be registered as municipal advisors with the SEC and the MSRB at the time of their RFSQ response submissions.

It is the intent of the TTC to utilize Firms throughout the term of the Master Agreements on an as-needed basis, as determined by the TTC in its sole discretion, for the provision of Municipal Advisory Services.

Background

The County is one of the largest and the most populous counties in the nation. With an estimated population of 9.9 million, the County has a larger population than 43 states, and represents approximately 26% of California's total population. As a subdivision of the State of California (State), the County is responsible for providing a wide range of government services required by State law, including law enforcement, property assessment, tax collection, public health protection, and public social services. In

addition, the County is responsible for providing municipal services to the unincorporated areas of the County and certain municipal services to incorporated cities on a contract fee-for-service basis, such as law enforcement and fire protection. Funding for County programs and services are primarily from the State and Federal Government, the County's share of property tax revenue, and fees for services rendered. More detailed information is available on the County website at www.lacounty.gov.

The County is a frequent issuer of debt securities, with strong name recognition in the national fixed-income markets. The TTC is responsible for the debt issuance process to finance cash flow requirements and various capital construction and improvement projects on behalf of the County and its affiliated agencies and districts. More detailed financial information on the County and its related financing programs and debt profile is available on the investor information page of the TTC website at <https://ttc.lacounty.gov/investor-information/>.

2.1 Anticipated Debt Financing Projects and Programs

The County's anticipated debt financing projects and programs over the proposed term of the Master Agreement are likely to include the following:

- i. Annual issuance of Tax and Revenue Anticipation Notes.
- ii. One or more medium-term lease-revenue bond financings to fund the County's capital equipment needs.
- iii. One or more long-term lease-revenue bond financings to fund major capital construction projects.
- iv. One or more successor Redevelopment Agency bond financings.
- v. One or more land secured financings, including Community Facilities Districts, and County Improvement Districts.
- vi. Restructuring of bank credit facilities supporting the issuance of short-term lease-revenue notes related to the commercial paper program.

2.2 Overview of Solicitation Document

This RFSQ:

- 2.2.1** Specifies the Firm's Minimum Mandatory Requirements, provides information regarding some of the requirements of the Master Agreement and the solicitation process.
- 2.2.2** Contains instructions to Firms in how to prepare and submit their Statement of Qualifications (SOQ).
- 2.2.3** Explains how the SOQ will be reviewed, selected and qualified.
- 2.2.4** The following Appendices are included in the RFSQ:

- A Master Agreement:** The Master Agreement used for this solicitation. The terms and conditions shown in the Master Agreement are not negotiable.
- B Required Forms:** Forms contained in this section must be completed and included in the SOQ.
- C Solicitation Requirements Review (SRR) Request:** Transmittal sent to Department requesting a Solicitation Requirements Review.

2.3 Terms and Definitions

The headings in this RFSQ are for convenience and reference only and do not define the scope of any provisions in this RFSQ. The definitions shall be construed to have the meanings indicated unless another meaning is apparent from the context in which the term is used. For your convenience, definitions are located in Appendix A (Master Agreement), Paragraph 2 (Definitions).

2.4 Master Agreement Process

- 2.4.1** The objective of this RFSQ process is to establish a Pool of Firms to provide Municipal Advisory Services for the County. A Firm must meet all requirements of this RFSQ in order to be included in the Pool.
- 2.4.2** The TTC will review each SOQ that a Firm submits by the initial SOQ submission deadline identified in Paragraph 1 (Solicitation Information and Minimum Mandatory Requirements) and determine if the Firm meets all requirements of this RFSQ. The TTC will seek approval from the Board to execute and administer Master Agreements with qualified Firms and establish an initial Pool.
- 2.4.3** The TTC may, at its sole discretion, continue to accept SOQs after the initial deadline for inclusion in the Pool until such time as the TTC determines that the number of Firms in the Pool is sufficient to meet the needs of the County.
- 2.4.4** The TTC may, at its sole discretion, elect to stop accepting SOQs at any time after the initial deadline.
- 2.4.5** The Master Agreement sets forth the terms and conditions for the issuance and performance of, and otherwise governs, subsequent Work Orders.

2.5 Master Agreement Term

The Master Agreement Term will be for a period of three years commencing upon the execution of the first individual Master Agreement, unless sooner terminated or extended, with up to three one-year renewal options and/or six month-to-month extensions, for a maximum total Master Agreement Term of six years and six months. The Master Agreement is deemed executed upon the

Firm's signature, and thereafter, the approval and signature of the Treasurer and Tax Collector, as authorized by the Board.

Option periods will be exercised at the sole discretion of the Treasurer and Tax Collector, or his designee, as authorized by the Board.

2.6 Indemnification and Insurance

Firm shall be required to comply with the Indemnification provisions contained in Appendix A (Master Agreement), Subparagraph 8.23, Indemnification. Firm must procure, maintain, and provide to the County proof of insurance coverage for all the programs of insurance along with associated amounts specified in Appendix A (Master Agreement), Subparagraphs 8.24 and 8.25.

3 MINIMUM MANDATORY REQUIREMENTS

The TTC invites interested and qualified Firms that meet the Minimum Mandatory Requirements stated below to submit an SOQ. For all Minimum Mandatory Requirements below, Firm must attest it meets or does not meet each Minimum Mandatory Requirement on Exhibit 6 (Minimum Mandatory Requirements) of Appendix B (Required Forms).

- 3.1** Firm must be an independent municipal advisory firm that is registered as a Municipal Advisor with the SEC and the MSRB. Firm must provide proof of registration as a municipal advisor with the SEC and its MSRB registration number. The Proposer must provide a confirming statement demonstrating that it meets this requirement.
- 3.2** Firm must not provide underwriting services and/or be a participant in the County's current Underwriter Pool at the time of the SOQ submission and throughout the term of the Master Agreement. The Proposer must provide a confirming statement demonstrating that it meets this requirement.
- 3.3** Firms must have a minimum of five years' experience within the last ten years of providing municipal advisory services within the State of California. In the event a firm has not been in business for the minimum number of years, then at least one of the firm's principals, partners, or officers who will be providing services to the County under the Master Agreement must personally meet this minimum mandatory requirement from previous organizations. Firms must explicitly state that they are seeking to qualify under this provision. The Proposer must provide a confirming statement demonstrating that it meets this requirement.
- 3.4** Firm must maintain a business office in the Los Angeles metropolitan area, which includes Los Angeles County and any of the counties that border it. Firm must provide the address of its business office in its proposal. The Proposer must provide a confirming statement demonstrating that it meets this requirement.
- 3.5** Firm must provide a list of Municipal Advisory Services performed for a minimum of ten financing projects for Municipal Entities in California, which resulted in the

issuance of debt securities or debt instruments, such as short-term notes, lease-revenue bonds, general obligation bonds and letters of credit or other types of credit facilities since January 1, 2017. The Proposer must provide a confirming statement demonstrating that it meets this requirement.

- 3.6** Firm must attest to its capability and intention to perform all of the services listed in Appendix A (Master Agreement), Exhibit D (Statement of Work), Paragraph 3.0 (Scope of Services), of this RFSQ by completing Exhibit 1 (Organization Questionnaire/Affidavit), of Appendix B (Required Forms), of this RFSQ. The Proposer must provide a confirming statement demonstrating that it meets this requirement.
- 3.7** Firm must agree to comply with the TTC's requirement prohibiting municipal advisory Firms from making cash contributions or providing in-kind services to promote or facilitate California school or community college district campaigns for general obligation bond ballot measures. Furthermore, Firms must also comply with related restrictions promulgated by the MSRB in Rule G-37. The Proposer must provide a confirming statement demonstrating that it meets this requirement.
- 3.8** Firm or principal owner(s) must not appear on the Listing of Contractors Debarred in the County. The Proposer must provide a confirming statement demonstrating that it meets this requirement.
- <https://doingbusiness.lacounty.gov/listing-of-contractors-debarred-in-los-angeles-county/>
- 3.9** If Firm's compliance with a County contract has been reviewed by the Department of Auditor-Controller (A-C) within the last ten years, Firm must not have unresolved questioned costs identified by the A-C, in an amount over \$100,000, that are confirmed to be disallowed costs by the contracting County department, and remain unpaid for six months or more from the date of disallowance, unless such disallowed costs are the subject of current good faith negotiations to resolve the disallowed costs, in the opinion of the County. The Proposer must provide a confirming statement demonstrating that it meets this requirement.

4 COUNTY'S RIGHTS AND RESPONSIBILITIES

4.1 Representations Made Prior to Master Agreement Execution

The County is not responsible for representations made by any of its officers or employees prior to the execution of the Master Agreement unless such understanding or representation is included in the Master Agreement.

4.2 County's Right to Amend Request for Statement of Qualifications

The County has the right to amend the RFSQ by written addendum. The County is responsible only for that which is expressly stated in the solicitation document and any authorized written addenda thereto. Such addendum will be made available to each person or organization which County records indicate has received this RFSQ. Should such addendum require additional information not previously requested, failure to address the requirements of such addendum may result in the SOQ not being considered, as determined in the sole discretion of the County. The County is not responsible for and will not be bound by any representations otherwise made by any individual acting or purporting to act on its behalf.

4.3 TTC Option to Reject SOQs

The County may, at its sole discretion, reject any or all SOQs submitted in response to this solicitation or may, in its sole discretion, decline to award a Master Agreement, and may cancel the RFSQ in its entirety at any time prior to award of a Master Agreement. The County will not be liable for any cost incurred by a Firm in connection with preparation and submittal of any SOQ. The County reserves the right to waive inconsequential disparities in a submitted SOQ.

4.4 Background and Security Investigations

All Contractor personnel performing work under the Master Agreement must be required to undergo and pass to the satisfaction of the TTC, a background investigation as a condition of beginning and continuing to work under the Master Agreement. Such background investigation must be obtained through fingerprints submitted to the California Department of Justice to include state, local, and federal level review, which may include, but will not be limited to, criminal conviction information. Examples of disqualifying factors include, but are not limited to, bribery, robbery, theft, fraud, embezzlement, forgery, extortion, perjury, convictions involving a controlled substance, convictions involving stolen property, any felony conviction, a misdemeanor conviction involving moral turpitude, or any job-related misdemeanor conviction. The fees associated with background investigation will be at the expense of the Contractor regardless if the member of Contractor's staff passes or fails the background investigation.

5 NOTIFICATION TO FIRMS

5.1 Public Records Act

5.1.1 Responses to this RFSQ will become the exclusive property of the County. The TTC will seek approval, at such time as, when the TTC recommends the qualified Firm(s) to the Board and such recommendation appears on the Board agenda, all SOQs submitted in response to this RFSQ, become a matter of public record, with the exception of those parts of each SOQ which are justifiably defined and identified by the Firm as business or trade secrets, and plainly marked as “Trade Secret,” “Confidential,” or “Proprietary.”

5.1.2 The County will not, in any way, be liable or responsible for the disclosure of any such record or any parts thereof, if disclosure is required or permitted under the California Public Records Act or otherwise by law. A blanket statement of confidentiality or the marking of each page of the SOQ as confidential will not be deemed sufficient notice of exception. The Firm must specifically label only those provisions of their respective SOQ which are “Trade Secrets,” “Confidential,” or “Proprietary” in nature.

5.2 Contact with County Personnel

Any contact regarding this RFSQ or any matter relating thereto must be in writing and emailed to:

David Sandoval
contracts@ttc.lacounty.gov

Firms may not contact County personnel other than the person specified above, regarding this solicitation. If the TTC discovers that a Firm contacted and received information from any County personnel, other than the person specified above, regarding this solicitation, the TTC, in its sole determination, may disqualify their SOQ from further consideration.

5.3 Mandatory Requirement to Register on County’s WebVen

Prior to executing a Master Agreement, all potential Firms must register in the County’s WebVen. The WebVen contains the Firm’s business profile and identifies the goods/services the business provides. Registration can be accomplished online via the Internet by accessing the County’s home page at <http://camisvr.co.la.ca.us/webven/>.

5.4 Protest Process

5.4.1 Under Board Policy No. 5.055 ([Services Contract Solicitation Protest](#)), any prospective Firm may request a review of the requirements under a solicitation for a Board-approved services contract, as described in Subparagraph 5.4.3 below. Additionally, any actual Firm may request a

review of a disqualification under such a solicitation, as described in the Subparagraphs below.

5.4.2 Throughout the review process, the County has no obligation to delay or otherwise postpone an award of a Master Agreement based on a Firm's protest. In all cases, the County reserves the right to make an award when it is determined to be in the best interest of the County of Los Angeles to do so.

5.4.3 Grounds for Review

Unless state or federal statutes or regulations otherwise provide, the grounds for review of the TTC's determination or action should be limited to the following:

5.4.3.1 Solicitation Requirements Review (Referenced in Subparagraph 9.1)

5.4.3.2 Disqualification Review (Referenced in Subparagraph 9.2)

5.5 Conflict of Interest

No County employee whose position in the County enables them to influence the selection of a Firm for this RFSQ, or any competing RFSQ, nor any spouse or economic dependent of such employees, will be employed in any capacity by a Firm or have any other direct or indirect financial interest in the selection of a Firm. Firm must certify that they are aware of and have read [Section 2.180.010 of the Los Angeles County Code](#) as stated in Exhibit 2 (Certification of Compliance) of Appendix B (Required Forms).

5.6 Determination of Firm Responsibility

5.6.1 A responsible Firm is a Firm who has demonstrated the attribute of trustworthiness as well as quality, fitness, capacity, and experience to satisfactorily perform the contract. It is the County's policy to conduct business only with responsible Firms.

5.6.2 Firms are hereby notified that, in accordance with [Chapter 2.202 of the County Code](#), the County may determine whether the Firm is responsible based on a review of the Firm's performance on any contracts, including but not limited to County contracts. Particular attention will be given to violations of labor laws related to employee compensation and benefits, and evidence of false claims made by the Firm against public entities. Labor law violations which are the fault of the subcontractors and of which the Firm had no knowledge will not be the basis of a determination that the Firm is not responsible.

5.6.3 The County may declare a Firm to be non-responsible for purposes of this Master Agreement if the Board, in its discretion, finds that the Firm has done any of the following: (1) violated a term of a contract with the County or a nonprofit corporation created by the County; (2) committed

an act or omission which negatively reflects on the Firm's quality, fitness or capacity to perform a contract with the County, any other public entity, or a nonprofit corporation created by the County, or engaged in a pattern or practice which negatively reflects on same; (3) committed an act or omission which indicates a lack of business integrity or business honesty; or (4) made or submitted a false claim against the County or any other public entity.

- 5.6.4** If there is evidence that the Firm may not be responsible, the Department will notify the Firm in writing of the evidence relating to the Firm's responsibility, and its intention to recommend to the Board that the Firm be found not responsible. The Department will provide the Firm and/or the Firm's representative with an opportunity to present evidence as to why the Firm should be found to be responsible and to rebut evidence which is the basis for the Department's recommendation.
- 5.6.5** If the Firm presents evidence in rebuttal to the Department, the Department will evaluate the merits of such evidence, and based on that evaluation, make a recommendation to the Board. The final decision concerning the responsibility of the Firm will reside with the Board of Supervisors.
- 5.6.6** These terms will also apply to proposed subcontractors of Firms on County Master Agreements.

5.7 Firm Debarment

- 5.7.1** Firm is hereby notified that, in accordance with [Chapter 2.202 of the County Code](#), the County may debar the Firm from bidding or proposing on, or being awarded, and/or performing work on other County contracts for a specified period of time, which generally will not exceed five years but may exceed five years or be permanent if warranted by the circumstances, and the County may terminate any or all of the Firm's existing contracts with County, if the Board finds, in its discretion, that the Firm has done any of the following: (1) violated a term of a contract with the County or a nonprofit corporation created by the County; (2) committed an act or omission which negatively reflects on the Firm's quality, fitness or capacity to perform a contract with the County, any other public entity, or a nonprofit corporation created by the County, or engaged in a pattern or practice which negatively reflects on same; (3) committed an act or offense which indicates a lack of business integrity or business honesty; or (4) made or submitted a false claim against the County or any other public entity.
- 5.7.2** These terms will also apply to proposed subcontractors of Firms on County contracts.

- 5.7.3** A listing of contractors that are currently on the Debarment List for Los Angeles County may be obtained on the following website: <https://doingbusiness.lacounty.gov/listing-of-contractors-debarred-in-los-angeles-county/>.

5.8 Improper Considerations

5.8.1 Attempt to Secure Favorable Treatment

It is improper for any County officer, employee, or agent to solicit consideration, in any form, from a Firm with the implication, suggestion or statement that the Firm's provision of the consideration may secure more favorable treatment for the Firm in the award of a Master Agreement or that the Firm's failure to provide such consideration may negatively affect the County's consideration of the Firm's submission. A Firm must not offer or give either directly or through an intermediary, consideration, in any form, to a County officer, employee or agent for the purpose of securing favorable treatment with respect to the award of a Master Agreement.

5.8.2 Notification to County

A Firm must immediately report any attempt by a County officer, employee, or agent to solicit such improper consideration. The report must be made to the Los Angeles County Fraud Hotline at (800) 544-6861 or <https://fraud.lacounty.gov/>. Failure to report such a solicitation may result in the Vendor's submission being eliminated from consideration.

5.8.3 Form of Improper Consideration

Among other items, such improper consideration may take the form of cash, discounts, services, the provision of travel or entertainment, or tangible gifts.

5.9 County Lobbyist Ordinance

The County has enacted an ordinance regulating the activities of persons who lobby County officials. This ordinance, referred to as the "Lobbyist Ordinance," defines a County Lobbyist and imposes certain registration requirements upon individuals meeting the definition. The complete text of the ordinance can be found in [County Code Chapter 2.160](#). In effect, each person, corporation or other entity that seeks a County permit, license, franchise or contract must certify compliance with the ordinance. As part of this solicitation process, it will be the responsibility of each Firm to review the ordinance independently as the text of said ordinance is not contained within this RFSQ. Thereafter, each person, corporation or other entity submitting a response to this solicitation, must certify that each County Lobbyist, as defined by [Los Angeles County Code Section 2.160.010](#), retained by the Firm is in full compliance with [Chapter 2.160](#)

[of the Los Angeles County Code](#) and each such County Lobbyist is not on the Executive Office's List of Terminated Registered Lobbyists.

5.10 Consideration of GAIN/START Participants for Employment

- 5.10.1** As a threshold requirement for consideration of a Master Agreement, Firms must demonstrate a proven record of hiring participants in the County's [Department of Public Social Services Greater Avenues for Independence \(GAIN\) or Skills and Training to Achieve Readiness for Tomorrow \(START\) Programs](#) or must attest to a willingness to consider GAIN/START participants for any future employment openings if they meet the minimum qualifications for that opening. Firms must attest to a willingness to provide employed GAIN/START participants access to the Firm's employee mentoring program, if available, to assist these individuals in obtaining permanent employment and/or promotional opportunities.
- 5.10.2** Firms who are unable to meet this requirement will not be considered for a Master Agreement. Firms must submit a completed Exhibit 2 (Certification of Compliance) of Appendix B (Required Forms), along with their SOQ.

5.11 Jury Service Program

- 5.11.1** The prospective Master Agreement is subject to the requirements of the County's Contractor Employee Jury Service Ordinance ("Jury Service Program") ([Los Angeles County Code, Chapter 2.203](#)). Prospective Contractors should carefully review Paragraph 8.8 (Compliance with County's Jury Service Program) of Appendix A (Master Agreement), which is incorporated by reference into and made a part of this RFSQ. The Jury Service Program applies to both Contractors and their Subcontractors.
- SOQs that fail to comply with the requirements of the Jury Service Program will be considered non-responsive and excluded from further consideration.
- 5.11.2** Contractor must certify compliance with County's Contractor Employee Jury Service Ordinance in Exhibit 2 (Certification of Compliance) of Appendix B (Required Forms). If a Contractor does not fall within the Jury Service Program's definition of "Contractor" or if it meets any of the exceptions to the Jury Service Program, then the Contractor must so indicate in Exhibit 2 (Certification of Compliance) of Appendix B (Required Forms) and include with its submission all necessary documentation to support the claim such as tax returns or a collective bargaining agreement, if applicable. Upon reviewing the Contractor's application, the County will determine, in its sole discretion, whether the Contractor falls within the definition of Contractor or meets any of the

exceptions to the Jury Service Program. The County's decision will be final.

5.12 Pending Acquisitions/Mergers by Proposing Company

The Firm must notify the County of any pending acquisitions/mergers of its company unless otherwise legally prohibited from doing so. If the Firm is restricted from legally notifying the County of pending acquisitions/mergers, then it should notify the County of the actual acquisitions/mergers as soon as the law allows and provide to the County the legal framework that restricted it from notifying the County prior to the actual acquisitions/mergers. This information must be provided by the Firm in Exhibit 1 (Organization Questionnaire/Affidavit) of Appendix B (Required Forms). Failure of the Firm to provide this information may eliminate its SOQ from any further consideration. Firm should have a continuing obligation to notify the County and update any changes to its response in Exhibit 1 (Organization Questionnaire/Affidavit) of Appendix B (Required Forms) during the solicitation.

5.13 Intentionally Omitted

5.14 Defaulted Property Tax Reduction Program

5.14.1 The prospective Master Agreement is subject to the requirements of the County's Defaulted Property Tax Reduction Program ("Defaulted Tax Program") [Los Angeles County Code, Chapter 2.206](#). Prospective Contractors should reference the pertinent provisions of Appendix A (Master Agreement), Subparagraphs 8.51 (Warranty of Compliance with County's Defaulted Property Tax Reduction Program) and 8.52 (Termination for Breach of Warranty to Maintain Compliance with County's Defaulted Property Tax Reduction Program), both of which are incorporated by reference into and made a part of this solicitation. The Defaulted Tax Program applies to both Contractors and their Subcontractors.

5.14.2 Firms will be required to certify that they are in full compliance with the provisions of the Defaulted Tax Program and must maintain compliance during the term of any contract that may be awarded pursuant to this solicitation or must certify that they are exempt from the Defaulted Tax Program by completing Exhibit 2 (Certification of Compliance) in Appendix B (Required Forms). Failure to maintain compliance, or to timely cure defects, may be cause for termination of a contract or initiation of debarment proceedings against the non-compliance contractor ([Los Angeles County Code, Chapter 2.202](#)).

5.14.3 SOQs that fail to comply with the certification requirements of the Defaulted Tax Program will be considered non-responsive and excluded from further consideration.

5.15 County's Commitment to Zero Tolerance Policy on Human Trafficking

- 5.15.1** On October 4, 2016, the County approved a motion taking significant steps to protect victims of human trafficking by establishing a zero-tolerance policy on human trafficking. The policy prohibits Firms engaged in human trafficking from receiving contract awards or performing services under a County contract.
- 5.15.2** Firms are required to complete Exhibit 2 (Certification of Compliance) in Appendix B (Required Forms), certifying that they are in full compliance with the County's Zero Tolerance Policy on Human Trafficking provision as defined in Paragraph 8.55 (Compliance with County's Zero Tolerance Policy on Human Trafficking) of Appendix A (Master Agreement). Further, contractors are required to comply with the requirements under said provision for the term of any Master Agreement awarded pursuant to this solicitation.

5.16 Default Method of Payment: Direct Deposit or Electronic Funds Transfer (EFT)

- 5.16.1** The County, at its sole discretion, has determined that the most efficient and secure default form of payment for goods and/or services provided under an agreement/contract with the County will be Electronic Funds Transfer (EFT) or direct deposit, unless an alternative method of payment is deemed appropriate by the A-C.
- 5.16.2** Upon contract award or at the request of the A-C and/or the contracting department, the Contractor must submit a direct deposit authorization request with banking and Firm information, and any other information that the A-C determines is reasonably necessary to process the payment and comply with all accounting, record keeping, and tax reporting requirements.
- 5.16.3** Any provision of law, grant, or funding agreement requiring a specific form or method of payment other than EFT or direct deposit will supersede this requirement with respect to those payments.
- 5.16.4** Upon contract award or at any time during the duration of the agreement/ contract, a Contractor may submit a written request for an exemption to this requirement. The A-C, in consultation with the contracting department(s), will decide whether to approve exemption requests.

5.17 Firm's Acknowledgement of County's Commitment to Fair Chance Employment Hiring Practices

- 5.17.1** On May 29, 2018, the County approved a Fair Chance Employment Policy in an effort to remove job barriers for individuals with criminal records. The policy requires businesses that contract with the County to

comply with fair chance employment hiring practices set forth in [California Government Code Section 12952](#).

5.17.2 Contractors are required to complete Exhibit 2 (Certification of Compliance) in Appendix B (Required Forms), certifying that they are in full compliance with [Section 12952](#), as indicated in the Master Agreement. Further, contractors are required to comply with the requirements under [Section 12952](#) for the term of any contract awarded pursuant to this solicitation.

5.18 Prohibition from Participation in Future Solicitation(s)

A Firm, or a Contractor or its subsidiary or Subcontractor ("Firm/Contractor"), is prohibited from submitting an SOQ in a County solicitation if the Firm/Contractor has provided advice or consultation for the solicitation. A Firm/Contractor is also prohibited from submitting an SOQ in a County solicitation if the Firm/Contractor has developed or prepared any of the solicitation materials on behalf of the County. A violation of this provision will result in the disqualification of the Contractor/Firm from participation in the County solicitation or the termination or cancellation of any resultant County Master Agreement. ([Los Angeles County Code, Chapter 2.202](#)).

5.19 Community Business Enterprise (CBE) Participation

The County has adopted a Community Business Enterprise (CBE) Program, which includes business enterprises certified as disadvantaged business enterprises disabled veteran-owned, minority-owned, women-owned, and lesbian, gay, bisexual, transgender, queer, and questioning-owned business types. The County has established a collective 25% participation goal for CBE certified firms, calculated on the eligible procurement dollars. The program maintains data on the types of businesses registered as CBEs and their utilization. The Firm's CBE participation must be reflected in Exhibit 5 (Community Based Enterprise (CBE) Information) form in Appendix B (Required Forms).

All Firms must document efforts it has taken to assure that CBEs are utilized, when possible, to provide supplies, equipment, technical services, and other services under this Master Agreement. The Firm must make documents related to these efforts available to the County upon request.

The County strongly encourages participation by CBEs; however, the final selection will be made without regard to race, color, creed, or gender. The final selection will be based on the Firm's ability to provide the best service and value to the County.

To obtain a list of the County's CBE certified firms, email the request to the County of Los Angeles Department of Economic Opportunity at CBESBE@opportunity.lacounty.gov with the subject "Request for CBE Listing."

For additional information contact the Office of Small Business at (844) 432-4900 or at OSB@opportunity.lacounty.gov.

5.20 Intentionally Omitted

5.21 Information Security and Privacy Requirements

Proposers should carefully read Exhibit G (Information Security and Privacy Requirements) of Appendix A (Master Agreement), and the pertinent provisions in Subparagraph 9.4 (Information Security and Privacy Requirements) of Appendix A (Master Agreement), both of which are incorporated by reference into and made a part of this solicitation. The Information Security and Privacy Requirements applies to both Contractors and their Subcontractors. Proposers will be required to certify that they are in full compliance with the provisions of the Information Security and Privacy Requirements and must maintain compliance during the term of any contract that may be awarded pursuant to this solicitation. Failure to maintain compliance, or to timely cure defects, may be cause for Contract termination or initiation of debarment proceedings against the non-compliant Contractor ([Los Angeles County Code, Chapter 2.202](#)).

5.22 Contribution Disclosure Requirement

In order to comply with the requirements of California [Senate Bill 1439](#), within one business day of any County request, the successful Proposer is required to disclose any contributions or gifts it or its agents made to County officers, including the Board, of more than \$250.

