

Intergovernmental Agreement (IGA)

Agreement No.: DI21-002289

Description: WIOA Title 1 Employment Services



Agreement between the Arizona Department of Economic Security ("ADES") and the Cochise County Board of Supervisors ("Subawardee").

WHEREAS ADES is duly authorized to execute and administer contracts under A.R.S § 41-1954 and,

The Subawardee is duly authorized to execute and administer contracts under A.R.S § 11-201 and,

ADES and the Subawardee are authorized by A.R.S. § 11-952 et seq. to enter into agreements for joint or cooperative action to contract for the services specified in this Agreement.

The term of this Agreement shall begin on July 1, 2020 and shall end on June 30, 2025, unless otherwise amended.

THEREFORE, ADES and Subawardee (the "Parties") agree to abide by all the terms and conditions set forth in this Agreement.

BY SIGNING THIS FORM ON BEHALF OF A PARTY, THE SIGNATORY CERTIFIES POSSESSING THE AUTHORITY TO BIND THE PARTY TO THIS AGREEMENT.

FOR AND ON BEHALF OF THE ARIZONA DEPARTMENT OF ECONOMIC SECURITY:

FOR AND ON BEHALF OF THE COCHISE COUNTY BOARD OF SUPERVISORS:

Procurement Officer Signature	Signature
Printed Name	Printed Name
Title	Title
Date	Date
ADES Contract Number DI21-002289	Contract Number

IN ACCORDANCE WITH A.R.S. § 11-952, THIS AGREEMENT IS IN APPROPRIATE FORM AND WITHIN THE POWERS AND AUTHORITY GRANTED TO EACH RESPECTIVE PUBLIC BODY.

ARIZONA ATTORNEY GENERAL'S OFFICE

By: _____
Assistant Attorney General

By: _____
Public Agency Legal Counsel

Date: _____

Date: _____

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1.0 ADES VISION AND MISSION STATEMENTS

- 1.1 ADES Vision: All Arizonans who qualify receive timely DES services and achieve their potential.
- 1.2 ADES Mission: The Arizona Department of Economic Security makes Arizona stronger by helping Arizonans reach their potential through temporary assistance for those in need, and care for the vulnerable.

2.0 PURPOSE OF AGREEMENT

- 2.1 The purpose of this agreement is to implement the requirements under the Workforce Innovation and Opportunity Act (WIOA) Titles I-A and I-B for the Local Workforce Development Area (LWDA), including activities of the Local Workforce Development Board (LWDB), Chief Elected Official(s)(CEO), and services to eligible Adults, Dislocated Workers, and Youth. These activities and services will be provided in accordance with Federal and State laws and regulations, State policies, and in alignment with the current Arizona Unified Workforce Development Plan.

3.0 PROGRAM ELIGIBILITY

- 3.1 Program eligibility will be conducted in accordance with the eligibility requirements of the WIOA and federal regulations on each applicant prior to the provision of services. Eligibility will include determination of family size, family income for the previous six-month period, educational status, and identification of any barriers or issues that impact attaining and/or retaining employment. Services shall comply with the WIOA as amended and applicable Federal and State regulations and State policies.

4.0 SERVICE DESCRIPTION

- 4.1 The Subawardee shall ensure compliance with the requirements of WIOA Titles I-A and I-B for LWDA as set out in WIOA secs.106-116 the corresponding regulations, and State policies, including implementation of the functions of the LWDB and CEO in the LWDA, including but not limited to:

4.2 Local Governance Provisions:

- 4.2.1 Establishment of a LWDB to carry out the functions required under WIOA, including LWDB certification, completing the requirements for developing and modifying a local plan, completing job center certification, developing a memorandum of understanding and infrastructure agreement with required partners, and procuring a one stop operator.
- 4.2.2 Implementation of a system of continuous improvement for the one stop delivery system as required by WIOA sec. 121(g) and 101(d)(6), and State policies, based on lean principles and tools as described in the Arizona Management System.
- 4.2.3 Compliance with all requirements for a common one-stop delivery system identifier, which in Arizona is the ARIZONA@WORK identifier, as required under WIOA sec. 121(e)(4) and 20 CFR 678.900.
- 4.2.4 Execution of the required activities of the CEO, including appointment of the fiscal agent and members of the LWDB, and the joint functions with the LWDB as described in WIOA sec. 107(c), (d), (h), and 20 CFR 679.310, 679.420.
- 4.2.5 Implementation of appropriate firewalls within the LWDA between required functions to prevent conflict of interest as described in 2 CFR part 200, 20 CFR 679.320, 679.370. 679.430, and policies of the Workforce Arizona Council.
- 4.2.6 Post local area WIOA Title 1 policies to the local area website.

4.3 Adult, Dislocated Workers and Youth Programs: The LWDB shall enter into legally binding agreements with entities to:

- 4.3.1 Provide WIOA Title I eligible Adults, and Dislocated Workers services, as appropriate, to meet the individual's needs.
- 4.3.2 Provide WIOA Title I eligible Youth, as appropriate, to meet the individual's needs.

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4.4 Rapid Response (RR)

- 4.4.1 If the Local Area receives a RR allocation through this subaward, the Local Area will provide RR Services in accordance with the Training and Employment Guidance Letter (TEGL) authorizing the allocation.
- 4.5 The expenditures for all Programs will comply with 2 CFR 200; Public Law, 113-128 of the 113th Congress described as the Workforce Innovation and Opportunity Act and Federal and State regulations and guidelines under the WIOA Title I Federal Allotments.

