

PEST 3088  
Req 24867

**PERSONAL SERVICES CONTRACT**  
County of Nevada, California

This Personal Services Contract is made between the COUNTY OF NEVADA (herein "County"), and George Mason University

an educational institution and agency of the Commonwealth of Virginia (herein "Contractor"), wherein County desires to retain a person or entity to provide the following services, materials and products generally described as follows:

(§1) Risk-Need-Responsivity (RNR) Program

**SUMMARY OF MATERIAL TERMS**

(§2) **Maximum Contract Price:** \$24,993  
 (§3) **Contract Beginning Date:** 5/1/2016      **Contract Termination Date:** 4/30/2019  
 (§4) **Liquidated Damages:** 0

**INSURANCE POLICIES**

Designate all required policies:

		Req'd	Not Req'd
(§6)	<b>Commercial General Liability</b> (\$1,000,000)	<u>X</u>	<u>      </u>
(§7)	<b>Automobile Liability</b>		
	(\$ 300,000) Personal Auto	<u>      </u>	<u>X</u>
	(\$1,000,000) Business Rated	<u>      </u>	<u>X</u>
	(\$1,000,000) Commercial Policy	<u>      </u>	<u>X</u>
(§8)	<b>Worker's Compensation</b>	<u>X</u>	<u>      </u>
(§9)	<b>Errors and Omissions</b> (\$1,000,000)	<u>      </u>	<u>X</u>
(§10)	<b>Cyber Security Liability</b>	<u>X</u>	<u>X</u>

**LICENSES**

Designate all required licenses:

(§14) \_\_\_\_\_

**NOTICE & IDENTIFICATION**

(§26) **Contractor:** George Mason University  
 Administrative Contact: Office of Sponsored Programs  
 4400 University Drive MS 4C6  
 Fairfax, Virginia 22030  
 Contact Person: Kim Jervey  
 (703-993-3508)  
 e-mail: kjervey@gmu.edu  
 Technical Contact: Dr. Amy Murphy  
 (703-993-4859)  
 e-mail: amurph10@gmu.edu

**County of Nevada:**  
 Nevada County Probation  
 109 /2 North Pine Street  
 Nevada City CA 95959  
 Contact Person: Mike Ertola, Chief Probation Officer  
 (530-265-1209)  
 e-mail: Michael.Ertola@co.nevada.ca.us  
 Org Code: 0101 20320 2011000

**Contractor is a:** (check all that apply)

Corporation:	<u>      </u> Calif.,	<u>      </u> Other,	<u>      </u> LLC,	<u>X</u> Non-profit
Partnership:	<u>      </u> Calif.,	<u>      </u> Other,	<u>      </u> LLP,	<u>      </u> Limited
Person:	<u>      </u> Indiv.,	<u>      </u> Db,	<u>      </u> Ass'n	<u>      </u> Other

**EDD:** Independent Contractor Worksheet Required:        Yes X No  
**HIPAA:** Schedule of Required Provisions (Exhibit D):        Yes X No

**ATTACHMENTS**

Designate all required attachments:

<b>Exhibit A: Schedule of Services</b> (Provided by Contractor)	Req'd	Not Req'd
	<u>X</u>	<u>      </u>

<b>Exhibit B: Schedule of Charges and Payments (Paid by County)</b>	<u>  X  </u>	<u>      </u>
<b>Exhibit C: Schedule of Changes (Additions, Deletions &amp; Amendments)</b>	<u>  X  </u>	<u>      </u>
<b>Exhibit D: Schedule of HIPAA Provisions (Protected Health Information)</b>	<u>      </u>	<u>  X  </u>



### Terms

Each term of this Contract below specifically incorporates the information set forth in the Summary at page one (1) above as to each respective section (§) therein, as the case may be.

### Services

#### **1. Scope of Services:**

Contractor shall provide all of the services, materials and products (herein "Services") generally described in **Exhibit "A"**, according to a performance schedule, if applicable, as set forth in said exhibit (herein "Performance Schedule"). If requested, Contractor agrees to serve as an expert witness for County in any third party action or proceeding arising out of this Contract.

### Payment

#### **2. Charges and Payments:**

The charges (herein "Charges") for furnishing the aforesaid Services under this Contract are set forth in **Exhibit "B"**, including, if applicable, hourly rates, unit pricing, and expense, mileage and cost limits. Said Charges shall be presented monthly by invoice, and shall be due within thirty (30) days of receipt unless payment is otherwise set forth in said **Exhibit "B"**, and shall remain in effect for the entire term of this Contract, and any extension hereof. In no event will the cost to County for Services to be provided under this Contract, including direct non-salary expenses, exceed the **Maximum Contract Price** set forth at §2, page one (1), above.

### Time for Performance

#### **3. Contract Term:**

This Contract shall commence on the **Contract Beginning Date** set forth at §3, page one (1), above. All Services required to be provided by this Contract shall be completed and ready for acceptance no later than the **Contract Termination Date** set forth at §3, page one (1), above.

