

## **SERVICE PROVIDER AGREEMENT**

This SERVICE PROVIDER AGREEMENT ("Agreement") is entered into this 17<sup>th</sup> day of November, 2022 ("Effective Date"), by and between the CITY OF ALAMEDA, a municipal corporation ("the City"), and ABT ASSOCIATES INC., a Massachusetts corporation, whose address is 6130 EXECUTIVE BOULEVARD, ROCKVILLE, MD 20852 ("Provider"), in reference to the following facts and circumstances:

### **RECITALS**

- A. The City is a municipal corporation duly organized and validly existing under the laws of the State of California with the power to carry on its business as it is now being conducted under the statutes of the State of California and the Charter of the City.
- B. The City is in need of the following services: Research Partner for the City's Guaranteed Income Pilot Program. City staff issued an RFP on August 8, 2022 and after a submittal period of 30 days received four (4) timely submitted proposals. Staff reviewed the proposals, interviewed qualified firms and selected the service provider that best meets the City's needs.
- C. Provider possesses the skill, experience, ability, background, certification and knowledge to provide the services described in this Agreement on the terms and conditions described herein.
- D. The City and Provider desire to enter into an agreement for Abt Associates (Abt) to serve as the Research Partner for the City of Alameda's Guaranteed Income Pilot Program, upon the terms and conditions herein.

### **AGREEMENT**

NOW, THEREFORE, in consideration of the forgoing, which are incorporated herein by reference, and for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, the City and Provider agree as follows:

#### **1. TERM:**

The term of this Agreement shall commence on the 17<sup>th</sup> day of Nov 20 22 and shall terminate on the 16<sup>th</sup> day of November 2026, unless terminated earlier as set forth herein.

The parties may agree to extend the term of this Agreement on a month-by-month basis, for up to one additional year. Any extension shall be documented in a signed amendment. In the event that the parties agree to extend the Agreement, all provisions of the Agreement shall remain unchanged.

#### **2. SERVICES TO BE PERFORMED:**

Provider agrees to do all necessary work at its own cost and expense, to furnish all labor, tools, equipment, materials, except as otherwise specified, and to do all necessary work included in Exhibit A as requested. Provider acknowledges that the work plan included in Exhibit A is tentative and does not commit the City to request Provider to perform all tasks included therein.

**3. COMPENSATION TO PROVIDER:**

a. By the 7<sup>th</sup> day of each month, Provider shall submit to the City an invoice for the total amount of work done the previous month. These requests shall be prepared by Provider with supporting documentation.

b. City shall approve payment requests not to exceed the total funding amount of three hundred and ten thousand dollars (\$309,940) as described in the itemized budget included in Exhibit B. Substantial changes to line items within the budget included in Exhibit B will require written approval from the Community Development Director or their designee within five (5) business days to ensure project continuity. The City, through the Community Development Director or their designee, retains sole and complete discretion to determine whether a change to a line item within the budget is "substantial."

c. In compliance with the American Rescue Plan Act funding requirements, all funds must be encumbered by the end of 2024 and spent by the end of 2026.

**4. TIME IS OF THE ESSENCE:**

Provider and the City agree that time is of the essence regarding the performance of this Agreement.

**5. STANDARD OF CARE:**

Provider agrees to perform all services hereunder in a manner commensurate with the prevailing standards of like professionals or service providers, as applicable, in the San Francisco Bay Area and agrees that all services shall be performed by qualified and experienced personnel who are not employed by the City.

**6. INDEPENDENT PARTIES:**

Provider hereby declares that Provider is engaged as an independent business and Provider agrees to perform the services as an independent contractor. The manner and means of conducting the services and tasks are under the control of Provider except to the extent they are limited by statute, rule or regulation and the express terms of this Agreement. No civil service status or other right of employment will be acquired by virtue of Provider's services. None of the benefits provided by the City to its employees, including but not limited to unemployment insurance, workers' compensation plans, vacation and sick leave, are available from the City to Provider, its employees or agents. Deductions shall not be made for any state or federal taxes, FICA payments, PERS payments, or other purposes normally associated with an employer-employee relationship from any compensation due to Provider. Payments of the above items, if required, are the responsibility of Provider.

**7. IMMIGRATION REFORM AND CONTROL ACT (IRCA):**

Provider assumes any and all responsibility for verifying the identity and employment authorization of all of its employees performing work hereunder, pursuant to all applicable IRCA or other federal, or state rules and regulations. Provider shall indemnify, defend, and hold the City harmless from and against any loss, damage, liability, costs or expenses arising from any noncompliance of this provision by Provider.

**8. NON-DISCRIMINATION:**

Consistent with the City's policy and state and federal law that harassment and discrimination are unacceptable conduct, Provider and its employees, contractors, and agents shall not harass or discriminate against any job applicant, City employee, or any other person on the basis of any kind of any statutorily (federal, state or local) protected class, including but not limited to: race, religious creed, color, national origin, ancestry, disability (both mental and physical) including HIV and AIDS, medical condition (e.g. cancer), genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, pregnancy, political affiliation, military and veteran status or legitimate union activities. Provider agrees that any violation of this provision shall constitute a material breach of this Agreement.

**9. HOLD HARMLESS:**

a. To the fullest extent permitted by law, Provider shall indemnify, defend (with counsel acceptable to the City) and hold harmless the City, its City Council, boards, commissions, officials, employees, agents and volunteers ("Indemnitees") from and against any and all loss, damages, liability, obligations, claims, suits, judgments, costs and expenses whatsoever, including reasonable attorney's fees and costs of litigation ("Claims"), arising from or in any manner connected to Provider's performance of its obligations under this Agreement or out of the operations conducted by Provider even if the City is found to have been negligent. If the Claims filed against Indemnitees allege negligence, recklessness or willful misconduct on the part of Provider, Provider shall have no right of reimbursement against Indemnitees for the costs of defense even if negligence, recklessness or willful misconduct is not found on the part of Provider. Provider shall not have any obligations to indemnify Indemnitees if the loss or damage is found to have resulted solely from the negligence or the willful misconduct of the City. The defense and indemnification obligations of this Agreement are undertaken in addition to, and shall not in any way be limited by, the insurance obligations contained in this Agreement.

b. As to Claims for professional liability only, Provider's obligation to defend Indemnitees (as set forth above) is limited as provided in California Civil Code Section 2782.8.

c. Provider's obligation to indemnify, defend and hold harmless Indemnities shall expressly survive the expiration or early termination of this Agreement.

**10. INSURANCE:**

a. On or before the commencement of the terms of this Agreement, Provider shall furnish the City's Risk Manager with certificates showing the type, amount, class of operations covered, effective dates and dates of expiration of insurance coverage in compliance with Sections 10.b. (1) through (5). Such certificates, which do not limit Provider's indemnification, shall also contain substantially the following statement:

"Should any of the above insurance covered by this certificate be canceled or coverage reduced before the expiration date thereof, the insurer affording coverage shall provide thirty (30) days' advance written notice to the City of Alameda. Attention: Risk Manager."

Provider shall maintain in force at all times during the performance of this Agreement all appropriate coverage of insurance required by this Agreement with an insurance company licensed to offer insurance business in the State of California with a current A.M. Best's rating of no less than A:VII or Standard & Poor's Rating (if rated) of at least BBB unless otherwise acceptable to the City. Provider shall deliver updated insurance certificates to the City at the address described in Section 17.f. prior to the expiration of the existing insurance certificate for the duration of the term of Agreement. Endorsements naming the City, its City Council, boards, commissions, officials, employees, agents, and volunteers as additional insured shall be submitted with the insurance certificates.

MBA  
Provider Initials

b. COVERAGE REQUIREMENTS:

Provider shall maintain insurance coverage and limits at least as broad as:

(1) Workers' Compensation:

Statutory coverage as required by the State of California.

(2) Liability:

Commercial general liability coverage in the following minimum limits:

Bodily Injury:	\$1,000,000 each occurrence
	\$2,000,000 aggregate - all other
Property Damage:	\$1,000,000 each occurrence
	\$2,000,000 aggregate

If submitted, combined single limit policy with per occurrence limits in the amounts of \$2,000,000 and aggregate limits in the amounts of \$4,000,000 will be considered equivalent to the required minimum limits shown above. Additional Insured Endorsement naming the City, its City Council, boards, commissions, officials, employees, agents, and volunteers is required.

(3) Professional Liability:

Professional liability insurance which includes coverage appropriate for the professional acts, errors and omissions of Provider's profession and work hereunder, including, but not limited to, technology professional liability errors and omissions if the services being provided are technology-based, in the following minimum limits:

\$2,000,000 each occurrence

Technology professional liability errors and omissions shall include, or be endorsed to include, property damage liability coverage for damage to, alteration of, loss of, or destruction of electronic data and/or information "property" of the City in the care, custody, or control of Provider. If not covered under Provider's liability policy, such "property" coverage of the City may be endorsed onto



Provider's Cyber Liability Policy as covered property as follows: cyber liability coverage in an amount sufficient to cover the full replacement value of damage to, alteration of, loss of, or destruction of electronic data and/or information "property" of the City that will be in the care, custody, or control of Provider.