5.0 RESPONSIBILITIES

- 5.1 ADES and the Subawardee agree as follows:
 - 5.2 The Subawardee shall:
 - 5.2.1 Implement the required activities of Titles I-A and I-B, including the provision of services to eligible Adults, Dislocated Workers, and Youth throughout the designated LWDA. These activities and services will be provided in accordance with Federal and State regulations, State Policies, and the most current Local Plan. Ensure oversight and compliance with the WIOA and its regulations, applicable Federal and State Laws, rules and regulations, and State policies and procedures.
 - 5.2.2 Meet all the timelines and criteria set out for the required LWDB and CEO activities described in WIOA Titles I-A and I-B as amended and applicable Federal and State regulations and State policies.
 - 5.2.3 Meet all adjusted levels of performance as established by the State. Failure to meet any of the adjusted levels of performance shall result in sanctions as set out in WIOA sec. 116(g), 20 CFR 677.190, and TEGL 11-19. Failure to meet any adjusted performance measures may also result in ADES issuing a Demand for Assurance, which may require a written corrective action plan from the Subawardee.
 - 5.2.4 Complete the requirements stated in the Demand for Assurance, including the corrective action plan, by the timeframe prescribed by ADES, failure to complete shall result in the immediate suspension of the Subawardee(s) authority to receive payment under this Agreement. Such authority shall not be reinstated until the Subawardee submits, and ADES approves, a revised corrective action plan or submits documentation to show that the issues identified in the Demand for Assurance have been addressed.
 - 5.2.5 Comply with the approved Demand for Assurance response. If not in compliance, ADES will proceed with remedies as authorized under this agreement up to and including sanctions.
 - 5.2.6 Be held responsible for meeting performance measures. If the Subawardee fails the same performance measure in two consecutive years, The State of Arizona may implement corrective actions as delineated in WIOA sec. 107(c)(2)(c), WIOA sec. 184, 20CFR 677.220 and 20 CFR 683.720.
 - 5.2.7 Send a written notice in accordance with the "Notices Section" of this Agreement, if the Subawardee wishes to transfer funds in accordance with the ADES Policy and Procedure Manual – Workforce Innovation and Opportunity Act, section 400.
 - 5.2.8 The Subawardee shall give written notice in accordance with the "Notices Section" of this Agreement, if the Subawardee wishes to shift Administrative funds to Program funds, however, the shift must be within the same funding source. The Subawardee must provide justification for the change and ADES must approve the change. Any such increase must be offset by an equal value decrease within the same funding source. A written amendment shall not be required to effect these changes, however, any change to the service reimbursement ceiling shall be reflected in an agreement amendment.

6.0 EXTENSION

This agreement may be extended through a written amendment by mutual agreement of the parties.

7.0 TERMINATION

- 7.1 This agreement may be terminated by mutual agreement of the parties at any time during the term of this agreement.

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7.2 Each party shall have the right to terminate this agreement by hand-delivering to the other party written notice of termination at least thirty (30) days prior to the effective date of said termination.

8.0 AMENDMENTS

8.1 This Agreement may be amended at any time by mutual written agreement. No agent, employee or other representative of either Party is empowered to alter any of the terms of the Agreement, unless amended in writing and signed by the authorized representative of the respective Parties.

8.2 Either party shall give written notice to the other party of any non-material alteration that affects the provisions of this Agreement. Non-material alterations that do not require a written amendment are as follows:

8.2.1 Change of telephone number;

8.2.2 Change in authorized signatory; and/or

8.2.3 Change in the name and/or address of the person to whom notices are to be sent.

9.0 MANNER OF FINANCING

9.1 WIOA Title I Catalog of Federal Domestic Assistance (CFDA) #17.258 (Adult); CFDA #17.278 (Dislocated Worker); CFDA #17.259 (Youth). Funding is authorized by a U.S. Department of Labor "Notice of Award" for each Program Year identified on the Notice of Award.

9.2 Period of Availability for Expenditure of WIOA Title I Funds

9.2.1 The Subawardee agrees that pursuant to 20 CFR 683.110, funds allocated by a State to a LWDA under subpart- A sections 128(b) and 133(b), for any Program year are available for expenditure only during that program year and the succeeding program year. Funds that are not expended by a LWDA in the two-year period described in paragraph (b) (1) of section 128 (b) and 133(b) of the Workforce Innovation and Opportunity Act shall be returned to the State. Funds so returned are available for expenditure by State and local recipients and sub recipients only during the third program year of availability. These funds may be used for statewide projects or distributed to other LWDA's, which had fully expended their allocation of funds for the same program year within the two-year period.

9.2.2 The period of availability for funds allocated under this Contract is identified in Attachment B, Allocation by Program & Fiscal Year. Reimbursement shall not exceed the allocations identified in Attachment B.

9.2.3 All final expenditure reports and cash draw requests for the Local Area Formula Funds shall be submitted per Attachment B. No extensions shall be granted to the requirement to submit the final expenditure and cash draw requests.