6 COUNTY'S PREFERENCE PROGRAMS

6.1 Overview of County's Preference Programs

6.1.1 The County has three preference programs. The Local Small Business Enterprise (LSBE), Disabled Veteran Business Enterprise (DVBE), and Social Enterprise (SE). The Board encourages business participation in the County's contracting process by continually streamlining and simplifying our selection process and expanding opportunities for these businesses to compete for County opportunities.

6.1.2 The Preference Programs (LSBE, DVBE, and SE) require that a business complete certification prior to requesting a preference in a solicitation. This program and how to obtain certification are further explained in Subparagraph 6.2, 6.3, and 6.4 of this solicitation. Additional information on the County's preference programs is also available on the Department of Consumer and Business Affairs' (DCBA) website at <http://dcba.lacounty.gov>.

6.1.3 In no case will the Preference Programs (LSBE, DVBE, and SE) price or scoring preference be combined with any other county preference program to exceed 15% in response to any County solicitation.

6.1.4 Sanctions and financial penalties may apply to a business that knowingly, and with intent to defraud, seeks to obtain or maintain certification as a certified LSBE, DVBE, or SE when not qualified.

6.2 Local Small Business Enterprise (LSBE) Preference Program

6.2.1 In reviewing Work Order Bids, the County will give LSBE preference to businesses that meet the definition of an LSBE for solicitations not subject to the federal restriction on geographical preferences, consistent with [Chapter 2.204 of the Los Angeles County Code](#).

6.2.2 To apply for certification as an LSBE, businesses should contact the DCBA at <http://dcba.lacounty.gov>.

6.2.3 Certified LSBEs may only request the preference in each of their Work Order Bid responses and may not request the preference unless the certification process has been completed and certification is affirmed. Businesses must complete and submit the Request for Preference Program Consideration with each Work Order Bid response and submit a letter of certification from the DCBA with their bid.

6.3 Social Enterprise (SE) Preference Program

6.3.1 In reviewing Work Order Bids, the County will give preference during the solicitation process to businesses that meet the definition of an SE for solicitations not subject to the federal restriction on geographical preferences, consistent with [Chapter 2.205 of the Los Angeles County Code](#).

6.3.2 To apply for certification as an SE, businesses should contact DCBA at <http://dcba.lacounty.gov>.

6.3.3 Certified SEs may only request the preference in each of their Work Order Bid responses and may not request the preference unless the certification process has been completed and certification is affirmed. Businesses must complete and submit the Request for Preference Program Consideration with each Work Order Bid response and submit their SE certification letter (“Certification for Non-Federally Funded Solicitations”) from the DCBA with their bid.

6.4 Disabled Veteran Business Enterprise (DVBE) Preference Program

6.4.1 In reviewing Work Order Bids, the County will give preference during the solicitation process to businesses that meet the definition of a DVBE, consistent with [Chapter 2.211 of the Los Angeles County Code](#).

6.4.2 The business must be certified by DCBA, prior to requesting the DVBE preference in a solicitation. To apply for certification as a DVBE, businesses should contact DCBA at <http://dcba.lacounty.gov>.

6.4.3 Certified DVBEs may only request the preference in each of their Work Order Bid responses and may not request the preference unless the certification process has been completed and certification is affirmed. Businesses must complete and submit the Request for Preference Program Consideration with each Work Order Bid response and submit their DVBE certification approval letter from the DCBA with their bid.

6.5 Preference Program Enterprises (PPEs) - Prompt Payment Program

It is the intent of the County that Certified Preference Program Enterprises (PPEs) receive prompt payment for services they provide to County Departments. Prompt payment is defined as 15 calendar days after receipt of an approved, undisputed invoice which has been properly matched against documents such as a receiving, shipping, or services delivered report, or any other validation of receipt document consistent with Board Policy 3.035 ([Preference Program Payment Liaison and Prompt Payment Program](#)).

7 STATEMENT OF QUALIFICATIONS (SOQ) REQUIREMENTS

This Section contains key project activities as well as instructions to Firms in how to prepare and submit their SOQ.

7.1 Truth and Accuracy of Representations

False, misleading, incomplete, or deceptively unresponsive statements in connection with an SOQ will be sufficient cause for rejection of the SOQ. The evaluation and determination in this area will be at the Treasurer and Tax Collector’s sole judgment and his/her judgment will be final. All proposals must be firm and final offers and may not be withdrawn for a period of 270 days following the final SOQ submission date.

7.2 Firms’ Questions

7.2.1 Firms may submit written questions regarding this RFSQ by email to the individual identified below. All questions must be received by the date and time specified in Paragraph 1 (Solicitation Information and Minimum Mandatory Requirements). All questions, without identifying the submitting company, will be compiled with the appropriate answers, and issued as an addendum to the RFSQ.

7.2.2 When submitting questions, please specify the RFSQ paragraph number, page number, and quote the language that prompted the question. This will ensure that the question can be quickly found in the RFSQ. County reserves the right to group similar questions when providing answers.

Questions should be addressed to:

Email address: contracts@ttc.lacounty.gov

7.3 Preparation and Format of the SOQ

All SOQs must be submitted via email in the prescribed format. Any SOQ that deviates from this format may be rejected without review at the County’s sole discretion.

The content and sequence of the SOQ must be as follows:

- Table of Contents
- Firm’s Qualifications (Section A)
- Required Forms (Section B)
- Proof of Insurability (Section C)
- Proof of Licenses (Section D)

7.3.1 Table of Contents

The Table of Contents must be a comprehensive listing of material included in the SOQ. This section must include a clear definition of the material, identified by sequential page numbers and by section reference numbers.

7.3.2 Firm’s Qualifications (Section A)

Demonstrate that the Firm’s organization has the experience to perform the required services. The following sections must be included:

7.3.2.1 Firm’s Background and Experience (Section A.1)

The Firm must complete, sign and date the Exhibit 1 (Organization Questionnaire/Affidavit) as set forth in Appendix B (Required Forms). **The person signing the form must be authorized to sign on behalf of the Firm and to bind the Firm in a Master Agreement.**

1. Minimum Mandatory Requirements

Firm must provide a summary of relevant background information to demonstrate that the Firm meets the Minimum Mandatory Requirements stated in Paragraph 3 of this RFSQ and has the capability to perform the required services as a corporation or other entity. In addition, the Firm must complete and submit Exhibit 9 (Staff Background and Experience).

2. Questionnaire Response

Firm must provide responses to all of the items listed below. Responses should be sufficiently detailed and

clearly demonstrate Firm's overall understanding and ability to perform the services requested in the RFSQ.

a. General Firm Information

- i. Identify all professional licenses and registrations held by principals in the firm.
- ii. Provide a description of the firm's size (e.g., the current number of employees and offices currently operating locally and nationally, if applicable). Provide a description of the firm's organizational structure for the specific office where proposed staff to be assigned to the County will be located. Include addresses of all relevant firm offices.
- iii. Describe any formal business relationships or compensation agreements with underwriters that your firm currently has or has had during the past two years in which your firm served as a municipal advisor. If none, include a statement to that effect.
- iv. Describe any formal business relationships or compensation agreements with providers of credit enhancement, financial products, securities, or investments that your firm currently has or has had during the past two years related to the marketing and structuring of derivative products, interest rate swaps, guaranteed investments contracts or other similar products. If none, include a statement to that effect.

b. Firm Services

- i. Describe the scope of Municipal Advisory Services that your firm can provide to the County, which includes the services described in Appendix I, SOW. For the staff you propose to assign to this Master Agreement, describe their areas of specialized experience.

Note: Shall not exceed two pages.

- ii. Describe your firm's experience, qualifications, and methodology in providing municipal advisory services for each of the following types of financing obligations issued by the Municipal Entities in California:

- 1) Lease Revenue Bonds or Certificate of Participation
- 2) Short-term Notes
- 3) Tax and Revenue Anticipation Notes
- 4) Land Secured Financings
- 5) Successor Redevelopment Agency Bonds
- 6) Post-issuance compliance, which may include continuing disclosure, computing, and reporting arbitrage, and other regulatory compliance obligations

Note: Shall not exceed eight pages total.

- iii. For staff you propose to assign to this Master Agreement, indicate and provide an explanation of whether and under what circumstance(s) they have previously been removed from a client's engagement.
- iv. Identify the firm principal(s) and staff that will be assigned to the County. For each individual, provide, at a minimum, the level of education completed, professional licenses and certifications held, number of years of public finance experience, number of years with the firm and a description of their experience and qualifications to serve as a municipal advisor to the County.

Note: Shall not exceed three pages total.

- v. Provide a list of the individual California municipal financing projects for which your firm served as a municipal advisor for the three-year period from January 1, 2021, through December 31, 2023. Include the term of assignment (i.e., start/end date), indicate if the transaction was a negotiated or competitive sale, and provide the par amount of any debt securities issued pursuant to the assignment.

Note: Provide total number of financing projects and the par amounts of debt securities issued.

c. Disclosures

- i. Indicate if your firm is currently subject to, or within the past three years been the subject of, an SEC,

Financial Industrial Regulatory Authority (FINRA), MSRB, federal, state, or local government inquiry, and/or investigation. If so, describe the nature and disposition of any and all such inquiries or investigations. If none, include a statement to that effect.

- ii. Indicate if your firm, or any staff member of your firm, has been fined and/or sanctioned by the SEC, FINRA, MSRB, federal, state, or local government over the past three years. If so, describe the nature and disposition of any and all such fines and/or sanctions. If none, include a statement to that effect.

Taking into account the structure of the Firm's organization, Firm must determine which of the below referenced supporting documents the County requires. If the Firm's organization does not fit into one of these categories, upon receipt of the SOQ or at some later time, the County may, in its discretion, request additional documentation regarding the Firm's business organization and authority of individuals to sign Contracts.

If the below referenced documents are not available at the time of SOQ submission, Firms must request the appropriate documents from the California Secretary of State and provide a statement on the status of the request.

Required Support Documents:

Corporations or Limited Liability Company (LLC):

The Firm must submit the following documentation with the SOQ:

- 7.3.2.1.1 A copy of a "Certificate of Good Standing" with the state of incorporation/organization.
- 7.3.2.1.2 A conformed copy of the most recent "Statement of Information" as filed with the California Secretary of State listing corporate officers or members and managers.

Limited Partnership:

The Firm must submit a conformed copy of the Certificate of Limited Partnership or Application for Registration of Foreign Limited Partnership as filed with the California Secretary of State, and any amendments.

7.3.2.2 Firm's References (Section A. 2)

It is the Firm's sole responsibility to ensure that the firm's name, and point of contact's name, title and phone number for each reference is accurate. The same references may be listed on Exhibits 7 (List of References) of Appendix B (Required Forms).

County may disqualify a Firm if:

- 7.3.2.2.1 References fail to substantiate Firm's description of the services provided; or
- 7.3.2.2.2 References fail to support that Firm has a continuing pattern of providing capable, productive, and skilled personnel, or
- 7.3.2.2.3 The TTC is unable to reach the point of contact with reasonable effort (i.e., three attempts). It is the Firm's responsibility to inform the point of contact that the TTC may contact Firm's references during normal working hours (defined as between 8:00 a.m. and 5:00 p.m. PT).

The Firm must complete and include Required Forms, Exhibit 4 (Debarment History and List of Terminated Contracts) and Exhibit 7 (List of References), as set forth in Appendix B (Required Forms)

1) List of References, Exhibit 7

The Firm must provide three verifiable Municipal Entity client references for a minimum of three clients served over the past three years for whom the Firm provides the same or similar scope of services to those services set forth in this RFSQ. **References for existing or terminated Contracts and/or Subcontracts with the TTC will not be accepted to meet this requirement.**

- 7.3.2.2.4 Debarment History and List of Terminated Master Agreements, Exhibit 4

Listing must include contracts terminated within the past three years with a reason for termination.

7.3.2.3 Firm's Debarment History and List of Terminated Contracts (Section A.3)

The County will conduct a review of Firm's terminated contracts and debarment history. Firm must include contracts terminated within the past three years with a

reason for termination in Appendix B (Required Forms), Exhibit 4 (Debarment History and List of Terminated Contracts). Firm's completed form Exhibit 4 (Debarment History and List of Terminated Contracts) must be provided as part of their SOQ.

7.3.2.4 Firm's Pending Litigation and Judgments (Section A.4)

The County will conduct a review of Firm's pending litigation and judgements. Firm must identify by name, case, and court jurisdiction any pending litigation in which Firm is involved, enforcement actions by regulators (resulting in fines), or judgments against Firm in the past five years. Additionally, Firm must provide a statement describing the size and scope of any pending or threatening litigation against the Firm or principals of the Firm.

7.3.2.5 Firm's Financial Capability (Section A.5)

The County will conduct a review of Firm's financial capability. Firm must provide copies of the company's most current and prior two fiscal years (2023, 2022, and 2021) audited financial statements. If audited financial statements are not available, the Firm must provide a statement explaining why they were excluded from the SOQ. Statements should include the company's assets, liabilities, and net worth and at a minimum should include the Balance Sheet, Statement of Income (Statement of Operations), and the Retained Earnings Statement (Statement of Cash Flows). Do not submit Income Tax Returns to meet this requirement. Subject to any California Public Records Act requirements, all financial statements will be kept confidential if so stamped on each page.

7.3.3 Required Forms (Section B)

Include all forms identified in Appendix B (Required Forms).

- Exhibit 1 Organization Questionnaire/Affidavit
- Exhibit 2 Certification of Compliance
- Exhibit 3 Request for Preference Consideration
- Exhibit 4 Debarment History and List of Terminated Contracts
- Exhibit 5 Community Business Enterprise (CBE) Information (Excel Worksheet)
- Exhibit 6 Minimum Mandatory Requirements
- Exhibit 7 List of References

Exhibit 8 Pricing Schedule

Exhibit 9 Staff Background and Experience

Exhibit 10 Declaration

7.3.4 Proof of Insurability (Section C)

Firm **must** provide proof of insurability that meets all insurance requirements set forth in the Appendix A (Master Agreement), Subparagraphs 8.24 (General Provisions for all Insurance Coverage) and 8.25 (Insurance Coverage). If a Firm does not currently have the required coverage, a letter from a qualified insurance carrier indicating a willingness to provide the required coverage should the Firm be selected to receive a Master Agreement award must be submitted with the SOQ. To be selected for an engagement on a specific County financing project, your Firm will need to satisfy all of the insurance requirements specified in Appendix A (Master Agreement).

7.3.5 Proof of Licenses (Section D)

Firm must furnish a copy of all applicable licenses.

7.3.6 Proposed Fees/Compensation (Section E)

This Section E should cover the proposed fees for the requested services. The fees should be stated as an hourly rate for services to be provided by different levels of staff. The Firm must complete Exhibit 8 (Pricing Schedule).

7.4 SOQ Submission

SOQs must be submitted as follows:

One SOQ must be submitted by the date and time listed in Paragraph 1 (Solicitation Information and Minimum Mandatory Requirements), via electronic mail (email) as follows:

Email address: contracts@ttc.lacounty.gov

Attn: David Sandoval

Subject: **SOQ for TTC RFSQ 2024-01 MAS**

File names must consist of the acronym of the Firm's company name and abbreviated title of the document. Examples of file names are noted below with the example of "Sample File Name" as the company name with acronym (SFN), document number, and file name. File names must not exceed a maximum of 25 characters to ensure the system accepts the document(s):

- SFN 01 SOQ
- SFN 02 Required Forms
- SFN 03 CBE Info
- SFN 04 Pricing Schedule

Exhibit 5 (CBE Information) of Appendix B (Required Forms) must be submitted in Excel format.

No hard copies delivered in person or facsimile (faxed) responses will be accepted. Please note, the total file size of the email, including all attachments, must not exceed 35MB per email. Multiple emails of various file types (e.g., zip, PDF, Excel) will be accepted. All SOQ documentation must be attached, not linked.

Late SOQs will not be accepted. It is the sole responsibility of the submitting Firm to ensure that the TTC receives its proposal before the submission deadline. Submitting Firms will bear all risks associated with delays in delivery by any person or entity. Any SOQs received after the scheduled closing date and time for receipt of SOQs, as listed in Paragraph 1 (Solicitation Information and Minimum Mandatory Requirements), will not be accepted, and will receive a notification that their proposal was not received timely by the timeframe indicated in Paragraph 1 (Solicitation Information and Minimum Mandatory Requirements).

7.5 Acceptance of Terms and Conditions of Master Agreement

Firms understand and agree that submission of the SOQ constitutes acknowledgement and acceptance of, and a willingness to comply with, all terms and conditions of Appendix A (Master Agreement) of this RFSQ. **The terms and conditions of Appendix A (Master Agreement) of this RFSQ are not negotiable.**

7.6 SOQ Withdrawals

The Firm may withdraw its SOQ at any time prior to the date and time which is set forth herein as the deadline for acceptance of SOQs, upon written request for same to (the Director or designee).

8 SOQ REVIEW/SELECTION/QUALIFICATION PROCESS

8.1 Review Process

SOQs will be subject to a detailed review by TTC staff. Prospective Firms must submit its completed SOQ by the date and time listed in Paragraph 1 (Solicitation Information and Minimum Mandatory Requirements) in order to be considered for the Pool scheduled to commence upon approval and execution of the Master Agreement by the Board. The review process will include the following steps:

8.1.1 Adherence to Minimum Mandatory Requirements

The TTC will review Exhibit 1 (Organization Questionnaire/Affidavit) of Appendix B (Required Forms), Exhibit 6 (Minimum Mandatory Requirements), and Exhibit 7 (List of References), to determine if the

Firm meets the minimum mandatory requirements as outlined in Paragraph 3 of this RFSQ.

Failure of the Firm to comply with the minimum mandatory requirements may eliminate its SOQ from any further consideration. The Department may elect to waive any informality in an SOQ if the sum and substance of the SOQ is present.

8.1.2 Firm's Qualifications (Section A)

The TTC's review will include the following:

8.1.2.1 Firm's Background and Experience as provided in Section A.1 of the SOQ.

8.1.2.2 Firm's References, Debarment History and List of Terminated Contracts, as provided in Section A.2 and Section A.3. The review will include verification of references submitted, a review of the Contractor Alert Reporting Database, if applicable, reflecting past performance history on County or other contracts, and a review of terminated contracts.

8.1.2.3 A review to determine the magnitude of any pending litigation or judgments against the Firm as provided in Section A.4.

8.1.2.4 Review of the financial capability provided in Section A.5.

8.1.3 Required Forms (Section B)

All forms listed in Subparagraph 7.3.3 (Required Forms) must be included in Section B of the SOQ.

8.1.4 Proof of Insurability (Section C)

Review the proof of insurability provided in Section C of the SOQ.

8.1.5 Proof of Licenses (Section D)

Review the proof of licenses provided in Section D of the SOQ.

8.2 Selection/Qualification Process

The TTC will select responsive and responsible Firms that have the ability to provide Municipal Advisory Services as described in this RFSQ. The selection process will begin with receipt of the SOW, as specified in Paragraph 1 (Solicitation Information and Minimum Mandatory Requirements).

- After the SOQs have been reviewed, the TTC will recommend to the Board a Master Agreement award for eligible Firms. The final award of a Master Agreement is subject to approval by the Board.

- The TTC will reject an SOQ if a Firm, including the principal owner(s) of a Firm, appears on the Listing of Contractors Debarred in the County.

8.3 Master Agreement Award

Firms who are notified by the TTC that they appear to have the necessary qualifications and experience (i.e., they are qualified) may still not be recommended for a Master Agreement if other requirements necessary for award have not been met. Other requirements may include acceptance of the terms and conditions of the Master Agreement, and/or satisfactory documentation that required insurance will be obtained. Only when all such matters have been demonstrated to the TTC's satisfaction can a Firm, which is otherwise deemed qualified, be regarded as "selected" for recommendation of a Master Agreement.

The TTC will execute Board-authorized Master Agreements with each selected Firm. All Firms will be informed of the final selections.

Throughout the term of the Master Agreement, the TTC does not guarantee a minimum workload to any Firm.

9 PROTEST PROCESS OVERVIEW

9.1 Solicitation Requirements Review

Any person or entity may seek a Solicitation Requirements Review by submitting Appendix C SRR Request to the TTC as described in this Section. A request for a Solicitation Requirements Review may be denied, in the TTC's sole discretion, if the request does not satisfy all of the following criteria:

- 9.1.1** The request for a SRR is made within the timeframe identified in the solicitation document
- 9.1.2** The request includes documentation (e.g., letterhead, business card, etc.), which identifies the underlying authority of the person or entity to submit a SOQ;
- 9.1.3** The request itemizes in appropriate detail, each matter contested and factual reasons for the requested review; and
- 9.1.4** The request asserts that either:
 - 9.1.4.1** application of the Minimum Mandatory Requirements, evaluation criteria and/or business requirements unfairly disadvantages the person or entity; or
 - 9.1.4.2** due to unclear instructions, the process may result in the County not receiving the best possible responses from prospective Firm.

The SRR will be completed and the Department's determination will be provided to the requesting person or entity, in writing, within a reasonable time prior to the SOQ due date.

9.2 Disqualification Review

An SOQ may be disqualified from consideration because the TTC determined it was non-responsive at any time during the review/evaluation process. If the TTC determines that an SOQ is disqualified due to non-responsiveness, the TTC will notify the Firm in writing.

Upon receipt of the written determination of non-responsiveness, the Firm may submit a written request for a Disqualification Review within the timeframe specified in the written determination.

A request for a Disqualification Review may, in the TTC's sole discretion, be denied if the request does not satisfy all of the following criteria:

- 9.2.1** The request for a Disqualification Review is submitted timely (i.e., by the date and time specified in the written determination); and
- 9.2.2** The request for a Disqualification Review asserts that the TTC's determination of disqualification due to non-responsiveness was erroneous (e.g. factual errors, etc.) and provides factual support on each ground asserted as well as copies of all documents and other material that support the assertions.

The Disqualification Review must be completed and the determination will be provided to the requesting Firm, in writing, prior to the conclusion of the evaluation process.

APPENDIX A



MASTER AGREEMENT

BY AND BETWEEN

COUNTY OF LOS ANGELES

TREASURER AND TAX COLLECTOR

AND

(CONTRACTOR)

FOR

MUNICIPAL ADVISORY SERVICES

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**MASTER AGREEMENT BETWEEN
COUNTY OF LOS ANGELES
TREASURER AND TAX COLLECTOR
AND**

**FOR
MUNICIPAL ADVISORY SERVICES**

This Master Agreement and Exhibits made and entered into on this ____ day of _____, 2024 by and between the County of Los Angeles, hereinafter referred to as “County,” and _____, hereinafter referred to as “Contractor,” to provide Municipal Advisory Services.

RECITALS

WHEREAS, the County may contract with private businesses for Municipal Advisory Services when certain requirements are met; and

WHEREAS, the Contractor is a private Contractor specializing in providing Municipal Advisory Services; and

WHEREAS, this Master Agreement is therefore authorized under California Codes, Government Code Section 31000 which authorizes the Board of Supervisors (Board) to contract for special services; and

WHEREAS, the Board has authorized the Treasurer and Tax Collector, or designee, to execute and administer this Master Agreement; and

NOW THEREFORE, in consideration of the mutual covenants contained herein, and for good and valuable consideration, the parties agree to the following:

1.0 APPLICABLE DOCUMENTS

Exhibits A through G are attached to and form a part of this Master Agreement. In the event of any conflict or inconsistency in the definition or interpretation of any word, responsibility, schedule, or the contents or description of any task, deliverable, goods, service, or other work, or otherwise between the base Master Agreement and the Exhibits, or between Exhibits, such conflict or inconsistency will be resolved by giving precedence first to the Master Agreement and then to the Exhibits according to the following priority:

Standard Exhibits:

- Exhibit A County's Administration
- Exhibit B Contractor's Administration
- Exhibit C Safely Surrendered Baby Law
- Exhibit D Statement of Work
- Exhibit D1 Master Agreement Work Order
- Exhibit D2 Pricing Schedule
- Exhibit E1 Certification of Employee Status
- Exhibit E2 Certification of No Conflict of Interest
- Exhibit E3 Contractor Acknowledgement and Confidentiality Agreement
- Exhibit F Subsequent Executed Work Orders
- Exhibit G Information Security and Privacy Requirements

This Master Agreement and the Exhibits hereto constitute the complete and exclusive statement of understanding between the parties, and supersedes all previous Master Agreements, written and oral, and all communications between the parties relating to the subject matter of this Master Agreement. No change to this Master Agreement will be valid unless prepared pursuant to Subparagraph 8.1 (Change Notices and Amendments) and signed by both parties.

2.0 DEFINITIONS

The headings herein contained are for convenience and reference only and are not intended to define the scope of any provision thereof. The following words as used herein will be construed to have the following meaning, unless otherwise apparent from the context in which they are used.

- 2.1 Board of Supervisors (Board):** The Board of Supervisors of the County of Los Angeles acting as governing body.

- 2.2 Contractor:** The person or persons, sole proprietor, partnership, joint venture, corporation or other legal entity who has entered into an agreement with the County to perform or execute the work covered by this Master Agreement.
- 2.3 Contractor's Authorized Official(s):** The individual(s) authorized by the Contractor, that the Contractor represents and warrants has actual authority to execute documents under this Contract on behalf of the Contractor.
- 2.4 Contractor's Project Director/Alternate Project Director:** The individual authorized by the Contractor as principal officer to oversee contractual or administrative matters relating to this Master Agreement that cannot be resolved by the Contractor's Project Manager. Additionally, Contractor's Project Director/Alternate Project Director must oversee all projects and serve as a point of escalation, as needed.
- 2.5 Contractor's Project Manager:** The individual authorized by the Contractor to administer the Master Agreement operations under this Master Agreement.
- 2.6 Contractor's Employees/Staff:** Any person designated by the Contractor to perform services under this Master Agreement.
- 2.7 Contractor's Financial Manager:** The individual authorized by the Contractor to have full authority to act on behalf of the Contractor in all matters relating to invoicing under this Contract.
- 2.8 County:** The County of Los Angeles
- 2.9 County Observed Holidays:** Days on which County departments are closed for business in observance of significant events. Contractor is not required to provide services on County observed holidays unless otherwise stated in the SOW or Contract. A list of County observed holidays may be found on the County's website at <https://ttc.lacounty.gov/county-holidays/>.
- 2.10 County's Contracts' Section – Contract Monitor:** The County's Contracts' Section Contract Monitor is responsible for ensuring annual requirements and Contract deliverables (e.g., financial statements, insurance certificates, pending litigation statement, etc.) are received timely and in accordance with the Master Agreement provisions from the Contractor.
- 2.11 County's Project Director/Alternate Project Director:** The individual authorized by the Department of Treasurer and Tax Collector (TTC) with authority for the County to oversee contractual or administrative matters relating to this Master Agreement that cannot be resolved by the County's Project Manager. Additionally, County's Project Director/Alternate Project Director must oversee all projects and serve as a point of escalation, as needed.
- 2.12 County's Project Manager:** The individual authorized by the County's Project Director to manage the operations under this Master Agreement.