As to commercial general liability and automobile liability insurance, such insurance will provide that it constitutes primary insurance with respect to claims insured by such policy, and, except with respect to limits, that insurance applies separately to each insured against whom claim is made or suit is brought. Such insurance is not additional to or contributing with any other insurance carried by or for the benefit of the City.

c. SUBROGATION WAIVER:

Provider hereby agrees to waive rights of subrogation that any insurer of Provider may acquire from Provider by virtue of the payment of any loss. Provider agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies regardless of whether the City has received a waiver of subrogation endorsement from the insurer. The Workers' Compensation policy shall be endorsed with a waiver of subrogation in favor of the City for all work performed by Provider, its employees, agents and subcontractors.

d. FAILURE TO SECURE:

If Provider at any time during the term hereof should fail to secure or maintain the foregoing insurance, the City shall be permitted to obtain such insurance in Provider's name or as an agent of Provider and shall be compensated by Provider for the costs of the insurance premiums at the maximum rate permitted by law and computed from the date written notice is received that the premiums have not been paid.

e. ADDITIONAL INSURED:

The City, its City Council, boards, commissions, officials, employees, agents, and volunteers shall be named as additional insured(s) under all insurance coverages, except workers' compensation and professional liability insurance. The naming of an additional insured shall not affect any recovery to which such additional insured would be entitled under this policy if not named as such additional insured. An additional insured named herein shall not be held liable for any premium, deductible portion of any loss, or expense of any nature on this policy or any extension thereof. Any other insurance held by an additional insured shall not be required to contribute anything toward any loss or expense covered by the insurance provided by this policy. Additional Insured coverage under Provider's policy shall be primary and non-contributory and will not seek contribution from the City's insurance or self-insurance. Any available insurance proceeds broader than or in excess of the specified minimum insurance coverage requirements and/or limits shall be available to the additional insured(s).

f. SUFFICIENCY OF INSURANCE:

The insurance limits required by the City are not represented as being sufficient to protect Provider. Provider is advised to consult Provider's insurance broker to determine adequate coverage for Provider. The coverage and limits shall be (1) the minimum coverage and limits

specified in this Agreement; or (2) the broader coverage and maximum limits of the coverage carried by or available to Provider; whichever is greater.

#### **11. CONFLICT OF INTEREST:**

Provider warrants that it is not a conflict of interest for Provider to perform the services required by this Agreement. Provider may be required to fill out a conflict of interest form if the services provided under this Agreement require Provider to make certain governmental decisions or serve in a staff capacity as defined in Title 2, Division 6, Section 18700 of the California Code of Regulations.

#### **12. PROHIBITION AGAINST TRANSFERS:**

a. Provider shall not assign, sublease, hypothecate, or transfer this Agreement, or any interest therein, directly or indirectly, by operation of law or otherwise, without prior written consent of the City Manager. Provider shall submit a written request for consent to transfer to the City Manager at least thirty (30) days in advance of the desired transfer. The City Manager or their designee may consent or reject such request in their sole and absolute discretion. Any attempt to do so without said consent shall be null and void, and any assignee, sublessee, hypothecate or transferee shall acquire no right or interest by reason of such attempted assignment, hypothecation or transfer. However, claims for money against the City under this Agreement may be assigned by Provider to a bank, trust company or other financial institution without prior written consent.

b. The sale, assignment, transfer or other disposition of any of the issued and outstanding capital stock, membership interest, partnership interest, or the equivalent, which shall result in changing the control of Provider, shall be construed as an assignment of this Agreement. Control means fifty percent or more of the voting power of Provider.

#### **13. APPROVAL OF SUB-PROVIDERS:**

a. Only those persons and/or businesses whose names and resumés are attached to this Agreement shall be used in the performance of this Agreement. However, if after the start of this Agreement, Provider wishes to use sub-providers, at no additional costs to the City, then Provider shall submit a written request for consent to add sub-providers including the names of the sub-providers and the reasons for the request to the City Manager or Community Development Director at least five (5) days in advance. The City Manager or Community Development Director may consent or reject such requests in their sole and absolute discretion.

b. Each sub-provider shall be required to furnish proof of workers' compensation insurance and shall also be required to carry general, automobile and professional liability insurance (as applicable) in reasonable conformity to the insurance carried by Provider.

c. In addition, any tasks or services performed by sub-providers shall be subject to each provision of this Agreement. Provider shall include the following language in their agreement with any sub-provider: "Sub-providers hired by Provider agree to be bound to Provider and the City in the same manner and to the same extent as Provider is bound to the City."

d. The requirements in this Section 13 shall not apply to persons who are merely providing materials, supplies, data or information that Provider then analyzes and incorporates into

its work product.

#### **14. PERMITS AND LICENSES:**

Provider, at its sole expense, shall obtain and maintain during the term of this Agreement, all appropriate permits, certificates and licenses, including a City business license that may be required in connection with the performance of the services and tasks hereunder.

#### **15. REPORTS:**

a. Each and every report, draft, work product, map, record and other document produced, prepared or caused to be prepared by Provider as part of its services to the City pursuant this Agreement shall be the exclusive property of the City.

b. No report, information or other data given to or prepared or assembled by Provider pursuant to this Agreement shall be made available to any individual or organization by Provider without prior approval of the City Manager or their designee. Notwithstanding this requirement, Provider is authorized to use the information and data it gathers as part of its work performed pursuant to this Agreement to prepare reports, policy briefs, and other written materials that do not fall within the scope of its services to the City pursuant to this Agreement. Provider is further authorized to publish such written materials without obtaining the prior approval of the City Manager or their designee. However, under no circumstances may Provider publish any private information or data regarding individual participants in the project(s) funded or authorized pursuant to this Agreement, including but not limited to individual participants' names, addresses, phone numbers, email addresses, health or medical information, place(s) of work, Social Security or other identification numbers, bank account numbers or other personally identifying financial information, or social media handles.

c. Provider shall, at such time and in such form as City Manager or their designee may require, furnish reports concerning the status of services and tasks required under this Agreement.

d. In addition to the reporting provisions included herein, Provider shall comply with applicable law, guidance (including the Compliance and Reporting Guidance for State and Local Fiscal Recovery Funds issued by the Department of the Treasury), and other requirements imposed by the relevant funding source, as may be amended from time to time.

#### **16. RECORDS:**

a. Provider shall maintain complete and accurate records with respect to the services, tasks, work, documents and data in sufficient detail to permit an evaluation of Provider's performance under the Agreement, as well as maintain books and records related to sales, costs, expenses, receipts and other such information required by the City that relate to the performance of the services and tasks under this Agreement (collectively the "**Records**").

b. All Records shall be maintained in accordance with generally accepted accounting principles and shall be clearly identified and readily accessible. Provider shall provide free access to the Records to the representatives of the City or its designees during regular business hours upon reasonable prior notice. The City has the right to examine and audit the Records, and to make copies or transcripts therefrom as necessary, and to allow inspection of all proceedings and

activities related to this Agreement. Such Records, together with supporting documents, shall be kept separate from other documents and records and shall be maintained by Provider for a period of three (3) years after receipt of final payment.

c. If supplemental examination or audit of the Records is necessary due to concerns raised by the City's preliminary examination or audit of records, and the City's supplemental examination or audit of the records discloses a failure to adhere to appropriate internal financial controls, or other breach of this Agreement or failure to act in good faith, then Provider shall reimburse the City for all reasonable costs and expenses associated with the supplemental examination or audit.

## **17. NOTICES:**

a. All notices shall be delivered via electronic mail with confirmation of receipt OR in writing and: (i) by hand; or (ii) sent by registered, express, or certified mail, with return receipt requested or with delivery confirmation requested from the U.S. postal service; or (iii) sent by overnight or same day courier service at the party's respective address listed in this Section.

b. Each notice shall be deemed to have been received on the earlier to occur of: (x) actual delivery or the date on which delivery is refused; or (y) three (3) days after notice is deposited in the U.S. mail or with a courier service in the manner described above (Sundays and City holidays excepted).

c. Either party may, at any time, change its notice address (other than to a post office box address) by giving the other party three (3) days prior written notice of the new address.

d. All notices, demands, requests, or approvals from Provider to the City shall be addressed to the City at:

City of Alameda  
Community Development Department  
950 West Mall Square, Suite 205  
Alameda, CA 94501  
ATTENTION: Community Development Director  
Ph: 510.747.6897 / Email: econdev@alamedaca.gov

e. All notices, demands, requests, or approvals from the City to Provider shall be addressed to Provider at:

Abt Associates  
6130 Executive Boulevard  
Rockville, MD 20852  
ATTENTION: Kathleen Aguilar, Contracts Manager  
Ph: 301.347. 5093/ Email: Kathleen\_Aguilar@abtassoc.com



f. All updated insurance certificates from Provider to the City shall be addressed to the City at:

City of Alameda  
Community Development Department  
950 West Mall Square, Suite 205  
Alameda, CA 94501  
ATTENTION: Annie Cox  
Ph: 510.747.6893 / Email: [acox@alamedaca.gov](mailto:acox@alamedaca.gov)

**18. SAFETY:**

a. Provider will be solely and completely responsible for conditions of all vehicles owned or operated by Provider, including the safety of all persons and property during performance of the services and tasks under this Agreement. This requirement will apply continuously and not be limited to normal working hours. In addition, Provider will comply with all safety provisions in conformance with U.S. Department of Labor Occupational Safety and Health Act, any equivalent state law, and all other applicable federal, state, county and local laws, ordinances, codes, and any regulations that may be detailed in other parts of the Agreement. Where any of these are in conflict, the more stringent requirements will be followed. Provider's failure to thoroughly familiarize itself with the aforementioned safety provisions will not relieve it from compliance with the obligations and penalties set forth herein.

b. Provider will immediately notify the City within 24 hours of any incident of death, serious personal injury or substantial property damage that occurs in connection with the performance of this Agreement. Provider will promptly submit to the City a written report of all incidents that occur in connection with this Agreement. This report must include the following information: (i) name and address of injured or deceased person(s); (ii) name and address of Provider's employee(s) involved in the incident; (iii) name and address of Provider's liability insurance carrier; (iv) a detailed description of the incident; and (v) a police report.