9.3 Rescission of Funds

If the Federal Funding Source informs the State that it is rescinding funding from the State and where the State must in turn rescind from a Subawardee(s) who may hold one or more agreements for services funded under the specified Federal Funding Source, the State may take action in the following sequence:

9.3.1 Rescind the required amount of funds from unexpended funds to the designated previous period(s) of time.

9.3.2 Rescind the required amount of funds from unexpended funds to the designated current period(s) of time.

9.3.3 Decrease the required amount of funds from funds from a designated future period(s) of time.

10.0 REPORTING REQUIREMENTS

10.1 Per Attachment B, the Subawardee shall submit to ADES a final financial closeout packet.

10.2 Unless otherwise provided in this agreement, reporting shall adhere to the following schedule: No later than the 30th day following each month in which services were provided during the contract term, the Subawardee shall submit financial reports to ADES in the form set forth within the contract.

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- 10.3 Submit ETA 9130 Quarterly Report within thirty (30) days after the end of the quarter.
- 10.4 Failure to submit accurate and complete reports by the 30th day following the end of a month may result, at the option of ADES, in retention of payment. Failure to provide such report within 30 days following the end of a month may result, at the option of ADES, in a forfeiture of such payment.
- 10.5 The Subawardee shall provide ADES the following reports:
 - 10.5.1 Subawardee Monthly Expenditure and Cash Draw Reports and Detailed Expenditure Breakdown. This is the only format that will be accepted for reporting accrued expenditures.
 - 10.5.2 ETA 9130 Quarterly Reports.
 - 10.5.3 An annual self-assessment to be completed by the LWDB (Attachment C).
 - 10.5.4 Any other reports requested by the Workforce Arizona Council or ADES.
 - 10.5.5 All reports are available from the contact information located in 10.6.

10.6 All Reports shall be sent to:
WIOAFiscalReports@azdes.gov

11.0 PAYMENT REQUIREMENTS

11.1 Subawardee Monthly Expenditure and Cash Draw Reports and Detailed Expenditure Breakdown shall be submitted by the 30th day of the month following the month services were provided.

12.0 NOTICES

12.1 All notices to the Subawardee regarding this agreement shall be sent to the following address:

Cochise County
ATTN: Vada Phelps
900 Carmelita Dr.
Sierra Vista, AZ 85635
vphelps@cpic-cas.org

12.2 All notices to ADES regarding this agreement shall be sent to the following address:

Arizona Department of Economic Security
ATTN: WIOA Fiscal Unit
Mail Drop: 51F1
1789 W. Jefferson Street
Phoenix, AZ 85007
Phone (602) 542-2474

13.0 DISPOSITION OF PROPERTY

13.1 Transfer/Surplus of Equipment with a Property Value less than \$5,000

Items of equipment with a current per unit fair market value of less than \$5,000 may be retained, sold or otherwise disposed of with no further obligation to the Federal awarding agency. If property is deemed worthless, documentation must be provided to establish this fact. Property may not be donated to another agency unless it is worthless. An appraiser may establish value. The Equipment Transfer/Surplus Request (J-320) disposition record must be kept for any transaction in accordance with EA/WIOA Section record retention requirements and WIOA Inventory Equipment Database or other internal inventory system annotated accordingly. The Subawardee and/or service provider may sell the property and retain the proceeds for use in WIOA programs or allocated in accordance with terms of LWDA cost sharing agreement.

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13.2 Calculation of Fair Market Value

The selling price of an item that is sold through auction, advertisement, or a dealer is the fair market value of the item regardless of any prior estimates. An item that is not sold but retained by the Subawardee and/or service provider has a fair market value based on similar items that are offered for sale, using the selling price if known.

13.3 Property Records Retention

All property records must be maintained from date of acquisition, through final disposition. The Subawardee and/or service providers must also retain these records for a period of five (5) years from the date of their last expenditure report. If any litigation, claim, negotiation, or audit is started before the expiration of the five (5) year period, all records related to this agreement must be retained until all findings have been resolved and final action taken or until the end of the regular five (5) year period, whichever is later.

13.4 Inventory Records

The Subawardee and/or service providers must maintain accurate inventory records of expendable leased/purchased (value \$2,000.00 to \$4,999.99), and non-expendable leased/purchased equipment \$5,000 or more with WIOA funds. Property records must include:

1. Asset Number
2. Item Description
3. Manufacturer
4. Serial Number
5. Acquisition Date
6. Physical Location
7. Total Item Cost.

The Subawardee and service providers are required to submit an inventory report for all property leased/purchased with WIOA Title I funds costing more than \$2,000.00 to the WIOA Section, Fiscal Manager by August 1 of each year.

13.5 Prior Approval Equipment with a Property Value \$5,000 or More

Before allocating WIOA funds for any non-expendable tangible property purchase (including software purchases) with a "per unit" cost of \$5,000 or more, or total purchase cost exceeds \$10,000, the Subawardee and/or service provider must complete a "WIOA Pre-Approval of Equipment & Vehicles \$5,000 or More Questionnaire" form that must be signed by the Subawardee Director or Designee.

- 13.5.1 The signed form must be forwarded to the WIOA Section Finance Manager for review, approval or disapproval action.
- 13.5.2 When an approval decision is rendered, the WIOA Section Finance Manager will return the signed questionnaire to the Subawardee Director or Designee. Upon receipt of the signed and approved questionnaire, the Subawardee can proceed to purchase the equipment or property.
- 13.5.3 When a decline decision is rendered, the WIOA Section Finance Manager will specify the reason for disapproval and return the signed questionnaire to the LWDA Director. The LWDA may appeal this decision to the WIOA Section Finance Manager.