#### **4. Liquidated Damages:**

County and Contractor agree that damages to County due to delays in timely providing Services in accordance with the aforesaid Performance Schedule and Contract Termination Date are impractical and difficult to ascertain. Therefore, if §4 at page one (1) hereof shall indicate a daily amount as **Liquidated Damages**, County shall have the right to assess said daily sum, not as a penalty, but as and for damages to County due to delays in providing Services not in accordance with the said Performance Schedule, or later than the Contract Termination Date (herein "Delay"). Liquidated Damages shall be offset against amounts owing to Contractor, including retention sums.

To the extent that any Delay is a result of matters or circumstances wholly beyond the control of Contractor, County may excuse said Liquidated Damages; provided however, that County may condition such excuse upon Contractor having given prompt notice to County of such delay immediately by telephone and thereafter by written explanation within a reasonable time. The time for Contractor's performance shall be extended by the period of delay, or such other period as County may elect.

#### **5. Time of the Essence:**

Time is of the essence with respect to Contractor's performance under this Contract. Delay in meeting the time commitments contemplated herein will result in the assessment of liquidated damages, if indicated at §4 at page one (1), hereof. If Liquidated Damages are not so indicated, damages shall be as otherwise provided by law.

### Insurance

#### **6. Commercial General Liability Insurance:** (County Resolution No. 90674)

If §6 at page one (1) hereof shall indicate a **Commercial General Liability** insurance policy is required, Contractor shall promptly provide proof of such insurance evidenced by a certificate of insurance with properly executed endorsements attached, which insurance shall include the following:

- (i) Broad form coverage for liability for death or bodily injury to a person or persons, and for property damage, combined single limit coverage, in the minimum amount indicated at said §6;

- (ii) An endorsement naming County as an additional insured under said policy, with respect to claims or suits arising from the Services provided or the relationships created under this Contract;
- (iii) A provision that said insurance shall be primary and other insurance maintained by the County of Nevada shall be excess only and not contributing with Contractor's insurance;
- (iv) A provision that said insurance shall provide for thirty (30) days written notice to County of any termination or change in coverage protection, or reduction in coverage limits (except ten (10) days notice for non-payment of premium).

**7. Automobile Liability Insurance:** (County Resolution No. 90676)

If §7 at page one (1) hereof shall require either a Business Rated or a Commercial Automobile Liability insurance policy, for each vehicle used including non-owned and hired automobiles, Contractor shall promptly provide proof of such insurance evidenced by a certificate of insurance with properly executed endorsements attached, which insurance shall include the following provisions:

- (i) Liability protection for death or bodily injury to a person or persons, property damage, and uninsured and underinsured coverage, combined single limit coverage, in the minimum amount indicated at said §7;
- (ii) An endorsement naming County as an additional insured under said policy, with respect to claims or suits arising from the Services provided or the relationships created under this Contract;
- (iii) A provision that said insurance shall be primary and other insurance maintained by the County of Nevada shall be excess only and not contributing with Contractor's insurance;
- (iv) A provision that said insurance shall provide for thirty (30) days written notice to County of any termination or change in coverage protection, or reduction in coverage limits (except ten (10) days notice for non-payment of premium).

If §7 at page one (1) hereof shall require a Personal Auto policy, for each vehicle used including non-owned and hired automobiles, Contractor shall promptly provide proof of such insurance for a minimum of three hundred thousand dollars, (\$300,000), in combined single limits, and naming the County as additionally insured.

**8. Worker's Compensation:** (County Resolution No. 90674)

If §8 at page one (1) hereof shall indicate a **Worker's Compensation** insurance policy is required, Contractor shall maintain said policy as required by law, and shall promptly provide proof of such insurance evidenced by a certificate of insurance, or other documentation acceptable to County.

Before commencing to utilize employees in providing Services under this Contract, Contractor warrants that it will comply with the provisions of the California Labor Code, requiring Contractor to be insured for worker's compensation liability or to undertake a program of self-insurance therefor.

**9. Errors and Omissions:**

If §9 at page one (1) hereof shall indicate **Errors and Omissions** insurance is required, Contractor shall maintain either a professional liability or errors & omissions policy in the minimum amount indicated, and shall promptly provide proof of such insurance evidenced by a certificate of insurance, or other documentation acceptable to County.

**10. Miscellaneous Insurance Provisions:** (County Resolution No. 90675)

All policies of insurance required by this Contract shall remain in full force and effect throughout the life of this Contract and shall be payable on a "per occurrence" basis unless County specifically consents to "claims made" coverage. If the County does consent to "claims made" coverage and if Contractor changes insurance carriers during the term of this Contract or any extensions hereof, then Contractor shall carry prior acts coverage.

Insurance afforded by the additional insured endorsement shall apply as primary insurance, and other insurance maintained by County, its officers, agents and/or employees, shall be excess only and not contributing with insurance required or provided under this agreement.