**19. TERMINATION:**

a. In the event Provider fails or refuses to perform any of the provisions hereof at the time and in the manner required hereunder, Provider shall be deemed in default in the performance of this Agreement. If such default is not cured within two (2) business days after receipt by Provider from the City of written notice of default, specifying the nature of such default and the steps necessary to cure such default, the City may thereafter immediately terminate the Agreement forthwith by giving to Provider written notice thereof.

b. The foregoing notwithstanding, the City shall have the option, at its sole discretion and without cause, of terminating this Agreement by giving seven (7) days' prior written notice to Provider as provided herein.

c. Upon termination of this Agreement either for cause or for convenience, each party shall pay to the other party that portion of compensation specified in this Agreement that is earned and unpaid prior to the effective date of termination. The obligation of the parties under this Section 19.c. shall survive the expiration or early termination of this Agreement.

**20. ATTORNEYS' FEES:**

In the event of any litigation, including administrative proceedings, relating to this Agreement, including but not limited to any action or suit by any party, assignee or beneficiary against any other party, beneficiary or assignee, to enforce, interpret or seek relief from any provision or obligation arising out of this Agreement, the parties and litigants shall bear their own attorney's fees and costs. No party of litigant shall be entitled to recover any attorneys' fees or costs from any other party or litigant, regardless of which party or litigant might prevail.

**21. HEALTH AND SAFETY REQUIREMENTS.**

Provider acknowledges that the City shall have the right to impose, at the City's sole discretion, requirements that it deems are necessary to protect the health and safety of the City employees, residents, and visitors. Provider agrees to comply with all such requirements, including, but not limited to, mandatory vaccinations, the use of personal protective equipment (e.g. masks), physical distancing, and health screenings. Provider also agrees to make available to the City, at the City's request, records to demonstrate Provider's compliance with this Section. [See Certification of Compliance attached.]

**22. COMPLIANCE WITH ALL APPLICABLE LAWS:**

During the term of this Agreement, Provider shall keep fully informed of all existing and future state and federal laws and all municipal ordinances and regulations of the City of Alameda which affect the manner in which the services or tasks are to be performed by Provider, as well as all such orders and decrees of bodies or tribunals having any jurisdiction or authority over the same. Provider shall comply with all applicable laws, state and federal and all ordinances, rules and regulations enacted or issued by the City.

**23. CONFLICT OF LAW:**

This Agreement shall be interpreted under, and enforced by the laws of the State of California without regard to any choice of law rules which may direct the application of laws of another jurisdiction. The Agreement and obligations of the parties are subject to all valid laws, orders, rules, and regulations of the authorities having jurisdiction over this Agreement (or the successors of those authorities). Any suits brought pursuant to this Agreement shall be filed with the courts of the County of Alameda, State of California.

**24. WAIVER:**

A waiver by the City of any breach of any term, covenant, or condition contained herein shall not be deemed to be a waiver of any subsequent breach of the same or any other term, covenant, or condition contained herein, whether of the same or a different character.

**25. INTEGRATED CONTRACT:**

Subject to the language of Section 30, the Recitals and exhibits are a material part of this Agreement and are expressly incorporated herein. This Agreement represents the full and complete understanding of every kind or nature whatsoever between the parties hereto, and all preliminary negotiations and agreements of whatsoever kind or nature are merged herein. No verbal agreement or implied covenant shall be held to vary the provisions hereof. Any

modification of this Agreement will be effective only by written execution signed by both the City and Provider.

**26. CAPTIONS:**

The captions in this Agreement are for convenience only, are not a part of the Agreement and in no way affect, limit or amplify the terms or provisions of this Agreement.

**27. COUNTERPARTS:**

This Agreement may be executed in any number of counterparts (including by fax, PDF, DocuSign, or other electronic means), each of which shall be deemed an original, but all of which shall constitute one and the same instrument.

**28. SIGNATORY:**

By signing this Agreement, signatory warrants and represents that they executed this Agreement in their authorized capacity and that by their signature on this Agreement, they or the entity upon behalf of which they acted, executed this Agreement.

**29. CONTROLLING AGREEMENT:**

In the event of a conflict between the terms and conditions of this Agreement (as amended, supplemented, restated or otherwise modified from time to time) and any other terms and conditions wherever contained, including, without limitation, terms and conditions included within exhibits, the terms and conditions of this Agreement shall control and be primary.

**30. NONDISCRIMINATION – FEDERAL REQUIREMENTS:**

a. Provider certifies and agrees that it will not discriminate against any employee or applicant for employment because of race, color, religion, national origin, ancestry, sex, age, or condition or physical or mental handicap (as defined in 41 C.F.R. Section 60-741, et seq.), in accordance with requirement of state or federal law. Provider shall take affirmative action to ensure that qualified applicants are employed and that employees are treated during employment without regard to race, color, religion, national origin, ancestry, sex, age, or condition of physical or mental handicap in accordance with requirements of state and federal law. Such shall include, but not be limited to, the following:

A. Employment upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation.

B. Selection for training, including interns and apprentices.

(i) Provider agrees to post in conspicuous places in each of Provider's facilities providing services hereunder, available and open to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.



(ii) Provider shall, in all solicitations or advertisements for employees placed by or on behalf of Provider, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, national origin, ancestry, sex, age, or condition of physical or mental handicap, in accordance with requirements of state and federal law.

(iii) Provider shall send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding a notice advising the labor union or workers' representative of Provider's commitments under this paragraph.

(iv) Provider certifies and agrees that it will deal with its subcontractors, bidders, or vendors without regard to race, color, religion, national origin, ancestry, sex, age, or condition of physical or mental handicap, in accordance with requirement of state and federal law.

(v) In accordance with applicable state and federal law, Provider shall allow duly authorized county, state and federal representatives access to its employment records during regular business hours in order to verify compliance with the anti-discrimination provisions of this paragraph. Provider shall provide such other information and records as such representatives may require in order to verify compliance with the anti-discrimination provisions of this paragraph.

b. If the City finds that any of the provisions of this paragraph have been violated, the same shall constitute a material breach of Agreement upon which the City may determine to cancel, terminate, or suspend this Agreement. The City reserves the right to determine independently that the anti-discrimination provisions of this Agreement have been violated. In addition, a determination by the California Fair Employment Practices Commission or the Federal Equal Employment Opportunity Commission that Provider has violated state and federal anti-discrimination laws shall constitute a finding by the City that Provider has violated the anti-discrimination provisions of Agreement.

c. The parties agree that in the event Provider violates any of the anti-discrimination provisions of this paragraph, the City shall be entitled, at its option, to the sum of \$500.00 pursuant to California Civil Code Section 1671 as liquidated damages in lieu of canceling, terminating, or suspending this Agreement.

d. Provider hereby agrees that it will comply with Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Section 794), all requirements imposed by the applicable regulations, and all guidelines and interpretations issued pursuant thereto, to the end that no qualified handicapped person shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity of Provider receiving Federal Financial Assistance. In addition, Provider shall comply with the Uniform Federal Accessibility Standards, and Provider, Engineer, or Architect responsible for any design, construction or alteration shall certify compliance with those Standards.

e. Provider's attention is directed to laws, including but not limited to:

A. CIVIL RIGHTS/EQUAL OPPORTUNITY



(i) Civil Rights Act of 1964. Under Title VII of the Civil Rights Act of 1964, no person shall, on the grounds of race, sex, religion, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

(ii) Section 109 of the Housing and Community Development Act of 1974. No person in the United States shall, on the grounds of race, color, national origin, or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under this title.

(iii) Section 109 of the Act further provides that any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified handicapped individual as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) shall also apply to any program or activity funded in whole or in part with funds made available pursuant to the Act.

#### **B. PROGRAM ACCESSIBILITY FOR INDIVIDUALS WITH DISABILITIES**

This Agreement is subject to laws and regulations concerning the rights of otherwise qualified individuals with handicaps for equal participation in, and benefit from federally assisted programs and activities, including but not limited to:

(i) Americans with Disabilities Act of 1990 (ADA) (28 C.F.R. 35). Title II, Subpart A of the Americans with Disabilities Act of 1990 applies to all publicly funded activities and programs. Provider shall also comply with the public accommodations requirements of Title III of the ADA, as applicable.

(ii) Nondiscrimination on the Basis of Handicap (24 C.F.R. 8). These regulations, which implement Section 504 of the Rehabilitation Act of 1973, as amended, and as cited in Section 109 of the Housing and Community Development Act, apply to all federally assisted activities and programs and are implemented through the regulations at 24 C.F.R. 8.

(iii) Architectural Barrier Act of 1968. Any building or facility, excluding privately owned residential structures, designed, constructed, or altered with federal funds, shall comply with the Uniform Federal Accessibility Standards, 1984 (41 C.F.R. 3) and the Handicapped Accessibility Requirements of the State of California Title 24. The Consultant, Engineer or Architect responsible for such design, construction or alteration shall certify compliance with the above standards.

(iv) In resolving any conflict between the accessibility standards cited in paragraphs (i), (ii) and (iii) above, the more stringent standard shall apply.

#### **31. RESTRICTIONS ON LOBBYING – FEDERAL REQUIREMENT:**

This Agreement is subject to 24 C.F.R. 87 which prohibits the payment of Federal funds to any person for influencing or attempting to influence, any public officer or employee in

connection with the award, making, entering into, extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or agreement.

**32. FEDERAL CONDITIONS:**

As set forth in Attachment D to this Agreement (Subrecipient Monitoring and Management Requirements), the City has made the disclosures required under 2 CFR Section 200.331 to Provider (as a subrecipient of federal funds).

**[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK]**

IN WITNESS WHEREOF, the parties have each caused this Agreement to be duly executed on its behalf as of the Effective Date.