14.0 MONITORING

- 14.1 ADES will monitor the Subawardee and /or Subawardee(s) who shall cooperate in the monitoring of services delivered; facilities; records maintained and fiscal practice. The Subawardee must conduct regular oversight and monitoring of its WIOA activities and those of its sub-recipients in accordance with 20 CFR 683.410 and in accordance with the uniform administrative requirements at 29 CFR parts 95 and 97. If monitoring findings stay open beyond a twelve (12) month period and/or the scheduled monitoring is

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not able to occur due to LWDA lack of response or cancellations, the department may withhold funding until the issues are resolved in line with state issued rule and/or policy .

15.0 APPLICABLE LAW

15.1 This agreement shall be governed and interpreted by the laws of the State of Arizona. The materials and services supplied under this agreement shall comply with all applicable Federal, State and local laws, and the Subawardee shall maintain all applicable licenses and permit requirements.

16.0 ARBITRATION

16.1 The Parties to this agreement agree to resolve all disputes arising out of or relating to this agreement through arbitration, after exhausting applicable administrative review, to the extent required by A.R.S.§§ 12-1518(B) and 12-133, except as may be required by other applicable statutes.

17.0 AUDIT

All records shall be subject to inspection and audit by the State at reasonable times. Upon request, the Subawardee shall produce the original of any or all such records. Records retention shall be in accordance with WIOA Grant requirements; this requirement is in addition to any other record retention obligations the Subawardee may have under any other law.

18.0 CONFLICT OF INTEREST

18.1 In accordance with A.R.S. § 38-511, the State may within three (3) years after execution terminate the agreement, without penalty or further obligation, if any person significantly involved in initiating, negotiating, securing, drafting or creating the agreement on behalf of either party, at any time while the agreement is in effect, becomes an employee or agent of any other party to the agreement in any capacity or a consultant to any other party to the agreement with respect to the matter of the agreement.

19.0 E-VERIFY

19.1 In accordance with A.R.S. § 41-4401, Subawardee warrants compliance with all Federal immigration laws and regulations relating to employees and warrants its compliance with A.R.S. § 23-214, Subsection A.

20.0 FEDERAL IMMIGRATION AND NATIONALITY ACT

20.1 By entering into the agreement, the Subawardee warrants compliance with the Federal Immigration and Nationality Act. (FINA) and all other Federal immigration laws and regulations related to the immigration status of its employees. The Subawardee shall obtain statements from its sub awardees certifying compliance and shall furnish the statements to the Procurement Officer upon request. These warranties shall remain in effect through the term of the agreement. The Subawardee and its sub awardees shall also maintain Employment Eligibility Verification forms (I-9) as required by the U.S. Department of Labor's Immigration and Control Act, for all employees performing work under the Agreement. I-9 forms are available for download at USCIS.GOV.

20.2 The State may request verification of compliance for any Subawardee or Subcontractor performing work under the agreement. Should the State suspect or find that the Subawardee or any of its Subawardee(s) are not in compliance, the State may pursue any and all remedies allowed by law, including, but not limited to suspension of work, termination of the agreement for default, and suspension and/or debarment of the Subawardee. All costs necessary to verify compliance are the responsibility of the Subawardee.

21.0 INDEMNIFICATION:

Each party (as "Indemnitor") agrees to defend, indemnify, and hold harmless the other party (as "Indemnitee") from and against any and all claims, losses, liability, costs, or expenses (including reasonable attorney's fees) (hereinafter collectively referred to as "Claims") arising out of bodily injury of

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any person (including death) or property damage, but only to the extent that such Claims which result in vicarious/derivative liability to the Indemnitee are caused by the act, omission, negligence, misconduct, or other fault of the Indemnitor, its officers, officials, agents, employees, or volunteers. The State of Arizona, Department of Economic Security is self-insured per A.R.S. 41-621.

In addition, should Subawardee utilize a Subawardee(s) or subcontractor(s) the indemnification clause between Subawardee and its Subawardee(s) and/or Subcontractor(s) shall include the following:

To the fullest extent permitted by law, [SUBCONTRACTOR OR SUBAWARDEE] shall defend, indemnify, and hold harmless the Sub-Awardee and the State of Arizona, and any jurisdiction or agency issuing any permits for any work arising out of this Agreement, and its departments, agencies, boards, commissions, universities, , officers, officials, agents, and employees (hereinafter referred to as "Indemnitee") from and against any and all claims, actions, liabilities, damages, losses, or expenses (including court costs, attorneys' fees, and costs of claim processing, investigation and litigation) (hereinafter referred to as "Claims") for bodily injury or personal injury (including death), or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of the [SUBCONTRACTOR OR SUBAWARDEE] or any of the directors, officers, agents, or employees or [SUBCONTRACTOR OR SUBAWARDEE]s of such [SUBCONTRACTOR OR SUBAWARDEE]. This indemnity includes any claim or amount arising out of or recovered under the Workers' Compensation Law or arising out of the failure of such [SUBCONTRACTOR OR SUBAWARDEE] to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. It is the specific intention of the parties that the Indemnitee shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the Indemnitee, be indemnified by such [SUBCONTRACTOR OR SUBAWARDEE] from and against any and all claims. It is agreed that such [SUBCONTRACTOR OR SUBAWARDEE] will be responsible for primary loss investigation, defense and judgment costs where this indemnification is applicable. Additionally on all applicable insurance policies, [SUBCONTRACTOR OR SUBAWARDEE] and its [SUBCONTRACTOR OR SUBAWARDEE]s shall name the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees as an additional insured and also include a waiver of subrogation in favor of the State.