At all times, Contractor shall keep and maintain in full force and effect throughout the duration of this Contract, policies of insurance required by this Contract which policies shall be issued by companies with a Best's Rating of B+ or higher (B+, B++, A-, A, A+ or A++), or a Best's Financial Performance Rating (FPR) of 6 or higher (6, 7, 8 or 9) according to the current Best's Key Rating Guide, or shall be issued by companies approved by the County Risk Manager. In the event the Best's Rating or Best's FPR shall fall below the rating required by this paragraph, Contractor shall be required to forthwith secure alternate policies which comply with the rating required by this paragraph, or be in material breach of this Contract.

Failure to provide and maintain the insurance policies (including Best's ratings), endorsements, or certificates of insurance required by this Contract shall constitute a material breach of this agreement (herein "Material Breach"); and, in addition to any other remedy available at law or otherwise, shall serve as a basis upon which County may elect to suspend payments hereunder, or terminate this Contract, or both. (See §13, ¶2, below, as these provisions additionally apply to subcontractors.)

#### **11. Indemnity:**

Nothing herein shall be construed as a limitation of Contractor's liability, and Contractor shall indemnify, defend and hold harmless the County and its officers, officials, employees, agents and volunteers from any and all liabilities, claims, demands, damages, losses and expenses (including, without limitation, defense costs and attorney fees of litigation) which result from the negligent act, willful misconduct, or error or omission of Contractor, except such loss or damage which was caused by the sole negligence or willful misconduct of County or its officers, officials, employees, agents and volunteers.

### Personal Services

#### **12. Contractor as Independent:**

In providing services herein, Contractor, and the agents and employees thereof, shall act in an independent capacity and as an independent contractor and not as agents or employees of County.

#### **13. Assignment and Subcontracting:**

Except as specifically provided herein, the rights, responsibilities, duties and Services to be performed under this Contract are personal to the Contractor and may not be transferred, subcontracted, or assigned without the prior written consent of County. Contractor shall not substitute nor replace any personnel for those specifically named herein or in its proposal without the prior written consent of County.

Contractor shall cause and require each transferee, subcontractor and assignee to comply with the insurance provisions set forth herein at §§6, 7, 8, 9 and 10, to the extent such insurance provisions are required of Contractor under this Contract. Failure of Contractor to so cause and require such compliance by each transferee, subcontractor and assignee shall constitute a Material Breach of this agreement, and, in addition to any other remedy available at law or otherwise, shall serve as a basis upon which County may elect to suspend payments hereunder, or terminate this Contract, or both.

#### **14. Licensing and Permits:**

Contractor warrants (i) Contractor is qualified and competent to provide all Services under this contract; (ii) Contractor and all employees of Contractor hold all necessary and appropriate licenses therefor, including those licenses set forth at §14, page one (1) hereof; and, (iii) Contractor shall obtain, and remain in compliance with, all permits necessary and appropriate to provide said Services. Contractor shall cause said licenses and permits to be maintained throughout the life of this Contract. Failure to do so shall constitute a Material Breach of this agreement, and, in addition to any other remedy available at law or otherwise, shall serve as a basis upon which County may elect to suspend payments hereunder, or terminate this Contract, or both.

### Public Contracts

#### **15. Prevailing Wage and Apprentices:**

To the extent made applicable by law, performance of this contract shall be in conformity with the provisions of California Labor Code, Division 2, Part 7, Chapter 1, commencing with Section 1720 relating to prevailing wages which must be paid to workers employed on a public work as defined in Labor Code §§ 1720, et seq.; and shall be in conformity with Title 8 of the California Code of Regulations §§ 200 et seq., relating to apprenticeship. Contractor shall comply with the provisions thereof at the



commencement of Services to be provided herein, and thereafter during the term of this Contract. A breach of the requirements of this section shall be deemed a material breach of this contract. A copy of the relevant prevailing wage as defined in Labor Code §1770 et seq. is on file with the Department of Transportation, County of Nevada, 950 Maidu Avenue, Nevada City, California 95959. Copies will be provided upon request.

**16. Accessibility (County Resolution No. 00190):**

It is the policy of the County of Nevada that all County services, programs, meetings, activities and facilities shall be accessible to all persons, and shall be in compliance with the provisions of the Americans With Disabilities Act and Title 24, California Code of Regulations. To the extent this Contract shall call for Contractor to provide County contracted services directly to the public, Contractor shall certify that said direct Services are and shall be accessible to all persons.

**17. Nondiscriminatory Employment:**

In providing Services hereunder, Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, age, sex, national origin, political affiliation, ancestry, marital status or disability. This policy does not require the employment of unqualified persons.

**18. Prior Nevada County Employment (County Resolution No. 03-353):**

Effective July 22, 2003, it is the policy of the County of Nevada that former members of the Board of Supervisors, a former CEO, or a former Purchasing Agent, for a period of twelve (12) months following the last day of employment, shall not enter into any relationship wherein that former employee or former Board member receives direct remuneration from a legal entity that, during the last twelve (12) months of said employment or Board member's service, entered into a contract with, or received a grant from the County of Nevada. Provided however, that this prohibition shall not apply to any employee that did not personally approve a contract with or grant to said legal entity during the last twelve (12) months of said employment, and shall not apply when the Board of Supervisors did not approve a contract with or grant to said legal entity during the last twelve (12) months of said Board member's service.