Abt Associates Inc.,  
a Massachusetts corporation  
**Melissa B. Ashcraft**  
Digitally signed by  
Melissa B. Ashcraft  
Date: 2022.10.28  
08:13:44 -04'00'

Melissa B. Ashcraft  
Vice President, Contracts and  
Procurement



Leonard Hicks  
Chief Financial Officer

CITY OF ALAMEDA,  
a municipal corporation

DocuSigned by:

*Erin Smith*

11/17/2022

24DC39E8C019480...

Erin Smith

City Manager

RECOMMENDED FOR APPROVAL

DocuSigned by:

*Lisa Maxwell*

Lisa Maxwell

Community Development Director

APPROVED AS TO FORM:  
City Attorney

DocuSigned by:

*Len Aslanian*

Len Aslanian

Assistant City Attorney

**Exhibit A**  
Scope of Work



# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

### Section 1: Work Plan, Fee Proposal, and Schedule

#### 1.1 Evaluation Work Plan

Abt Associates offers the City of Alameda a quantitative evaluation of their GI pilot that leverages Abt's existing work with eight other cities connected to the Mayors for a Guaranteed Income (MGI) coalition. Abt's proposed approach is a randomized controlled trial (RCT) of 150 Alameda recipients and 180 control group members. The procedures and protocols—existing survey instrument, and pilot application phase—tested by Abt and honed in eight MGI cities will build the efficiency and strength of the Alameda evaluation. Through data comparability and Abt's existing data-sharing agreements, the Abt team can benchmark the City of Alameda's results against MGI's national portfolio of over 30 other pilots. Throughout the evaluation, the Abt team will follow Abt's guiding principles for **equitable evaluation**.

Part of our core approach to equitable evaluation is staffing this project with demographically diverse researchers and others who bring a range of lived experiences.

Exhibit 2 shows a graphical overview of key activities in Abt's approach across the period of performance (October 1, 2022 to October, 2025). impact study design.

Principles of equitable evaluation infuse our approach to the evaluation of Alameda's GI pilot. We incorporate [equitable practices in evaluation](#)<sup>1</sup> as outlined in the hyperlinked brief. Specifically in our approach for the City of Alameda, we will work with the Advisory Board to design the research questions, and staff the research with Abt staff with lived experience. Additionally our proposed team has extensive experience working with vulnerable populations whom we expect to participate in Alameda's GI pilot.

The description of the proposed research design balances these considerations alongside a need to keep within a prescribed timeline and budget.

#### Task 1: Program Design and Participant Selection

The key elements that MGI cities typically need to engage with in program design include: (1) determining the eligibility of the pilot participants; (2) deciding how the money will be disbursed; (3) designing and conducting benefits counseling; and (4) in the case of some states such as California, establishing a process for benefits exemption. Following our approach with other MGI cities, Abt will work to inform City of Alameda staff and stakeholders in decisions about these four different elements. Our typical approach is to let City staff and

#### Abt's Evaluation Advantages

- Collaborative approach to working with City of Alameda stakeholders to design and implement a rigorous impact evaluation
- Ability to benchmark Alameda findings to national MGI portfolio
- Some limited support in application to state benefits waivers for participants
- RCT with 150 treatment group members and 180 control group members
- An online program application survey
- Follow-up surveys at 12 and 24 months after first GI disbursement
- Evaluation guided by Institutional Review Board
- Final brief and community partner briefing/presentation

#### Exhibit 2. Base Contract Workplan



<sup>1</sup> <https://www.abtassociates.com/insights/publications/report/embedding-equity-focus-in-evaluation>

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stakeholders guide program eligibility, while informing stakeholders about the trade-offs in the eligibility requirements under consideration. Our team brings experiences from other cities that we have worked with, providing concrete examples of those trade-offs, as well as a wealth of experience in conducting RCTs with historically marginalized and vulnerable populations.

Once the eligibility criteria are set, we recommend that the City of Alameda work with MGI on the specifics of program implementation including navigating disbursement, how to conduct benefits counseling, and any other program elements the City wishes to include, for example a story-telling cohort. The evaluation team limits our involvement in program design and implementation so that we can remain impartial and independent as a third-party evaluator, offering the strongest possible standing for the results of the evaluation.

The City's implementation partner will be responsible for conducting outreach and marketing about the GI pilot to the target population. The Abt team and Abt IRB will review those outreach and marketing materials to ensure information about the evaluation is clearly and accurately described. In other cities, outreach and marketing typically includes a City-hosted GI pilot website with information about the program eligibility and a link to bring applicants to the Abt-hosted GI pilot application. The Abt-hosted application includes an eligibility screen and the baseline survey. After the application is complete, the Abt team runs basic eligibility checks from the self-reported survey data, and then using code, randomizes participants into active treatment, and active control. Abt shares the list of active treatment group members with the City onboarding team, who then onboards participants and conducts benefits counseling with them. We usually provide randomly selected treatment group replacements for the participants who decline to participate in the program, are unreachable, or reveal they are not actually eligible for the program.

The team has projected that the launch of Alameda's GI program's application occurs within five months of Abt's contract start date. We have also projected two months for Alameda's implementation partner to conduct onboarding and benefits counseling to treatment group participants. The first cash disbursements would occur on the 8<sup>th</sup> month from Abt's start of the contract. This is to allow for the 24<sup>th</sup> month survey to occur within the third year of period of performance that Abt has planned for the study. Deviations from this timeline would require an increase to the contract's period of performance, and the city would incur additional costs to extend the timeline.

Specific Abt activities in Task 1 include working with the Advisory Board and City staff to design program eligibility requirements, securing IRB approval and securing state benefits waivers.

1. **Support in designing eligibility requirements:** Abt will work closely with City staff and the City Advisory Board in determining eligibility requirements for the program. Abt will offer suggestions and advice where requested, based on best practice observed in other MGI cities.
2. **Securing IRB approval:** Abt hosts an internal Institutional Review Board which provides helpful guidance and oversight of all our research studies. The Abt team will work with the IRB and the City of Alameda to gain IRB approval through the streamlined process established for other MGI cities.
3. **Securing state benefits waivers:** The City of Alameda will spearhead efforts to secure state benefits waivers. Abt staff will provide needed documentation to assist the City of Alameda with these efforts, such as providing IRB approval documentation.

### Task 2: Research Design and Methodology

The research design phase of the study will focus on development of the research questions in collaboration with the Advisory Board and writing the research design document. In working collaboratively to develop the research questions the Abt Team will seek to balance the City of Alameda's desire to benchmark their pilot data against other MGI cities, and the goal of incorporating City of Alameda community collaborator priorities. The City of Alameda has articulated their interest in the following topics: participant mental health, public health, overall well-being including food, housing and financial security.

#### City of Alameda Research Focus Areas

- Mental stress and anxiety
- Housing security
- Food security
- Financial security

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To achieve this goal, we will integrate the core research questions being used for other MGI evaluations<sup>2</sup> with additional community developed research questions. For example, given the context of intense housing pressure for lower-income renters in the City of Alameda, the City may wish to incorporate research questions about the impact of GI on participants' housing. Working with the City, we will incorporate additional validated survey questions that will answer the final research questions, while ensuring that the survey does not become unwieldy for respondents.<sup>3</sup> We will review the proposed methodological approach (described below) to ensure that we can answer the identified research questions.

### Task 3: Data Collection

In order to leverage the advantages of cross-site analysis and benchmarking with other MGI cities, the Abt team proposes conducting the standard MGI city methodological approach in the evaluation of the City of Alameda. As requested by the City of Alameda, we have removed qualitative interviews from the base approach and have included that as an option if the City of Alameda were to secure extra funding. The base design includes: a randomized controlled trial with the standardized MGI city survey. In addition to leveraging analytic advantages, the standard MGI city evaluation builds in key efficiencies in conducting the evaluation. These include:

- Use of an existing validated survey to measure core domains of interest already translated into three of the six languages of interest to Alameda (Spanish, Cantonese, Mandarin, Tagalog, Korean and Vietnamese)
- Additional survey modules to supplement the core survey allowing customization of the survey while still allowing comparison with other cities' outcomes interested in the same set of research questions
- Streamlined IRB process based on experience with 8 prior cities
- Established research processes and procedures, for example secure data transfer, existing field data collection safety guides
- Existing excellent working relationships with MGI and their partners

The key components of the standard MGI evaluation are described below, noting the qualitative component as an optional task that the City of Alameda can exercise if it were to secure further funding.

**Quantitative Study:** The primary goal of the quantitative study will be to assess the impact of GI on recipients' financial, physical, and emotional well-being.<sup>4</sup> Our proposed approach, which is both rigorous and cost-effective, builds on the model we are currently using to evaluate MGI-affiliated pilots in other cities.

We propose to conduct an RCT of Alameda's guaranteed income pilot. Eligible individuals will be randomly assigned to active treatment, and active control. We have budgeted for an active treatment group of n=150 participants and an active control group of n=180 participants. If desired, we can incorporate sample weights so that the sample is reflective of a broader population of interest.

Abt will host the web-based City of Alameda application. The application will incorporate a baseline survey developed by our partner CGIR that covers core domains including: financial well-being, autonomy and agency, physical health, mental health, and a limited set of economic behaviors.<sup>5</sup> Additional survey domains may also be added based on the decisions made in the research design process e.g. child related outcomes, social capital outcomes, or community engagement outcomes.

<sup>2</sup> Research Questions: 1. How does GI impact income volatility for participants? 2. What is the relationship between income volatility and financial well-being, psychological distress, and physical functioning of participants? 3. What is the relationship between GI and individual agency of participants?

<sup>3</sup> Other MGI cities have a bank of survey questions on alternative topics. Abt will work with the City to source survey questions already in use in other MGI cities so that Alameda can benchmark results.