21.1 Insurance Requirements for Governmental Parties to an IGA

- None

21.2 Insurance Requirements for Any [SUBCONTRACTOR OR SUBAWARDEE(s)] Used by a Party to the Intergovernmental Agreement

(Note: this applies only to SUBCONTRACTOR OR SUBAWARDEE(s) used by a governmental entity, not to the governmental entity itself.) The insurance requirements herein are minimum requirements and in no way limit the indemnity covenants contained in the Intergovernmental Agreement. The State of Arizona in no way warrants that the minimum limits contained herein are sufficient to protect the governmental entity or [SUBCONTRACTOR OR SUBAWARDEE] from liabilities that might arise out of the performance of the work under this Contract by the [SUBCONTRACTOR OR SUBAWARDEE], his agents, representatives, employees or [SUBCONTRACTOR OR SUBAWARDEE]s, and [SUBCONTRACTOR OR SUBAWARDEE] and the governmental entity are free to purchase additional insurance.

21.3 Minimum Scope and Limits Of Insurance

[SUBCONTRACTOR OR SUBAWARDEE] shall provide coverage with limits of liability not less than those stated below.

21.3.1 Commercial General Liability – Occurrence Form

Policy shall include bodily injury, property damage, and broad form contractual liability coverage.

- General Aggregate \$2,000,000
- Products – Completed Operations Aggregate \$1,000,000

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- Personal and Advertising Injury \$1,000,000
- Damage to Rented Premises \$ 50,000
- Each Occurrence \$1,000,000

- a. The policy shall be endorsed, as required by this written agreement, to include the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees as additional insureds with respect to liability arising out of the activities performed by or on behalf of the [SUBCONTRACTOR OR SUBAWARDEE].
- b. Policy shall contain a waiver of subrogation endorsement, as required by this written agreement, in favor of the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the [SUBCONTRACTOR OR SUBAWARDEE].

(Note that the other governmental entity(ies) is/are also required to be additional insured(s) and they should supply the [SUBCONTRACTOR OR SUBAWARDEE] with their own list of persons to be insured.)

21.3.2 Business Automobile Liability

Bodily Injury and Property Damage for any owned, hired, and/or non-owned automobiles used in the performance of this Contract.

- Combined Single Limit (CSL) \$1,000,000

- a. Policy shall be endorsed, as required by this written agreement, to include the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees as additional insureds with respect to liability arising out of the activities performed by, or on behalf of, the [SUBCONTRACTOR OR SUBAWARDEE] involving automobiles owned, hired and/or non-owned by the Subawardee.
- b. Policy shall contain a waiver of subrogation endorsement as required by this written agreement in favor of the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the [SUBCONTRACTOR OR SUBAWARDEE].

(Note that the other governmental entity(ies) is/are also required to be additional insured(s) and they should supply the [SUBCONTRACTOR OR SUBAWARDEE] with their own list of persons to be insured.)

21.3.3 Workers' Compensation and Employers' Liability

- Workers' Compensation Statutory
- Employers' Liability
 - Each Accident \$1,000,000
 - Disease – Each Employee \$1,000,000
 - Disease – Policy Limit \$1,000,000

- a. Policy shall contain a waiver of subrogation endorsement, as required by this written agreement, in favor of the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Subawardee.
- b. This requirement shall not apply to each Subawardee or Subawardee that is exempt under A.R.S. § 23-901, and when such Subawardee or Subawardee executes the appropriate waiver form (Sole Proprietor or Independent Subawardee).

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21.4 Additional Insurance Requirements

The policies shall include, or be endorsed to include, as required by this written agreement, the following provisions:

- 21.4.1 The Subawardee(s) policies, as applicable, shall stipulate that the insurance afforded the Subawardee shall be primary and that any insurance carried by ADES, its agents, officials, employees or the State of Arizona shall be excess and not contributory insurance, as provided by A.R.S. § 41-621 (E).
- 21.4.2 Insurance provided by the Subawardee shall not limit the Subawardee(s) liability assumed under the indemnification provisions of this Contract.

21.5 Notice of Cancellation

Applicable to all insurance policies required within the Insurance Requirements of this Contract, Subawardee(s) insurance shall not be permitted to expire, be suspended, be canceled, or be materially changed for any reason without thirty (30) days prior written notice to the State of Arizona. Within two (2) business days of receipt, Subawardee must provide notice to the State of Arizona if they receive notice of a policy that has been or will be suspended, canceled, materially changed for any reason, has expired, or will be expiring. Such notice shall be sent directly to ADES and shall be mailed, emailed, hand delivered or sent by facsimile transmission to (State Representative's Name, Address & Fax Number).

21.6 Acceptability of Insurers

Subawardee(s) insurance shall be placed with companies licensed in the State of Arizona or hold approved non-admitted status on the Arizona Department of Insurance List of Qualified Unauthorized Insurers. Insurers shall have an "A.M. Best" rating of not less than A- VII. The State of Arizona in no way warrants that the above-required minimum insurer rating is sufficient to protect the Subawardee from potential insurer insolvency.

21.7 Verification of Coverage


Subawardee shall furnish the State of Arizona with certificates of insurance (valid ACORD form or equivalent approved by the State of Arizona) evidencing that Subawardee has the insurance as required by this Contract. An authorized representative of the insurer shall sign the certificates.