- 2.13 Day(s):** Calendar day(s) unless otherwise specified.
- 2.14 Department:** The County of Los Angeles Department of Treasurer and Tax Collector, which is entering into this Master Agreement on behalf of the County of Los Angeles.
- 2.15 Fiscal Year:** The 12-month period beginning July 1st and ending the following June 30th.
- 2.16 Master Agreement:** This agreement executed between County and Contractor. Included are all supplemental agreements amending or extending the service to be performed. The Master Agreement sets forth the terms and conditions for the issuance and performance of all tasks, deliverables, services, and other work including Exhibit D (Statement of Work (SOW)).
- 2.17 Qualified Contractor:** A Contractor who has submitted a Statement of Qualifications in response to County's Request for Statement of Qualifications (RFSQ), has met the minimum mandatory requirements qualifications listed in the RFSQ, and has an executed Master Agreement with the Department.
- 2.18 Request for Statement of Qualifications (RFSQ):** A type of procurement solicitation used to select qualified Contractors to provide specific services to the County through Master Agreements.
- 2.19 Statement of Qualifications (SOQ):** A Contractor's response to an RFSQ.
- 2.20 Statement of Work:** A written description of tasks and/or deliverables required by County pursuant to this Master Agreement.
- 2.21 Treasurer and Tax Collector:** The appointed official of the County of Los Angeles Department of Treasurer and Tax Collector.
- 2.22 TTC:** The County of Los Angeles Department of Treasurer and Tax Collector.
- 2.23 Work Order:** A subordinate agreement executed wholly within and subject to the provisions of Exhibit D (SOW) of this Master Agreement for the performance of tasks and/or provision of deliverables as described in the SOW. A sample Work Order format is attached as Exhibit D1 to the SOW. No work shall be performed by firms in the Municipal Advisory Pool without validly executed Work Orders.

3.0 WORK

- 3.1** Pursuant to the provisions of this Master Agreement, the Contractor must fully perform, complete and deliver on time, all tasks, deliverables, services and other work as set forth in each Work Order and its related SOW for which the Contractor is contracted.
- 3.2** Work Orders will generally conform to Exhibit D1. Each Work Order will include an attached SOW, which will describe in detail the particular project

and the work required for the performance thereof. Payment for all work will be either on a time and materials basis or on a fixed priced per deliverable basis, subject to the Total Maximum Amount specified on each individual Work Order.

- 3.3** If Contractor provides any task, deliverable, service, or other work to County that utilizes other than approved Contractor Personnel, and/or that goes beyond the Work Order expiration date, and/or that exceeds the Total Maximum Amount as specified in the Work Order as originally written or modified in accordance with Subparagraph 8.1 (Change Notices and Amendments), these will be gratuitous efforts on the part of Contractor for which Contractor will have no claim whatsoever against the County.
- 3.4** The TTC procedures for issuing and executing Work Orders are as set forth in this Subparagraph 3.4. Upon determination of the needs for Municipal Advisory Services, the TTC will issue a Work Order to Contractors. The TTC will issue Work Orders to the most experienced and qualified Contractor(s) and rotate assignments, to the extent feasible, based upon a Contractor's demonstrated experience, qualification, and specialization.

4.0 TERM OF MASTER AGREEMENT

- 4.1** This Master Agreement will be for a period of three years commencing upon the execution of the first individual Master Agreement by Treasurer and Tax Collector, or their designee, as authorized by the Board, unless sooner extended or terminated, in whole or in part, as provided herein.
- 4.2** The County will have the sole option to extend the Master Agreement term for up to three additional one-year periods and/or six month-to-month extensions, for a maximum total Master Agreement term of six years and six months. Each such option and extension will be exercised at the sole discretion of the Treasurer and Tax Collector, or their designee, as authorized by the Board.

The County maintains a database that track/monitor contractor performance history. Information entered into the database may be used for a variety of purposes, including determining whether the County will exercise a Master Agreement term extension option.

- 4.3** Contractor must notify the Department when this Master Agreement is within six months from the expiration of the term as provided for hereinabove. Upon occurrence of this event, Contractor must send written notification to the Department at the address herein provided in Exhibit A (County's Administration).

5.0 CONTRACT RATES

- 5.1 The Contractor's rates set forth in Exhibit D2, Pricing Schedule, will remain firm and fixed for the duration of the Master Agreement term.
- 5.2 The Contractor will not be entitled to any payment by County under this Master Agreement except pursuant to validly executed and satisfactorily performed Work Orders. In each year of this Master Agreement, the total of all amounts actually expended by County hereunder ("maximum annual expenditures") may not exceed amounts allocated to the Department by the Board in their approved budgets. The County has sole discretion to expend some, all, or none of such budgeted amounts. The sum of such annual expenditures for the duration of the Master Agreement is the Contract Sum.

5.2 Written Approval for Reimbursement

The Contractor will not be entitled to payment or reimbursement for any tasks or services performed, nor for any incidental or administrative expenses whatsoever incurred in or incidental to performance hereunder, except as specified herein. Assumption or takeover of any of the Contractor's duties, responsibilities, or obligations, or performance of same by any entity other than the Contractor, whether through assignment, subcontract, delegation, merger, buyout, or any other mechanism, with or without consideration for any reason whatsoever, will occur only with the County's express prior written approval.

5.3 No Payment for Services Provided Following Expiration/Termination of Master Agreement

The Contractor will have no claim against County for payment of any money or reimbursement, of any kind whatsoever, for any service provided by Contractor after the expiration or other termination of this Master Agreement. Should Contractor receive any such payment it will immediately notify County and must immediately repay all such funds to County. Payment by County for services rendered after expiration/termination of this Master Agreement will not constitute a waiver of County's right to recover such payment from Contractor. This provision will survive the expiration or other termination of this Master Agreement.

5.4 Invoices and Payments

- 5.4.1 For providing the tasks, deliverables, services, and other work authorized pursuant to this Master Agreement, Contractor must separately invoice County for each Work Order on an hourly basis or fixed fee basis (see Exhibit D1).
- 5.4.2 Payment for all work will be on either an hourly basis or a fixed fee basis, subject to the Contracted Amount specified in each Work Order less any amounts assessed in accordance with Paragraph 8.26 (Liquidated Damages).

5.4.3 County will not pay Contractor for any overtime premiums, travel expenses, meals, lodging, holidays, vacation, sick leave, per diem, or miscellaneous expenses, etc.

5.4.4 All work performed by, and all invoices submitted by, Contractor pursuant to Work Orders issued hereunder must receive the written approval of County's Project Manager, who will be responsible for a detailed evaluation of Contractor's performance before approval of work and/or payment of invoices is permitted.

5.4.5 Invoices under this Master Agreement must contain supporting documentation and must be submitted via email to:

ttcbudget@ttc.lacounty.gov

5.4.6 **Invoice Content**

The period of performance specified in Contractor's invoice(s) must coincide with the period of performance specified in the applicable Work Order.

5.4.6.1 Hourly Basis Work Order:

Each invoice submitted by Contractor must specify:

- County numbers of the Work Order and Contractor's Master Agreement;
- Period of performance of work being invoiced;
- Name(s) of persons who performed the work;
- Number of hours being billed for the individual(s) and the labor rate(s) as specified in the Work Order; and
- Total amount of the invoice.

5.4.6.2 Fixed Fee Basis Work Order

Each invoice submitted by Contractor must specify:

- County numbers of the Work Order and Contractor's Master Agreement;
- Period of performance of work being invoiced;
- Name(s) of persons who performed the work;
- A brief description of the deliverable(s) for which payment is claimed, the respective number(s) assigned to the deliverable(s), and the individual amount being billed for each deliverable; and
- The total amount of the invoice.

5.4.6.3 Rates

To be determined upon selection of the Contractor as set forth in Exhibit D2, Pricing Schedule.

5.4.7 In compliance with Internal Revenue Service (IRS) requirements, the Contractor shall provide the Contractor's Tax Identification Number on each invoice submitted.

5.5.8 The TTC shall make a reasonable effort to effect payment within thirty calendar days of receipt and approval of the Contractor's submitted invoice.

5.5.9 All invoices submitted by the Contractor pursuant to this Master Agreement are subject to auditing requirements of the County Auditor-Controller (A-C).

5.5.10 Preference Program Enterprises – Prompt Payment Program

Certified Prompt Payment Enterprises (PPEs) will receive prompt payment for services they provide to County departments. Prompt payment is defined as 15 calendar days after receipt of an approved, undisputed invoice which has been properly matched against documents such as a receiving, shipping, or services delivered report, or any other validation of receipt document consistent with Board Policy 3.035 ([Preference Program Payment Liaison and Prompt Payment Program](#)).

5.5 Default Method of Payment: Direct Deposit or Electronic Funds Transfer

5.5.1 The County, at its sole discretion, has determined that the most efficient and secure default form of payment for goods and/or services provided under an agreement/contract with the County will be Electronic Funds Transfer (EFT) or direct deposit, unless an alternative method of payment is deemed appropriate by the A-C.

5.5.2 The Contractor must submit a direct deposit authorization request via the website <https://directdeposit.lacounty.gov> with banking and vendor information, and any other information that the A-C determines is reasonably necessary to process the payment and comply with all accounting, record keeping, and tax reporting requirements.

5.5.3 Any provision of law, grant, or funding agreement requiring a specific form or method of payment other than EFT or direct deposit will supersede this requirement with respect to those payments.

- 5.5.4 At any time during the duration of the agreement/contract, a Contractor may submit a written request for an exemption to this requirement. Such request must be based on specific legal, business or operational needs and explain why the payment method designated by the A-C is not feasible and an alternative is necessary. The A-C, in consultation with the contracting department(s), will decide whether to approve exemption requests.

6.0 ADMINISTRATION OF MASTER AGREEMENT – COUNTY

County’s Administration

A listing of all County Administration referenced in the following paragraphs are designated in Exhibit A (County’s Administration). The County will notify the Contractor in writing of any change in the names or addresses shown.

6.1 County’s Project Director/Alternate Project Director

The responsibility of County’s Project Director/Alternate Project Director, or designee, includes:

- ensuring that the technical standards and task requirements articulated in the individual Work Order are satisfactorily complied with, and must provide, on request, such information, coordination, documentation, and materials as may be reasonably required by Contractor to perform Work Orders;
- coordinating and monitoring the work of Contractor personnel assigned to the Work Order Director's specific projects, and for ensuring that this Master Agreement's objectives are met;
- monitoring, evaluating and reporting Contractor performance and progress on the Work Order;
- coordinating with Contractor’s Project Manager, on a regular basis, regarding the performance of Contractor’s personnel on each particular project;
- providing direction to Contractor in the areas relating to County policy, information requirements, and procedural requirements.

County’s Project Director/Alternate Project Director, or designee, does not have the ability to authorize or make any changes in Work Order labor rates, dollar totals or periods of performance, or in the terms and conditions of this Master Agreement, except through formally prepared Change Notices and Amendments, Subparagraph 8.1, of this Master Agreement.

6.2 County’s Project Manager

The County’s Project Manager is County’s chief contact person with respect to the day-to-day administration of this Master Agreement. The

County's Project Manager will prepare, and issue Work Orders and any Amendments thereto, and generally be the first person for Contractor to contact with any questions.

6.3 County's Contracts' Section – Contract Monitor

The County's Contracts' Section – Contract Monitor is responsible for ensuring annual requirements and Contract deliverables (e.g., financial statements, insurance certificates, pending litigation statement, etc.) are received timely in accordance with the Master Agreement provisions from the Contractor.

7.0 ADMINISTRATION OF MASTER AGREEMENT - CONTRACTOR

The Contractor must assign a sufficient number of employees to perform the required work. The Contractor must appoint at least one authorized employee, determined and agreed upon between the Contractor and the TTC, to act for the Contractor in every detail and that employee must speak and read fluently in English. Request for replacement of any personnel by the TTC must be completed within one business day.

A listing of all of Contractor's Administration referenced in the following Subparagraphs is designated in Exhibit B (Contractor's Administration). The Contractor will notify the County's Project Director and County's Project Manager in writing of any changes as they occur.

7.1 Contractor's Project Director

7.1.1 The Contractor's Project Director must be a full-time employee of the Contractor. The Contractor's Project Director must be a principal officer in the Contractor's office to service this Contract and to act as a liaison for the Contractor in coordinating the performance of services under the Contract. The Contractor must provide the TTC, in writing of the name, address, and telephone number of the individual designated to act as the Contractor's Project Director at the time the Contract is implemented and as changes occur during the Contract Term. Such notification must be made by the Contractor no later than five business days after a change occurs and will include a current resume for the new Contractor's Project Director. The County will have the right to approve the assignment or replacement of any personnel by the Contractor.

7.1.2 The Contractor's Project Director must be responsible for the Contractor's performance of all tasks, deliverables, goods, services, or other work provided by or on behalf of the Contractor and ensure the Contractor's compliance with the Contract. Additionally, Contractor's Project Director must oversee all projects and serve as a point of escalation, as needed.

- 7.1.3 The Contractor's Project Director must be available to meet and confer with the County's Project Director on an as-needed basis either in person or by telephone as mutually agreed by the parties, to review Contract performance and discuss Contract coordination. Such meetings will be conducted at a time and place as mutually agreed by the parties.

7.2 Contractor's Project Manager

- 7.2.1 The Contractor's Project Manager must be a full-time employee of the Contractor. The Contractor must provide the County's Project Director and County's Project Manager with the information specified on Exhibit B (Contractor's Administration) for the individual designated to act as the Contractor's Project Manager at the time this Contract is implemented and as changes occur during the Contract Term. Such notification must be made by the Contractor no later than five business days after a change occurs and will include a current resume for the new Contractor's Project Manager. The County will have the right to approve the assignment or replacement of any personnel by the Contractor.
- 7.2.2 The Contractor's Project Manager must have full authority to act on behalf of the Contractor on all matters related to the Contractor's day-to-day activities as related to the Contract and must coordinate with County's Project Manager on a regular basis.
- 7.2.3 The Contractor's Project Manager must be available during regular business hours of 8:00 a.m. to 5:00 p.m. Pacific Time (PT), Monday through Friday, for telephone and email contact and to meet as needed with the County's Project Manager to discuss the Contract.

7.3 Contractor's Authorized Official(s)

- 7.3.1 Exhibit B (Contractor's Administration) reflects the designation of the Contractor's Authorized Official(s). The Contractor shall promptly notify the County in writing of any change in the name(s) or address(es) of the Contractor's Authorized Official(s).
- 7.3.2 The Contractor represents and warrants that the full requirements of the Contractor to provide actual authority to such officials to execute documents under this Master Agreement on behalf of the Contractor are met.

7.4 Contractor's Financial Manager

- 7.4.1 The Contractor's Financial Manager must be a full-time employee of the Contractor. The Contractor must provide the County's Project Director and County's Project Manager with the information specified on Exhibit B (Contractor's

Administration) for the individual designated to act as the Contractor's Financial Manager at the time this Contract is implemented and as changes occur during the contract term. Such notification must be made by the Contractor no later than five business days after a change occurs and will include a current resume for the new Contractor's Financial Manager. The County will have the right to approve the assignment or replacement of any personnel by the Contractor.

- 7.4.2 The Contractor must assign a Financial Manager to act as liaison for the Contractor and have full authority to act on behalf of Contractor in all matters related to payments and fees under this Contract. The Contractor's Financial Manager must be available during the hours of 8:00 a.m. to 5:00 p.m. PT, Monday through Friday, for telephone and email contact and to meet with County personnel regarding any invoices issued under this Contract.

7.5 Approval of Contractor's Staff

County has the absolute right to approve or disapprove all of Contractor's staff performing work hereunder and any proposed changes in Contractor's staff, including, but not limited to, Contractor's Project Manager, provided, however, that such approval by County will not be unreasonably withheld, delayed or conditioned. A change in Contractor's Project Manager, or critical senior staff, without County approval may result in Contract termination at County's discretion. Contractor must provide County with a resume of each proposed substitute and an opportunity to interview such person prior to any staff substitution.

7.6 Contractor's Staff Identification

- 7.6.1 The Contractor must provide, at the Contractor's expense, all staff assigned to this Contract and visiting or performing services on-site at a County facility, or its grounds, with a standard photo identification badge in accordance with the County specifications which includes a recent picture of the employee, the employee's name, and the name of the Contractor. Specifications may change at the discretion of the County and the Contractor will be provided with new specifications as required. The format and content of the badge is subject to the TTC's approval prior to the Contractor implementing the use of the badge. The Contractor's staff, while visiting or providing on-site services under this Master Agreement or when entering a County facility or its grounds, must prominently display the photo identification badge on the upper part of the body.
- 7.6.2 Contractor must notify the County within one business day when key personnel that provide services under this Master Agreement

are terminated from working under this Master Agreement. Key Personnel include staff listed on Exhibit B, Contractor's Administration. Contractor must retrieve and immediately destroy the staff's photo identification badge at the time of removal from the County Master Agreement.

- 7.6.3 If the TTC requests the removal of Contractor's staff, Contractor is responsible to retrieve and immediately destroy the Contractor's staff's County photo identification badge at the time of removal from working on the County's Master Agreement.

7.7 Background and Security Investigations

- 7.7.1 Each of Contractor's staff performing services under this Master Agreement who is in a designated sensitive position, as determined by the County in the County's sole discretion, must undergo and pass a background investigation to the satisfaction of the County as a condition of beginning and continuing to perform services under this Master Agreement. Typically, the positions required to undergo and pass a background investigation, include, but are not limited to, Contractor's Project Director, Project Manager, and staff that have access to County assets, sensitive Information and/or public information.

Such background investigation must be obtained through fingerprints submitted to the California Department of Justice (DOJ) to include State, local, and federal-level review, which may include, but will not be limited to, criminal conviction information. Examples of disqualifying factors include, but not limited to, bribery, robbery, theft, fraud, embezzlement, forgery, extortion, perjury, convictions involving controlled substance, convictions involving stolen property, any felony conviction, a misdemeanor conviction. The fees associated with the background investigation will be at the expense of the Contractor, regardless of whether the member of Contractor's staff passes or fails the background investigation.

If a member of Contractor's staff does not pass the background investigation, County may request that the member of Contractor's staff be removed immediately from performing services under the Master Agreement. Contractor must comply with the County's request at any time during the term of the Master Agreement.

- 7.7.2 The Contractor must provide to the TTC the legal name of each person in a designated sensitive position and the dates on which said persons submitted fingerprints to the California DOJ. The Contractor must provide such information in writing within five calendar days of the date on which the fingerprinting occurred.

- 7.7.3 A member of Contractor's staff must not begin to perform services under the Contract until he/she has successfully passed a background investigation to the satisfaction of the TTC.
- 7.7.4 During the Master Agreement Term, if the County receives a subsequent disqualifying factor for a member of the Contractor's staff, the TTC shall request that the member of the Contractor's staff be immediately removed from performing services under the Master Agreement. Contractor shall promptly comply with the County's request.
- 7.7.5 The TTC will request the Contractor to advise the Contractor's staff member who did not pass the background investigation or who received a subsequent disqualifying factor to contact the TTC immediately to receive a copy of the Criminal Offender Record Information obtained from the DOJ through the TTC's background investigation.
- 7.7.6 The TTC may request that Contractor's staff be immediately removed from working on this Contract at any time during the Contract Term.
- 7.7.7 The TTC, in its sole discretion, may immediately deny or terminate facility access to any member of Contractor's staff that does not pass such investigation to the satisfaction of the TTC or whose background or conduct is incompatible with County facility access.
- 7.7.8 Disqualification of any member of Contractor's staff pursuant to this Paragraph 7.7 will not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Master Agreement.

7.8 Confidentiality

- 7.8.1 Contractor must maintain the confidentiality of all records and information in accordance with all applicable Federal, State and local laws, rules, regulations, ordinances, directives, guidelines, policies and procedures relating to confidentiality, including, without limitation, County policies concerning information technology security and the protection of confidential records and information.
- 7.8.2 Contractor must indemnify, defend, and hold harmless County, its officers, employees, and agents, from and against any and all claims, demands, damages, liabilities, losses, costs and expenses, including, without limitation, defense costs and legal, accounting and other expert, consulting, or professional fees, arising from, connected with, or related to any failure by Contractor, its officers, employees, agents, or subcontractors, to

comply with this Paragraph 7.8, as determined by County in its sole judgment. Any legal defense pursuant to Contractor's indemnification obligations under this Paragraph 7.8 will be conducted by Contractor and performed by counsel selected by Contractor and approved by County. Notwithstanding the preceding sentence, County will have the right to participate in any such defense at its sole cost and expense, except that in the event Contractor fails to provide County with a full and adequate defense, as determined by County in its sole judgment, County will be entitled to retain its own counsel, including, without limitation, County Counsel, and reimbursement from Contractor for all such costs and expenses incurred by County in doing so. Contractor will not have the right to enter into any settlement, agree to any injunction, or make any admission, in each case, on behalf of County without County's prior written approval.

- 7.8.3 Contractor must inform all of its officers, employees, agents and subcontractors providing services hereunder of the confidentiality provisions of this Master Agreement.
- 7.8.4 Contractor must sign and adhere to the provisions of the Exhibit E3 (Contractor Acknowledgement and Confidentiality Agreement).

8.0 STANDARD TERMS AND CONDITIONS

8.1 Change Notices and Amendments

- 8.1.1 The County reserves the right to initiate Change Notices that do not affect the scope or payment of any Work Order issued pursuant to this Master Agreement. All such changes will only be accomplished with an executed Work Order Change Notice signed by the Contractor and by the County's Project Manager.
- 8.1.2 For any change which affects the Term or Contract Sum under this Master Agreement, an Amendment will be prepared therefore, executed by the Contractor, and thereafter by the County's Board, except that the TTC is expressly authorized to increase the Contract Sum set forth in Paragraph 5.0, Contract Rates, not to exceed 10% of the total Contract Sum for a particular contract year based on an increase in work volume. Any such change must be in writing and signed by the Contractor and the Treasurer and Tax Collector, or their designee.
- 8.1.3 The County's Board or Chief Executive Officer, or designee, may require the addition and/or change of certain terms and conditions in the Master Agreement during the term of this Master Agreement. The County reserves the right to add and/or change

such provisions as required by the County's Board or Chief Executive Officer. To implement such orders, an Amendment to the Master Agreement will be prepared and executed by the Contractor and the Treasurer and Tax Collector, or their designee.

- 8.1.4 The Treasurer and Tax Collector, or their designee, may, at their sole discretion, authorize extensions of time as defined in Paragraph 4.0, Term of Master Agreement. For the exercise of the TTC's optional extensions, an Amendment to the Master Agreement will be prepared and executed by the Contractor and the Treasurer and Tax Collector, or their designee, prior to the expiration of the then current Master Agreement Term.

8.2 Assignment and Delegation/Mergers or Acquisitions

- 8.2.1 The Contractor must notify the County of any pending acquisitions/mergers of its company unless otherwise legally prohibited from doing so. If the Contractor is restricted from legally notifying the County of pending acquisitions/mergers, then it should notify the County of the actual acquisitions/mergers as soon as the law allows and provide to the County the legal framework that restricted it from notifying the County prior to the actual acquisitions/mergers.
- 8.2.2 The Contractor must not assign, exchange, transfer, or delegate its rights or duties under this Master Agreement, whether in whole or in part, without the prior written consent of County, in its discretion, and any attempted assignment, delegation, or otherwise transfer of its rights or duties, without such consent will be null and void. For purposes of this Paragraph, County consent will require a written amendment to the Master Agreement, which is formally approved and executed by the parties. Any payments by the County to any approved delegate or assignee on any claim under this Master Agreement will be deductible, at County's sole discretion, against the claims, which the Contractor may have against the County.
- 8.2.3 Any assumption, assignment, delegation, or takeover of any of the Contractor's duties, responsibilities, obligations, or performance of same by any person or entity other than the Contractor, whether through assignment, subcontract, delegation, merger, buyout, or any other mechanism, with or without consideration for any reason whatsoever without County's express prior written approval, will be a material breach of the Master Agreement which may result in the termination of this Master Agreement. In the event of such termination, County will be entitled to pursue the same remedies against Contractor as it could pursue in the event of default by Contractor.

8.3 Authorization Warranty

The Contractor represents and warrants that the person executing this Master Agreement for the Contractor is an authorized agent who has actual authority to bind the Contractor to each and every term, condition, and obligation of this Master Agreement and that all requirements of the Contractor have been fulfilled to provide such actual authority.

8.4 Budget Reductions

In the event that the County's Board adopts, in any fiscal year, a County Budget which provides for reductions in the salaries and benefits paid to the majority of the County employees and imposes similar reductions with respect to the County Master Agreements, the County reserves the right to reduce its payment obligation under this Master Agreement correspondingly for that fiscal year and any subsequent fiscal year during the term of this Master Agreement (including any extensions), and the services to be provided by the Contractor under this Master Agreement will also be reduced correspondingly. The County's notice to the Contractor regarding said reduction in payment obligation will be provided within 30 calendar days of the Board's approval of such actions. Except as set forth in the proceeding sentence, the Contractor must continue to provide all of the services set forth in the Master Agreement.

8.5 Complaints

The Contractor must develop, maintain and operate procedures for receiving, investigating and responding to complaints.

- 8.5.1 Within ten business days after the Master Agreement effective date, the Contractor must provide the County with the Contractor's policy for receiving, investigating and responding to user complaints.
- 8.5.2 The County will review the Contractor's policy and provide the Contractor with approval of said plan or with requested changes.
- 8.5.3 If the County requests changes in the Contractor's policy, the Contractor must make such changes and resubmit the plan within ten business days for County approval.
- 8.5.4 If, at any time, the Contractor wishes to change the Contractor's policy, the Contractor must submit proposed changes to the County for approval before implementation.
- 8.5.5 The Contractor must preliminarily investigate all complaints and notify the County's Project Manager of the status of the investigation within five business days of receiving the complaint.
- 8.5.6 When complaints cannot be resolved informally, a system of follow-through will be instituted which adheres to formal plans for specific actions and strict time deadlines.

- 8.5.7 Copies of all written responses must be sent to the County's Project Manager within three business days of mailing to the complainant.

8.6 Compliance with Applicable Laws

- 8.6.1 In the performance of this Master Agreement, Contractor must comply with all applicable Federal, State, and local laws, rules, regulations, ordinances, directives, guidelines, policies and procedures, and all provisions required thereby to be included in this Master Agreement are hereby incorporated herein by reference.
- 8.6.2 Contractor must indemnify, defend, and hold harmless County, its officers, employees, and agents, from and against any and all claims, demands, damages, liabilities, losses, costs, and expenses, including, without limitation, defense costs and legal, accounting and other expert, consulting or professional fees, arising from, connected with, or related to any failure by Contractor, its officers, employees, agents, or subcontractors, to comply with any such laws, rules, regulations, ordinances, directives, guidelines, policies, or procedures, as determined by County in its sole judgment. Any legal defense pursuant to Contractor's indemnification obligations under this Paragraph will be conducted by Contractor and performed by counsel selected by Contractor and approved by County. Notwithstanding the preceding sentence, County will have the right to participate in any such defense at its sole cost and expense, except that in the event Contractor fails to provide County with a full and adequate defense, as determined by County in its sole judgment, County will be entitled to retain its own counsel, including, without limitation, County Counsel, and reimbursement from Contractor for all such costs and expenses incurred by County in doing so. Contractor will not have the right to enter into any settlement, agree to any injunction or other equitable relief, or make any admission, in each case, on behalf of County without County's prior written approval.

8.7 Compliance with Civil Rights Laws

The Contractor hereby assures that it will comply with Subchapter VI of the Civil Rights Act of 1964, 42 USC Sections 2000 (e) (1) through 2000 (e) (17), to the end that no person will, on the grounds of race, creed, color, sex, religion, ancestry, age, condition of physical handicap, marital status, political affiliation, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Master Agreement or under any project, program, or activity supported by this Master Agreement. Additionally, Contractor certifies to the County:

- 8.7.1 That Contractor has a written policy statement prohibiting discrimination in all phases of employment.
- 8.7.2 That Contractor periodically conducts a self-analysis or utilization analysis of its work force.
- 8.7.3 That Contractor has a system for determining if its employment practices are discriminatory against protected groups.
- 8.7.4 Where problem areas are identified in employment practices, the Contractor has a system for taking reasonable corrective action, to include establishment of goals or timetables.