<sup>4</sup> We have not included analysis of disbursement data since we believe that the MGI partner, Stanford Basic Income (SBI) Lab, is better positioned to present spending data on their dashboard website. This would allow the City of Alameda data to be benchmarked with other MGI cities and take advantage of their existing infrastructure.

<sup>5</sup> The web survey is accessible on both computers and mobile devices.

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Drawing on our experience conducting other MGI city surveys, we have proposed an approach that we believe would be the best use of the City of Alameda's budgeted resources for their 24-month pilot. This differs slightly from the approach proposed in the RFP.

We propose prioritizing the full MGI city survey at 12 months and 24 months after the first disbursement of the guaranteed income payment. We propose also conducting a short web-based tracking survey at 6 months and 18 months after disbursement to update participant contact information, and to ask basic questions about monthly income.<sup>6</sup> This approach works well for two reasons. Firstly, it reduces participant burden relative to the suggested approach in the Alameda RFP, but still allows us to capture important information about income volatility every six months—income is best captured frequently, allowing us to observe changes every six months. Secondly, we are still able to track longitudinal changes in well-being and agency over time at the pilot mid-point, and end point. We will conduct all surveys in English along with additional languages.<sup>7</sup>

We have developed several processes to keep participants engaged and maintain survey response rates over the course of the pilot. Prior to each survey administration, we will contact study participants by email and/or text message with a link to the survey, as well as sending a letter with a link to the survey approximately one week prior to administration. During the survey window, our survey platform sends email and text reminders. We can also work with the implementation team so they can send out reminders to study participants. Respondents will receive \$50 incentives (as electronic gift cards) for completing the survey.

**Optional 30-month survey.** We can also administer an additional survey 6 months after the end of the pilot to capture outcomes for participants after the pilot has ended. Alameda may wish to consider this since it will allow policy makers to understand whether participants are able to maintain gains made while receiving the guaranteed income. This would be an optional task that the City of Alameda could exercise if it were to secure extra funding.

**Optional Qualitative Study:** An option for the city of Alameda to consider is conducting a qualitative study of participant experiences. Should the City exercise this option, we would follow the model of Abt's MGI evaluations and conduct between 30 and 40 one-time semi-structured interviews (est. 60-90 minutes) with treatment group members shortly after the 12-month survey is completed and analyzed.<sup>8</sup> These interviews would be conducted in English and Spanish.<sup>9</sup> Interviews would be tailored to the research questions and appropriateness for Alameda's target population. All interviews would be audio recorded (with participant consent) and transcribed.

We would develop our specific research and interview protocol questions in relation to: the city's target population and goals; questions emerging from the 12-month RCT survey responses; emerging findings from the ethnographic study; and our learning agenda to address gaps in the overall body of knowledge about GI. We would establish the most appropriate sampling strategy based on the final research questions and in conversation with City stakeholders.

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<sup>6</sup> Respondents receive a \$5 incentive for completing the tracking survey.

<sup>7</sup> We can conduct surveys in languages which have already been translated and programmed: Spanish, Mandarin, Vietnamese. We can also program three additional languages, such as Korean, Cantonese and Tagalog. Abt would be responsible for the costs of programming any translated surveys. Alameda staff are responsible getting the surveys translated in the desired three languages and for pre-testing the translated surveys to ensure they work smoothly. All surveys include informed consent statements, eligibility questions, and then the core survey questions. Abt is responsible for translating the core survey questions. For all surveys, the City of Alameda will be responsible for the costs of translating their specific eligibility requirements and consent language into the languages the survey is conducted in for both the baseline survey and follow-up surveys.

<sup>8</sup> In our MGI evaluations, these interviews take place between the 6- and 12-month surveys on what are typically 12-month pilots. We would alter the timing of interviews for the City of Alameda because we are proposing the first comprehensive survey be 12 months after baseline.

<sup>9</sup> To conduct interviews in additional languages beyond English and Spanish would incur additional costs related to translation of protocols into the preferred language; costs of adding staff fluent in desired languages; translation of interview transcripts into English for purposes of analysis. We have not included these costs in our current design.



# Response to RFP: City of Alameda Research Partner

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The Abt staff local to Alameda, seasoned qualitative interviewers, would conduct all the English language interviews working with the research fellows. Bi-lingual Spanish speaking staff would conduct the Spanish language interviews on a site visit supported by a research fellow. Interviewees would receive a \$60 incentive for completing the interview.

**Community Engaged Research:** Our research approach seeks to engage community members where possible within anticipated resources. Abt staff can attend two **advisory board** meetings and engage with any questions the advisory board may have regarding the pilot.

A central part of our community-engaged approach, refined during our MGI evaluations, includes working with one or more **community-based research fellows** at each pilot site. Should the City of Alameda have sufficient funding, we propose working with the City of Alameda team to hire up to two research fellows, based on MGI's standard research fellow job description.<sup>10</sup> Among other core duties, research fellows will assist in conducting interviews and observations with treatment group members and in managing logistical aspects of the survey. Abt project leaders will mentor research fellows to provide them with opportunities to learn about conducting policy evaluations.<sup>11</sup> Research fellows will participate in project-specific trainings and monthly professional development seminars coordinated by both Abt and MGI for the overall cohort of MGI research fellows.<sup>12</sup> If the city of Alameda opts out of this approach, our survey team can send reminder emails and texts for follow-up survey reminders. We can also work with the city of Alameda and the IRB to determine other cost-effective solutions in lieu of the research fellow model, but it will likely result in lower response rates.

### Task 4: Data Analysis and Reporting

We will conduct quantitative analysis after each wave of survey data collection. In large part we follow the SEED design and [pre-analysis plan](#)<sup>13</sup> (Martin-West et al., 2019) to ensure that the City of Alameda data will be comparable to data from all MGI-funded cities.

Abt will prepare a final brief in 2025 to summarize findings from across the full Period of Performance and conduct a final virtual presentation to the City. The final brief will be written in accessible language for a wide readership.

The Abt team has the capacity to develop additional deliverables to share key findings and lessons learned targeted for a policy audience. For example, we regularly conduct webinars and write blogs that have a wide distribution. We would be happy to modify the contract should the City wish to add to the existing scope of work to leverage the learning from the evaluation in this way.

### Task 5: Project and Risk Management

To ensure Abt produces high-quality results in line with our clients' expectations, we collaboratively develop research approaches to align with their objectives, budgets, timelines, and desired degree of involvement (from hands-off to highly involved). Our objectives for project management are to ensure timely, within budget, high-quality deliverables, and to ensure that the City of Alameda is satisfied with both the products and the process of this contract. Expectations and requirements will be detailed up front and maintained through frequent communication with the *Project Director, Dr. Haisheng Yang*.

All Abt projects undergo two types of ongoing quality assurance review: corporate monitoring and project quality review. These systems ensure the project team has the resources it needs to do its work effectively and efficiently. They also help anticipate problems and implement solutions so that the work can be completed on time and to the

<sup>10</sup> MGI research fellows are normally paid \$20,000 for an 18–20-month engagement, which is the amount we recommend. To engage research fellows for the full 24 month pilot and to help with the 30 month survey, Abt recommends paying each research fellow a stipend of \$40,000.

<sup>11</sup> The cost of the research fellow is not included in the Abt budget. We do include costs for Abt to train, supervise, and mentor the research fellow.

<sup>12</sup> These activities include a series of monthly seminars and trainings that cover topics such as career development, contract research, equity in evaluation, and training on research methods.

<sup>13</sup>

<https://static1.squarespace.com/static/6039d612b17d055cac14070f/t/605029f652a6b53e3dd39044/1615866358804/SEED+Pre-analysis+Plan.pdf>

October 17, 2022 | 1-6

**Exhibit B**  
**Budget**

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

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#### 1.1 Fee Proposal

##### *Proposal Cover Sheet*

#### **Research Partner for Guaranteed Income Pilot Program**

#### **Initial Submission**

**October 17, 2022**

#### **Name, Address, and Contact Numbers of the Offeror**

Abt Associates Inc.  
6130 Executive Blvd.  
Rockville, MD 20852  
301-347-5000

#### **DUNS, UEI, and TIN Numbers**

DUNS: 05-859-5539  
UEI: C9S1NLQ67626  
TIN: 04-2347643

#### **Name and Telephone Number of Point of Contact for Negotiation**

Melissa B. Ashcraft  
Vice President, Contracts and Procurement  
301-347-5915  
[Lisa\\_Ashcraft@abtassoc.com](mailto:Lisa_Ashcraft@abtassoc.com)

#### **Remittance Address**

Abt Associates Inc.  
P.O. Box 84-5586  
Boston, MA 02284-5586  
Send wire to:  
Citizens Bank Bos  
SWIFT # CTZIUS33; ACCT# 110780-048-7  
Or ACH to:  
Citizens Bank Bos  
ABA# 211070175; ACCT# 110780-048-7; Lockbox MF250

#### **Name, Address, and Telephone Number of Cognizant Audit Agency (DCAA)**

Defense Contract Audit Agency  
New England Branch Office  
59 Lowes Way, Suite 300  
Lowell, MA 01851  
Telephone 571-448-2026  
Email: [DCAA-FA01361@dcaa.mil](mailto:DCAA-FA01361@dcaa.mil)

DODAAC code: HAA621

Branch Manager/Point of Contact: Ms. Jaclyn Parziale



# **Response to RFP: City of Alameda Research Partner**

## ***Section 1: Work Plan, Fee Proposal, and Schedule***

### **Name and Contact Information of Person Authorized to Sign the Proposal**

Meryl Finkel  
Social Science Economics Principal Associate  
10 Fawcett Street  
Cambridge, MA 02138-1175  
617-349-2380

### **Agreement of Terms**

Abt Associates Inc. agrees with all terms, conditions, and provisions included in the solicitation and agrees to furnish any or all items upon which prices are offered at the price set opposite each item. Our proposal is firm for a period of 180 days from the date of submission of this proposal.