A violation of this policy shall subject Contractor to all of the remedies enumerated in said resolution and as otherwise provided in law, which remedies shall include but not be limited to injunctive relief, cancellation and voiding of this contract by County, a return of grant money, a cause of action for breach of contract, and entitlement to costs and reasonable attorney fees in any action based upon a breach of contract under this provision.

**19. Cost Disclosure:**

In accordance with Government Code Section 7550, should a written report be prepared under or required by the provisions of this Contract, Contractor agrees to state in a separate section of said report the numbers and dollar amounts of all contracts and subcontracts relating to the preparation of said report

**Default and Termination**

**20. Termination:**

A Material Breach of this Contract pursuant to the terms hereof or otherwise, in addition to any other remedy available at law or otherwise, shall serve as a basis upon which County may elect to immediately suspend payments hereunder, or terminate this contract, or both, **without notice**.

If Contractor fails to timely provide in any manner the services materials and products required under this Contract, or otherwise fails to promptly comply with the terms of this Contract, or violates any ordinance, regulation or other law which applies to its performance herein, County may terminate this Contract by giving **five (5) days written notice** to Contractor.

Either party may terminate this Contract for any reason, or without cause, by giving **thirty (30) calendar days written notice** to the other, which notice shall be sent by registered mail in conformity with the notice provisions, below. In the event of termination not the fault of the Contractor, the Contractor shall be paid for services performed to the date of termination in accordance with the terms of this Contract. Contractor shall be excused for failure to perform services herein if such performance is prevented by acts of God, strikes, labor disputes or other forces over which the Contractor has no control.

County, upon giving **sixty (60) calendar days written notice** to Contractor, shall have the right to terminate its obligations under this Contract at the end of any fiscal year if the County or the State of



California, as the case may be, does not appropriate funds sufficient to discharge County's obligations coming due under this contract.

#### Miscellaneous

**21. Books of Record and Audit Provision:**

Contractor shall maintain complete records relating to this Contract for a period of five (5) years from the completion of Services hereunder. Said records shall include but not be limited to bids and all supporting documents, original entry books, canceled checks, receipts, invoices, payroll records including subsistence, travel and field expenses, together with a general ledger itemizing all debits and credits

Contractor shall permit County to audit said records as well as such related records of any business entity controlled by Contractor. Said audit may be conducted on Contractor's premises or at a location designated by County, upon fifteen (15) days notice. Contractor shall promptly refund any moneys erroneously charged and shall be liable for the costs of audit if the audit establishes an over-charged of five percent (5%) or more of the Maximum Contract Price.

**22. Intellectual Property:**

All original photographs, diagrams, plans, documents, information, reports, computer code and all recordable media together with all copyright interests thereto (herein "Intellectual Property"), which concern or relate to this Contract and which have been prepared by, for or submitted to Contractor, shall be the property of County, and upon fifteen (15) days demand therefor, shall be promptly delivered to County without exception. Provided however, for personal purposes only and not for commercial, economic or any other purpose, Contractor may retain a copy of Contractor's work product hereunder.

**23. Entire Agreement:**

This Contract represents the entire agreement of the parties, and no representations have been made or relied upon except as set forth herein. This Contract may be amended or modified only by written, fully executed agreement of the parties.

**24. Jurisdiction and Venue:**

This Contract shall be construed in accordance with the laws of the State of California and the parties hereto agree that venue shall be in Nevada County, California.

**25. Compliance with Applicable Laws:**

The Contractor shall comply with any and all federal, state and local laws, codes, ordinances, rules and regulations which relate to, concern or affect the Services to be provided by this Contract.

**26. Notices:**

This Contract shall be managed and administered on County's behalf by the department and the person set forth at §26, page one (1) of this Contract, and all invoices shall be submitted to and approved by this Department. In addition to personal service, all notices may be given to County and to Contractor by first class mail addressed as set forth at said §26 Said notices shall be deemed received the fifth (5th) day following the date of mailing or the earlier date of personal service, as the case may be.

**27. Authority:**

All individuals executing this Contract on behalf of Contractor represent and warrant that they are authorized to execute and deliver this Contract on behalf of Contractor.

#### Confidentiality

28. Contractor, its employees, agents and or subcontractors may come in contact with documents that contain information regarding matters that must be kept confidential by the County, including personally identifiable patient or client information. Even information that might not be considered confidential for the usual reasons of protecting non-public records should be considered by Contractor to be confidential.

Contractor agrees to maintain confidentiality of information and records as required by applicable federal, state, and local laws, regulations and rules and recognized standards of professional practice.

Notwithstanding any other provision of this Agreement, the Contractor agrees to protect the confidentiality of any confidential information with which the Contractor may come into contact in the

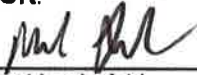


process of performing its contracted services. This information includes but is not limited to all written, oral, visual and printed patient or client information, including but not limited to: names, addresses, social security numbers, date of birth, driver's license number, case numbers, services provided, social and economic conditions or circumstances, agency evaluation of personal information, and medical data.