8.8 Compliance with County's Jury Service Program

- 8.8.1 Jury Service Program: This Master Agreement is subject to the provisions of the County's ordinance entitled Contractor Employee Jury Service ("Jury Service Program") as codified in [Sections 2.203.010 through 2.203.090 of the Los Angeles County Code](#).
- 8.8.2 Written Employee Jury Service Policy
 - Unless Contractor has demonstrated to the County's satisfaction either that Contractor is not a "Contractor" as defined under the [Jury Service Program \(Section 2.203.020 of the County Code\)](#) or that Contractor qualifies for an exception to the [Jury Service Program \(Section 2.203.070 of the County Code\)](#), Contractor must have and adhere to a written policy that provides that its Employees will receive from the Contractor, on an annual basis, no less than five days of regular pay for actual jury service. The policy may provide that Employees deposit any fees received for such jury service with the Contractor or that the Contractor deduct from the Employee's regular pay the fees received for jury service.
 - For purposes of this Paragraph, "Contractor" means a person, partnership, corporation, or other entity which has a Master Agreement with the County or a subcontract with a County Contractor and has received or will receive an aggregate sum of \$50,000 or more in any 12-month period under one or more County Master Agreements or subcontracts. "Employee" means any California resident who is a full-time employee of Contractor. "Full-time" means 40 hours or more worked per week, or a lesser number of hours if: 1) the lesser number is a recognized industry standard as determined by the County, or 2) Contractor has a long-standing practice that defines the lesser number of hours as full-time. Full-time employees providing short-term, temporary services of 90 days or less within a 12-month

period are not considered full-time for purposes of the Jury Service Program. If Contractor uses any subcontractor to perform services for the County under the Master Agreement, the subcontractor will also be subject to the provisions of this paragraph. The provisions of this paragraph will be inserted into any such subcontract agreement and a copy of the Jury Service Program must be attached to the agreement.

- If Contractor is not required to comply with the Jury Service Program when the Master Agreement commences, Contractor will have a continuing obligation to review the applicability of its “exception status” from the Jury Service Program, and Contractor must immediately notify County if Contractor at any time either comes within the Jury Service Program’s definition of “Contractor” or if Contractor no longer qualifies for an exception to the Jury Service Program. In either event, Contractor must immediately implement a written policy consistent with the Jury Service Program. The County may also require, at any time during the Master Agreement and at its sole discretion, that Contractor demonstrate to the County’s satisfaction that Contractor either continues to remain outside of the Jury Service Program’s definition of “Contractor” and/or that Contractor continues to qualify for an exception to the Program.
- Contractor’s violation of this Paragraph of the Master Agreement may constitute a material breach of the Master Agreement. In the event of such material breach, County may, in its sole discretion, terminate the Master Agreement and/or bar Contractor from the award of future County Master Agreements for a period of time consistent with the seriousness of the breach.

8.9 Conflict of Interest

- 8.9.1 No County employee whose position with the County enables such employee to influence the award of this Master Agreement or any competing Master Agreement, and no spouse or economic dependent of such employee, will be employed in any capacity by the Contractor or have any other direct or indirect financial interest in this Master Agreement. No officer or employee of the Contractor who may financially benefit from the performance of work hereunder will in any way participate in the County’s approval, or ongoing evaluation, of such work, or in any way attempt to unlawfully influence the County’s approval or ongoing evaluation of such work.

8.9.2 The Contractor must comply with all conflict of interest laws, ordinances, and regulations now in effect or hereafter to be enacted during the term of this Master Agreement. The Contractor warrants that it is not now aware of any facts that create a conflict of interest. If the Contractor hereafter becomes aware of any facts that might reasonably be expected to create a conflict of interest, it must immediately make full written disclosure of such facts to the County. Full written disclosure must include, but is not limited to, identification of all persons implicated and a complete description of all relevant circumstances. Failure to comply with the provisions of this Subparagraph 8.9 will be a material breach of this Master Agreement.

8.10 Consideration of Hiring County Employees Targeted for Layoffs or are on a County Re-employment List

Should the Contractor require additional or replacement personnel after the effective date of this Master Agreement to perform the services set forth herein, the Contractor must give first consideration for such employment openings to qualified, permanent County employees who are targeted for layoff or qualified, former County employees who are on a re-employment list during the life of this Master Agreement.

8.11 Consideration of Hiring GAIN/START Participants

8.11.1 Should the Contractor require additional or replacement personnel after the effective date of this Master Agreement, the Contractor will give consideration for any such employment openings to participants in the County's Department of Public Social Services Greater Avenues for Independence (GAIN) Program or Skills and Training to Achieve Readiness for Tomorrow (START) Program who meet the Contractor's minimum qualifications for the open position. For this purpose, consideration will mean that the Contractor will interview qualified candidates. The County will refer GAIN/START participants by job category to the Contractor. Contractors must report all job openings with job requirements to: gainstart@dpss.lacounty.gov and bservices@opportunity.lacounty.gov and DPSS will refer qualified GAIN/START job candidates.

8.11.2 In the event that both laid-off County employees and GAIN/START participants are available for hiring, County employees must be given first priority.

8.12 Contractor Responsibility and Debarment

8.12.1 Responsible Contractor

A responsible Contractor is a Contractor who has demonstrated the attribute of trustworthiness, as well as quality, fitness,

capacity and experience to satisfactorily perform the Master Agreement. It is the County's policy to conduct business only with responsible Contractors.

8.12.2 Chapter 2.202 of the County Code

The Contractor is hereby notified that, in accordance with [Chapter 2.202 of the County Code](#), if the County acquires information concerning the performance of the Contractor on this or other Master Agreements which indicates that the Contractor is not responsible, the County may, in addition to other remedies provided in this Master Agreement, debar the Contractor from bidding or proposing on, or being awarded, and/or performing work on County contracts for a specified period of time, which generally will not exceed five years but may exceed five years or be permanent if warranted by the circumstances, and terminate any or all existing Contracts the Contractor may have with the County.

8.12.3 Non-responsible Contractor

The County may debar a Contractor if the Board finds, in its discretion, that the Contractor has done any of the following: (1) violated a term of a Master Agreement with the County or a nonprofit corporation created by the County, (2) committed an act or omission which negatively reflects on the Contractor's quality, fitness or capacity to perform a Master Agreement with the County, any other public entity, or a nonprofit corporation created by the County, or engaged in a pattern or practice which negatively reflects on same, (3) committed an act or offense which indicates a lack of business integrity or business honesty, or (4) made or submitted a false claim against the County or any other public entity.

8.12.4 Contractor Hearing Board

- If there is evidence that the Contractor may be subject to debarment, the Department will notify the Contractor in writing of the evidence which is the basis for the proposed debarment and will advise the Contractor of the scheduled date for a debarment hearing before the Contractor Hearing Board.
- The Contractor Hearing Board will conduct a hearing where evidence on the proposed debarment is presented. The Contractor and/or the Contractor's representative will be given an opportunity to submit evidence at that hearing. After the hearing, the Contractor Hearing Board will prepare a tentative proposed decision, which will contain a recommendation regarding whether the Contractor should

be debarred, and, if so, the appropriate length of time of the debarment. The Contractor and the Department will be provided an opportunity to object to the tentative proposed decision prior to its presentation to the Board.

- After consideration of any objections, or if no objections are submitted, a record of the hearing, the proposed decision, and any other recommendation of the Contractor Hearing Board will be presented to the Board. The Board will have the right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board.
- If a Contractor has been debarred for a period longer than five years, that Contractor may after the debarment has been in effect for at least five years, submit a written request for review of the debarment determination to reduce the period of debarment or terminate the debarment. The County may, in its discretion, reduce the period of debarment or terminate the debarment if it finds that the Contractor has adequately demonstrated one or more of the following: (1) elimination of the grounds for which the debarment was imposed; (2) a bona fide change in ownership or management; (3) material evidence discovered after debarment was imposed; or (4) any other reason that is in the best interests of the County.
- The Contractor Hearing Board will consider a request for review of a debarment determination only where (1) the Contractor has been debarred for a period longer than five years; (2) the debarment has been in effect for at least five years; and (3) the request is in writing, states one or more of the grounds for reduction of the debarment period or termination of the debarment and includes supporting documentation. Upon receiving an appropriate request, the Contractor Hearing Board will provide notice of the hearing on the request. At the hearing, the Contractor Hearing Board will conduct a hearing where evidence on the proposed reduction of debarment period or termination of debarment is presented. This hearing will be conducted and the request for review decided by the Contractor Hearing Board pursuant to the same procedures as for a debarment hearing.
- The Contractor Hearing Board's proposed decision will contain a recommendation on the request to reduce the period of debarment or terminate the debarment. The Contractor Hearing Board will present its proposed decision and recommendation to the Board. The Board will have the

right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board.

8.12.5 Subcontractors of Contractor

These terms will also apply to Subcontractors of County Contractors.

8.13 Contractor's Acknowledgement of County's Commitment to Safely Surrendered Baby Law

The contractor acknowledges that the County places a high priority on the implementation of the Safely Surrendered Baby Law. The contractor understands that it is the County's policy to encourage all County contractors to voluntarily post the County's "Safely Surrendered Baby Law" poster, in Exhibit C, in a prominent position at the contractor's place of business. The contractor will also encourage its subcontractors, if any, to post this poster in a prominent position in the subcontractor's place of business. Information and posters for printing are available at

<https://lacounty.gov/residents/family-services/child-safety/safe-surrender/>

8.14 Contractor's Warranty of Adherence to County's Child Support Compliance Program

8.13.1 The Contractor acknowledges that the County has established a goal of ensuring that all individuals who benefit financially from the County through Purchase Order or Master Agreement are in compliance with their court-ordered child, family and spousal support obligations in order to mitigate the economic burden otherwise imposed upon the County and its taxpayers.

8.13.2 As required by the [County's Child Support Compliance Program \(County Code Chapter 2.200\)](#) and without limiting the Contractor's duty under this Master Agreement to comply with all applicable provisions of law, the Contractor warrants that it is now in compliance and will during the term of this Master Agreement maintain compliance with employment and wage reporting requirements as required by the Federal Social Security Act (42 USC Section 653a) and California Unemployment Insurance Code Section 1088.5, and will implement all lawfully served Wage and Earnings Withholding Orders or Child Support Services Department Notices of Wage and Earnings Assignment for Child, Family or Spousal Support, pursuant to Code of Civil Procedure Section 706.031 and Family Code Section 5246(b).

8.15 County's Quality Assurance Plan

The County or its agent(s) will monitor the contractor's performance under this Master Agreement on not less than an annual basis. Such monitoring will include assessing the contractor's compliance with all Master Agreement terms and conditions and performance standards. Contractor deficiencies which the County determines are significant or continuing and

that may place performance of the Master Agreement in jeopardy if not corrected will be reported to the Board and listed in the appropriate contractor performance database. The report to the Board will include improvement/ corrective action measures taken by the County and the contractor. If improvement does not occur consistent with the corrective action measures, the County may terminate this Master Agreement or impose other penalties as specified in this Master Agreement.

8.16 Damage to County Facilities, Buildings or Grounds

- 8.16.1 The Contractor will repair, or cause to be repaired, at its own cost, any and all damage to County facilities, buildings, or grounds caused by Contractor or employees or agents of Contractor. Such repairs must be made immediately after Contractor has become aware of such damage, but in no event later than 30 days after the occurrence.
- 8.16.2 If the Contractor fails to make timely repairs, County may make any necessary repairs. All costs incurred by County, as determined by County, for such repairs must be repaid by Contractor by cash payment upon demand.

8.17 Employment Eligibility Verification

- 8.17.1 The Contractor warrants that it fully complies with all Federal and State statutes and regulations regarding the employment of aliens and others and that all its employees performing work under this Master Agreement meet the citizenship or alien status requirements set forth in Federal and State statutes and regulations. The Contractor must obtain from all employees performing work hereunder, all verification and other documentation of employment eligibility status required by Federal and State statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, (P.L. 99-603), or as they currently exist and as they may be hereafter amended. The Contractor must retain all such documentation for all covered employees for the period prescribed by law.
- 8.17.2 The Contractor must indemnify, defend, and hold harmless, the County, its agents, officers, and employees from employer sanctions and any other liability which may be assessed against the Contractor or the County or both in connection with any alleged violation of any Federal or State statutes or regulations pertaining to the eligibility for employment of any persons performing work under this Master Agreement.

8.18 Counterparts and Electronic Signatures and Representations

This Master Agreement may be executed in two or more counterparts, each of which will be deemed an original but all of which together will

constitute one and the same Master Agreement. The facsimile, email or electronic signature of the Parties will be deemed to constitute original signatures, and facsimile or electronic copies hereof will be deemed to constitute duplicate originals.

The County and the Contractor hereby agree to regard electronic representations of original signatures of authorized officers of each party, when appearing in appropriate places on the Change Notices and Amendments prepared pursuant to Subparagraph 8.1 (Change Notices and Amendments) and received via communications facilities (facsimile, email or electronic signature), as legally sufficient evidence that such legally binding signatures have been affixed to Amendments to this Master Agreement.

8.19 Fair Labor Standards

The Contractor must comply with all applicable provisions of the Federal Fair Labor Standards Act and must indemnify, defend, and hold harmless the County and its agents, officers, and employees from any and all liability, including, but not limited to, wages, overtime pay, liquidated damages, penalties, court costs, and attorneys' fees arising under any wage and hour law, including, but not limited to, the Federal Fair Labor Standards Act, for work performed by the Contractor's employees for which the County may be found jointly or solely liable.

8.20 Force Majeure

8.20.1 Neither party will be liable for such party's failure to perform its obligations under and in accordance with this Master Agreement, if such failure arises out of fires, floods, epidemics, quarantine restrictions, other natural occurrences, strikes, lockouts (other than a lockout by such party or any of such party's subcontractors), freight embargoes, or other similar events to those described above, but in every such case the failure to perform must be totally beyond the control and without any fault or negligence of such party (such events are referred to in this Paragraph as "force majeure events").

8.20.2 Notwithstanding the foregoing, a default by a subcontractor of Contractor will not constitute a force majeure event, unless such default arises out of causes beyond the control of both Contractor and such subcontractor, and without any fault or negligence of either of them. In such case, Contractor will not be liable for failure to perform, unless the goods or services to be furnished by the subcontractor were obtainable from other sources in sufficient time to permit Contractor to meet the required performance schedule. As used in this Paragraph, the term "subcontractor" and "subcontractors" mean subcontractors at any tier.

- 8.20.3 In the event Contractor's failure to perform arises out of a force majeure event, Contractor agrees to use commercially reasonable best efforts to obtain goods or services from other sources, if applicable, and to otherwise mitigate the damages and reduce the delay caused by such force majeure event.

8.21 Governing Law, Jurisdiction, and Venue

This Master Agreement will be governed by, and construed in accordance with, the laws of the State of California. The Contractor agrees and consents to the exclusive jurisdiction of the courts of the State of California for all purposes regarding this Master Agreement and further agrees and consents that venue of any action brought hereunder will be exclusively in the County of Los Angeles.

8.22 Independent Contractor Status

- 8.22.1 This Master Agreement is by and between the County and the Contractor and is not intended, and must not be construed, to create the relationship of agent, servant, employee, partnership, joint venture, or association, as between the County and the Contractor. The employees and agents of one party must not be, or be construed to be, the employees or agents of the other party for any purpose whatsoever.
- 8.22.2 The Contractor will be solely liable and responsible for providing to, or on behalf of, all persons performing work pursuant to this Master Agreement all compensation and benefits. The County will have no liability or responsibility for the payment of any salaries, wages, unemployment benefits, disability benefits, Federal, State, or local taxes, or other compensation, benefits, or taxes for any personnel provided by or on behalf of the Contractor.
- 8.22.3 The Contractor understands and agrees that all persons performing work pursuant to this Master Agreement are, for purposes of Workers' Compensation liability, solely employees of the Contractor and not employees of the County. The Contractor will be solely liable and responsible for furnishing any and all Workers' Compensation benefits to any person as a result of any injuries arising from or connected with any work performed by or on behalf of the Contractor pursuant to this Master Agreement.
- 8.22.4 The Contractor must adhere to the provisions stated in Subparagraph 7.8 (Confidentiality).

8.23 Indemnification

The Contractor must indemnify, defend and hold harmless the County, its Special Districts, elected and appointed officers, employees, agents and volunteers ("County Indemnitees") from and against any and all liability, including but not limited to demands, claims, actions, fees, costs and

expenses (including attorney and expert witness fees), arising from and/or relating to this Master Agreement, except for such loss or damage arising from the sole negligence or willful misconduct of the County Indemnities.

8.24 General Provisions for all Insurance Coverage

Without limiting Contractor's indemnification of County, and in the performance of this Master Agreement and until all of its obligations pursuant to this Master Agreement have been met, Contractor must provide and maintain at its own expense insurance coverage satisfying the requirements specified in Subparagraph 8.24 and 8.25 of this Master Agreement. These minimum insurance coverage terms, types and limits (the "Required Insurance") also are in addition to and separate from any other contractual obligation imposed upon Contractor pursuant to this Master Agreement. The County in no way warrants that the Required Insurance is sufficient to protect the Contractor for liabilities which may arise from or relate to this Master Agreement.

8.24.1 Evidence of Coverage and Notice to County

- Certificate(s) of insurance coverage (COIs) satisfactory to County, and a copy of an Additional Insured endorsement confirming County and its Agents (defined below) has been given Insured status under the Contractor's General Liability policy, must be delivered to County at the address shown below and provided prior to commencing services under this Master Agreement.
- Renewal COIs must be provided to County not less than ten days prior to Contractor's policy expiration dates. The County reserves the right to obtain complete, certified copies of any required Contractor and/or Subcontractor insurance policies at any time.
- COIs must identify all Required Insurance coverage types and limits specified herein, reference this Master Agreement by name or number, and be signed by an authorized representative of the insurer(s). The Insured party named on the COIs must match the name of the Contractor identified as the contracting party in this Master Agreement. COIs must provide the full name of each insurer providing coverage, its National Association of Insurance Commissioners (NAIC) identification number, its financial rating, the amounts of any policy deductibles or self-insured retentions exceeding \$50,000, and list any County required endorsement forms.
- Neither the County's failure to obtain, nor the County's receipt of, or failure to object to a non-complying insurance certificate or endorsement, or any other insurance

documentation or information provided by the Contractor, its insurance broker(s) and/or insurer(s), will be construed as a waiver of any of the Required Insurance provisions.

COIs and copies of any required endorsements must be sent to:

County of Los Angeles
Department of Treasurer and Tax Collector
Contracts Section
500 West Temple Street – Room 464
Los Angeles, CA 90012

Contractor also must promptly report to County any injury or property damage accident or incident, including any injury to a Contractor employee occurring on County property, and any loss, disappearance, destruction, misuse, or theft of County property, monies or securities entrusted to Contractor. Contractor also must promptly notify County of any third-party claim or suit filed against Contractor or any of its Subcontractors which arises from or relates to this Master Agreement and could result in the filing of a claim or lawsuit against Contractor and/or County.

8.24.2 Additional Insured Status and Scope of Coverage

The County of Los Angeles, its Special Districts, Elected Officials, Officers, Agents, Employees and Volunteers (collectively County and its Agents) must be provided additional insured status under Contractor's General Liability policy with respect to liability arising out of Contractor's ongoing and completed operations performed on behalf of the County. County and its Agents additional insured status must apply with respect to liability and defense of suits arising out of the Contractor's acts or omissions, whether such liability is attributable to the Contractor or to the County. The full policy limits and scope of protection also must apply to the County and its Agents as an additional insured, even if they exceed the County's minimum Required Insurance specifications herein. Use of an automatic additional insured endorsement form is acceptable providing it satisfies the Required Insurance provisions herein.

8.24.3 Cancellation of or Changes in Insurance

Contractor must provide County with, or Contractor's insurance policies must contain a provision that County will receive, written notice of cancellation or any change in Required Insurance, including insurer, limits of coverage, term of coverage or policy period. The written notice must be provided to County at least

ten days in advance of cancellation for non-payment of premium and 30 days in advance for any other cancellation or policy change. Failure to provide written notice of cancellation or any change in Required Insurance may constitute a material breach of the Master Agreement, in the sole discretion of the County, upon which the County may suspend or terminate this Master Agreement.

8.24.4 Failure to Maintain Insurance

Contractor's failure to maintain or to provide acceptable evidence that it maintains the Required Insurance will constitute a material breach of the Master Agreement, upon which County immediately may withhold payments due to Contractor, and/or suspend or terminate this Master Agreement. County, at its sole discretion, may obtain damages from Contractor resulting from said breach. Alternatively, the County may purchase the Required Insurance, and without further notice to Contractor, deduct the premium cost from sums due to Contractor or pursue Contractor reimbursement.

8.24.5 Insurer Financial Ratings

Coverage must be placed with insurers acceptable to the County with A.M. Best ratings of not less than A:VII unless otherwise approved by County.

8.24.6 Contractor's Insurance Must Be Primary

Contractor's insurance policies, with respect to any claims related to this Master Agreement, must be primary with respect to all other sources of coverage available to Contractor. Any County maintained insurance or self-insurance coverage must be in excess of and not contribute to any Contractor coverage.

8.24.7 Waivers of Subrogation

To the fullest extent permitted by law, the Contractor hereby waives its rights and its insurer(s)' rights of recovery against County under all the Required Insurance for any loss arising from or relating to this Master Agreement. The Contractor must require its insurers to execute any waiver of subrogation endorsements which may be necessary to effect such waiver.

8.24.8 Subcontractor Insurance Coverage Requirements

Contractor must include all Subcontractors as insureds under Contractor's own policies, or must provide County with each Subcontractor's separate evidence of insurance coverage. Contractor will be responsible for verifying each Subcontractor complies with the Required Insurance provisions herein, and

must require that each Subcontractor name the County and Contractor as additional insureds on the Subcontractor's General Liability policy. Contractor must obtain County's prior review and approval of any Subcontractor request for modification of the Required Insurance.

8.24.9 Deductibles and Self-Insured Retentions (SIRs)

Contractor's policies will not obligate the County to pay any portion of any Contractor deductible or SIR. The County retains the right to require Contractor to reduce or eliminate policy deductibles and SIRs as respects the County, or to provide a bond guaranteeing Contractor's payment of all deductibles and SIRs, including all related claims investigation, administration and defense expenses. Such bond must be executed by a corporate surety licensed to transact business in the State of California.

8.24.10 Claims Made Coverage

If any part of the Required Insurance is written on a claim made basis, any policy retroactive date will precede the effective date of this Master Agreement. Contractor understands and agrees it will maintain such coverage for a period of not less than three years following Master Agreement expiration, termination, or cancellation.

8.24.11 Application of Excess Liability Coverage

Contractors may use a combination of primary, and excess insurance policies which provide coverage as broad as ("follow form" over) the underlying primary policies, to satisfy the Required Insurance provisions.

8.24.12 Separation of Insureds

All liability policies must provide cross-liability coverage as would be afforded by the standard Insurance Services Office, Inc. (ISO) separation of insureds provision with no insured versus insured exclusions or limitations.

8.24.13 Alternative Risk Financing Programs

The County reserves the right to review, and then approve, Contractor use of self-insurance, risk retention groups, risk purchasing groups, pooling arrangements and captive insurance to satisfy the Required Insurance provisions. The County and its Agents must be designated as an Additional Covered Party under any approved program.

8.24.14 County Review and Approval of Insurance Requirements

The County reserves the right to review and adjust the Required Insurance provisions, conditioned upon County's determination of changes in risk exposures.

8.25 Insurance Coverage

8.25.1 **Commercial General Liability** insurance (providing scope of coverage equivalent to ISO policy form CG 00 01), naming County and its Agents as an additional insured, with limits of not less than:

General Aggregate: \$2 million

Products/Completed Operations Aggregate: \$1 million

Personal and Advertising Injury: \$1 million

Each Occurrence: \$1 million

8.25.2 **Automobile Liability** insurance (providing scope of coverage equivalent to ISO policy form CA 00 01) with limits of not less than \$1 million for bodily injury and property damage, in combined or equivalent split limits, for each single accident. Insurance must cover liability arising out of Contractor's use of autos pursuant to this Master Agreement, including owned, leased, hired, and/or non-owned autos, as each may be applicable.

8.25.3 **Workers Compensation and Employers' Liability** insurance or qualified self- insurance satisfying statutory requirements, which includes Employers' Liability coverage with limits of not less than \$1 million per accident. If Contractor will provide leased employees or is an employee leasing or temporary staffing firm or a professional employer organization (PEO), coverage also must include an Alternate Employer Endorsement (providing scope of coverage equivalent to ISO policy form WC 00 03 01 A) naming the County as the Alternate Employer. The written notice must be provided to County at least ten days in advance of cancellation for non-payment of premium and 30 days in advance for any other cancellation or policy change. If applicable to Contractor's operations, coverage also must be arranged to satisfy the requirements of any federal workers or workmen's compensation law or any federal occupational disease law.

8.25.4 Unique Insurance Coverage

- **Professional Liability/Errors and Omissions**

Insurance covering Contractor's liability arising from or related to this Master Agreement, with limits of not less than \$1 million per claim and \$2 million aggregate. Further, Contractor understands and agrees it must maintain such coverage for a

period of not less than three years following this Agreement's expiration, termination or cancellation.

8.26 Liquidated Damages

- 8.26.1 If, in the judgment of the Treasurer and Tax Collector, or designee, the Contractor is deemed to be non-compliant with the terms and obligations assumed hereby, the Treasurer and Tax Collector, or their designee, at their option, in addition to, or in lieu of, other remedies provided herein, may withhold the entire monthly payment or deduct pro rata from the Contractor's invoice for work not performed. A description of the work not performed and the amount to be withheld or deducted from payments to the Contractor from the County, will be forwarded to the Contractor by the Treasurer and Tax Collector, or their designee, in a written notice describing the reasons for said action.
- 8.26.2 If the Treasurer and Tax Collector, or designee determines that there are deficiencies in the performance of this Master Agreement that the Treasurer and Tax Collector or their designee, deems are correctable by the Contractor over a certain time span, the Treasurer and Tax Collector, or their designee, will provide a written notice to the Contractor to correct the deficiency within specified time frames. Should the Contractor fail to correct deficiencies within said time frame, the Treasurer and Tax Collector, or designee may:
- (a) Deduct from the Contractor's payment, pro rata, those applicable portions of the Monthly Contract Sum; and/or
 - (b) Deduct liquidated damages. The parties agree that it will be impracticable or extremely difficult to fix the extent of actual damages resulting from the failure of the Contractor to correct a deficiency within the specified time frame. The parties hereby agree that under the current circumstances a reasonable estimate of such damages is \$100 per day per infraction, or as may be specified in any Performance Requirements Summary (PRS) Charts in future Work Orders, and that the Contractor will be liable to the County for liquidated damages in said amount. Said amount will be deducted from the County's payment to the Contractor; and/or
 - (c) Upon giving five days' notice to the Contractor for failure to correct the deficiencies, the County may correct any and all deficiencies and the total costs incurred by the County for completion of the work by an alternate source, whether it be County forces or separate private contractor, will be deducted and forfeited from the payment to the Contractor from the County, as determined by the County.

- 8.26.3 The action noted in Subparagraph 8.26.2 will not be construed as a penalty, but as adjustment of payment to the Contractor to recover the County cost due to the failure of the Contractor to complete or comply with the provisions of this Master Agreement.
- 8.26.4 This Subparagraph will not, in any manner, restrict or limit the County's right to damages for any breach of this Master Agreement provided by law or as specified in the PRS or Subparagraph 8.26.2, and will not, in any manner, restrict or limit the County's right to terminate this Master Agreement as agreed to herein.