- 21.7.1 All such certificates of insurance and policy endorsements must be received by the State before work commences. The State's receipt of any certificates of insurance or policy endorsements that do not comply with this written agreement shall not waive or otherwise affect the requirements of this agreement.
- 21.7.2 Each insurance policy required by this Contract must be in effect at, or prior to, commencement of work under this Contract. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.
- 21.7.3 All certificates required by this Contract shall be sent directly to ADES. The State of Arizona project/contract number and project description shall be noted on the certificate of insurance. The State of Arizona reserves the right to require complete copies of all insurance policies required by this Contract at any time.

21.8 Subawardees

Subawardee(s) certificate(s) shall include all sub awardees as insureds under its policies or Subawardee shall be responsible for ensuring and/or verifying that all sub awardees have valid and collectable insurance as evidenced by the certificates of insurance and endorsements for each Subawardee. All coverages for sub awardees shall be subject to the minimum Insurance Requirements identified above. ADES reserves the right to require, at any time throughout the life of the Contract, proof from the Subawardee that its sub awardees have the required coverage.

21.9 Approval and Modifications

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The Contracting Agency, in consultation with State Risk, reserves the right to review or make modifications to the insurance limits, required coverages, or endorsements throughout the life of this contract, as deemed necessary. Such action will not require a formal Contract amendment but may be made by administrative action.

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21.10 Exceptions

In the event the Subawardee or Subawardee(s) is/are a public entity, then the Insurance Requirements shall not apply. Such public entity shall provide a certificate of self-insurance. If the Subawardee or Subawardee(s) is/are a State of Arizona agency, board, commission, or university, none of the above shall apply.

22.0 IT 508 COMPLIANCE

22.1 Unless specifically authorized in the agreement, any electronic or information technology offered to the State of Arizona under this agreement shall comply with A.R.S. §§ 18-131 and 18-132 and Section 508 of the Rehabilitation Act of 1973, which requires that employees and members of the public shall have access to and use of information technology that is comparable to the access and use by employees and members of the public who are not individuals with disabilities.

23.0 NON-AVAILABILITY OF FUNDS

23.1 In accordance with A.R.S. § 35-154, every payment obligation of the State under the agreement is conditioned upon the availability of funds appropriated or allocated for payment of such obligation. If funds are not allocated and available for the continuance of this agreement, this agreement may be terminated by the State at the end of the period for which funds are available. No liability shall accrue to the State in the event this provision is exercised, and the State shall not be obligated or liable for any future payments or for any damages as a result of termination under this paragraph.

24.0 NON-DISCRIMINATION

24.1 The Subawardee shall comply with State Executive Order No. 2009-09 and all other applicable Federal and State laws, rules and regulations, including the Americans with Disabilities Act.

25.0 OFFSHORE PERFORMANCE OF WORK PROHIBITED

25.1 Due to security and identity protection concerns, direct services under this agreement shall be performed within the borders of the United States. Any services that are described in the specifications or scope of work that directly serve the State of Arizona or its clients and may involve access to secure or sensitive data or personal client data or development or modification of software for the State shall be performed within the borders of the United States. Unless specifically stated otherwise in the specifications, this definition does not apply to indirect or 'overhead' services, redundant back-up services or services that are incidental to the performance of the agreement. This provision applies to work performed by sub awardees at all tiers.

26.0 PARTICIPATION IN BOYCOTT OF ISRAEL

26.1 Subawardee warrants it is not engaged in a boycott of Israel as defined by A.R.S. §35-393.01.

27.0 RIGHT OF OFFSET

27.1 ADES shall be entitled to offset against any sums due the Subawardee, any expenses or costs incurred by ADES, or damages assessed by ADES concerning the Subawardee(s) non-conforming performance or failure to perform the agreement, including expenses, costs and damages.

28.0 THIRD- PARTY ANTITRUST VIOLATIONS

28.1 The Subawardee assigns to ADES any claim for overcharges resulting from antitrust violations concerning materials or services supplied by third parties to the Subawardee, toward fulfillment of this agreement.

29.0 ATTACHMENTS

29.1 The following list of attachments constitutes an integral part of subject agreement:

29.1.1 Attachment A – Federal Award Terms

29.1.2 Attachment B – WIOA Allocation by Program and Fiscal Year

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29.1.3 Attachment C – LWDB Self-Assessment Survey

30.0 SANCTIONS AND CORRECTIVE ACTIONS

30.1 ADES may issue Demand for Assurance notices to the Subawardee for failure to comply with any of the conditions, requirements or clauses contained in this agreement. This Demand for Assurance shall include the citation from the agreement that ADES requires the Subawardee to remedy, the required time frame for a response from the Subawardee, what required documents shall be sent with the response and to whom the response shall be sent. Failure to comply with the requirements set forth in the Demand for Assurance, and any corrective action agreed to by ADES, may result in the actions outlined in Section 30.2.1 and 30.2.2

30.2 Pursuant to 20 CFR 683.720 and TEGL 11-19, ADES may impose sanctions and corrective actions on recipients and sub recipients of WIOA grant funds as follows:

1. Except for actions under WIOA section 188(a) ADES uses the initial and final determination procedures outlined in 20 CFR 683.440 to impose a sanction or corrective action. To impose a sanction or corrective action for a violation of WIOA section 188(a) ADES will use the procedures set forth in that regulatory part.
2. ADES may impose sanctions or corrective action for noncompliance with the uniform administrative requirements set forth under section 184(b) (1) and 20 CFR 683.700 and 683.720. Sanctions or corrective action will be applied for substantial violations of WIOA statutory and regulatory requirements, if the Governor fails to promptly take the actions specified in WIOA sections 184(b)(1), the Grant Officer may impose such actions directly against the Subawardee. The Grant Officer may also impose a sanction directly against a sub recipient, as authorized in section 184(d) (3) of the Act.