The Contractor shall not retain, copy, use, or disclose this information in any manner for any purpose that is not specifically permitted by this agreement. Violation of the confidentiality of patient or client information may, at the option of the County, be considered a material breach of this Agreement."

**IN WITNESS WHEREOF**, the parties have executed this Contract effective on the Beginning Date, above.

**CONTRACTOR:**

  
\_\_\_\_\_  
Name: Michael Laskofski  
Title: Associate VP of Research Operations

Dated: \_\_\_\_\_

5/13/16

**COUNTY OF NEVADA:**

  
\_\_\_\_\_  
Mary Hall Ross  
Purchasing Agent

Dated: \_\_\_\_\_

6/17/16





## EXHIBIT "A"

### SCHEDULE OF SERVICES

The County of Nevada ("County") and George Mason University (GMU) ("Contractor") agree to enter into a specific contract to provide Risk-Need-Responsivity (RNR) Simulation Tool training, technical assistance advance decision making services for the Probation Department.

#### **RNR Software Platform Support**

GMU will conduct a two-day onsite training on the RNR Simulation Tool which is a decision-support system to advance the use of evidence-based practices at three levels: clients, programs, and systems. This training will cover the background and science of the RNR Simulation Tool: Assess an Individual, the RNR Program Tool, and Assess Jurisdiction Capacity. The trainer will provide in-depth information on how to input information into the tool, how to analyze the results, and how to discuss the results, including using Assess an Individual with clients and sharing the results with providers or other justice professionals. The training will include classroom instruction, hands-on use of the tools, and role-plays to increase participants' comfort with the tools.

GMU will provide phone, webinar, and email technical assistance to users as they implement the tools.

#### **Data Analysis and Review, Reports and Consulting Services**

GMU will conduct analyses of data input into the tools, including reports on the characteristics of individuals input into the systems, any existing gaps in services, and the strengths and areas to target for improvement in treatment programs.

##### **1.) Assess an Individual**

- Download data on criminal justice clients Nevada County enters into the Assess and Individual (AAI) tool
- Import data into SPSS and clean data (removing duplicates and practice entries, identifying initial and reassessments, identifying outliers)
- Conduct standard analyses of AAI data, such as frequencies of client risk levels, needs, demographics, recommended programming groups
- Conduct specialized analyses based on agency interest, such as differences between males and females or clients released from jail vs. prison
- Provide raw data and analyses to County (usually via PowerPoint)

##### **2.) RNR Program Tool**

- Review information entered into RNR Program Tool by treatment providers (in-house and community-based)
- Contact providers to resolve any discrepancies
- Summarize and report on scores, program groups, and areas of strength and weakness for County programs

##### **3.) Assess Jurisdiction Capacity/Gap Analysis**



- Use aggregate data from the AAI to complete the jurisdiction survey and identify distribution of needs in County
- Conduct gap analysis once providers have completed the RNR Program Tool and identified provider capacity
- Analyze gaps in services for subpopulations (e.g., AB-109, youthful offenders)
- Make strategic planning recommendations based on identified gaps and area needs

AAI data analyzed at least quarterly; program and jurisdiction data analyzed annually.



**EXHIBIT "B"**  
**SCHEDULE OF CHARGES AND PAYMENTS**

The maximum compensation Nevada County will pay to Contractor for satisfactory performance of services under this agreement is \$24,993 for the period beginning April 15, 2016 and ending April 14, 2019.

**Contractor Responsibility**

George Mason University (GMU) will send an invoice and a service activity schedule every month for services at the rates specified below. Contractor shall submit itemized invoices monthly. Invoices shall include the Contractor's staff names providing services and descriptions of services provided during the invoice period. Monthly invoices shall reflect 1/36th of total contract amount per the following annual rate schedule below:

Year 1- \$8,331

Year 2 - \$8,331

Year 3 - \$8,331

All billing/invoices must be sent to:

Fiscal Staff  
Nevada County Probation  
109 ½ North Pine Street  
Nevada City, Ca 95959



## EXHIBIT "C"

### SCHEDULE OF CHANGES

(Amendments and Additions to Contract)

The sections listed below have been modified by Contractor as follows:

**1. Scope of Services:**

Contractor shall provide all of the services, materials and products (herein "Services") generally described in **Exhibit "A"**, according to a performance schedule, if applicable, as set forth in said exhibit (herein "Performance Schedule").

**5. Contractor's Performance:**

Contractor shall use its reasonable best efforts to perform the research in accordance with the terms and conditions of this Agreement and prudent research practices. Delay in meeting the time commitments contemplated herein will result in the assessment of liquidated damages, if indicated at §4 at page one (1), hereof. If Liquidated Damages are not so indicated, County may seek legal remedy.