8.27 Most Favored Public Entity

If the Contractor's prices decline, or should the Contractor at any time during the term of this Master Agreement provide the same goods or services under similar quantity and delivery conditions to the State of California or any county, municipality, or district of the State at prices below those set forth in this Master Agreement, then such lower prices will be immediately extended to the County.

8.28 Nondiscrimination and Affirmative Action

- 8.28.1 The Contractor certifies and agrees that all persons employed by it, its affiliates, subsidiaries, or holding companies are and will be treated equally without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, in compliance with all applicable Federal and State anti-discrimination laws and regulations.
- 8.28.2 Contractor certifies to the County each of the following:
- That Contractor has a written policy statement prohibiting discrimination in all phases of employment.
 - That Contractor periodically conducts a self-analysis or utilization analysis of its work force.
 - That Contractor has a system for determining if its employment practices are discriminatory against protected groups.
 - Where problem areas are identified in employment practices, the Contractor has a system for taking reasonable corrective action, to include establishment of goals or timetables.
- 8.28.3 The Contractor must take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital

status, or political affiliation, in compliance with all applicable Federal and State anti-discrimination laws and regulations. Such action must include, but is not limited to: employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

- 8.28.4 The Contractor certifies and agrees that it will deal with its subcontractors, bidders, or vendors without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation.
- 8.28.5 The Contractor certifies and agrees that it, its affiliates, subsidiaries, or holding companies will comply with all applicable Federal and State laws and regulations to the end that no person will, on the grounds of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Master Agreement or under any project, program, or activity supported by this Master Agreement.
- 8.28.6 The Contractor will allow County representatives access to the Contractor's employment records during regular business hours to verify compliance with the provisions of this Subparagraph 8.28 when so requested by the County.
- 8.28.7 If the County finds that any provisions of this Subparagraph 8.28 have been violated, such violation will constitute a material breach of this Master Agreement upon which the County may terminate or suspend this Master Agreement. While the County reserves the right to determine independently that the anti-discrimination provisions of this Master Agreement have been violated, in addition, a determination by the California Fair Employment and Housing Commission or the Federal Equal Employment Opportunity Commission that the Contractor has violated Federal or State anti-discrimination laws or regulations will constitute a finding by the County that the Contractor has violated the anti-discrimination provisions of this Master Agreement.
- 8.28.8 The parties agree that in the event the Contractor violates any of the anti-discrimination provisions of this Master Agreement, the County will, at its sole option, be entitled to the sum of \$500 for each such violation pursuant to California Civil Code Section 1671 as liquidated damages in lieu of terminating or suspending this Master Agreement.

8.29 Non-Exclusivity

Nothing herein is intended nor will be construed as creating any exclusive arrangement with Contractor. This Master Agreement will not restrict the Department from acquiring similar, equal or like goods and/or services from other entities or sources.

8.30 Notice of Delays

Except as otherwise provided under this Master Agreement, when either party has knowledge that any actual or potential situation is delaying or threatens to delay the timely performance of this Master Agreement, that party must, within one business day, give notice thereof, including all relevant information with respect thereto, to the other party.

8.31 Dispute Resolution Procedure

It is the intent of the parties that all disputes arising under this Master Agreement be resolved expeditiously, amicably, and at the level within each party's organization that is most knowledgeable about the disputed issue. The parties understand and agree that the procedures outlined in this Subparagraph are not intended to supplant the routine handling of inquiries and complaints through informal contact with their respective managers. Accordingly, for purposes of the procedures set forth in this Subparagraph, a "dispute" will mean any action, dispute, claim, or controversy of any kind, whether in contract or tort, statutory or common law, legal or equitable, now existing or hereafter arising under or in connection with, or in any way pertaining to this Master Agreement.

8.31.1 Contractor and County agree to act with urgency to mutually resolve any disputes, which may arise with respect to this Master Agreement. All such disputes must be subject to the provisions of this Subparagraph 8.31 (Dispute Resolution Procedure), (such provisions must be collectively referred to as the "Dispute Resolution Procedure"). Time is of the essence in the resolution of disputes.

8.31.2 Contractor and County agree that the existence and details of a dispute notwithstanding, both parties must continue without delay their performance hereunder, except for any performance, which the County determines should be delayed as a result of such dispute.

8.31.3 If Contractor fails to continue without delay its performance hereunder which the County, in its sole discretion, determines should not be delayed as a result of such dispute, then any additional costs, which may be incurred by the Contractor or County as a result of Contractor's failure to continue to so perform must be borne by the Contractor, and Contractor must make no claim whatsoever against the County for such costs. Contractor must promptly reimburse the County for such County

costs, as determined by the County, or County may deduct all such additional costs from any amounts due to the Contractor from the County.

- 8.31.4 If County fails to continue without delay to perform its responsibilities under this Contract, which County determines should not be delayed as a result of such dispute, then any additional costs incurred by the Contractor or the County as a result of County's failure to continue to so perform must be borne by the County, and County will make no claim whatsoever against the Contractor for such costs. County must promptly reimburse Contractor for all such additional Contractor costs subject to the approval of such costs by the County.
- 8.31.5 In the event of any dispute between the parties with respect to this Contract, Contractor and County must submit the matter to their respective Project Managers for the purpose of endeavoring to resolve such dispute.
- 8.31.6 In the event that the Project Managers are unable to resolve the dispute within a reasonable time not to exceed ten days from the date of submission of the dispute to them, then the matter must be immediately submitted to the parties' respective Project Directors for further consideration and discussion to attempt to resolve the dispute.
- 8.31.7 In the event that the Project Director are unable to resolve the dispute within a reasonable time not to exceed ten days from the date of submission of the dispute to them, then the matter must be immediately submitted to Contractor's president or equivalent and the Treasurer and Tax Collector, or designee. These persons must have ten days to attempt to resolve the dispute.
- 8.31.8 In the event that at these levels, there is not a resolution of the dispute acceptable to both parties, then each party may assert its other rights and remedies provided under this Contract and/or its rights and remedies as provided by law.
- 8.31.9 All disputes utilizing this dispute resolution procedure must be documented in writing by each party and must state the specifics of each alleged dispute and all actions taken. The parties must act in good faith to resolve all disputes. At all three levels described in this Subparagraph 8.31 (Dispute Resolution Procedure), the efforts to resolve a dispute must be undertaken by conference between the parties' respective representatives, either orally, by face-to-face meeting or by telephone, or in writing by exchange of correspondence.
- 8.31.10 Notwithstanding any other provision of this Master Agreement County's right to terminate this Master Agreement or to seek

injunctive relief to enforce the provisions of Subparagraph 7.8 (Confidentiality), must not be subject to this Dispute Resolution Procedure. The preceding sentence is intended only as a clarification of County's rights and must not be deemed to impair any claims that the County may have against the Contractor or County's rights to assert such claims after any such termination or such injunctive relief has been obtained.

8.32 Notice to Employees Regarding the Federal Earned Income Credit

The Contractor must notify its employees, and will require each subcontractor to notify its employees, that they may be eligible for the Federal Earned Income Credit under the federal income tax laws. Such notice must be provided in accordance with the requirements set forth in Internal Revenue Service Notice No. 1015.

8.33 Notice to Employees Regarding the Safely Surrendered Baby Law

The Contractor must notify and provide to its employees, and will require each subcontractor to notify and provide to its employees, information regarding the Safely Surrendered Baby Law, its implementation in Los Angeles County, and where and how to safely surrender a baby. The information is set forth in Exhibit C, Safely Surrendered Baby Law of this Master Agreement. Additional information is available at <https://lacounty.gov/residents/family-services/child-safety/safe-surrender/>.

8.34 Notices

All notices or demands required or permitted to be given or made under this Master Agreement must be in writing and will be hand delivered with signed receipt or mailed by first-class registered or certified mail, postage prepaid, addressed to the parties as identified in Exhibits A (County's Administration) and B (Contractor's Administration). Addresses may be changed by either party giving ten days prior written notice thereof to the other party. The Treasurer and Tax Collector, or their designee, will have the authority to issue all notices or demands required or permitted by the County under this Master Agreement.

8.35 Prohibition Against Inducement or Persuasion

Notwithstanding the above, the Contractor and the County agree that, during the term of this Master Agreement and for a period of one year thereafter, neither party will in any way intentionally induce or persuade any employee of one party to become an employee or agent of the other party. No bar exists against any hiring action initiated through a public announcement.

8.36 California Public Records Act

8.36.1 Any documents submitted by Contractor; all information obtained in connection with the County's right to audit and inspect Contractor's documents, books, and accounting records pursuant

to Subparagraph 8.38 (Record Retention and Inspection/Audit Settlement) of this Master Agreement as well as those documents which were required to be submitted in response to the RFSQ used in the solicitation process for this Master Agreement, become the exclusive property of the County. All such documents become a matter of public record and will be regarded as public records. Exceptions will be those elements in the [California Government Code Section 7921 et seq.](#) (Public Records Act) and which are marked “trade secret”, “confidential”, or “proprietary”. The County will not in any way be liable or responsible for the disclosure of any such records including, without limitation, those so marked, if disclosure is required by law, or by an order issued by a court of competent jurisdiction.

8.36.2 In the event the County is required to defend an action on a Public Records Act request for any of the aforementioned documents, information, books, records, and/or contents of an SOQ marked “trade secret”, “confidential”, or “proprietary”, the Contractor agrees to defend and indemnify the County from all costs and expenses, including reasonable attorney’s fees, in action or liability arising under the Public Records Act.

8.37 Publicity

8.37.1 The Contractor must not disclose any details in connection with this Master Agreement to any person or entity except as may be otherwise provided hereunder or required by law. However, in recognizing the Contractor’s need to identify its services and related clients to sustain itself, the County will not inhibit the Contractor from publishing its role under this Master Agreement within the following conditions:

- The Contractor must develop all publicity material in a professional manner; and
- During the term of this Master Agreement, the Contractor must not, and will not authorize another to, publish or disseminate any commercial advertisements, press releases, feature articles, or other materials using the name of the County without the prior written consent of the County’s Project Director. The County will not unreasonably withhold written consent.

8.37.2 The Contractor may, without the prior written consent of County, indicate in its proposals and sales materials that it has been awarded this Master Agreement with the County of Los Angeles, provided that the requirements of this Subparagraph 8.37 (Publicity) will apply.

8.38 Record Retention and Inspection/Audit Settlement

The Contractor must maintain accurate and complete financial records of its activities and operations relating to this Master Agreement in accordance with generally accepted accounting principles. The Contractor must also maintain accurate and complete employment and other records relating to its performance of this Master Agreement. The Contractor agrees that the County, or its authorized representatives, will have access to and the right to examine, audit, excerpt, copy, or transcribe any pertinent transaction, activity, or record relating to this Master Agreement. All such material, including, but not limited to, all financial records, bank statements, cancelled checks or other proof of payment, timecards, sign-in/sign-out sheets and other time and employment records, and proprietary data and information, will be kept and maintained by the Contractor and will be made available to the County during the term of this Master Agreement and for a period of five years thereafter unless the County's written permission is given to dispose of any such material prior to such time. All such material must be maintained by the Contractor at a location in Los Angeles County, provided that if any such material is located outside Los Angeles County, then at the County's option, the Contractor will pay the County for travel, per diem, and other costs incurred by the County to examine, audit, excerpt, copy, or transcribe such material at such other location.

- 8.38.1 In the event that an audit of the Contractor is conducted specifically regarding this Master Agreement by any Federal or State auditor, or by any auditor or accountant employed by the Contractor or otherwise, then the Contractor must file a copy of such audit report with the County's A-C within 30 days of the Contractor's receipt thereof, unless otherwise provided by applicable Federal or State law or under this Master Agreement. The County will make a reasonable effort to maintain the confidentiality of such audit report(s).
- 8.38.2 Failure on the part of the Contractor to comply with any of the provisions of this paragraph will constitute a material breach of this Master Agreement upon which the County may terminate or suspend this Master Agreement.
- 8.38.3 If, at any time during the term of this Master Agreement or within five years after the expiration or termination of this Master Agreement, representatives of the County may conduct an audit of the Contractor regarding the work performed under this Master Agreement, and if such audit finds that the County's dollar liability for any such work is less than payments made by the County to the Contractor, then the difference will be either: a) repaid by the Contractor to the County by cash payment upon demand or b) at the sole option of the County's A-C, deducted from any amounts due to the Contractor from the County, whether under this Master Agreement or otherwise. If such audit finds that the County's

dollar liability for such work is more than the payments made by the County to the Contractor, then the difference will be paid to the Contractor by the County by cash payment, provided that in no event will the County's maximum obligation for this Master Agreement exceed the funds appropriated by the County for the purpose of this Master Agreement.

8.38.4 **Financial Statements:** Beginning one year after the Effective Date of this Master Agreement, and every year thereafter until the expiration of this Master Agreement, Contractor must submit to the Contracts' Section – Contract Monitor, as indicated on Exhibit A (County's Administration), a complete set of audited financial statements for the preceding 12-month period. Such statements must, at a minimum, include a Balance Sheet (Statement of Financial Position) and Income Statement (Statement of Operations). The County reserves the right to request these financial statements on a more frequent basis and will so notify Contractor in writing. All financial statements will be kept confidential, only if stamped or marked as confidential on each page of the financial statement.

8.38.5 **Pending Litigation:** Contractor must submit an annual statement regarding any pending or threatened litigation that would have a material adverse impact on its performance under the Master Agreement since the Contractor last reported same to the County, and as soon as an incident occurs, to the Contracts' Section – Contract Monitor, as indicated on Exhibit A (County's Administration).

8.39 Recycled Bond Paper

Consistent with the Board's policy to reduce the amount of solid waste deposited at the County landfills, the Contractor agrees to use recycled-content paper to the maximum extent possible on this Master Agreement.

8.40 Subcontracting

8.40.1 If the Contractor desires to subcontract, the work requirements of this Contract may not be subcontracted by the Contractor **without the advance written approval of the Treasurer and Tax Collector, or their designee.**

If the Contractor desires to subcontract, the work requirements of this Contract as they relate to Exhibit G (Information Security and Privacy Requirements) may not be subcontracted by the Contractor **without the advance written approval of County's Chief Information Security Officer and/or Chief Privacy Officer in addition to that of the Treasurer and Tax Collector, or their designee.** Any attempt by the Contractor to subcontract

without the prior consent of the above parties may be deemed a material breach of this Contract.

- 8.40.2 Following written approval by the Treasurer and Tax Collector, or his designee, in conjunction with the County's Chief Information Security Officer and/or Chief Privacy Officer, the County's Contract Manager is authorized to act for and on behalf of the County with respect to approval of any subcontract and Subcontractor employees. After approval of the subcontract by County, Contractor must forward a fully executed subcontract to the TTC for its files.
- 8.40.3 After the Contractor has engaged an approved Subcontractor, the Contractor must provide the following information promptly at the County's request and prior to any work being performed by the Subcontractor:
1. A description of the work to be performed by the Subcontractor;
 2. A draft copy of the proposed subcontract; and
 3. Written agreement from each Subcontractor and/or third party, certifying it must comply with and be bound by the applicable terms of Exhibit G (Information Security and Privacy Requirements) of this Contract; and
 4. Other pertinent information and/or certifications requested by County.
- 8.40.4 The Contractor must indemnify, defend, and hold the County harmless with respect to the activities of each and every Subcontractor in the same manner and to the same degree as if such Subcontractor(s) were Contractor employees.
- 8.40.5 The Contractor will remain fully responsible for all performances required of it under this Contract, including those that the Contractor has determined to subcontract, notwithstanding the County's approval of the Contractor's proposed subcontract.
- 8.40.6 The County's consent to subcontract will not waive the County's right to prior and continuing approval of any and all personnel, including Subcontractor employees, providing services under this Contract. The Contractor is responsible to notify its Subcontractors of this County right.
- 8.40.7 The Contractor will be solely liable and responsible for all payments or other compensation to all Subcontractors and their officers, employees, agents, and successors in interest arising through services performed hereunder, notwithstanding the County's consent to subcontract.

8.40.8 The Contractor must obtain COIs, which establish that the Subcontractor maintains all the programs of insurance required by the County from each approved Subcontractor. Before any Subcontractor employee may perform any work hereunder, the Contractor must ensure delivery of all such documents to:

County of Los Angeles
Department of Treasurer and Tax Collector
Contracts Section
500 West Temple Street, Room 464
Los Angeles, CA 90012

8.41 Termination for Breach of Warranty to Maintain Compliance with County's Child Support Compliance Program

Failure of the Contractor to maintain compliance with the requirements set forth in Subparagraph 8.14 (Contractor's Warranty of Adherence to County's Child Support Compliance Program), will constitute a default under this Master Agreement. Without limiting the rights and remedies available to the County under any other provision of this Master Agreement, failure of Contractor to cure such default within 90 calendar days of written notice will be grounds upon which the County may terminate this Master Agreement pursuant to Subparagraph 8.43 (Termination for Default) and pursue debarment of Contractor, pursuant to [County Code Chapter 2.202](#).

8.42 Termination for Convenience

8.42.1 This Master Agreement may be terminated, in whole or in part, from time to time, when such action is deemed by the County, in its sole discretion, to be in its best interest. Termination of work hereunder will be effected by notice of termination to the Contractor specifying the extent to which performance of work is terminated and the date upon which such termination becomes effective. The date upon which such termination becomes effective will be no less than ten days after the notice is sent. In no event will County's termination of this Contract pursuant to this Subparagraph 8.42 (Termination for Convenience) be deemed a waiver of County's right to make a claim against the Contractor for damages resulting from any default by the Contractor or its agents which occurred prior to the effective termination date.

8.42.2 Upon receipt of a notice of termination and except as otherwise directed by the County, the Contractor must immediately:

- Stop work under the Work Order or under this Master Agreement, as identified in such notice;
- Transfer title and deliver to County all completed work and work in process; and
- Complete performance of such part of the work as would not

have been terminated by such notice.

- 8.42.3 All material including books, records, documents, or other evidence bearing on the costs and expenses of the Contractor under this Master Agreement or Work Order must be maintained by the Contractor in accordance with Paragraph 8.38 (Record Retention and Inspection/Audit Settlement).

8.43 Termination for Default

- 8.43.1 The County may, by written notice to the Contractor, terminate the whole or any part of this Master Agreement, if, in the judgment of County's Project Director:
1. Contractor has materially breached this Master Agreement;
 2. Contractor fails to timely provide and/or satisfactorily perform any task, deliverable, service, or other work required either under this Master Agreement or any Work Order issued hereunder; or
 3. Contractor fails to demonstrate a high probability of timely fulfillment of performance requirements of any Work Order issued under this Master Agreement, or of any obligations of this Master Agreement and in either case, fails to demonstrate convincing progress toward a cure within five working days (or such longer period as the County may authorize in writing) after receipt of written notice from the County specifying such failure; or
- 8.43.2 The County may, without prior notice or opportunity to cure given to the Contractor, terminate the whole or any part of this Contract, if in the judgment of County's Project Director:
1. The Contractor or any of its agents materially breaches any of the warranties, representations and covenants made in Subparagraph 8.3 (Authorization Warranty) so as to adversely affect the County; or
 2. The Contractor is subject to criminal investigation, indictment or conviction, or is found civilly or criminally liable by a trial court, judge or administrative panel in connection with any matter involving breach of trust or fiduciary duty, fraud, theft, or moral turpitude; or
 3. The Contractor attempts or purports to assign this Contract, or any portion thereof, or any of its rights or obligations hereunder, without the prior written consent of County, except as provided in Subparagraph 8.2 (Assignment and Delegation/Mergers or Acquisitions).
- 8.43.3 In the event that the County terminates this Master Agreement in whole or in part as provided in Subparagraph 8.43.1, the County

may procure, upon such terms and in such manner as the County may deem appropriate, goods and services similar to those so terminated. The Contractor will be liable to the County for any and all excess costs incurred by the County, as determined by the County, for such similar goods and services. The Contractor will continue the performance of this Master Agreement to the extent not terminated under the provisions of this paragraph.

- 8.43.4 Except with respect to defaults of any subcontractor, the Contractor will not be liable for any such excess costs of the type identified in Paragraph 8.43.2 if its failure to perform this Master Agreement, including any Work Order issued hereunder, arises out of causes beyond the control and without the fault or negligence of the Contractor. Such causes may include, but are not limited to: acts of God or of the public enemy, acts of the County in either its sovereign or contractual capacity, acts of Federal or State governments in their sovereign capacities, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, and unusually severe weather; but in every case, the failure to perform must be beyond the control and without the fault or negligence of the Contractor. If the failure to perform is caused by the default of a subcontractor, and if such default arises out of causes beyond the control of both the Contractor and subcontractor, and without the fault or negligence of either of them, the Contractor will not be liable for any such excess costs for failure to perform, unless the goods or services to be furnished by the subcontractor were obtainable from other sources in sufficient time to permit the Contractor to meet the required performance schedule. As used in this Subparagraph, the term "Subcontractor(s)" means Subcontractor(s) at any tier.
- 8.43.5 If, after the County has given notice of termination under the provisions of this Subparagraph 8.43 (Termination for Default), it is determined by the County that the Contractor was not in default under the provisions of this Subparagraph 8.43 (Termination for Default), or that the default was excusable under the provisions of Subparagraph 8.43.3, the rights and obligations of the parties will be the same as if the notice of termination had been issued pursuant to Subparagraph 8.42 (Termination for Convenience).
- 8.43.6 The rights and remedies of the County provided in this Subparagraph 8.43 (Termination for Default) will not be exclusive and are in addition to any other rights and remedies provided by law or under this Master Agreement.

8.44 Termination for Improper Consideration

- 8.44.1 The County may, by written notice to the Contractor, immediately terminate the right of the Contractor to proceed under this Master Agreement if it is found that consideration, in any form, was offered or given by the Contractor, either directly or through an intermediary, to any County officer, employee, or agent with the intent of securing this Master Agreement or securing favorable treatment with respect to the award, amendment, or extension of the Master Agreement or the making of any determinations with respect to the Contractor's performance pursuant to the Master Agreement. In the event of such termination, the County will be entitled to pursue the same remedies against the Contractor as it could pursue in the event of default by the Contractor.
- 8.44.2 The Contractor must immediately report any attempt by a County officer, employee, or agent to solicit such improper consideration. The report must be made to the Los Angeles County Fraud Hotline at (800) 544-6861 or <https://fraud.lacounty.gov/>.
- 8.44.3 Among other items, such improper consideration may take the form of cash, discounts, services, the provision of travel or entertainment, or tangible gifts.

8.45 Termination for Insolvency

- 8.45.1 The County may terminate this Master Agreement forthwith in the event of the occurrence of any of the following:
- Insolvency of the Contractor. The Contractor will be deemed to be insolvent if it has ceased to pay its debts for at least 60 days in the ordinary course of business or cannot pay its debts as they become due, whether or not a petition has been filed under the Federal Bankruptcy Code and whether or not the Contractor is insolvent within the meaning of the Federal Bankruptcy Code;
 - The filing of a voluntary or involuntary petition regarding the Contractor under the Federal Bankruptcy Code;
 - The appointment of a Receiver or Trustee for the Contractor; or
 - The execution by the Contractor of a general assignment for the benefit of creditors.
- 8.45.2 The rights and remedies of the County provided in this Subparagraph 8.45 (Termination for Insolvency) will not be exclusive and are in addition to any other rights and remedies provided by law or under this Master Agreement.

8.46 Termination for Non-Adherence of County Lobbyist Ordinance

The Contractor, and each County Lobbyist or County Lobbying firm as defined in [County Code Section 2.160.010](#) retained by the Contractor, must fully comply with the County's Lobbyist Ordinance, [County Code Section 2.160.010](#). Failure on the part of the Contractor or any County Lobbyist or County Lobbying firm retained by the Contractor to fully comply with the County's Lobbyist Ordinance will constitute a material breach of this Master Agreement, upon which the County may in its sole discretion, immediately terminate or suspend this Master Agreement.

8.47 Termination for Non-Appropriation of Funds

Notwithstanding any other provision of this Master Agreement, the County will not be obligated for the Contractor's performance hereunder or by any provision of this Master Agreement during any of the County's future fiscal years unless and until the County's Board appropriates funds for this Master Agreement in the County's Budget for each such future fiscal year. In the event that funds are not appropriated for this Master Agreement, then this Master Agreement will terminate as of June 30 of the last fiscal year for which funds were appropriated. The County will notify the Contractor in writing of any such non-allocation of funds at the earliest possible date.

8.48 Validity

If any provision of this Master Agreement or the application thereof to any person or circumstance is held invalid, the remainder of this Master Agreement and the application of such provision to other persons or circumstances will not be affected thereby.

8.49 Waiver

No waiver by the County of any breach of any provision of this Master Agreement will constitute a waiver of any other breach or of such provision. Failure of the County to enforce at any time, or from time to time, any provision of this Master Agreement will not be construed as a waiver thereof. The rights and remedies set forth in this Subparagraph will not be exclusive and are in addition to any other rights and remedies provided by law or under this Master Agreement.

8.50 Warranty Against Contingent Fees

8.50.1 The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure this Master Agreement upon any agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business.

8.50.2 For breach of this warranty, the County will have the right to terminate this Master Agreement and, at its sole discretion,

deduct from the Master Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

8.51 Warranty of Compliance with County’s Defaulted Property Tax Reduction Program

Contractor acknowledges that County has established a goal of ensuring that all individuals and businesses that benefit financially from County through contract are current in paying their property tax obligations (secured and unsecured roll) in order to mitigate the economic burden otherwise imposed upon County and its taxpayers.

Unless Contractor qualifies for an exemption or exclusion, Contractor warrants and certifies that to the best of its knowledge it is now in compliance, and during the term of this Master Agreement will maintain compliance, with [Los Angeles County Code Chapter 2.206](#).

8.52 Termination for Breach of Warranty to Maintain Compliance with County’s Defaulted Property Tax Reduction Program

Failure of Contractor to maintain compliance with the requirements set forth in Subparagraph 8.51 (Warranty of Compliance with County’s Defaulted Property Tax Reduction Program) will constitute default under this Master Agreement. Without limiting the rights and remedies available to County under any other provision of this Master Agreement, failure of Contractor to cure such default within ten days of notice will be grounds upon which County may terminate this Master Agreement and/or pursue debarment of Contractor, pursuant to [Los Angeles County Code Chapter 2.206](#).

8.53 Time off For Voting

The Contractor must notify its employees, and must require each subcontractor to notify and provide to its employees, information regarding the time off for voting law ([Elections Code Section 14000](#)). Not less than ten days before every statewide election, every Contractor and subcontractors must keep posted conspicuously at the place of work, if practicable, or elsewhere where it can be seen as employees come or go to their place of work, a notice setting forth the provisions of [Section 14000](#).

8.54 Use of County Seal and/or TTC Logos

The County claims right, title and interest in and to certain intellectual property, including, but not limited to, the current and former County Seals and TTC logos (collectively, County Seals). Except as expressly authorized herein, the Contractor must not reproduce, copy, distribute, republish, download, display, post, transmit or make any other use of any kind whatsoever of the County Seals, in any format or by any means whatsoever. At no time will the Contractor in any manner (i) modify the County Seals or (ii) create derivative works of the County Seals. The

Contractor must not in any manner sublicense, transfer or assign its rights, or delegate its duties, with respect to use of the County Seals, whether in whole or in part, without the prior written consent of the County, in its discretion, and any attempted sublicense, transfer, assignment or delegation without such consent will be null and void.

8.55 Compliance with County’s Zero Tolerance Policy on Human Trafficking

Contractor acknowledges that the County has established a Zero Tolerance Policy on Human Trafficking prohibiting contractors from engaging in human trafficking.

If a Contractor or member of Contractor’s staff is convicted of a human trafficking offense, the County will require that the Contractor or member of Contractor’s staff be removed immediately from performing services under the Master Agreement. County will not be under any obligation to disclose confidential information regarding the offenses other than those required by law.