**Response to RFP: City of Alameda Research Partner****Section 1: Work Plan, Fee Proposal, and Schedule****Introduction to Fee Proposal**

Abt Associates is pleased to submit this proposal in response to the Research Partner for Guaranteed Income Pilot Program. This section contains budget, supporting cost information, and other administrative data. All prices are firm for a period of 180 days from the date of receipt by the government.

**Contact for Questions**

Questions relating to this business proposal should be addressed to the following individuals:

Melissa B. Ashcraft VP, Contracts and Procurement 6130 Executive Blvd. Rockville, MD 20852-4907 301-347-5915 <a href="mailto:Lisa_Ashcraft@abtassoc.com">Lisa_Ashcraft@abtassoc.com</a>	Or	Krista Pages Senior Director Contracts 6130 Executive Blvd. Rockville, MD 20852-4907 (301) 347-5829 voice <a href="mailto:Krista_pages@abtassoc.com">Krista_pages@abtassoc.com</a>
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**Organization of This Fee Proposal**

Section 2 of this business proposal contains complete budget and cost data. Section 2.1 contains Abt's payment schedule in addition to budgets for Abt Associates by year and task that are supported by person hour charts. Administrative data are located in Section 3.

**Budget Data****Abt Associates****Payment Schedule**

Below is the Payment Schedule for the Firm Fixed Price contract proposed by Abt Associates for the Base Period of this Project. Please note this amount (\$309,940) is solely for the Base Period of the Contract.

Please note the Optional 30 Month Survey would cost approximately \$97,796 and the Optional Qualitative Study would cost approximately \$168,152 for a total price (Base plus 2 Options) of \$575,888.

PROPOSED PAYMENT SCHEDULE		
Deliverable		Payment Amount
<b>1. Launch Survey</b>		
		\$ 103,313
<b>2. Completion of the 12-Month Survey</b>		
		\$ 103,313
<b>3. Final Brief</b>		
		\$ 103,313
<b>Total Firm Fixed Price Payments</b>		<b>\$ 309,940</b>

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

Below are tables for the Detailed Total Budget (Base Plus Options) by Task and Year.

### Total Budget by Task

<b>Abt Associates</b> Research Partner for Guaranteed Income Pilot Program City of Alameda PoP: 11-01-22 to 10-31-26																	
NAME, PROJECT ROLE/TITLE	1		2		3		4		5		Total Base Contract (Tasks 1-5)	6		7		Total Base Plus Options	
	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Price	Hours	Price	Hours	Price	Hours	Price
Sarah Prenovitz, Social Science Economics Senior Associate	38		15		3		78		0			45		25		203	
Hannah Thomas, Social Science Research Monitoring Eval Senior Associate	0		0		0		0		0			0		145		145	
Jasmine Harmon, Science and Research Analyst	0		0		20		0		0			0		182		202	
Haisheng Yang, Social Science Research Monitoring Eval Senior Analyst	116		10		55		108		98			147		144		677	
Zoe Greenwood, Science and Research Associate Analyst	37		0		100		152		10			83		0		382	
Hannah Betesh, Social Science Research Monitoring Eval Senior Associate	0		0		0		0		0			0		156		156	
Tresa Kappil, Social Science Research Monitoring Eval Associate	37		10		5		12		2			16		0		82	
Randall Juras, Social Science Economics Senior Associate	4		0		0		14		0			8		0		26	
Meryl Finkel, Social Science Economics Principal Associate	0		0		0		0		9			3		0		12	
Michelle Kahmann, Social Science Research Survey Associate	0		0		172		0		0			30		0		202	
Wyatt Bush, Social Science Survey Research Analyst	0		0		286		0		0			56		0		342	
Terrence Ceranski, Application Developer 4	0		0		96		0		0			4		0		100	
Christopher Miller, Application Developer 4	0		0		40		0		0			8		0		48	
Laurie Cottrell, Data Analytics 4	0		0		60		0		0			8		0		68	
Kevin McMahon, Data Preparation Manager	0		0		20		0		0			4		0		24	
Patrick Flaherty, Data Preparation Lead	0		0		47		0		0			9		0		57	
Marissa Cuellar, Science and Research Analyst	0		0		0		0		0			0		283		283	
AshLee Smith, Social Science Research Monitoring Eval Senior Analyst	0		0		30		0		0			0		0		30	
Project Financial Analyst	0		0		0		0		120			60		30		210	
Production/Graphics	0		0		0		35		0			30		30		95	
<b>LABOR TOTAL</b>	<b>232</b>	<b>\$38,405</b>	<b>35</b>	<b>\$6,793</b>	<b>934</b>	<b>\$131,937</b>	<b>399</b>	<b>\$63,416</b>	<b>239</b>	<b>\$37,926</b>	<b>\$278,476</b>	<b>511</b>	<b>\$83,574</b>	<b>994</b>	<b>\$149,204</b>	<b>3343</b>	<b>\$511,254</b>
Business Registration		\$0		\$0		\$627		\$0		\$0	\$627		\$209		\$0		\$836
Knack		\$0		\$0		\$60		\$0		\$0	\$60		\$30		\$0		\$90
DialPad		\$0		\$0		\$720		\$0		\$0	\$720		\$360		\$0		\$1,080
Interview Incentives		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$2,480		\$2,480
IT Rental (Tablets)		\$0		\$0		\$200		\$0		\$0	\$200		\$100		\$0		\$300
Misc. Printing and Shipping Costs for Research Fellow		\$0		\$0		\$300		\$0		\$0	\$300		\$150		\$0		\$450
Translation Cost of Qual. Interview into Spanish		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$662		\$662
Transcription Costs		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$10,050		\$10,050
Printing and Mailing		\$0		\$0		\$652		\$0		\$0	\$652		\$156		\$0		\$808
Incentives		\$0		\$0		\$27,390		\$0		\$0	\$27,390		\$12,870		\$0		\$40,260
Postage		\$0		\$0		\$1,516		\$0		\$0	\$1,516		\$347		\$0		\$1,862
Abt Travel		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$5,755		\$5,755
<b>ODC TOTAL</b>		<b>\$0</b>		<b>\$0</b>		<b>\$31,464</b>		<b>\$0</b>		<b>\$0</b>	<b>\$31,464</b>		<b>\$14,221</b>		<b>\$18,947</b>		<b>\$64,633</b>
<b>TOTAL PRICE</b>		<b>\$38,405</b>		<b>\$6,793</b>		<b>\$163,401</b>		<b>\$63,416</b>		<b>\$37,926</b>	<b>\$309,940</b>		<b>\$97,796</b>		<b>\$168,152</b>		<b>\$575,888</b>

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

### Year 1 by Task Detail

Abt Associates																	
Research Partner for Guaranteed Income Pilot Program City of Alameda PoP: 11-01-22 to 10-31-23																	
NAME, PROJECT ROLE/TITLE	1		2		3		4		5		Total Base Contract (Tasks 1-5)	6		7		Total Base Plus Options	
	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Price	Hours	Price	Hours	Price	Hours	Price
Sarah Prenovitz, Social Science Economics Senior Associate	38		15		3		0		0			0		5		60	
Hannah Thomas, Social Science Research Monitoring Eval Senior Associate	0		0		0		0		0			0		25		25	
Jasmine Harmon, Science and Research Analyst	0		0		0		0		0			0		6		6	
Haisheng Yang, Social Science Research Monitoring Eval Senior Analyst	116		10		20		0		30			0		37		213	
Zoe Greenwood, Science and Research Associate Analyst	37		0		50		0		10			0		0		97	
Hannah Betesh, Social Science Research Monitoring Eval Senior Associate	0		0		0		0		0			0		30		30	
Tresa Kappil, Social Science Research Monitoring Eval Associate	37		10		5		0		2			0		0		54	
Randall Juras, Social Science Economics Senior Associate	4		0		0		0		0			0		0		4	
Meryl Finkel, Social Science Economics Principal Associate	0		0		0		0		3			0		0		3	
Michelle Kahmann, Social Science Research Survey Associate	0		0		100		0		0			0		0		100	
Wyatt Bush, Social Science Survey Research Analyst	0		0		114		0		0			0		0		114	
Terrence Ceranski, Application Developer 4	0		0		72		0		0			0		0		72	
Christopher Miller, Application Developer 4	0		0		20		0		0			0		0		20	
Laurie Cottrell, Data Analytics 4	0		0		30		0		0			0		0		30	
Kevin McMahon, Data Preparation Manager	0		0		6		0		0			0		0		6	
Patrick Flaherty, Data Preparation Lead	0		0		14		0		0			0		0		14	
Marissa Cuellar, Science and Research Analyst	0		0		0		0		0			0		63		63	
Project Financial Analyst	0		0		0		0		60			0		0		60	
<b>LABOR TOTAL</b>	<b>232</b>	<b>\$38,405</b>	<b>35</b>	<b>\$6,793</b>	<b>434</b>	<b>\$62,427</b>	<b>0</b>	<b>\$0</b>	<b>105</b>	<b>\$15,380</b>	<b>\$123,004</b>	<b>0</b>	<b>\$0</b>	<b>165</b>	<b>\$25,222</b>	<b>970</b>	<b>\$148,228</b>
Business Registration		\$0		\$0		\$209		\$0		\$0	\$209		\$0		\$0		\$209
Printing and Mailing		\$0		\$0		\$170		\$0		\$0	\$170		\$0		\$0		\$170
Incentives		\$0		\$0		\$825		\$0		\$0	\$825		\$0		\$0		\$825
Postage		\$0		\$0		\$411		\$0		\$0	\$411		\$0		\$0		\$411
<b>ODC TOTAL</b>		<b>\$0</b>		<b>\$0</b>		<b>\$1,615</b>		<b>\$0</b>		<b>\$0</b>	<b>\$1,615</b>		<b>\$0</b>		<b>\$0</b>		<b>\$1,615</b>
<b>TOTAL PRICE</b>		<b>\$38,405</b>		<b>\$6,793</b>		<b>\$64,042</b>		<b>\$0</b>		<b>\$15,380</b>	<b>\$124,619</b>		<b>\$0</b>		<b>\$25,222</b>		<b>\$149,842</b>



# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

### Year 2 by Task Detail

<b>Abt Associates</b> Research Partner for Guaranteed Income Pilot Program City of Alameda PoP: 11-01-23 to 10-31-24																	
NAME, PROJECT ROLE/TITLE	1		2		3		4		5		Total Base Contract (Tasks 1-5)	6		7		Total Base Plus Options	
	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Price	Hours	Price	Hours	Price	Hours	Price
Sarah Prenovitz, Social Science Economics Senior Associate	0		0		0		10		0			0		20		30	
Hannah Thomas, Social Science Research Monitoring Eval Senior Associate	0		0		0		0		0			0		120		120	
Jasmine Harmon, Science and Research Analyst	0		0		0		0		0			0		176		176	
Haisheng Yang, Social Science Research Monitoring Eval Senior Analyst	0		0		10		20		32			0		107		169	
Zoe Greenwood, Science and Research Associate Analyst	0		0		20		60		0			0		0		80	
Hannah Betesh, Social Science Research Monitoring Eval Senior Associate	0		0		0		0		0			0		126		126	
Tresa Kappil, Social Science Research Monitoring Eval Associate	0		0		0		0		0			0		0		0	
Randall Juras, Social Science Economics Senior Associate	0		0		0		5		0			0		0		5	
Meryl Finkel, Social Science Economics Principal Associate	0		0		0		0		3			0		0		3	
Michelle Kahmann, Social Science Research Survey Associate	0		0		42		0		0			0		0		42	
Wyatt Bush, Social Science Survey Research Analyst	0		0		116		0		0			0		0		116	
Torrence Coranski, Application Developer 4	0		0		20		0		0			0		0		20	
Christopher Miller, Application Developer 4	0		0		12		0		0			0		0		12	
Laurie Cottrell, Data Analytics 4	0		0		22		0		0			0		0		22	
Kevin McMahon, Data Preparation Manager	0		0		10		0		0			0		0		10	
Patrick Flaherty, Data Preparation Lead	0		0		24		0		0			0		0		24	
Marissa Cuellar, Science and Research Analyst	0		0		0		0		0			0		220		220	
AshLee Smith, Social Science Research Monitoring Eval Senior Analyst	0		0		12		0		0			0		0		12	
Project Financial Analyst	0		0		0		0		30			0		30		60	
Production/Graphics	0		0		0		30		0			0		30		60	
<b>LABOR TOTAL</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>288</b>	<b>\$39,484</b>	<b>125</b>	<b>\$16,886</b>	<b>65</b>	<b>\$10,673</b>	<b>\$67,042</b>	<b>0</b>	<b>\$0</b>	<b>829</b>	<b>\$123,982</b>	<b>1306</b>	<b>\$191,025</b>
Business Registration		\$0		\$0		\$209		\$0		\$0	\$209		\$0		\$0		\$209
Knack		\$0		\$0		\$30		\$0		\$0	\$30		\$0		\$0		\$30
DialPad		\$0		\$0		\$360		\$0		\$0	\$360		\$0		\$0		\$360
Interview Incentives		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$2,480		\$2,480
IT Rental (Tablets)		\$0		\$0		\$100		\$0		\$0	\$100		\$0		\$0		\$100
Misc. Printing and Shipping Costs for Research Fellow		\$0		\$0		\$150		\$0		\$0	\$150		\$0		\$0		\$150
Translation Cost of Qual. Interview into Spanish		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$662		\$662
Transcription Costs		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$10,050		\$10,050
Printing and Mailing		\$0		\$0		\$326		\$0		\$0	\$326		\$0		\$0		\$326
Incentives		\$0		\$0		\$13,695		\$0		\$0	\$13,695		\$0		\$0		\$13,695
Postage		\$0		\$0		\$758		\$0		\$0	\$758		\$0		\$0		\$758
Abt Travel		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$5,755		\$5,755
<b>ODC TOTAL</b>		<b>\$0</b>		<b>\$0</b>		<b>\$15,628</b>		<b>\$0</b>		<b>\$0</b>	<b>\$15,628</b>		<b>\$0</b>		<b>\$18,947</b>		<b>\$34,575</b>
<b>TOTAL PRICE</b>		<b>\$0</b>		<b>\$0</b>		<b>\$55,112</b>		<b>\$16,886</b>		<b>\$10,673</b>	<b>\$82,670</b>		<b>\$0</b>		<b>\$142,929</b>		<b>\$225,600</b>

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

### Year 3 by Task Detail

Abt Associates																	
Research Partner for Guaranteed Income Pilot Program City of Alameda PoP: 11-01-24 to 10-31-25																	
NAME, PROJECT ROLE/TITLE	1		2		3		4		5		Total Base Contract (Tasks 1-5)	6		7		Total Base Plus Options	
	Task 1: Program Design and Participant Selection		Task 2: Research Methodology		Task 3: Data Collection		Task 4: Analysis and Reporting		Task 5: Project Management			Task 6: Optional 30 Month Survey		Task 7: Optional Qualitative Study			
	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Price	Hours	Price	Hours	Price	Hours	Price
Sarah Prenovitz, Social Science Economics Senior Associate	0		0		0		68		0			0		0		68	
Haisheng Yang, Social Science Research Monitoring Eval Senior Analyst	0		0		15		88		37			0		0		140	
Zoe Greenwood, Science and Research Associate Analyst	0		0		20		92		0			0		0		112	
Tresa Kappil, Social Science Research Monitoring Eval Associate	0		0		0		12		0			0		0		12	
Randall Juras, Social Science Economics Senior Associate	0		0		0		9		0			0		0		9	
Meryl Finkel, Social Science Economics Principal Associate	0		0		0		0		3			0		0		3	
Michelle Katmann, Social Science Research Survey Associate	0		0		30		0		0			0		0		30	
Wyatt Bush, Social Science Survey Research Analyst	0		0		56		0		0			0		0		56	
Terrence Ceranski, Application Developer 4	0		0		4		0		0			0		0		4	
Christopher Miller, Application Developer 4	0		0		8		0		0			0		0		8	
Laurie Cottrell, Data Analytics 4	0		0		8		0		0			0		0		8	
Kevin McMahon, Data Preparation Manager	0		0		4		0		0			0		0		4	
Patrick Flaherty, Data Preparation Lead	0		0		9		0		0			0		0		9	
AshLee Smith, Social Science Research Monitoring Eval Senior Analyst	0		0		12		0		0			0		0		12	
Project Financial Analyst	0		0		0		0		30			0		0		30	
Production/Graphics	0		0		0		5		0			0		0		5	
<b>LABOR TOTAL</b>	0	\$0	0	\$0	166	\$23,875	274	\$46,530	70	\$11,873	\$92,278	0	\$0	0	\$0	510	\$92,278
Business Registration		\$0		\$0		\$209		\$0		\$0	\$209		\$0		\$0		\$209
Knack		\$0		\$0		\$30		\$0		\$0	\$30		\$0		\$0		\$30
DialPad		\$0		\$0		\$360		\$0		\$0	\$360		\$0		\$0		\$360
IT Rental (Tablets)		\$0		\$0		\$100		\$0		\$0	\$100		\$0		\$0		\$100
Misc. Printing and Shipping Costs for Research Fellow		\$0		\$0		\$150		\$0		\$0	\$150		\$0		\$0		\$150
Printing and Mailing		\$0		\$0		\$156		\$0		\$0	\$156		\$0		\$0		\$156
Incentives		\$0		\$0		\$12,870		\$0		\$0	\$12,870		\$0		\$0		\$12,870
Postage		\$0		\$0		\$347		\$0		\$0	\$347		\$0		\$0		\$347
<b>ODC TOTAL</b>		\$0		\$0		\$14,221		\$0		\$0	\$14,221		\$0		\$0		\$14,221
<b>TOTAL PRICE</b>		\$0		\$0		\$38,096		\$46,530		\$11,873	\$96,499		\$0		\$0		\$96,499