**6. Commercial General Liability Insurance:** (County Resolution No. 90674)

If §6 at page one (1) hereof shall indicate a **Commercial General Liability** insurance policy is required, Contractor shall promptly provide proof of such insurance evidenced by a certificate of insurance with properly executed endorsements attached, which insurance shall include the following:

- (i) Broad form coverage for liability for death or bodily injury to a person or persons, and for property damage, combined single limit coverage, in the minimum amount indicated at said §6;

**8. Worker's Compensation:** (County Resolution No. 90674)

If §8 at page one (1) hereof shall indicate a **Worker's Compensation** insurance policy is required, Contractor shall maintain said policy as required by law, and shall promptly provide proof of such insurance evidenced by a certificate of insurance, or other documentation acceptable to County.

Before commencing to utilize employees in providing Services under this Contract, Contractor warrants that it will comply with applicable labor code provisions, requiring Contractor to be insured for worker's compensation liability or to undertake a program of self-insurance therefor.

**10. Miscellaneous Insurance Provisions:** (County Resolution No. 90675)

All policies of insurance required by this Contract shall remain in full force and effect throughout the life of this Contract and shall be payable on a "per occurrence" basis unless County specifically consents to "claims made" coverage. If the County does consent to "claims made" coverage and if Contractor changes insurance carriers during the term of this Contract or any extensions hereof, then Contractor shall carry prior acts coverage.

**11. Liability:**

Nothing herein shall be construed as a limitation of Contractor's liability, and Contractor shall be responsible for all liabilities, claims, demands, damages, losses and expenses result from the negligent act, willful misconduct, or error or omission of Contractor, except such loss or damage which was caused by the sole negligence or willful misconduct of County or its officers, officials, employees, agents and volunteers.

**13. Assignment and Subcontracting:**

Except as specifically provided herein, the rights, responsibilities, duties and Services to be performed under this Contract are personal to the Contractor and may not be transferred, subcontracted, or assigned without the prior written consent of County. Contractor shall not substitute nor replace any personnel for those specifically named herein or in its proposal without the prior written consent of County.

Contractor shall cause and require each transferee, subcontractor and assignee to maintain (a) Commercial General Liability Insurance in an amount not less than \$500,000 per occurrence for bodily



injury or property damage; and (b) Professional Liability Insurance in an amount not less than \$500,000 per occurrence. Insurance is to be placed with insurers with a current A.M. Best's rating of A or better. Failure of Contractor to so cause and require such compliance by each transferee, subcontractor and assignee shall constitute a Material Breach of this agreement, and, in addition to any other remedy available at law or otherwise, shall serve as a basis upon which County may elect to suspend payments hereunder, or terminate this Contract, or both.

**15. Prevailing Wage and Apprentices:**

To the extent made applicable by law, performance of this contract shall be in conformity with the applicable labor code provisions relating to prevailing wages which must be paid to workers employed on a public work. Contractor shall comply with the provisions thereof at the commencement of Services to be provided herein, and thereafter during the term of this Contract. A breach of the requirements of this section shall be deemed a material breach of this contract.

**16. Accessibility (County Resolution No. 00190):**

It is the policy of the County of Nevada that all County services, programs, meetings, activities and facilities shall be accessible to all persons, and shall be in compliance with the provisions of the applicable Americans with Disabilities Act. To the extent this Contract shall call for Contractor to provide County contracted services directly to the public, Contractor shall certify that said direct Services are and shall be accessible to all persons.

**18. Prior Nevada County Employment (County Resolution No. 03-353):**

Effective July 22, 2003, it is the policy of the County of Nevada that former members of the Board of Supervisors, a former CEO, or a former Purchasing Agent, for a period of twelve (12) months following the last day of employment, shall not enter into any relationship wherein that former employee or former Board member receives direct remuneration from a legal entity that, during the last twelve (12) months of said employment or Board member's service, entered into a contract with, or received a grant from the County of Nevada. Provided however, that this prohibition shall not apply to any employee that did not personally approve a contract with or grant to said legal entity during the last twelve (12) months of said employment, and shall not apply when the Board of Supervisors did not approve a contract with or grant to said legal entity during the last twelve (12) months of said Board member's service.

A violation of this policy shall subject Contractor to all of the remedies enumerated in said resolution and as otherwise provided in law, which remedies shall include but not be limited to seeking injunctive relief, cancellation and voiding of this contract by County, a return of grant money, a cause of action for breach of contract.

**19. Cost Disclosure:**

Should a written report be prepared under or required by the provisions of this Contract, Contractor agrees to state in a separate section of said report the numbers and dollar amounts of all contracts and subcontracts relating to the preparation of said report.

**21. Books of Record and Audit Provision:**

Contractor shall maintain such books, records, documents and other evidence, accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature it claims to have incurred for the performance of the Services hereunder. All such fiscal records shall be made readily available for review by County at any time during the period of three (3) years from the date of final payment.

**22. Intellectual Property:**

County shall own all final deliverables as outlined in Exhibit A. Provided however, for research purposes only and not for commercial, economic or any other purpose, Contractor may retain a copy of final deliverables hereunder.