Disqualification of any member of Contractor’s staff pursuant to this paragraph will not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Master Agreement.

8.56 Compliance with Fair Chance Employment Hiring Practices

Contractor, and its subcontractors, must will comply with fair chance employment hiring practices set forth in [California Government Code Section 12952](#), Contractor’s violation of this paragraph of the Contract may constitute a material breach of the Contract. In the event of such material breach, County may, in its sole discretion, terminate the Contract.

8.57 Compliance with the County Policy of Equity

The Contractor acknowledges that the County takes its commitment to preserving the dignity and professionalism of the workplace very seriously, as set forth in the County Policy of Equity (CPOE) (<https://ceop.lacounty.gov/>). The contractor further acknowledges that the County strives to provide a workplace free from discrimination, harassment, retaliation, and inappropriate conduct based on a protected characteristic, and which may violate the CPOE. The Contractor, its employees and subcontractors acknowledge and certify receipt and understanding of the CPOE. Failure of the contractor, its employees or its subcontractors to uphold the County’s expectations of a workplace free from harassment and discrimination, including inappropriate conduct based on a protected characteristic, may subject the contractor to termination of contractual agreements as well as civil liability.

8.58 Prohibition from Participation in Future Solicitation(s)

A Proposer, or a Contractor or its subsidiary or Subcontractor (“Proposer/Contractor”), is prohibited from submitting a bid or proposal in

a County solicitation if the Proposer/Contractor has provided advice or consultation for the solicitation. A Proposer/Contractor is also prohibited from submitting a bid or proposal in a County solicitation if the Proposer/Contractor has developed or prepared any of the solicitation materials on behalf of the County. A violation of this provision will result in the disqualification of the Contractor/Proposer from participation in the County solicitation or the termination or cancellation of any resultant County contract.

8.59 Injury and Illness Prevention Program

Contractor will be required to comply with the State of California's Cal OSHA's regulations. California Code of Regulations Title 8 Section 3203 requires all California employers to have a written, effective Injury and Illness Prevention Program (IIPP) that addresses hazards pertaining to the particular workplace covered by the program.

9.0 UNIQUE TERMS AND CONDITIONS

9.1 Local Small Business Enterprise (LSBE) Preference Program

- 9.1.1 This Master Agreement is subject to the provisions of the County's ordinance entitled LSBE Preference Program, as codified in [Chapter 2.204 of the Los Angeles County Code](#).
- 9.1.2 The Contractor must not knowingly and with the intent to defraud, fraudulently obtain, retain, attempt to obtain or retain, or aid another in fraudulently obtaining or retaining or attempting to obtain or retain certification as an LSBE.
- 9.1.3 The Contractor must not willfully and knowingly make a false statement with the intent to defraud, whether by affidavit, report, or other representation, to a County official or employee for the purpose of influencing the certification or denial of certification of any entity as an LSBE.
- 9.1.4 If the Contractor has obtained certification as an LSBE by reason of having furnished incorrect supporting information or by reason of having withheld information, and which knew, or should have known, the information furnished was incorrect or the information withheld was relevant to its request for certification, and which by reason of such certification has been awarded this Master Agreement to which it would not otherwise have been entitled, will:
 - Pay to the County any difference between the Master Agreement amount and what the County's costs would have been if the Master Agreement had been properly awarded;

- In addition to the amount described in subdivision (1), be assessed a penalty in an amount of not more than 10% of the amount of the Master Agreement; and
- Be subject to the provisions of [Chapter 2.202 of the Los Angeles County Code](#) (Determinations of Contractor Non-responsibility and Contractor Debarment).

The above penalties will also apply to any business that has previously obtained proper certification, however, as a result of a change in their status would no longer be eligible for certification, and fails to notify the State and the Debt Financing Consumer and Business Affairs of this information prior to responding to a solicitation or accepting a Master Agreement award.

9.2 Social Enterprise (SE) Preference Program

9.2.1 This Master Agreement is subject to the provisions of the County’s ordinance entitled SE Preference Program, as codified in [Chapter 2.205 of the Los Angeles County Code](#).

9.2.2 Contractor must not knowingly and with the intent to defraud, fraudulently obtain, retain, attempt to obtain or retain, or aid another in fraudulently obtaining or retaining or attempting to obtain or retain certification as an SE.

9.2.3 Contractor must not willfully and knowingly make a false statement with the intent to defraud, whether by affidavit, report, or other representation, to a County official or employee for the purpose of influencing the certification or denial of certification of any entity as an SE.

9.2.4 If Contractor has obtained County certification as an SE by reason of having furnished incorrect supporting information or by reason of having withheld information, and which knew, or should have known, the information furnished was incorrect or the information withheld was relevant to its request for certification, and which by reason of such certification has been awarded this Master Agreement to which it would not otherwise have been entitled, Contractor will:

- Pay to the County any difference between the Master Agreement amount and what the County’s costs would have been if the Master Agreement had been properly awarded;
- In addition to the amount described in subdivision (1) above, the Contractor will be assessed a penalty in an amount of not more than 10% of the amount of the Master Agreement; and

- Be subject to the provisions of [Chapter 2.202 of the Los Angeles County Code](#) (Determinations of Contractor Non-responsibility and Contractor Debarment).

The above penalties will also apply to any entity that has previously obtained proper certification, however, as a result of a change in their status would no longer be eligible for certification, and fails to notify the Department of Consumer and Business Affairs of this information prior to responding to a solicitation or accepting a Master Agreement award.

9.3 Disabled Veteran Business Enterprise (DVBE) Preference Program

- 9.3.1 This Master Agreement is subject to the provisions of the County’s ordinance entitled DVBE Preference Program, as codified in [Chapter 2.211 of the Los Angeles County Code](#).
- 9.3.2 Contractor must not knowingly and with the intent to defraud, fraudulently obtain, retain, attempt to obtain or retain, or aid another in fraudulently obtaining or retaining or attempting to obtain or retain certification as a DVBE.
- 9.3.3 Contractor must not willfully and knowingly make a false statement with the intent to defraud, whether by affidavit, report, or other representation, to a County official or employee for the purpose of influencing the certification or denial of certification of any entity as a DVBE.
- 9.3.4 If Contractor has obtained certification as a DVBE by reason of having furnished incorrect supporting information or by reason of having withheld information, and which knew, or should have known, the information furnished was incorrect or the information withheld was relevant to its request for certification, and which by reason of such certification has been awarded this Master Agreement to which it would not otherwise have been entitled, Contractor will:
- Pay to the County any difference between the Master Agreement amount and what the County’s costs would have been if the Master Agreement had been properly awarded;
 - In addition to the amount described in subdivision (1) above, the Contractor will be assessed a penalty in an amount of not more than 10% of the amount of the Master Agreement; and
 - Be subject to the provisions of [Chapter 2.202 of the Los Angeles County Code](#) (Determinations of Contractor Non-responsibility and Contractor Debarment).

Notwithstanding any other remedies in this Master Agreement, the above penalties will also apply to any business that has

previously obtained proper certification, however, as a result of a change in their status would no longer be eligible for certification, and fails to notify the State and the Department of Consumer and Business Affairs of this information prior to responding to a solicitation or accepting a Master Agreement award.

9.4 Information Security and Privacy Requirements

Contractor must comply with Exhibit G (Information Security and Privacy Requirements) of this Contract. The Information Security and Privacy Requirements applies to both Contractors and their Subcontractors. Contractor will be required to certify that they are in full compliance with the provisions of the Information Security and Privacy Requirements and must maintain compliance during the term of this contract. Failure to maintain compliance, or to timely cure defects, may be cause for termination of a contract or initiation of debarment proceedings against the non-compliant Contractor (Los Angeles County Code, Chapter 2.202).

10.0 SURVIVAL

In addition to any terms and conditions of this Agreement that expressly survive expiration or termination of this Agreement by their terms, the following provisions will survive the expiration or termination of this Agreement for any reason:

- Subparagraph 5.3 (No Payment for Services Provided Following Expiration/Termination of Master Agreement)
- Subparagraph 7.8 (Confidentiality)
- Subparagraph 8.1 (Change Notices and Amendments)
- Subparagraph 8.2 (Assignment and Delegation/Mergers or Acquisitions)
- Subparagraph 8.6 (Compliance with Applicable Laws)
- Subparagraph 8.19 (Fair Labor Standards)
- Subparagraph 8.20 (Force Majeure)
- Subparagraph 8.21 (Governing Law, Jurisdiction, and Venue)
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- Subparagraph 8.31 (Dispute Resolution Procedure)
- Subparagraph 8.34 (Notices)
- Subparagraph 8.38 (Record Retention and Inspection/Audit Settlement)
- Subparagraph 8.42 (Termination for Convenience)
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- Subparagraph 8.48 (Validity)

Subparagraph 8.49 (Wavier)

Subparagraph 8.58 (Prohibition from Participation in Future Solicitation(s))

Paragraph 10.0 (Survival)

**AUTHORIZATION OF MASTER AGREEMENT FOR
MUNICIPAL ADVISORY SERVICES**

IN WITNESS WHEREOF, the Board of Supervisors of the County of Los Angeles has caused this Master Agreement to be executed by the Treasurer and Tax Collector, or designee, and approved by County Counsel, and Contractor has caused this Master Agreement to be executed in its behalf by its duly authorized officer, this _____ day of _____, 20____.

COUNTY OF LOS ANGELES

By _____
Treasurer and Tax Collector

By _____
Contractor

Signed: _____

Printed: _____

Title: _____

APPROVED AS TO FORM:

DAWYN R. HARRISON
County Counsel

By _____
Senior Deputy County Counsel

**MASTER AGREEMENT FOR
SERVICES MUNICIPAL ADVISORY SERVICES**

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COUNTY'S ADMINISTRATION

MASTER AGREEMENT NO. _____

WORK ORDER NO. _____

COUNTY'S PROJECT DIRECTOR:

Name: Daniel Wiles
 Title: Assistant Treasurer and Tax Collector
 Address: 500 West Temple Street, Suite 432
Los Angeles, CA 90012
 Telephone: (213) 974-7175
 Email Address: dwiles@ttc.lacounty.gov

COUNTY'S ALTERNATE PROJECT DIRECTOR:

Name: Teresa Wong Gee
 Title: Chief Public Finance Officer
 Address: 500 West Temple Street, Suite 432
Los Angeles, CA 90012
 Telephone: (213) 974-8359
 Email Address: tgee@ttc.lacounty.gov

COUNTY'S PROJECT MANAGER:

Name: John Patterson
 Title: Senior Finance Analyst
 Address: 500 West Temple Street, Suite 432
Los Angeles, CA 90012
 Telephone: (213) 584-1089
 Email Address: jpatterson@ttc.lacounty.gov

COUNTY'S CONTRACTS' SECTION – CONTRACT MONITOR:

Name: Seeta Azizi
 Title: Contracts' Section – Contract Monitor
 Address: 500 West Temple Street, Suite 464
Los Angeles, CA 90012
 Telephone: (213) 974-7360
 Email Address: sazizi@ttc.lacounty.gov

CHIEF INFORMATION SECURITY OFFICER:

Name: Jeffrey Aguilar
 Title: Chief Information Security Officer
 Address: 320 West Temple Street, 7th Floor
Los Angeles, CA 90012
 Telephone: (213) 253-5659
 Email Address: CISO-CPO_Notify@lacounty.gov

CHIEF PRIVACY OFFICER:

Name: Lillian Russell
Title: Chief Privacy Officer
Address: 320 West Temple Street, 7th Floor
Los Angeles, CA 90012
Telephone: (213) 351-5363
Email Address: CISO-CPO_Notify@lacounty.gov

COUNTY DEPARTMENTAL CHIEF INFORMATION OFFICER (DCIO):

Name: Matthew Der
Title: Departmental Chief Information Officer
Address: 500 West Temple Street, Room 409
Los Angeles, CA 90012
Telephone: (213) 974-7618
Email Address: mder@ttc.lacounty.gov

COUNTY DEPARTMENTAL INFORMATION SECURITY OFFICER (DISO):

Name: Chamnan So
Title: Departmental Information Security Officer
Address: 500 West Temple Street, Room 409
Los Angeles, CA 90012
Telephone: (213) 584-1484
Email Address: cso@ttc.lacounty.gov

CONTRACTOR'S ADMINISTRATION

CONTRACTOR'S NAME

MASTER AGREEMENT NO. _____

WORK ORDER NO. _____

CONTRACTOR'S PROJECT DIRECTOR:

Name: _____
Title: _____
Address: _____

Telephone: _____
Facsimile: _____
E-mail Address: _____

CONTRACTOR'S PROJECT MANAGER:

Name: _____
Title: _____
Address: _____

Telephone: _____
Facsimile: _____
E-mail Address: _____

CONTRACTOR'S AUTHORIZED OFFICIAL(S):

Name: _____
Title: _____
Address: _____

Telephone: _____
Facsimile: _____
E-mail Address: _____

Name: _____
Title: _____
Address: _____

Telephone: _____
Facsimile: _____
E-mail Address: _____

CONTRACTOR'S FINANCIAL MANAGER:

Name: _____
Title: _____
Address: _____

Telephone: _____
Facsimile: _____
E-mail Address: _____

NOTICES TO CONTRACTOR:

Name: _____
Title: _____
Address: _____

Telephone: _____
Facsimile: _____
E-mail Address: _____

Name: _____
Title: _____
Address: _____

Telephone: _____
Facsimile: _____
E-mail Address: _____

THERE'S A BETTER CHOICE. SAFELY SURRENDER YOUR BABY.

Any fire station. Any hospital. Any time.



1.877.222.9723

BabySafeLA.org

No shame | No blame | No names



Some parents of newborns can find themselves in difficult circumstances. Sadly, babies are sometimes harmed or abandoned by parents who feel that they're not ready or able to raise a child. Many of these mothers or fathers are afraid and don't know where to turn for help.

This is why California has a Safely Surrendered Baby Law, which gives parents the choice to legally leave their baby at any hospital or fire station in Los Angeles County.

FIVE THINGS YOU NEED TO KNOW ABOUT BABY SAFE SURRENDER

- 1 Your newborn can be surrendered at any hospital or fire station in Los Angeles County up to 72 hours after birth.
- 2 You must leave your newborn with a fire station or hospital employee.
- 3 You don't have to provide your name.
- 4 You will only be asked to voluntarily provide a medical history.
- 5 You have 14 days to change your mind; a matching bracelet (parent) and anklet (baby) are provided to assist you if you change your mind.

No shame | No blame | No names



ABOUT THE BABY SAFE SURRENDER PROGRAM

In 2002, a task force was created under the guidance of the Children's Planning Council to address newborn abandonment and to develop a strategic plan to prevent this tragedy.

Los Angeles County has worked hard to ensure that the Safely Surrendered Baby Law prevents babies from being abandoned. We're happy to report that this law is doing exactly what it was designed to do: save the lives of innocent babies. Visit BabySafeLA.org to learn more.

No shame | No blame | No names

ANY FIRE STATION.
ANY HOSPITAL.
ANY TIME.

1.877.222.9723
BabySafeLA.org

THERE'S A
BETTER CHOICE.
SAFELY SURRENDER
YOUR BABY.



No shame | No blame | No names





FROM SURRENDER TO ADOPTION: ONE BABY'S STORY

Los Angeles County firefighter Ted and his wife Becki were already parents to two boys. But when they got the call asking if they would be willing to care for a premature baby girl who'd been safely surrendered at a local hospital, they didn't hesitate.

Baby Jenna was tiny, but Ted and Becki felt lucky to be able to take her home. "We had always wanted to adopt," Ted says, "but taking

home a vulnerable safely surrendered baby was even better. She had no one, but now she had us. And, more importantly, we had her."

Baby Jenna has filled the longing Ted and Becki had for a daughter—and a sister for their boys. Because her birth parent safely surrendered her when she was born, Jenna is a thriving young girl growing up in a stable and loving family.

ANSWERS TO YOUR QUESTIONS

Who is legally allowed to surrender the baby?

Anyone with lawful custody can drop off a newborn within the first 72 hours of birth.

Do you need to call ahead before surrendering a baby?

No. A newborn can be surrendered anytime, 24 hours a day, 7 days a week, as long as the parent or guardian surrenders the child to an employee of the hospital or fire station.

What information needs to be provided?

The surrendering adult will be asked to fill out a medical history form, which is useful in caring for the child. The form can be returned later and includes a stamped return envelope. No names are required.

What happens to the baby?

After a complete medical exam, the baby will be released and placed in a safe and loving home, and the adoption process will begin.

What happens to the parent or surrendering adult?

Nothing. They may leave at any time after surrendering the baby.

How can a parent get a baby back?

Parents who change their minds can begin the process of reclaiming their baby within 14 days by calling the Los Angeles County Department of Children and Family Services at (800) 540-4000.

If you're unsure of what to do:

You can call the hotline 24 hours a day, 7 days a week and anonymously speak with a counselor about your options or have your questions answered.

1.877.222.9723 or BabySafeLA.org

English, Spanish and 140 other languages spoken.

EXHIBIT D

STATEMENT OF WORK

MUNICIPAL ADVISORY SERVICES

**STATEMENT OF WORK
MUNICIPAL ADVISORY SERVICES**

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EXHIBITS

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1.0 INTRODUCTION

The County of Los Angeles (County) is authorized under California Government Code Section 31000 to contract for special services on behalf of the County. Pursuant to this authority, the County may contract with private businesses for the provision of Municipal Advisory Services. Pursuant to California Government Code Section 23005, the Department of Treasurer and Tax Collector (TTC) will seek approval from the Board of Supervisors to execute and administer Master Agreements with qualified Contractors to form the County's Municipal Advisory Pool.

The Municipal Advisory Services detailed in the Request for Statement of Qualifications (RFSQ) are synonymous with "municipal advisory activities" as defined by the Securities and Exchange Commission (SEC). The Securities and Exchange Act of 1934 Rule 240.15Ba1-1(e) defines municipal advisory activities to mean: providing advice to or on behalf of a municipal entity regarding municipal financial products or issuing municipal securities, including advice regarding the structure, timing, terms, and other similar matters concerning such financial products or issues. A detailed description of the scope of municipal advisory services can be found in Paragraph 3.0 (Scope of Services).

In 2010, the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act) established a federal regulatory framework that requires municipal advisors to register with the SEC and instituted a statutory fiduciary duty to municipal entity clients. The Dodd-Frank Act also granted the Municipal Securities Rulemaking Board (MSRB) authority to regulate municipal advisors engaging in municipal advisory activities. Municipal advisors are subject to a variety of rules promulgated by the MSRB that establish core standards of conduct for municipal advisors. All prospective Contractors who apply to be in the County's Municipal Advisory Pool must be registered as municipal advisors with the SEC and the MSRB at the time of their RFSQ response submissions.

It is the intent of the TTC to utilize Contractors throughout the term of the Master Agreements on an as-needed basis, as determined by the TTC in its sole discretion, for the provision of Municipal Advisory Services.

2.0 DEFINITIONS

The headings used throughout are for convenience and reference only and are not intended to define the scope of any provision thereof. The following words as used herein shall be construed to have the following meaning, unless otherwise apparent from the context in which they are used.

- 2.1 **Business Days:** Monday through Friday, excluding County observed holidays, unless otherwise stated.
- 2.2 **Calendar Days:** Monday through Sunday, including County observed holidays, unless otherwise stated.
- 2.3 **Contractor:** The person or persons, sole proprietor, partnership, joint venture, corporation or other legal entity that has entered into an agreement with the County to perform or execute the work covered by this Master Agreement.
- 2.4 **Contractor's Authorized Official(s):** The individual(s) authorized by the Contractor, that the Contractor represents and warrants has actual authority to execute documents under this Master Agreement on behalf of the Contractor.
- 2.5 **Contractor's Project Director/Alternate Project Director:** The individual authorized by the Contractor as principal officer to oversee contractual or administrative matters relating to this Master Agreement that cannot be resolved by the Contractor's Project Manager. Additionally, Contractor's Project Director/Alternate Project Director must oversee all projects and serve as a point of escalation, as needed.
- 2.6 **Contractor's Project Manager:** The individual authorized by the Contractor to administer the Master Agreement operations under this Master Agreement.
- 2.7 **Contractor's Employees/Staff:** Any person designated by the Contractor to perform services under this Master Agreement.
- 2.8 **Contractor's Financial Manager:** The individual authorized by the Contractor to have full authority to act on behalf of the Contractor in all matters relating to invoicing under this Master Agreement.
- 2.9 **County:** The County of Los Angeles.
- 2.10 **County Observed Holidays:** Days on which County departments are closed for business in observance of significant events. Contractor is not required to provide services on County observed holidays unless otherwise stated in the Statement of Work (SOW) or Master Agreement. A list of County observed holidays may be found on the County's website <https://ttc.lacounty.gov/county-holidays/>.
- 2.11 **County's Project Director/Alternate Project Director:** The individual authorized by the TTC with authority for the County to oversee contractual or administrative matters relating to this Master Agreement that cannot be resolved by the County's Project Manager. Additionally, County's Project Director/Alternate

Project Director must oversee all projects and serve as a point of escalation, as needed.

- 2.12 County's Project Manager:** The individual authorized by the County's Project Director to manage the operations under this Master Agreement.
- 2.13 County's Project Monitor:** Person with responsibility to oversee the day-to-day activities of this Master Agreement. Responsibility for inspections of any and all tasks, deliverables, goods, services, and other work provided by the Contractor.
- 2.14 Day(s):** Calendar Day(s) unless otherwise specified.
- 2.15 Fiscal Year:** The 12-month period beginning July 1st and ending the following June 30th.
- 2.16 Master Agreement:** This agreement executed between County and Contractor. Included are all supplemental agreements amending or extending the service to be performed. The Master Agreement sets forth the terms and conditions for the issuance and performance of all tasks, deliverables, services, and other work including Exhibit D (SOW).
- 2.17 Master Agreement Term:** The period of this Master Agreement, commencing upon the Effective Date, unless sooner terminated or extended, in whole or in part, as provided in this Master Agreement.
- 2.18 Municipal Advisory Pool:** Independent registered municipal advisory firms that meet all requirements of this RFSQ and that have executed a Master Agreement with the County.
- 2.19 Municipal Entity:** Any State, political subdivision of a State, or municipal corporate instrumentality of a State, including (a) any agency, authority, or instrumentality of the State, political subdivision, or municipal corporate instrumentality; (b) any plan, program, or pool of assets sponsored or established by the State, political subdivision, or municipal corporate instrumentality or any agency, authority, or instrumentality thereof; and (c) any other issuer of municipal securities.
- 2.20 Request for Statement of Qualifications (RFSQ):** A type of procurement solicitation used to select qualified Contractors to provide specific services to the County through Master Agreements.
- 2.21 Statement of Qualifications (SOQ):** A Contractor's response to an RFSQ.
- 2.22 Statement of Work (SOW):** A written description of tasks, deliverables, and/or other work required by the County pursuant to this Master Agreement.

- 2.23 Subcontractor(s):** Any individual, sole proprietor, firm, partnership, joint venture, corporation, or other legal entity furnishing supplies, services, equipment, and/or materials to Contractor in furtherance of Contractor's performance under this Master Agreement, under oral or written agreement.
- 2.24 Total Maximum Amount:** The maximum dollar amount that the County agrees to pay the Contractor for all services under an individual Work Order.
- 2.25 Treasurer and Tax Collector:** The appointed official of the County of Los Angeles Department of Treasurer and Tax Collector.
- 2.26 TTC:** The County of Los Angeles Department of Treasurer and Tax Collector.
- 2.27 TTC Employees:** The staff of the County's Department of Treasurer and Tax Collector.
- 2.28 Work Order:** A subordinate agreement executed wholly within and subject to the provisions of Exhibit D (SOW) of this Master Agreement for the performance of tasks and/or provision of deliverables as described in the SOW. A sample Work Order format is attached as Exhibit D1 to the SOW. No work shall be performed by firms in the Municipal Advisory Pool without validly executed Work Orders.

3.0 SCOPE OF SERVICES

A detailed description of services requested by the TTC will be included in the Scope of Services portion of each Work Order for the provision of Municipal Advisory Services pertaining to debt financing projects and programs as described in the RFSQ, Subparagraph 2.1 (Anticipated Debt Financing Projects and Programs). Municipal Advisory Services include, but are not limited to, the following:

3.1 General Municipal Advisory Services

The Contractor shall be required to provide municipal advisory services described herein, which are aligned with the SEC's definition of municipal advisory activities as providing advice to or on behalf of a municipal entity regarding municipal financial products or issuing municipal securities. Activities may include, but are not limited to, assisting the County with the following:

- a. Assisting with the development of financing plans and evaluation of financing options;
- b. Evaluating prospective underwriters for County financing projects;

- c. Performing risk analysis and cost benefit analysis of various financing strategies and debt structures, which may include formulating sensitivity and break-even analyses;
- d. Validating proposed financing structures, which may include developing complex cash flow models;
- e. Developing the project financing schedule and list of contacts of the financing team working on the financing project;
- f. Preparing and reviewing bond financing documents, including the preliminary and final official statements, and participating in due diligence meetings;
- g. Researching and evaluating pricing strategies related to the issuance of debt securities, including analyzing market trends and transaction timing;
- h. Participating in pre-pricing and pricing calls and making recommendations on pricing levels;
- i. Conducting pre-marketing initiatives to potential investors for competitive sales of debt securities;
- j. Evaluating bids, including validation of the True Interest Cost calculation, and recommending the award of debt securities for competitive sales;
- k. Reviewing and coordinating as needed with the closing process for a County financing project, including reviewing all closing documents;
- l. Recommending strategies and solutions related to compliance with arbitrage regulations;
- m. Developing, or assisting in the development of, credit presentations to rating agencies and investors;
- n. Monitoring and analyzing refunding opportunities for the County's outstanding debt obligations;
- o. Provide ongoing technical assistance and training to TTC Employees, as requested; and
- p. Provide additional services as needed from time to time including, but not limited to, special projects; and
- q. Preparing or assisting the County with filing required market disclosure information and annual continuing disclosure reports.

4.0 TTC's ASSIGNMENT OF WORK TO CONTRACTORS IN THE POOL

The County's Project Director will assign all services procured by executing a Work Order detailing the personnel, payment and services

as agreed to by the Contractor. A sample Master Agreement Work Order is attached as Exhibit D1 to this SOW. Throughout the term of the Master Agreement, the TTC does not guarantee a minimum workload to any Contractor. The TTC intends to assign work in two ways:

4.1 Debt Financings

For debt financings, the County's Project Director/Alternate Project Director will provide the Contractors in the Municipal Advisory Pool with a description of the financing project. Interested Contractors shall submit a written proposal with their qualifications and recommendations to the County's Project Director/Alternate Project Director within the designated timeframe. The County's Project Director/Alternate Project Director will consider a Contractor's demonstrated experience and performance in providing the requested services to municipal entities with similar types of transactions and financing structures, and the capability of a Contractor to assign qualified staff and allocate resources to ensure the timely completion of the project, and select the firm that in the County's Project Director's/Alternate Project Director's judgement, is the most qualified to provide the requested services. If multiple Contractors demonstrate equal qualifications through their successful number of relevant assignments completed, then the County's Project Director/Alternate Project Director may select the Contractor on a rotational basis. The County's Project Director/Alternate Project Director reserves the right to select the Contractor that is deemed appropriate for the requested services. The Contractors that are selected to provide advice on debt financings will be compensated based upon a negotiated fixed fee that will be paid from the costs of issuance of the debt financing.