31.0 CONFIDENTIALITY

31.1 The Subawardee shall observe and abide by all applicable State and federal statutes, rules and regulations regarding the use or disclosure of information including, but not limited to, information concerning applicants for and recipients of WIOA services. To the extent permitted by law, the Subawardee shall release information to ADES and to the Attorney General's Office as required by the terms of this agreement, by law or upon their request.

31.2 The Subawardee shall comply with the requirements of Arizona Address Confidentiality Program, A.R.S. § 41-161 et. seq. ADES will advise the Subawardee as to applicable policies and procedures ADES has adopted for such compliance.

32.0 FINGERPRINTING

32.1 Subawardee shall comply with, and shall ensure that all of Subawardee(s) employees, independent sub awardees, sub awardees, volunteers and other agents comply with, all applicable (current and future) legal requirements relating to fingerprinting, fingerprint clearance cards, certifications regarding pending or past criminal matters, and criminal records checks that relate to contract performance.

32.2 Applicable legal requirements relating to fingerprinting, certification, and criminal background checks may include, but are not limited, to the following: A.R.S. §§ 36-594.01, 36-3008, 41-1964, and 46-141. All applicable legal requirements relating to fingerprinting, fingerprint clearance cards, certifications regarding pending or past criminal matters, and criminal records checks are hereby incorporated in their entirety as provisions of this Agreement. The Subawardee is responsible for knowing which legal requirements relating to fingerprinting, fingerprint clearance cards, certifications regarding pending or past criminal matters, and criminal records checks relate to contract performance.

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32.3 To the extent A.R.S. § 46-141 is applicable to contract performance or the services provided under this agreement, the following provisions apply:

32.3.1 Personnel who are employed by the Subawardee, whether paid or not, and who are required or allowed to provide services directly to juveniles or vulnerable adults shall have a valid fingerprint clearance card or shall apply for a fingerprint clearance card within seven working days of employment.

32.3.2 Except as provided in A.R.S. § 46-141, this agreement may be cancelled or terminated immediately if a person employed by the Subawardee and who has contact with juveniles certifies pursuant to the provisions of A.R.S. § 46-141 (as may be amended) that the person is awaiting trial or has been convicted of any of the offenses listed therein in this State, or of acts committed in another state that would be offenses in this State, or if the person does not possess or is denied issuance of a valid fingerprint clearance card.

32.4 Federally recognized Indian tribes may submit and ADES will accept certifications that state that no personnel who are employed or who will be employed during the term of this agreement have been convicted of, have admitted committing or are awaiting trial on any offense as described in A.R.S. § 41-1758.03 (as may be amended).

33.0 BACKGROUND CHECKS FOR EMPLOYMENT THROUGH THE CENTRAL REGISTRY If providing direct services to children or vulnerable adults, the following shall apply:

33.1 The provisions of A.R.S. § 8-804 (as may be amended) are hereby incorporated in its entirety as provisions of this agreement.

33.2 ADES will conduct Central Registry Background Checks and will use the information contained in the Central Registry as a factor to determine qualifications for positions that provide direct service to children or vulnerable adults for:

32.1.1 Any person who applies for a contract with this State and that person's employees.

32.1.2 All employees of a Subawardee.

32.1.3 A Subawardee of a Subawardee and the Subawardee(s) employees; and

32.1.4 Prospective employees of the Subawardee or Subawardee at the request of the prospective employer.

33.3 Volunteers who provide direct services to children or vulnerable adults shall have a Central Registry Background Check which is to be used as a factor to determine qualifications for volunteer positions.

33.4 A person who is disqualified because of a Central Registry Background Check may apply to the Board of Fingerprinting for a Central Registry exception pursuant to A.R.S. § 41-619.57. A person who is granted a Central Registry exception pursuant to A.R.S. § 41-619.57 is not entitled to a contract, employment, licensure, certification or other benefit because the person has been granted a Central Registry exception.

33.5 Before being employed or volunteering in a position that provides direct services to children or vulnerable adults, persons shall certify on forms that are provided by ADES whether an allegation of abuse or neglect was made against them and was substantiated. The completed forms are to be maintained as confidential.

33.6 A person awaiting receipt of the Central Registry Background Check may provide direct services to ADES clients after completion and submittal of the Direct Service Position certification form if the certification states:

33.6.1 The person is not currently the subject of an investigation of child abuse or neglect in Arizona or another state or jurisdiction; and

33.6.2 The person has not been the subject of an investigation of child abuse or neglect in Arizona, or another state or jurisdiction, which resulted in a substantiated finding.

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33.7 If the Central Registry Background Check specifies any disqualifying act and the person does not have a Central Registry exception, the person shall be prohibited from providing direct services to ADES clients.

33.8 The Subawardee shall maintain the Central Registry Background Check results and any related forms or documents in a confidential file for five (5) years after termination of the Agreement.