**Contractor deletes item 24.**

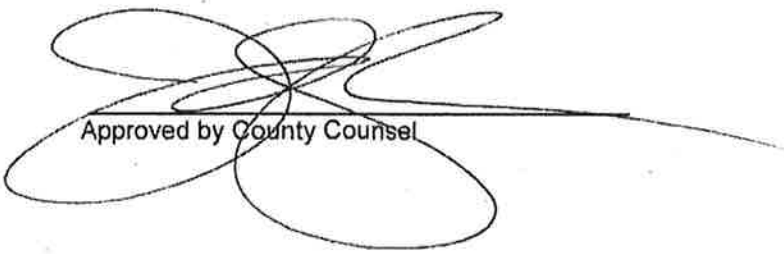


**28.** Contractor, its employees, agents and or subcontractors may come in contact with documents that contain information regarding matters that must be kept confidential by the County, including personally identifiable patient or client information.

Contractor agrees to maintain confidentiality of information and records as required by applicable federal, state, and local laws, regulations and rules and recognized standards of professional practice.

Notwithstanding any other provision of this Agreement, the Contractor agrees to protect the confidentiality of any confidential information with which the Contractor may come into contact in the process of performing its contracted services. This information includes but is not limited to all written, oral, visual and printed patient or client information, including but not limited to: names, addresses, social security numbers, date of birth, driver's license number, case numbers, services provided, social and economic conditions or circumstances, agency evaluation of personal information, and medical data. In order for confidential information disclosed by County to Contractor to be protected in accordance with this Agreement, it must be: (a) in writing; (b) clearly identified as confidential at the time of its disclosure by being marked with an appropriate legend indicating that the information is deemed confidential; and (c) delivered to the technical representative indicated in paragraph §26.

The Contractor shall not retain, copy, use, or disclose this information in any manner for any purpose that is not specifically permitted by this agreement. Violation of the confidentiality of patient or client information may, at the option of the County, be considered a material breach of this Agreement."



Approved by County Counsel



# REQUEST FOR WAIVER OR REDUCTION OF LIMITS

## Complete questions 1 through 10 and forward to Risk Manager

1. Date of Request: 4/21/2016
2. Name of Contractor: George Mason University attn. Kim Jervey Phone: 703-993-3508
3. Check One:  Waiver Requested  Reduction of Limits Requested  
Requested Limits: \$ \_\_\_\_\_ Type of Insurance: General Liability, Automobile, Workers Comp  
*N/A N/A*
4. Reason for Request for Waiver or Reduction of Limits: \_\_\_\_\_  
Requesting waiver of endorsements naming Nevada County as also insured
5. Identify the Scope of Services: George Mason University provides access to the Risk - Need - Responsibility online data and simulation system. Also, George Mason University will train Nevada County Probation users and provide technical assistance and advanced decision making services pertaining to evidence based methods of criminal rehabilitation.
6. Contract Term: 4/15/16 through 4/14/19
7. Identify the risks to the County if this Request for Waiver or Reduction of Limits is granted:
- a. What type of activities will take place during the term of the contract? Training and consultation
  - b. Who could be harmed by these activities? Injury to any person is unlikely
  - c. What property could be damaged, and how severely? Property damage is highly unlikely
  - d. What is the maximum likely loss for each activity? Loss is unlikely
  - e. Is there a possible pollution exposure? No
  - f. Are crowds likely to be involved? No
  - g. Will inherently dangerous activities, such as blasting, be a part of this project? No
  - h. Is the risk sufficient to reject bids not meeting specifications exactly? No
  - i. How likely is it that the County would be a defendant in the event of a loss? Unlikely
  - j. Should we agree to a Waiver of Subrogation? Requested
8. Name of Requester: Michael Ertola
9. Title and Department: Chief Probation Officer, Probation Department
10. Phone: 530-265-1209

\* \* \* \* \*

Request Recommendation: Granted  Denied

Authorized Signature: *Marjorie Costantino* Date: 4/26/16  
CEO, County Counsel, Director of General Services, or Risk Manager



Office of Risk Management  
4400 University Drive MSN 6D6, Fairfax, VA 22030-4444  
Phone: (703) 993-2599; Fax: (703) 993-2339

### CERTIFICATE OF LIABILITY COVERAGE

*Administered by*  
Commonwealth of Virginia  
Department of the Treasury  
Division of Risk Management  
PO Box 1879  
Richmond, VA 23218-1879

**ISSUED TO:** Office of Sponsored Programs  
George Mason University  
4400 University Drive  
Fairfax, VA 22030  
and all interested parties

**AUTHORITY:** §2.2-1837, Code of Virginia and the Commonwealth of Virginia Risk Management Plan

**COVERAGE PERIOD:** Continuous, effective January 1, 2016 through December 31, 2016

**PURPOSE:** Verification of liability coverage for activities of George Mason University, its employees, and agents as it relates to the Office of Sponsored Programs' contracts and grants.