4.2 Other Municipal Advisory Services

For special projects for which other municipal advisory services are needed, the County's Project Director/Alternate Project Director will consider a Contractor's qualifications and previous experience in the subject areas as identified in its response to this RFSQ and/or its response to the financing project description and request for services provided by the TTC, and will make a selection best suited for the services requested and deemed to be in the best interest of the County. The County's Project Director/Alternate Project Director reserves the right to select the Contractor that is deemed appropriate for the requested services. Compensation for these services is based on negotiated hourly rates from the pricing schedule set forth in Exhibit D2 to each Master Agreement. Such compensation will be documented in the Work Order for the assignment.

5.0 PROJECT REPORTING

The Contractor shall, throughout the term of each assigned Work Order, apply requisite technical management skills and techniques to ensure satisfactory and timely completion of project milestones. The Contractor shall prepare project status reports, as requested by the TTC, separately summarizing accomplishment of milestones for each specific Work Order.

6.0 INFORMATION SECURITY AND PRIVACY REQUIREMENTS

The Contractor must adhere to physical and/or computer security safeguards as identified in Exhibit G (Information Security and Privacy Requirements).

7.0 DAYS OF OPERATION/HOURS/WORKDAY

The Contractor shall maintain days and hours of operation and staffing sufficient to complete all services within the timeframes directed by the TTC. TTC's regular business hours are from Monday through Friday, during the hours of 8:00 a.m. to 5:00 p.m. Pacific Time except for County observed holidays, unless specified otherwise in the Master Agreement, or requested by the County. A list of County Observed Holiday may be found on the TTC's website <https://ttc.lacounty.gov/county-holidays/>.

However, the Contractor shall provide any necessary services, including, but not limited to, those services described in the Master Agreement and Exhibit D (SOW), including any Exhibits and Attachments thereto, that do not require access to County facilities, regardless of the County's regular business hours and/or observed holidays.

Work Order No. _____ County Master Agreement No. _____

MUNICIPAL ADVISORY SERVICES
MASTER AGREEMENT WORK ORDER
(Hourly Basis or Fixed Fee Basis)

(CONTRACTOR NAME)

Project Title: _____

Term: _____

County Requesting Department: _____

County Project Director: _____

County Project Manager: _____

I. GENERAL/BACKGROUND

A detailed background, scope of work, and project deliverables are detailed in the Work Order Attachment attached hereto. Contractor must satisfactorily perform all services detailed in this Work Order, including the Work Order Attachment, on [an hourly rate basis] [a fixed fee basis], in compliance with the terms and conditions of Contractor's Master Agreement identified above.

II. CONTRACTED AMOUNT

The Contracted Amount for each Work Order will be provided as financings occur.

III. INVOICE AND PAYMENT

Subject to the provision of services and completion of project deliverables under this Work Order to the satisfaction of the County, the Contractor will be compensated based on invoices for services rendered. The invoices must include period of performance, the advisor/staff name, [Contracted Amount] [hourly rate with number of hours worked], supporting documentation such as receipts for reasonable and necessary expenses, and the Contractor's tax identification number. All invoices must be sent electronically to the County Project Director.

Contractor will invoice County only for hours actually worked, in accordance with the terms and conditions of Contractor's Master Agreement. Contractor must be responsible for limiting the number of hours worked by Contractor Personnel under this Work Order, not to exceed the Contracted Amount in Section II., above.

Contractor must satisfactorily perform and complete all required services in accordance with Exhibit D (Statement of Work), of the Master Agreement, notwithstanding the fact that total payment from County will not exceed the Contracted Amount.

Work Order No. _____ County Master Agreement No. _____

VII. UNAUTHORIZED SERVICES

In accordance with Master Agreement Subparagraph 3.3, Contractor may not be paid for any task, deliverable, service, or other work that is not specified in this Work Order, and/or that utilizes personnel not specified in this Work Order, and/or that exceeds the Contracted Amount of this Work Order, and/or that goes beyond the term of this Work Order.

ALL TERMS OF THE MASTER AGREEMENT WILL REMAIN IN FULL FORCE AND EFFECT. THE TERMS OF THE MASTER AGREEMENT WILL GOVERN AND TAKE PRECEDENCE OVER ANY CONFLICTING TERMS AND/OR CONDITIONS IN THIS WORK ORDER. NEITHER THE RATES NOR ANY OTHER SPECIFICATIONS IN THIS WORK ORDER ARE VALID OR BINDING IF THEY DO NOT COMPLY WITH THE TERMS AND CONDITIONS OF THE MASTER AGREEMENT.

Contractor's signature on this Work Order document confirms Contractor's awareness of and agreement with the provisions of Subparagraph 3.3 of the Master Agreement, which establish that Contractor will not be entitled to any compensation whatsoever for any task, deliverable, service, or other work:

- A. That is not specified in this Work Order, and/or
- B. That exceeds the Contracted Amount of this Work Order, and/or
- C. That goes beyond the term of this Work Order.

CONTRACTOR

COUNTY OF LOS ANGELES

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Work Order No. _____ County Master Agreement No. _____

Work Order Attachment

The following items will be provided for each Work Order as financings occur:

- a. A detailed background
- b. The scope of work
- c. Project Deliverables
 - a. Note: The County reserves the right to determine the acceptability of all work performed under this Work Order.

FORMS REQUIRED FOR EACH WORK ORDER BEFORE WORK BEGINS

CERTIFICATIONS

This certification is to be executed and returned to County with Contractor's executed Work Order. Work cannot begin on the Work Order until County receives this executed document.

- E1 CERTIFICATION OF EMPLOYEE STATUS
- E2 CERTIFICATION OF NO CONFLICT OF INTEREST

NON-IT MASTER AGREEMENTS

- E3 CONTRACTOR ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

_____ SERVICES
MASTER AGREEMENT WORK ORDER

CERTIFICATION OF EMPLOYEE STATUS

(Note: This certification is to be executed and returned to County with Contractor's executed Work Order. Work cannot begin on the Work Order until County receives this executed document.)

Contractor Name

Work Order No.: _____ Master Agreement No.: _____

I CERTIFY THAT: (1) I am an Authorized Official of Contractor; (2) the individual(s) named below is(are) this organization's employee(s); (3) applicable state and federal income tax, FICA, unemployment insurance premiums, and workers' compensation insurance premiums, in the correct amounts required by state and federal law, will be withheld as appropriate, and paid by Contractor for the individual(s) named below for the entire time period covered by the attached Work Order.

EMPLOYEES

1. _____
2. _____
3. _____
4. _____

I declare under penalty of perjury that the foregoing is true and correct.

Signature of Authorized Official

Printed Name of Authorized Official

Title of Authorized Official

Date

SERVICES
MASTER AGREEMENT WORK ORDER

CERTIFICATION OF NO CONFLICT OF INTEREST

(Note: This certification is to be executed and returned to County with Contractor's executed Work Order. Work cannot begin on the Work Order until County receives this executed document.)

Contractor Name

Work Order No.: _____ Master Agreement No.: _____

Los Angeles County Code Section 2.180.010.A provides as follows:

“Certain contracts prohibited.

- A. Notwithstanding any other section of this code, the county will not contract with, and will reject any bid or proposal submitted by, the persons or entities specified below, unless the board of supervisors finds that special circumstances exist which justify the approval of such contract:
 - 1. Employees of the county or of public agencies for which the board of supervisors is the governing body;
 - 2. Profit-making firms or businesses in which employees described in subdivision 1 of subsection A serve as officers, principals, partners, or major shareholders;
 - 3. Persons who, within the immediately preceding 12 months, came within the provisions of subdivision 1 of subsection A, and who:
 - a. Were employed in positions of substantial responsibility in the area of service to be performed by the contract; or
 - b. Participated in any way in developing the contract or its service specifications; and
 - 4. Profit-making firms or businesses in which the former employees, described in subdivision 3 of subsection A, serve as officers, principals, partners, or major shareholders.”

Contractor hereby declares and certifies that no Contractor Personnel, nor any other person acting on Contractor's behalf, who prepared and/or participated in the preparation of the bid or proposal submitted for the Work Order specified above, is within the purview of County Code Section 2.180.010.A, above.

I declare under penalty of perjury that the foregoing is true and correct.

Signature of Authorized Official

Printed Name of Authorized Official

Title of Authorized Official

Date

CONTRACTOR ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

(Note: This certification is to be executed and returned to County with Contractor's executed Work Order. Work cannot begin on the Work Order until County receives this executed document.)

Contractor Name: _____

Work Order No.: _____ County Master Agreement No.: _____

GENERAL INFORMATION:

The Contractor referenced above has entered into a Master Agreement with the County of Los Angeles to provide certain services to the County. The County requires the Corporation to sign this Contractor Acknowledgement and Confidentiality Agreement.

CONTRACTOR ACKNOWLEDGEMENT:

Contractor understands and agrees that the Contractor employees, consultants, Outsourced Vendors and independent contractors (Contractor's Staff) that will provide services in the above referenced agreement are Contractor's sole responsibility. Contractor understands and agrees that Contractor's Staff must rely exclusively upon Contractor for payment of salary and any and all other benefits payable by virtue of Contractor's Staff's performance of work under the above-referenced Master Agreement.

Contractor understands and agrees that Contractor's Staff are not employees of the County of Los Angeles for any purpose whatsoever and that Contractor's Staff do not have and will not acquire any rights or benefits of any kind from the County of Los Angeles by virtue of my performance of work under the above-referenced Master Agreement. Contractor understands and agrees that Contractor's Staff will not acquire any rights or benefits from the County of Los Angeles pursuant to any agreement between any person or entity and the County of Los Angeles.

CONFIDENTIALITY AGREEMENT:

Contractor and Contractor's Staff may be involved with work pertaining to services provided by the County of Los Angeles and, if so, Contractor and Contractor's Staff may have access to confidential data and information pertaining to persons and/or entities receiving services from the County. In addition, Contractor and Contractor's Staff may also have access to proprietary information supplied by other vendors doing business with the County of Los Angeles. The County has a legal obligation to protect all such confidential data and information in its possession, especially data and information concerning health, criminal, and welfare recipient records. Contractor and Contractor's Staff understand that if they are involved in County work, the County must ensure that Contractor and Contractor's Staff, will protect the confidentiality of such data and information. Consequently, Contractor must sign this Confidentiality Agreement as a condition of work to be provided by Contractor's Staff for the County.

Contractor and Contractor's Staff hereby agrees that they will not divulge to any unauthorized person any data or information obtained while performing work pursuant to the above-referenced Master Agreement between Contractor and the County of Los Angeles. Contractor and Contractor's Staff agree to forward all requests for the release of any data or information received to County's Project Manager.

Contractor and Contractor's Staff agree to keep confidential all health, criminal, and welfare recipient records and all data and information pertaining to persons and/or entities receiving services from the County, design concepts, algorithms, programs, formats, documentation, Contractor proprietary information and all other original materials produced, created, or provided to Contractor and Contractor's Staff under the above-referenced Master Agreement. Contractor and Contractor's Staff agree to protect these confidential materials against disclosure to other than Contractor or County employees who have a need to know the information. Contractor and Contractor's Staff agree that if proprietary information supplied by other County vendors is provided to me during this employment, Contractor and Contractor's Staff must keep such information confidential.

Contractor and Contractor's Staff agree to report any and all violations of this agreement by Contractor and Contractor's Staff and/or by any other person of whom Contractor and Contractor's Staff become aware.

Contractor and Contractor's Staff acknowledge that violation of this agreement may subject Contractor and Contractor's Staff to civil and/or criminal action and that the County of Los Angeles may seek all possible legal redress.

SIGNATURE: _____ DATE: _____

PRINTED NAME: _____

POSITION: _____

SUBSEQUENT EXECUTED WORK ORDERS

(NOT ATTACHED)

INFORMATION SECURITY AND PRIVACY REQUIREMENTS



INFORMATION SECURITY AND PRIVACY REQUIREMENTS EXHIBIT

The County of Los Angeles (“County”) is committed to safeguarding the Integrity of the County systems, Data, Information and protecting the privacy rights of the individuals that it serves. This Exhibit to the Statement of Work “Information Security, and Privacy Requirements Exhibit,” (“Exhibit G”) sets forth in detail the County and the Contractor’s commitment and agreement to fulfill each of their obligations under applicable State or federal laws, rules, or regulations, as well as applicable industry standards concerning privacy, Data protections, Information Security, Confidentiality, Availability, and Integrity of such Information. The Contractor shall establish all Information Security, and Privacy Requirements within ten business days prior to the Effective Date of the Contract and maintain all Information Security and Privacy Requirements throughout the entire Contract term.

These requirements and procedures contained in this “Exhibit G” are incorporated by reference into the Terms and Conditions of the Contract and constitute a minimum standard for Information Security and Privacy Requirements in conjunction with the requirements of the Contract between the County and Contractor (the “Contract”). It is the Contractor's sole obligation to: (i) implement appropriate and reasonable measures to secure and protect its systems and all County Information against internal and external Threats and Risks; and (ii) continuously review and revise all measures pertaining to any ongoing Threats and Risks. Failure to comply with the minimum Information Security and Privacy Requirements set forth in this “Exhibit G” herein incorporated by reference into the Terms and Conditions of the Contract shall constitute a material, non-curable breach of Contract by the Contractor, entitling the County, in addition to the cumulative of all other remedies available to it at law, in equity, or under the Contract, to immediately terminate the Contract. The Terms and Conditions of the Contract shall govern and control unless stated otherwise in the Contract.

1. DEFINITIONS

Unless otherwise defined in the Contract, the definitions herein contained are specific to the uses within this exhibit.

- a. **Availability:** the condition of Information being accessible and usable upon demand by an authorized entity (Workforce Member or process).
- b. **Confidentiality:** the condition that Information is not disclosed to system entities (users, processes, devices) unless they have been authorized to access the Information.
- c. **County Information:** all Data and Information belonging to the County.
- d. **Data:** a subset of Information comprised of qualitative or quantitative values.

- e. **Incident:** a suspected, attempted, successful, or imminent Threat of unauthorized electronic and/or physical access, use, disclosure, breach, modification, or destruction of information; interference with Information Technology operations; or significant violation of County policy.
- f. **Information:** any communication or representation of knowledge or understanding such as facts, Data, or opinions in any medium or form, including electronic, textual, numerical, graphic, cartographic, narrative, or audiovisual.
- g. **Information Security Policy:** high level statements of intention and direction of an organization used to create an organization's Information Security Program as formally expressed by its top management.
- h. **Information Security Program:** formalized and implemented Information Security Policies, standards and procedures that are documented describing the program management safeguards and common controls in place or those planned for meeting the County's information security requirements.
- i. **Information Technology:** any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of Data or Information.
- j. **Integrity:** the condition whereby Data or Information has not been improperly modified or destroyed and authenticity of the Data or Information can be ensured.
- k. **Mobile Device Management (MDM):** software that allows Information Technology administrators to control, secure, and enforce policies on smartphones, tablets, and other endpoints.
- l. **Privacy Policy:** high level statements of intention and direction of an organization used to create an organization's Privacy Program as formally expressed by its top management.
- m. **Privacy Program:** a formal document that provides an overview of an organization's privacy program, including a description of the structure of the privacy program, the resources dedicated to the privacy program, the role of the organization's privacy official and other staff, the strategic goals and objectives of the Privacy Program, and the program management controls and common controls in place or planned for meeting applicable privacy requirements and managing privacy risks.
- n. **Risk:** a measure of the extent to which the County is threatened by a potential circumstance or event, Risk is typically a function of: (i) the adverse impacts that would arise if the circumstance or event occurs; and (ii) the likelihood of occurrence.
- o. **Threat:** any circumstance or event with the potential to adversely impact County operations (including mission, functions, image, or reputation), organizational assets, individuals, or other organizations through an Information System via unauthorized access, destruction, disclosure, modification of Information, and/or denial of service.
- p. **Vulnerability:** a weakness in a system, application, network or process that is

subject to exploitation or misuse.

- q. **Workforce Member:** employees, volunteers, and other persons whose conduct, in the performance of work for Los Angeles County, is under the direct control of Los Angeles County, whether or not they are paid by Los Angeles County. This includes, but may not be limited to, full and part time elected or appointed officials, employees, affiliates, associates, students, volunteers, and staff from third party entities who provide service to the County.

2. INFORMATION SECURITY AND PRIVACY PROGRAMS

- a. **Information Security Program.** The Contractor shall maintain a company-wide Information Security Program designed to evaluate Risks to the Confidentiality, Availability, and Integrity of the County Information covered under this Contract.

Contractor's Information Security Program shall include the creation and maintenance of Information Security Policies, standards, and procedures. Information Security Policies, standards, and procedures shall be communicated to all Contractor employees in a relevant, accessible, and understandable form and will be regularly reviewed and evaluated to ensure operational effectiveness, compliance with all applicable laws and regulations, and addresses new and emerging Threats and Risks.

The Contractor shall exercise the same degree of care in safeguarding and protecting County Information that the Contractor exercises with respect to its own Information and Data, but in no event less than a reasonable degree of care. The Contractor will implement, maintain, and use appropriate administrative, technical, and physical security measures to preserve the Confidentiality, Integrity, and Availability of County Information.

The Contractor's Information Security Program shall:

- Protect the Confidentiality, Integrity, and Availability of County Information in the Contractor's possession or control;
 - Protect against any anticipated Threats or hazards to the Confidentiality, Integrity, and Availability of County Information;
 - Protect against unauthorized or unlawful access, use, disclosure, alteration, or destruction of County Information;
 - Protect against accidental loss or destruction of, or damage to, County Information; and
 - Safeguard County Information in compliance with any applicable laws and regulations which apply to the Contractor.
- b. **Privacy Program.** The Contractor shall establish and maintain a company-wide Privacy Program designed to incorporate Privacy Policies and practices in its business operations to provide safeguards for Information, including County Information. The Contractor's Privacy Program shall include the development of, and ongoing reviews and updates to Privacy Policies, guidelines, procedures and

appropriate workforce privacy training within its organization. These Privacy Policies, guidelines, procedures, and appropriate training shall be provided to all Contractor employees, agents, and volunteers. The Contractor's Privacy Policies, guidelines, and procedures shall be continuously reviewed and updated for effectiveness and compliance with applicable laws and regulations, and to appropriately respond to new and emerging Threats and Risks. The Contractor's Privacy Program shall perform ongoing monitoring and audits of operations to identify and mitigate privacy Threats.

The Contractor shall exercise the same degree of care in safeguarding the privacy of County Information that the Contractor exercises with respect to its own Information, but in no event less than a reasonable degree of care. The Contractor will implement, maintain, and use appropriate privacy practices and protocols to preserve the Confidentiality of County Information.

The Contractor's Privacy Program shall include:

- A Privacy Program framework that identifies and ensures that the Contractor complies with all applicable laws and regulations;
- External Privacy Policies, and internal privacy policies, procedures and controls to support the privacy program;
- Protections against unauthorized or unlawful access, use, disclosure, alteration, or destruction of County Information;
- A training program that covers Privacy Policies, protocols and awareness;
- A response plan to address privacy Incidents and privacy breaches; and
- Ongoing privacy assessments and audits.

3. PROPERTY RIGHTS TO COUNTY INFORMATION

All County Information is deemed property of the County, and the County shall retain exclusive rights and ownership thereto. County Information shall not be used by the Contractor for any purpose other than as required under this Contract, nor shall such or any part of such be disclosed, sold, assigned, leased, or otherwise disposed of, to third parties by the Contractor, or commercially exploited or otherwise used by, or on behalf of, the Contractor, its officers, directors, employees, or agents. The Contractor may assert no lien on or right to withhold from the County, any County Information it receives from, receives addressed to, or stores on behalf of, the County. Notwithstanding the foregoing, the Contractor may aggregate, compile, and use County Information in order to improve, develop or enhance the System Software and/or other services offered, or to be offered, by the Contractor, provided that (i) no County Information in such aggregated or compiled pool is identifiable as originating from, or can be traced back to the County, and (ii) such Data or Information cannot be associated or matched with the identity of an individual alone, or linkable to a specific individual. The Contractor specifically consents to the County's access to such County Information held, stored, or maintained on any and all devices Contractor owns, leases or possesses.

4. CONTRACTOR'S USE OF COUNTY INFORMATION

The Contractor may use County Information only as necessary to carry out its obligations under this Contract. The Contractor shall collect, maintain, or use County Information only for the purposes specified in the Contract and, in all cases, in compliance with all applicable local, state, and federal laws and regulations governing the collection, maintenance, transmission, dissemination, storage, use, and destruction of County Information, including, but not limited to, (i) any state and federal law governing the protection of personal Information, (ii) any state and federal security breach notification laws, and (iii) the rules, regulations and directives of the Federal Trade Commission, as amended from time to time.

5. SHARING COUNTY INFORMATION AND DATA

The Contractor shall not share, release, disclose, disseminate, make available, transfer, or otherwise communicate orally, in writing, or by electronic or other means, County Information to a third party for monetary or other valuable consideration.

6. CONFIDENTIALITY

- a. **Confidentiality of County Information.** The Contractor agrees that all County Information is Confidential and proprietary to the County regardless of whether such Information was disclosed intentionally or unintentionally, or marked as "confidential."
- b. **Disclosure of County Information.** The Contractor may disclose County Information only as necessary to carry out its obligations under this Contract, or as required by law, and is prohibited from using County Information for any other purpose without the prior express written approval of the County's contract administrator in consultation with the County's Chief Information Security Officer and/or Chief Privacy Officer. If required by a court of competent jurisdiction or an administrative body to disclose County Information, the Contractor shall notify the County's contract administrator immediately and prior to any such disclosure, to provide the County an opportunity to oppose or otherwise respond to such disclosure, unless prohibited by law from doing so.
- c. **Disclosure Restrictions of Non-Public Information.** While performing work under the Contract, the Contractor may encounter County Non-public Information ("NPI") in the course of performing this Contract, including, but not limited to, licensed technology, drawings, schematics, manuals, sealed court records, and other materials described and/or identified as "Internal Use," "Confidential," or "Restricted" as defined in Board of Supervisors Policy 6.104 – Information Classification Policy as NPI. The Contractor shall not disclose or publish any County NPI and material received or used in performance of this Contract. This obligation is perpetual.
- d. **Individual Requests.** The Contractor shall acknowledge any request or instructions from the County regarding the exercise of any individual's privacy rights

provided under applicable federal or state laws. The Contractor shall have in place appropriate policies and procedures to promptly respond to such requests and comply with any request or instructions from the County within seven calendar days. If an individual makes a request directly to the Contractor involving County Information, the Contractor shall notify the County within five calendar days and the County will coordinate an appropriate response, which may include instructing the Contractor to assist in fulfilling the request. Similarly, if the Contractor receives a privacy or security complaint from an individual regarding County Information, the Contractor shall notify the County as described in Section 13 SECURITY AND PRIVACY INCIDENTS, and the County will coordinate an appropriate response.

- e. **Retention of County Information.** The Contractor shall not retain any County Information for any period longer than necessary for the Contractor to fulfill its obligations under the Contract and applicable law, whichever is longest.

7. SUBCONTRACTORS AND THIRD PARTIES

The County acknowledges that in the course of performing its services, the Contractor may desire or require the use of goods, services, and/or assistance of Subcontractors or other third parties or suppliers. The terms of this Exhibit shall also apply to all Subcontractors and third parties. The Contractor or third party shall be subject to the following terms and conditions: (i) each Subcontractor and third party must agree in writing to comply with and be bound by the applicable terms and conditions of this Exhibit within ten business days upon receiving TTC's written approval and prior to performing any work under the Contract, both for itself and to enable the Contractor to be and remain in compliance with its obligations hereunder, including those provisions relating to Confidentiality, Integrity, Availability, disclosures, security, and such other terms and conditions as may be reasonably necessary to effectuate the Contract including this Exhibit; and (ii) the Contractor shall be and remain fully liable for the acts and omissions of each Subcontractor and third party, and fully responsible for the due and proper performance of all Contractor obligations under this Contract.

The Contractor shall obtain advanced approval from the Treasurer and Tax Collector in conjunction with the approval of County's Chief Information Security Officer and/or Chief Privacy Officer prior to subcontracting services subject to this Exhibit.

8. STORAGE AND TRANSMISSION OF COUNTY INFORMATION

All County Information shall be rendered unusable, unreadable, or indecipherable to unauthorized individuals. Without limiting the generality of the foregoing, the Contractor will encrypt all workstations, portable devices (such as mobile, wearables, tablets,) and removable media (such as portable or removable hard disks, floppy disks, USB memory drives, CDs, DVDs, magnetic tape, and all other removable storage media) that store County Information in accordance with Federal Information Processing Standard (FIPS) 140-2 or otherwise approved by the County's Chief Information Security Officer and approved by the TTC.

The Contractor will encrypt County Information transmitted on networks outside of the Contractor's control with Transport Layer Security (TLS) or Internet Protocol Security (IPSec), at a minimum cipher strength of 128 bit or an equivalent secure transmission protocol or method approved by County's Chief Information Security Officer.

In addition, the Contractor shall not store County Information in the cloud or in any other online storage provider without written authorization from the County's Chief Information Security Officer. All mobile devices storing County Information shall be managed by a Mobile Device Management system. Such system must provide provisions to enforce a password/passcode on enrolled mobile devices. All workstations/Personal Computers (including laptops, 2-in-1s, and tablets) will maintain the latest operating system security patches, and the latest virus definitions. Virus scans must be performed at least monthly. Request for less frequent scanning must be approved in writing by the County's Chief Information Security Officer.

9. RETURN OR DESTRUCTION OF COUNTY INFORMATION

The Contractor shall return or destroy County Information in the manner prescribed in this section unless the Contract prescribes procedures for returning or destroying County Information and those procedures are no less stringent than the procedures described in this section.

- a. **Return or Destruction.** Upon County's written request, or upon expiration or termination of this Contract for any reason, Contractor shall (i) promptly return or destroy, at the County's option, all originals and copies of all documents and materials it has received containing County Information; or (ii) if return or destruction is not permissible under applicable law, continue to protect such Information in accordance with the terms of this Contract; and (iii) deliver or destroy, at the County's option, all originals and copies of all summaries, records, descriptions, modifications, negatives, drawings, adoptions and other documents or materials, whether in writing or in machine-readable form, prepared by the Contractor, prepared under its direction, or at its request, from the documents and materials referred to in Subsection (i) of this Section. For all documents or materials referred to in Subsections (i) and (ii) of this Section that the County requests be returned to the County, the Contractor shall provide a written attestation on company letterhead certifying that all documents and materials have been delivered to the County. For documents or materials referred to in Subsections (i) and (ii) of this Section that the County requests be destroyed, the Contractor shall provide an attestation on company letterhead and certified documentation from a media destruction firm consistent with subdivision b of this Section. Upon termination or expiration of the Contract or at any time upon the County's request, the Contractor shall return all hardware, if any, provided by the County to the Contractor. The hardware should be physically sealed and returned via a bonded courier, or as otherwise directed by the County.
- b. **Method of Destruction.** The Contractor shall destroy all originals and copies by (i) cross-cut shredding paper, film, or other hard copy media so that the Information

cannot be read or otherwise reconstructed; and (ii) purging, or destroying electronic media containing County Information consistent with NIST Special Publication 800-88, "Guidelines for Media Sanitization," such that the County Information cannot be retrieved. The Contractor will provide an attestation on company letterhead and certified documentation from a media destruction firm, detailing the destruction method used and the County Information involved, the date of destruction, and the company or individual who performed the destruction. Such statement will be sent to the designated County contract manager within ten days of termination or expiration of the Contract or at any time upon the County's request. On termination or expiration of this Contract, the County will return or destroy all Contractor's Information marked as confidential (excluding items licensed to the County hereunder, or that provided to the County by the Contractor hereunder), at the County's option.

10. PHYSICAL AND ENVIRONMENTAL SECURITY

All Contractor facilities that process County Information will be located in secure areas and protected by perimeter security such as barrier access controls (e.g., the use of guards and entry badges) that provide a physically secure environment from unauthorized access, damage, and interference.