34.0 DATA SHARING AGREEMENT

34.1 When determined by ADES that sharing of confidential data will occur with the Subawardee, the Subawardee shall complete ADES Data Sharing Request agreement and submit the completed agreement to ADES Program Designated Staff prior to any work commencing or data shared. A separate Data Sharing Request agreement shall be required between the Subawardee and each ADES Program sharing confidential data.

35.0 CERTIFICATION REGARDING LOBBYING

The Subawardee certifies, to the best of its knowledge and belief, that:

35.1 No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subawardee, to any person for influencing or attempting to influence an officer or employee of any agency. This applies to a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant. Including the making of any Federal, loan the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

35.2 If any funds other than Federal appropriated funds, have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

35.3 The Subawardee shall require that the language of this certification be included in the award documents for all sub- awards at all tiers (including subcontracts, sub-grants, and contract under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

35.4 This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

36.0 COPYRIGHTS AND OWNERSHIP OF INTELLECTUAL PROPERTY

Any and all intellectual property, including but not limited to copyright, invention, trademark, trade name, service mark, and/or trade secrets created or conceived pursuant to or as a result of this contract and any related subcontract ("Intellectual Property"), shall be work made for hire and the State shall be considered the creator of such Intellectual Property. The agency, department, division, board or commission of the State of Arizona requesting the issuance of this contract shall own (for and on behalf of the State) the entire right, title and interest to the Intellectual Property throughout the world. Subawardee shall notify ADES, within thirty (30) days, of the creation of any Intellectual Property by it or its Subawardee(s). Subawardee, on behalf of itself and any Subawardee(s), agrees to execute any and all document(s) necessary to assure ownership of the Intellectual Property vests in the State and shall take no affirmative action that might have the effect of vesting all or part of the Intellectual Property in any entity other than ADES. The Subawardee or its sub awardees are not to dispose or distribute any

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Intellectual Property without the express written authorization of ADES, division, board or commission of the State of Arizona requesting the issuance of this contract shall not disclose the Intellectual Property.

37.0 CLEAN AIR ACT & CLEAN WATER ACT

As the Subawardee you must be in compliance with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act (42 U.S.C.1857(h)),section 508 of the Clean Water Act (33 U.S.C. 1368) Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15).

38.0 ENERGY POLICY AND CONSERVATION ACT

As the Subawardee, you must adhere to the standards and policies relating to energy efficiency, which are contained in the State energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871).

39.0 COPELAND ANTI-KICKBACK ACT

As the Subawardee to this agreement, you are expected to comply with the Copeland "Anti-Kickback" Act (18 U.S.C. § 874) as supplemented in the Department of Labor regulations (29 CFR part 3). This regulation applies to all contracts and sub grants for construction or repair.

40.0 DEBT COLLECTION AND AUDIT RESOLUTION

As the Subawardee to this agreement, you must comply with P.L. 113-128 Sections 128, 133, and 184; 20 CFR Part 652, Subpart D,E and G; 20 CFR Part 683Subparts D,F,G,H; 29 CFR Parts 95, 96, 97, and 99; Uniform Guidance at 2 CFR 200. As the Subawardee to this agreement, you must comply with 2 CFR 200 and all subparts. As the Subawardee to this agreement, you are required to adhere to Federal Acquisition Regulation 97-03 Part 31; ADES Policies 1-47-01 and 1-47-08.

40.1 Among the required controls specified in 20 CFR 683.750 is the process for collecting debts. 20 CFR 683.410 states it is the responsibility of the Subawardee, sub-grantee, sub-recipient and/or service provider to conduct regular oversight and monitoring of its WIOA activities to determine whether expenditures made against the cost categories are within the cost limitations specified in WIOA laws and regulations. 20 CFR 683.710 states that:

- (a) The Subawardee is responsible for all funds under its grant(s):
- (b) The political jurisdiction(s) of the chief elected official(s) in a Local Workforce Development Area is liable for any misuse of the WIOA grant funds allocated to the local area under WIOA sections 128 and 133, unless the chief elected official(s) reaches an agreement with the Governor to bear such liability. The Arizona Department of Economic Security (ADES) holds all direct recipients (sub awardees) liable for all expenditures of funds.

41.0 RIGHT TO ASSURANCE

If ADES in good faith has reason to believe that the Subawardee does not intend to or is unable to perform or continue performing under this contract, the Procurement Officer may demand in writing that the Subawardee give a written assurance of intent to perform. Failure by the Subawardee to provide written assurance within the number of "Days" specified in the demand may, at ADES's option be the basis for terminating the contract under the rights and remedies available by law or provided by this contract.

42.0 REVIEW

This agreement shall be reviewed at any time at the written request of either party.

43.0 DEBARMENT AND SUSPENSION

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- 43.1 Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
- 43.2 ADES may, by written notice to the Subawardee, immediately terminate this Contract if ADES determines that the Subawardee has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including but not limited to, being disapproved as a Subawardee of any public procurement unit or other governmental body. If the Subawardee becomes suspended or debarred, the Subawardee shall immediately notify ADES. sub awardees must not make any award or permit any award (sub-recipient or vendor) at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive order 12549 and 12689.
- 43.3 The Subawardee certifies to the best of its knowledge and belief, that it and its sub-recipients:
- 43.3.1 Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency.
- 43.3.2 Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- 43.3.3 Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- 43.3.4 Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause of default.