**COVERAGES:** Tort Liability, including Medical Malpractice and Automobile Liability.

**LIMITS:** \$100,000 for tort claims against the Commonwealth and \$2,000,000 for claims, other than medical malpractice claims, against officers, employees, and agents of the Commonwealth. For malpractice claims against health care providers, the limit is the amount set forth in §8.01-581.15, Code of Virginia.

*This document is for information purposes only. It does not alter the Code of Virginia or any provisions of the Commonwealth of Virginia Risk Management Plan. State codes do not permit "Additional Insured" or "Indemnification" or "Hold Harmless" clauses.*

**VERIFIED BY:**

A handwritten signature in black ink, appearing to read "Joyce M. French".

Joyce M. French  
Director  
December 7, 2015





# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

4/7/2016

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

<b>PRODUCER</b> Willis of Virginia, Inc. c/o 26 Century Blvd P.O. Box 305191 Nashville, TN 37230-5191	<b>CONTACT NAME:</b> Willis Towers Watson Certificate Center <b>PHONE (A/C, No, Ext):</b> (877) 945-7378 <b>E-MAIL ADDRESS:</b> certificates@willis.com		<b>FAX (A/C, No):</b> (888) 467-2378
	<b>INSURER(S) AFFORDING COVERAGE</b>		<b>NAIC #</b>
<b>INSURED</b> Commonwealth of Virginia Department of Treasury Attn: Don LeMond P.O. Box 1879 Richmond, VA 23218	<b>INSURER A:</b> Lloyd's Syndicate 2623 (Beazley Furlong Limited)		<b>C2166</b>
	<b>INSURER B:</b>		
	<b>INSURER C:</b>		
	<b>INSURER D:</b>		
	<b>INSURER E:</b>		
	<b>INSURER F:</b>		

**COVERAGES**                                  **CERTIFICATE NUMBER:**                                  **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL SUBR INSD WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
	<b>COMMERCIAL GENERAL LIABILITY</b> <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:						EACH OCCURRENCE \$ DAMAGE TO RENTED PREMISES (Ea occurrence) \$ MED EXP (Any one person) \$ PERSONAL & ADV INJURY \$ GENERAL AGGREGATE \$ PRODUCTS - COMP/OP AGG \$ \$
	<b>AUTOMOBILE LIABILITY</b> <input type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> NON-OWNED AUTOS						COMBINED SINGLE LIMIT (Ea accident) \$ BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
	<b>UMBRELLA LIAB</b> <input type="checkbox"/> OCCUR <b>EXCESS LIAB</b> <input type="checkbox"/> CLAIMS-MADE DED                                  RETENTION \$						EACH OCCURRENCE \$ AGGREGATE \$ \$
	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A					PER STATUTE    OTH-ER E L. EACH ACCIDENT \$ E L. DISEASE - EA EMPLOYEE \$ E L. DISEASE - POLICY LIMIT \$
A	<b>Cyber Security Liab</b>		<b>W13E32150301</b>	07/01/2015	07/01/2016		<b>See Attached</b>

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)  
Policy covers several Colleges/Universities.

<b>CERTIFICATE HOLDER</b>  George Mason University	<b>CANCELLATION</b>  SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	<b>AUTHORIZED REPRESENTATIVE</b> 

## ADDITIONAL COVERAGE SCHEDULE

COVERAGE	LIMITS
<b>POLICY TYPE: Cyber Security Liability</b> <b>CARRIER: Lloyd's Syndicate 2623 (Beazley Furlong Limited)</b> <b>POLICY TERM: 7/1/2015 to 7/1/2016</b> <b>POLICY NUMBER: W13E32150301</b>	<b>Cyber Liability -Tier II-Covs. A,B,C,D</b> <b>Policy Aggregate Limit: \$1,000,000</b> <b>Retention: Tier II</b> <b>Combined:\$10,000; Legal: \$5,000</b>



# COMMONWEALTH of VIRGINIA

SARA REDDING WILSON  
DIRECTOR

*Department of Human Resource Management*

101 N. 14<sup>th</sup> STREET  
JAMES MONROE BUILDING, 12<sup>th</sup> FLOOR  
RICHMOND, VIRGINIA 23219  
(804) 786-0368  
(TTY) 711

January 28, 2016

## CERTIFICATE OF COVERAGE

This certifies that the George Mason University, its officials, and state employees are covered for Workers' Compensation by the Commonwealth of Virginia Workers' Compensation Plan authorized in *Code of Virginia* §2.2-2821 and administered by the Department of Human Resource Management Office of Workers' Compensation.

Coverage extends to all state employees while acting in an official capacity within the course and scope of employment and authorization with the agency as provided by the *Code of Virginia Workers' Compensation Act*.

Workers' Compensation coverage is provided to statutory limits as required by the *Code of Virginia Workers' Compensation Act*.

Claims are administered by:

**Department of Human Resource Management  
Office of Workers' Compensation  
101 N. 14<sup>th</sup> Street, 6<sup>th</sup> floor  
Richmond, Virginia 23219  
FAX: 804/786-8840**

Certified:

Kristie McClaren  
Director  
Workers' Compensation Services  
Department of Human Resource Management