All Contractor facilities that process County Information will be maintained with physical and environmental controls (temperature and humidity) that meet or exceed hardware manufacturer's specifications.

11. OPERATIONAL MANAGEMENT, BUSINESS CONTINUITY, AND DISASTER RECOVERY

The Contractor shall: (i) monitor and manage all of its Information processing facilities, including, without limitation, implementing operational procedures, change management, and Incident response procedures consistent with Section 13 SECURITY AND PRIVACY INCIDENTS; and (ii) deploy adequate anti-malware software and adequate back-up systems to ensure essential business Information can be promptly recovered in the event of a disaster or media failure; and (iii) ensure its operating procedures are adequately documented and designed to protect Information and computer media from theft and unauthorized access.

The Contractor must have business continuity and disaster recovery plans. These plans must include a geographically separate back-up data center and a formal framework by which an unplanned event will be managed to minimize the loss of County Information and services. The formal framework includes a defined back-up policy and associated procedures, including documented policies and procedures designed to: (i) perform back-up of data to a remote back-up data center in a scheduled and timely manner; (ii) provide effective controls to safeguard backed-up data; (iii) securely transfer County Information to and from back-up location; (iv) fully restore applications and operating systems; and (v) demonstrate periodic testing of restoration from back-up location. If the Contractor makes back-ups to removable media (as described in

Section 8 STORAGE AND TRANSMISSION OF COUNTY INFORMATION), all such back-ups shall be encrypted in compliance with the encryption requirements noted above in Section 8 STORAGE AND TRANSMISSION OF COUNTY INFORMATION.

12. ACCESS CONTROL

Subject to and without limiting the requirements under Section 8 STORAGE AND TRANSMISSION OF COUNTY INFORMATION, County Information (i) may only be made available and accessible to those parties explicitly authorized under the Contract or otherwise expressly approved by the County Project Director or Contract Project Manager in writing; and (ii) if transferred using removable media (as described in Section 8 STORAGE AND TRANSMISSION OF COUNTY INFORMATION), must be sent via a bonded courier and protected using encryption technology designated by the Contractor and approved by the County's Chief Information Security Officer in writing. The foregoing requirements shall apply to back-up media stored by the Contractor at off-site facilities.

The Contractor shall implement formal procedures to control access to County systems, services, and/or Information, including, but not limited to, user account management procedures and the following controls:

- a. Network access to both internal and external networked services shall be controlled, including, but not limited to, the use of industry standard and properly configured firewalls;
- b. Operating systems will be used to enforce access controls to computer resources including, but not limited to, multi-factor authentication, use of virtual private networks (VPN), authorization, and event logging;
- c. The Contractor will conduct regular, no less often than semi-annually, user access reviews to ensure that unnecessary and/or unused access to County Information is removed in a timely manner;
- d. Applications will include access control to limit user access to County Information and application system functions;
- e. All systems will be monitored to detect deviation from access control policies and identify suspicious activity. The Contractor shall record, review and act upon all events in accordance with Incident response policies set forth in Section 13 SECURITY AND PRIVACY INCIDENTS; and
- f. In the event any hardware, storage media, or removable media (as described in Section 8 STORAGE AND TRANSMISSION OF COUNTY INFORMATION) must be disposed of or sent off-site for servicing, the Contractor shall ensure all County Information has been eradicated from such hardware and/or media using industry best practices as discussed in Section 8 STORAGE AND TRANSMISSION OF COUNTY INFORMATION.

13. SECURITY AND PRIVACY INCIDENTS

In the event of a Security or Privacy Incident, the Contractor shall:

- a. Promptly notify the County's Chief Information Security Officer, the Departmental Information Security Officer, and the County's Chief Privacy Officer of any Incidents involving County Information, within 24 hours of detection of the Incident. All notifications shall be submitted via encrypted email and telephone to the individuals listed on Exhibit A, County's Administration.
- b. Include the following Information in all notices:
 - i. The date and time of discovery of the Incident,
 - ii. The approximate date and time of the Incident,
 - iii. A description of the type of County Information involved in the reported Incident, and
 - iv. A summary of the relevant facts, including a description of measures being taken to respond to and remediate the Incident, and any planned corrective actions as they are identified.
 - v. The name and contact information for the organizations official representative(s), with relevant business and technical information relating to the incident.
- c. Cooperate with the County to investigate the Incident and seek to identify the specific County Information involved in the Incident upon the County's written request, without charge, unless the Incident was caused by the acts or omissions of the County. As Information about the Incident is collected or otherwise becomes available to the Contractor, and unless prohibited by law, the Contractor shall provide Information regarding the nature and consequences of the Incident that are reasonably requested by the County to allow the County to notify affected individuals, government agencies, and/or credit bureaus.
- d. Immediately initiate the appropriate portions of their Business Continuity and/or Disaster Recovery plans in the event of an Incident causing an interference with Information Technology operations.
- e. Assist and cooperate with forensic investigators, the County, law firms, and/or law enforcement agencies at the direction of the County to help determine the nature, extent, and source of any Incident, and reasonably assist and cooperate with the County on any additional disclosures that the County is required to make as a result of the Incident.
- f. Allow the County or its third-party designee at the County's election to perform audits and tests of the Contractor's environment that may include, but are not limited to, interviews of relevant employees, review of documentation, or technical inspection of systems, as they relate to the receipt, maintenance, use, retention, and authorized destruction of County Information.

Notwithstanding any other provisions in this Contract and Exhibit, the Contractor shall be (i) liable for all damages and fines, (ii) responsible for all corrective action, and (iii) responsible for all notifications arising from an Incident involving County Information caused by the Contractor's weaknesses, negligence, errors, or lack of Information Security or privacy controls or provisions.

14. NON-EXCLUSIVE EQUITABLE REMEDY

The Contractor acknowledges and agrees that due to the unique nature of County Information there can be no adequate remedy at law for any breach of its obligations hereunder, that any such breach may result in irreparable harm to the County, and therefore, that upon any such breach, the County will be entitled to appropriate equitable remedies, and may seek injunctive relief from a court of competent jurisdiction without the necessity of proving actual loss, in addition to whatever remedies are available within law or equity. Any breach of Section 6 CONFIDENTIALITY shall constitute a material breach of this Contract and be grounds for immediate termination of this Contract in the exclusive discretion of the County.

15. AUDIT AND INSPECTION

- a. **Self-Audits.** The Contractor shall periodically conduct audits, assessments, testing of the system of controls, and testing of Information Security and privacy procedures, including penetration testing, intrusion detection, and firewall configuration reviews. These periodic audits will be conducted by staff certified to perform the specific audit in question at Contractor's sole cost and expense through either (i) an internal independent audit function, (ii) a nationally recognized, external, independent auditor, or (iii) another independent auditor approved by the County.

The Contractor shall have a process for correcting control deficiencies that have been identified in the periodic audit, including follow-up documentation providing evidence of such corrections. The Contractor shall provide the audit results and any corrective action documentation to the County promptly upon its completion at the County's request. With respect to any other report, certification, or audit or test results prepared or received by the Contractor that contains any County Information, the Contractor shall promptly provide the County with copies of the same upon the County's reasonable request, including identification of any failure or exception in the Contractor's Information systems, products, and services, and the corresponding steps taken by the Contractor to mitigate such failure or exception. Any reports and related materials provided to the County pursuant to this Section shall be provided at no additional charge to the County.

- b. **County Requested Audits.** At its own expense, the County, or an independent third-party auditor commissioned by the County, shall have the right to audit the Contractor's infrastructure, security and privacy practices, Data center, services and/or systems storing or processing County Information via an onsite inspection at least once a year. Upon the County's request, the Contractor shall complete a questionnaire regarding Contractor's Information Security and/or program. The

County shall pay for the County requested audit unless the auditor finds that the Contractor has materially breached this Exhibit, in which case the Contractor shall bear all costs of the audit; and if the audit reveals material non-compliance with this Exhibit, the County may exercise its termination rights underneath the Contract.

Such audit shall be conducted during the Contractor's normal business hours with reasonable advance notice, in a manner that does not materially disrupt or otherwise unreasonably and adversely affect the Contractor's normal business operations. The County's request for the audit will specify the scope and areas (e.g., Administrative, Physical, and Technical) that are subject to the audit and may include, but are not limited to physical controls inspection, process reviews, policy reviews, evidence of external and internal Vulnerability scans, penetration test results, evidence of code reviews, and evidence of system configuration and audit log reviews. It is understood that the results may be filtered to remove the specific Information of other Contractor customers such as IP address, server names, etc. The Contractor shall cooperate with the County in the development of the scope and methodology for the audit, and the timing and implementation of the audit. This right of access shall extend to any regulators with oversight of the County. The Contractor agrees to comply with all reasonable recommendations that result from such inspections, tests, and audits within reasonable timeframes.

When not prohibited by regulation, the Contractor will provide to the County a summary of: (i) the results of any security audits, security reviews, or other relevant audits, conducted by the Contractor or a third party; and (ii) corrective actions or modifications, if any, the Contractor will implement in response to such audits.

APPENDIX B - REQUIRED FORMS

Exhibits

- 1) Organization Questionnaire/Affidavit
- 2) Certification of Compliance
- 3) Request for Preference Consideration
- 4) Debarment History and List of Terminated Contracts
- 5) Community Business Enterprise (CBE) Information (Excel Worksheet)
- 6) Minimum Mandatory Requirements
- 7) List of References
- 8) Pricing Schedule
- 9) Staff Background and Experience
- 10) Declaration

REQUIRED FORMS – EXHIBIT 1
ORGANIZATION QUESTIONNAIRE/AFFIDAVIT

Vendor's Name: Click or tap here to enter text.	County WebVen Number: Click or tap here to enter text.
Address: Click or tap here to enter text.	
Telephone Number: Click or tap here to enter text.	Email: Click or tap here to enter text.
Internal Revenue Service Employer Identification Number: Click or tap here to enter text.	California Business License Number: Click or tap here to enter text.

1	<p>Select the option that best defines your firm's business structure:</p> <p><input type="checkbox"/> Corporation</p> <p><input type="checkbox"/> Limited Liability Company (LLC)</p> <p><input type="checkbox"/> Limited Partnership</p> <p><input type="checkbox"/> Sole Proprietorship</p> <p><input type="checkbox"/> Non-Profit</p> <p><input type="checkbox"/> Franchise</p> <p><input type="checkbox"/> Other (Specify)</p>	<p>If Corporation or Limited Liability Company (LLC): Legal Name (as stated in Articles of Incorporation): Click or tap here to enter text. State of Incorporation: Click or tap here to enter text. Year of Incorporation: Click or tap here to enter text.</p> <p>If Limited Partnership or a Sole Proprietorship: Name of proprietor or managing partner: Click or tap here to enter text.</p> <p>If other: Specify business structure name: Click or tap here to enter text.</p>
2	<p>Is your firm doing business under one or more DBA's?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Name: Click or tap here to enter text.</p> <p>Country of Registration: Click or tap here to enter text.</p> <p>Year became DBA: Click or tap here to enter text.</p>
3	<p>Is your firm wholly/majority owned by, or a subsidiary of another firm?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If yes, indicate name of Parent Firm and State of Incorporation.</p> <p>Name of Parent Firm: Click or tap here to enter text.</p> <p>State of Incorporation or registration of parent firm: Click or tap here to enter text.</p>
4	<p>Has your firm done business under other names within last five years?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If yes, indicate any other names and the year of name change.</p> <p>Name(s): Click or tap here to enter text.</p> <p>Year(s) of Name Change: Click or tap here to enter text.</p>

REQUIRED FORMS – EXHIBIT 1
ORGANIZATION QUESTIONNAIRE/AFFIDAVIT

5	List names of all joint ventures, partners, subcontractors, or others having any right or interest in this contract or the proceeds thereof. If not applicable, state "NONE".	<u>Click or tap here to enter text.</u>
6	Is your firm involved in any pending acquisition or mergers? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, please provide additional information regarding the pending merger. <u>Click or tap here to enter text.</u>
7	List all names and contact information of all individuals legally authorized to commit the Vendor.	Name: <u>Click or tap here to enter text.</u> Title: <u>Click or tap here to enter text.</u> Phone: <u>Click or tap here to enter text.</u> Email: <u>Click or tap here to enter text.</u> Name: <u>Click or tap here to enter text.</u> Title: <u>Click or tap here to enter text.</u> Phone: <u>Click or tap here to enter text.</u> Email: <u>Click or tap here to enter text.</u> Name: <u>Click or tap here to enter text.</u> Title: <u>Click or tap here to enter text.</u> Phone: <u>Click or tap here to enter text.</u> Email: <u>Click or tap here to enter text.</u>

REQUIRED FORMS – EXHIBIT 2

CERTIFICATION OF COMPLIANCE

Vendor certifies compliance with all programs, policies, and ordinances specified in exhibits listed below.

TITLE		REFERENCE	CERTIFICATIONS
1	Certification of No Conflict of Interest	LACC 2.180	Certifies Compliance? <input type="checkbox"/> Yes <input type="checkbox"/> No
2	Familiarity with the County Lobbyist Ordinance Certification	LACC 2.160	Certifies Compliance? <input type="checkbox"/> Yes <input type="checkbox"/> No
3	Zero Tolerance Policy on Human Trafficking Certification	Motion	Certifies Compliance? <input type="checkbox"/> Yes <input type="checkbox"/> No
4	Compliance with Fair Chance Employment Hiring Practices Certification	Board Policy 5.250	Certifies Compliance? <input type="checkbox"/> Yes <input type="checkbox"/> No
5	Charitable Contributions Certification Enter the California Registry of Charitable Trusts “CT” number and upload a copy of firm’s most recent filing with the Registry of Charitable Trusts as required by Title 11 California Code of Regulations, sections 300-301 and Government Code sections 12585-12586 (if applicable) Click or tap here to enter text.	Board Policy 5.065	Check the Certification below that is applicable to your company. <input type="checkbox"/> Vendor or Contractor has examined its activities and determined that it does not now receive or raise charitable contributions regulated under California’s Supervision of Trustees and Fundraisers for Charitable Purposes Act. If Vendor engages in activities subjecting it to those laws during the term of a County contract, it will timely comply with them and provide County a copy of its initial registration with the California State Attorney General’s Registry of Charitable Trusts when filed. OR <input type="checkbox"/> Vendor or Contractor is registered with the California Registry of Charitable Trusts under the CT number listed in this document and is in compliance with its registration and reporting requirements under California law. Attached is a copy of its most recent filing with the Registry of Charitable Trusts.
6	Attestation of Willingness to Consider GAIN/START Participants	Board Policy 5.050	Certifies Compliance? <input type="checkbox"/> Yes <input type="checkbox"/> No Willing to provide GAIN/START participants access to employee mentoring program? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A-program not available
7	Contractor Employee Jury Service Program Certification Form and Application for Exception	LACC 2.203	Certifies Compliance? <input type="checkbox"/> Yes <input type="checkbox"/> No If No, identify exemption: <input type="checkbox"/> My business does not meet the definition of “contractor,” as defined in the Program. <input type="checkbox"/> My business is a small business as defined in the Program. <input type="checkbox"/> My business is subject to a Collective Bargaining Agreement (attach agreement) that expressly provides that it supersedes all provisions of the Program
8	Certification of Compliance with the County’s Defaulted Property Tax Reduction Program	LACC 2.206	Certifies Compliance? <input type="checkbox"/> Yes <input type="checkbox"/> No If No, identify exemption: Click or tap here to enter text.

REQUIRED FORMS – EXHIBIT 3

REQUEST FOR PREFERENCE CONSIDERATION

INSTRUCTIONS: Vendors requesting preference consideration must complete and include this form in their Statement of Qualifications. Vendors may request consideration for one or more preference programs. **In order to qualify for preference, firm must be certified by the County of Los Angeles Department of Consumer and Business Affairs (DCBA). Please reference your Certification Letter issued by DCBA to determine Federal/Non-Federal preference eligibility.**

<input type="checkbox"/> PREFERENCE NOT REQUESTED
--

OR

<input type="checkbox"/> PREFERENCE REQUESTED (SELECT ALL THAT APPLY)	
Preference Program	Reference
<input type="checkbox"/> Request for Local Small Business Enterprise (LSBE) Program Preference <input type="checkbox"/> Certification for Non-Federally Funded County Solicitations <input type="checkbox"/> Certification for Federally Funded County Solicitations	<u>LACC 2.204</u>
<input type="checkbox"/> Request for Social Enterprise (SE) Program Preference <input type="checkbox"/> Certification for Non-Federally Funded County Solicitations <input type="checkbox"/> Certification for Federally Funded County Solicitations	<u>LACC 2.205</u>
<input type="checkbox"/> Request for Disabled Veterans Business Enterprise (DVBE) Program Preference	<u>LACC 2.211</u>

Note: In no instance should any of the listed preference programs price or scoring be combined with any other County program to exceed 15% in response to any county solicitation.

REQUIRED FORMS – EXHIBIT 4
DEBARMENT HISTORY AND LIST OF TERMINATED CONTRACTS

Vendor's Name: [Click or tap here to enter text.](#)

1. DEBARMENT HISTORY (Check one)	YES	NO
Vendor is currently debarred by a public entity	<input type="checkbox"/>	<input type="checkbox"/>
If yes, please provide the name of the public entity:		
2. LIST OF TERMINATED MASTER AGREEMENTS (Check one)	YES	NO
Vendor has contracts that have been terminated in the past three years.	<input type="checkbox"/>	<input type="checkbox"/>

If yes, please list all Master Agreements that have been terminated prior to expiration within the last three years.

Service:	Click or tap here to enter text.
Name of Entity:	Click or tap here to enter text.
Address:	Click or tap here to enter text.
Contact:	Click or tap here to enter text.
Telephone:	Click or tap here to enter text.
Email:	Click or tap here to enter text.
Termination Date:	Click or tap here to enter text.
Name/Contract No:	Click or tap here to enter text.
Reason for Termination:	Click or tap here to enter text.

Service:	Click or tap here to enter text.
Name of Entity:	Click or tap here to enter text.
Address:	Click or tap here to enter text.
Contact:	Click or tap here to enter text.
Telephone:	Click or tap here to enter text.
Email:	Click or tap here to enter text.
Termination Date:	Click or tap here to enter text.
Name/Contract No:	Click or tap here to enter text.
Reason for Termination:	Click or tap here to enter text.

Service:	Click or tap here to enter text.
Name of Entity:	Click or tap here to enter text.
Address:	Click or tap here to enter text.
Contact:	Click or tap here to enter text.
Telephone:	Click or tap here to enter text.
Email:	Click or tap here to enter text.
Termination Date:	Click or tap here to enter text.
Name/Contract No:	Click or tap here to enter text.
Reason for Termination:	Click or tap here to enter text.

REQUIRED FORMS – EXHIBIT 5
COMMUNITY BUSINESS ENTERPRISE (CBE) INFORMATION

Refer to Excel Worksheet

REQUIRED FORMS – EXHIBIT 6

MINIMUM MANDATORY REQUIREMENTS

Vendor acknowledges and certifies that it meets and will comply with the Vendor’s Minimum Mandatory Requirements indicated below and as stated in Paragraph 3.0 of this Request for Statement of Qualifications.

No.	Minimum Mandatory Requirement(s) (M/R)	Complies with M/R	
		Yes	No
1	Firm must be an independent municipal advisory firm that is registered as a Municipal Advisor with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB). Firm must provide proof of registration as a municipal advisor with the SEC and its MSRB registration number. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u>	<input type="checkbox"/>	<input type="checkbox"/>
2	Firm must not provide underwriting services and/or be a participant in the County’s current Underwriter Pool at the time of the Statement of Qualifications submission and throughout the term of the Master Agreement. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u>	<input type="checkbox"/>	<input type="checkbox"/>
3	Firms must have a minimum of five years’ experience within the last ten years of providing municipal advisory services within the State of California. In the event a firm has not been in business for the minimum number of years, then at least one of the firm’s principals, partners, or officers who will be providing services to the County under the Master Agreement must personally meet this minimum mandatory requirement from previous organizations. Firms must explicitly state that they are seeking to qualify under this provision. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u>	<input type="checkbox"/>	<input type="checkbox"/>

4	<p>Firm must maintain a business office in the Los Angeles metropolitan area, which includes Los Angeles County and any of the counties that border it. Firm must provide the address of its business office in its proposal. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p>	<input type="checkbox"/>	<input type="checkbox"/>
5	<p>Firm must provide a list of Municipal Advisory Services performed for a minimum of ten financing projects for Municipal Entities in California, which resulted in the issuance of debt securities or debt instruments, such as short-term notes, lease-revenue bonds, general obligation bonds and letters of credit or other types of credit facilities since January 1, 2017. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p>	<input type="checkbox"/>	<input type="checkbox"/>
6	<p>Firm must attest to its capability and intention to perform all of the services listed in Appendix A (Master Agreement), Exhibit D (Statement of Work), Paragraph 3.0 (Scope of Services) of this RFSQ by completing Exhibit 1 (Organization Questionnaire/Affidavit), of Appendix B (Required Forms), of this RFSQ. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p>	<input type="checkbox"/>	<input type="checkbox"/>
7	<p>Firm must agree to comply with the Department of Treasurer and Tax Collector’s requirement prohibiting municipal advisory Firms from making cash contributions or providing in-kind services to promote or facilitate California school or community college district campaigns for general obligation bond ballot measures. Furthermore, Firms must also comply with related restrictions promulgated by the MSRB in Rule G-37. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p>	<input type="checkbox"/>	<input type="checkbox"/>

8	<p>Firm or principal owner(s) must not appear on the Listing of Contractors Debarred in the County. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u> https://doingbusiness.lacounty.gov/listing-of-contractors-debarred-in-los-angeles-county/</p>	<input type="checkbox"/>	<input type="checkbox"/>
9	<p>If Firm's compliance with a County contract has been reviewed by the Department of Auditor-Controller (A-C) within the last ten years, Firm must not have unresolved questioned costs identified by the A-C, in an amount over \$100,000, that are confirmed to be disallowed costs by the contracting County department, and remain unpaid for six months or more from the date of disallowance, unless such disallowed costs are the subject of current good faith negotiations to resolve the disallowed costs, in the opinion of the County. <u>The Proposer must provide a confirming statement demonstrating that it meets this requirement.</u></p>	<input type="checkbox"/>	<input type="checkbox"/>

REQUIRED FORMS – EXHIBIT 7

LIST OF REFERENCES

Vendor's Name: Click or tap here to enter text.

Provide three verifiable Municipal Entity client references for the same or similar scope of services that were provided by the Vendor during the previous three years. It is the Vendor's responsibility to ensure accuracy of the information provided below.

1. REFERENCES

SERVICE TYPE:	<u>Click or tap here to enter text.</u>
CONTRACT TERM:	<u>Click or tap here to enter text.</u>
CONTRACT AMT:	<u>Click or tap here to enter text.</u>
AGENCY/DEPT:	<u>Click or tap here to enter text.</u>
CONTACT:	<u>Click or tap here to enter text.</u>
TELEPHONE:	<u>Click or tap here to enter text.</u>
EMAIL:	<u>Click or tap here to enter text.</u>

SERVICE TYPE:	<u>Click or tap here to enter text.</u>
CONTRACT TERM:	<u>Click or tap here to enter text.</u>
CONTRACT AMT:	<u>Click or tap here to enter text.</u>
AGENCY/DEPT:	<u>Click or tap here to enter text.</u>
CONTACT:	<u>Click or tap here to enter text.</u>
TELEPHONE:	<u>Click or tap here to enter text.</u>
EMAIL:	<u>Click or tap here to enter text.</u>

SERVICE TYPE:	<u>Click or tap here to enter text.</u>
CONTRACT TERM:	<u>Click or tap here to enter text.</u>
CONTRACT AMT:	<u>Click or tap here to enter text.</u>
AGENCY/DEPT:	<u>Click or tap here to enter text.</u>
CONTACT:	<u>Click or tap here to enter text.</u>
TELEPHONE:	<u>Click or tap here to enter text.</u>
EMAIL:	<u>Click or tap here to enter text.</u>

REQUIRED FORMS – EXHIBIT 8

PRICING SCHEDULE

MUNICIPAL ADVISORY SERVICES

Compensation for the services described herein shall be at the following hourly rates:

STAFFING CATEGORY	HOURLY RATE
Chairman/President	
Senior Managing Director	
Managing Director	
Vice President	
Assistant Vice President	
Principal	
Associate	
Analyst	
Other (specify)	
Other (specify)	

In addition to the fees specified above, Municipal Advisor shall be paid, at the time provided for payment of fees, its reasonable and necessary expenses. However, the County shall not pay Contractor for any overtime premiums, travel expenses, meals, lodging, holidays, vacation, sick leave, per diem, or miscellaneous expenses, etc. Municipal Advisor must provide documentation of reasonable and necessary expenses, including receipts for all items.

By submission of this Statement of Qualifications, Firm certifies that the prices quoted herein have been arrived at independently without consultation, communication, or agreement with any other Firm or competitor for the purpose of restricting competition.

REQUIRED FORMS – EXHIBIT 9

STAFF BACKGROUND AND EXPERIENCE (To be completed for each staff person proposed to provide services under the Master Agreement)			
1. NAME:			
2. POSITION/TITLE:	3. NUMBER OF YEARS WITH CURRENT FIRM:		
4. TELEPHONE NUMBER:	EMAIL:		
5. EDUCATION AND TRAINING:			
Name and Place	Years Attended		Degrees, Certificates, Diplomas Obtained
	From	To	
6. LICENSES/PROFESSIONAL CERTIFICATIONS HELD/EXPIRATION DATES:			
7. PROFESSIONAL ORGANIZATION AFFILIATIONS:			
8. STAFF EXPERIENCE QUESTIONNAIRE: Please answer the following questions for each staff person that will be assigned to the proposed Municipal Advisor engagement with the County/TTC. Complete and thorough responses will ensure a proper representation of each staff person and the firm. Use additional sheets as needed			

REQUIRED FORMS – EXHIBIT 9

- a. Provide a description of professional experience with the services described in Section 7.3.2.1, Item 2.b Firm Services. Please indicate the firm or place of employment where such professional experience was acquired. If none, include a statement to that effect.

REQUIRED FORMS – EXHIBIT 10

DECLARATION

DECLARATION: I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE INFORMATION SUBMITTED IN EXHIBITS 1-10 IS TRUE AND CORRECT.

PRINT NAME: Click or tap here to enter text.	TITLE: Click or tap here to enter text.
SIGNATURE:	DATE: Click or tap here to enter text.

APPENDIX C

Appendix

C Solicitation Requirements Review (SRR) Request

SOLICITATION REQUIREMENTS REVIEW (SRR) REQUEST

Proposers/Bidders requesting a Solicitation Requirements Review must submit this form to the County within the timeframe identified in the solicitation document.

Proposer/Bidder Name:	Date of Request:
Solicitation Title:	Solicitation No.:

A **Solicitation Requirements Review** is being requested because the Proposer/Bidder asserts that they are being unfairly disadvantaged for the following reason(s): *(Check all that apply)*.

- Application of **Minimum Mandatory Requirements**
- Application of **Business Requirements**
- Application of **Evaluation Criteria**
- Due to **unclear instructions**, the process may result in the County not receiving the best possible responses from prospective Proposers/Bidders.

For each area contested, Proposer/Bidder must explain in detail the factual reasons for the requested review. *(Attach supporting documentation and specify the underlying authority of the person or entity submitting a proposal/bid (e.g., letterhead, business card, etc.))*.

Request submitted by:

Name: _____ Title: _____

<i>For County use only</i>	
Date SRR Request Received by County: _____	Date Solicitation Released: _____

Reviewed by: _____