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

### Year 4 by Task Detail

Abt Associates																	
Research Partner for Guaranteed Income Pilot Program City of Alameda PoP: 11-01-25 to 10-31-26																	
NAME, PROJECT ROLE/TITLE	1		2		3		4		5		Total Base Contract (Tasks 1-5)	6		7		Total Base Plus Options	
	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Hours	Price	Price	Hours	Price	Hours	Price	Hours	Price
Sarah Prenovitz, Social Science Economics Senior Associate	0		0		0		0		0			45		0		45	
Jasmine Harmon, Science and Research Analyst	0		0		20		0		0			0		0		20	
Haisheng Yang, Social Science Research Monitoring Eval Senior Analyst	0		0		10		0		0			147		0		157	
Zoe Greenwood, Science and Research Associate Analyst	0		0		10		0		0			83		0		93	
Tresa Kappil, Social Science Research Monitoring Eval Associate	0		0		0		0		0			16		0		16	
Randall Juras, Social Science Economics Senior Associate	0		0		0		0		0			8		0		8	
Meryl Finkel, Social Science Economics Principal Associate	0		0		0		0		0			3		0		3	
Michelle Kahmann, Social Science Research Survey Associate	0		0		0		0		0			30		0		30	
Wyatt Bush, Social Science Survey Research Analyst	0		0		0		0		0			56		0		56	
Terrence Ceranski, Application Developer 4	0		0		0		0		0			4		0		4	
Christopher Miller, Application Developer 4	0		0		0		0		0			8		0		8	
Laurie Cottrell, Data Analytics 4	0		0		0		0		0			8		0		8	
Kevin McMahon, Data Preparation Manager	0		0		0		0		0			4		0		4	
Patrick Flaherty, Data Preparation Lead	0		0		0		0		0			9		0		9	
AsnLee Smith, Social Science Research Monitoring Eval Senior Analyst	0		0		6		0		0			0		0		6	
Project Financial Analyst	0		0		0		0		0			60		0		60	
Production/Graphics	0		0		0		0		0			30		0		30	
<b>LABOR TOTAL</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>46</b>	<b>\$6,151</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>\$6,151</b>	<b>511</b>	<b>\$83,574</b>	<b>0</b>	<b>\$0</b>	<b>557</b>	<b>\$89,726</b>
Business Registration		\$0		\$0		\$0		\$0		\$0	\$0		\$209		\$0		\$209
Knack		\$0		\$0		\$0		\$0		\$0	\$0		\$30		\$0		\$30
DialPad		\$0		\$0		\$0		\$0		\$0	\$0		\$360		\$0		\$360
Interview Incentives		\$0		\$0		\$0		\$0		\$0	\$0		\$0		\$0		\$0
IT Rental (Tablets)		\$0		\$0		\$0		\$0		\$0	\$0		\$100		\$0		\$100
Misc. Printing and Shipping Costs for Research Fellow		\$0		\$0		\$0		\$0		\$0	\$0		\$150		\$0		\$150
Printing and Mailing		\$0		\$0		\$0		\$0		\$0	\$0		\$186		\$0		\$186
Incentives		\$0		\$0		\$0		\$0		\$0	\$0		\$12,870		\$0		\$12,870
Postage		\$0		\$0		\$0		\$0		\$0	\$0		\$347		\$0		\$347
<b>ODC TOTAL</b>		<b>\$0</b>		<b>\$0</b>		<b>\$0</b>		<b>\$0</b>		<b>\$0</b>	<b>\$0</b>		<b>\$14,221</b>		<b>\$0</b>		<b>\$14,221</b>
<b>TOTAL PRICE</b>		<b>\$0</b>		<b>\$0</b>		<b>\$6,151</b>		<b>\$0</b>		<b>\$0</b>	<b>\$6,151</b>		<b>\$97,795</b>		<b>\$0</b>		<b>\$103,947</b>

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

### ***Budget Assumptions for Base Contract (Tasks 1 through 5)***

#### **Direct Labor**

Abt Associates uses a total time reporting system to record all hours worked by exempt employees. This is consistent with the preferred U.S. Government accounting treatment of labor costs. Abt Associates uses a 2,080 hour person-year for estimating purposes. This 2,080 hour person-year becomes a 1,850 hour effective person-year after subtracting vacations, holidays and sick leave.

#### **Personnel**

Abt Associates provides assurances that the personnel named in this proposal are prepared to commit to the time budgeted.

#### **Other Direct Costs (ODCs)**

Abt has budgeted for the following ODC line items.

- Business Registration – Abt has budgeted \$209 annually for years 1 through 3 for a City of Alameda Business License. \$627 total cost.
- Knack – Abt has budgeted \$30 annually for years 2 through 3. \$60 total cost.
- Dialpad – Abt has budgeted \$360 annually for years 2 through 3. \$720 total cost.
- IT Rental (Tablets) – Abt has budgeted \$100 annually for years 2 through 3. \$200 total cost. This is for in-person field work a research fellow may conduct.
- Misc. Printing and Shipping Costs for Research Fellow – Abt has budgeted \$150 annually for years 2 through 3. \$300 total cost.
- Printing and Mailing to research participants – Abt has budgeted \$652 total for Printing and Mailing for years 1 through 3 for follow-up surveys.
- Incentives – Abt has budgeted \$27,390 total for Incentives for years 1 through 3. Abt has budgeted \$5 for the tracking incentive and \$52 for the survey incentive (\$50 per respondents along with a \$2 fee). Below is a detailed breakdown by year:
  1. Year 1: \$5\*165 tracking incentives = **\$825**
  2. Year 2: \$5\*165 tracking incentives = **\$825**; \$52\*248 = **\$13,695**
  3. Year 3: \$52\*248 = **\$12,870**
- Postage – Abt has budgeted \$1,516 total for Postage for years 1 through 3.



# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

### Task Assumptions for Base Contract

The following assumptions form the basis of this pricing. Changes to these assumptions may result in a change to the negotiated price.

### Task 1. Program Design and Participant Selection

#### Subtasks 1.1 Kick-off Meeting

In year 1, we have budgeted for the project director (PD) and the quantitative Principal Investigator to attend a 1 hour remote kick off meeting with City staff in the beginning of the contract. Three days prior to the meeting, the team will prepare an agenda.

#### Subtask 1.2 Prepare for launch of application

The team will attend remote meetings with City staff in preparation for the launch of the GI pilot. We have budgeted for the team to attend bi-weekly meetings with city staff for the first five months of the contract while the City launches the pilot. The team will work with the City to set eligibility criteria, finalize survey languages, determine research questions, and create the survey and interview schedule.

#### Subtask 1.3. Secure benefits waivers

In Year 1, we have budgeted for the team to provide needed documentation to the City of Alameda so that the city can secure benefits waivers.

#### Subtask 1.4 IRB Review

In Year 1, we have budgeted for the Abt team to secure IRB approval for all components of the study. The team will work with the Abt IRB to secure approval for the random assignment design. The team will create a data security plan as a part of the IRB application in Year 1.

#### Subtask 1.5 Attend Advisory Board meetings

We have budgeted to for two staff to attend two virtual, 1-hour meetings with the advisory committee during the first year of the contract. The City of Alameda will set the agenda and the team will be available to contribute to agenda and answer questions.

### Task 2. Research Methodology

#### Subtask 2.1. Design Report

In the first year of the contract, the team has budgeted for updating an internal design document.

### Task 3: Data Collection

#### Subtask 3.1 Quant data collection

The survey data collection task has budgeted the following:

- Program and field web-based baseline survey in six languages (Spanish, Mandarin, Cantonese, Tagalog, Vietnamese, and Korean). The Spanish and Vietnamese surveys are already programmed. The City will need to translate only the informed consent and eligibility criteria into these languages. The city would need to translate the survey, consent, and eligibility criteria in Mandarin, Cantonese, Tagalog, and Korean.
  - Randomize participants and find replacements as needed
- Program and field 12-month survey in English and six languages (Spanish, Mandarin, Cantonese, Tagalog, Vietnamese, and Korean) to 330 study participants.
  - Send advance letter via USPS with survey link
  - Emails and text reminders about completing survey
  - Provide \$50 VISA gift card to participants upon completion via email or mail
- Conduct a brief tracking survey to include questions on income volatility over prior months in six languages (at 6- and 18-months) to 330 study participants. The City would need to translate this tracking survey into Spanish, Mandarin, Cantonese, Tagalog, Vietnamese, and Korean.
  - Provide \$5 cash or gift card to participants upon completion
- Program and field online 24-month survey in six languages (Spanish, Mandarin, Cantonese, Tagalog, Vietnamese, and Korean) to 330 study participants.

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

- Send advance letter via USPS with survey link
- Emails and text reminders about completing survey
- Provide \$50 VISA gift cards to participants upon completion via email or mail

### **Task 4 Analysis and Reporting**

#### **Subtask: 4.1 Analysis**

The team has budgeted to conduct high quality analysis on the survey data.

#### **Subtask 4.2 Reporting**

In Year 2, the team has budgeted for a final evaluation brief that will be approximately 10-15 pages in length, which will integrate information for all aspects of the evaluation. The team will submit a draft and a revised version (final). We have also budgeted for one virtual briefing to City staff and the Advisory Board.

### **Task 5: Project Management**

After the launch of the survey, we have budgeted for the Project Director to meet with the City of Alameda as needed, up to four times a year. Additional resources are included in this task to implement monthly project management activities, including regular internal project reviews to assess overall project quality, potential risks and challenges, and oversight of the project budget and staffing.

### **Task 6: Optional 30-month Survey**

Should the City of Alameda wish to exercise the optional 30-month survey, they will need to exercise this option by two months prior to the last disbursement. For example, if the final disbursement is planned to be April 1, 2024, then the City would need to exercise the option to conduct the 30-month survey by February 1, 2024. The 30-month survey data collection task has budgeted the following:

#### **Subtask 6.1 Field 30-month Survey**

Program and field online 30-month survey in six languages (Spanish, Mandarin, Cantonese, Tagalog, Vietnamese, and Korean) to 330 study participants.

- Send advance letter via USPS with survey link
- Emails and text reminders about completing survey
- Provide \$50 VISA gift cards to participants upon completion via email or mail

#### **Subtask 6.2 Analysis and Brief**

In Year 4, as part of the optional 30-month survey, the team has budgeted for a final evaluation brief that will be approximately 5-10 pages in length to report out findings from the 30 month survey in relation to the previous findings from the evaluation. The team will submit a draft and a revised version (final). We have also budgeted for one virtual briefing to City staff and the Advisory Board.

#### **Subtask 6.3 Project Management**

We have budgeted for the Project Director to meet with the City of Alameda as needed, up to four times a year. Additional resources are included in this task to implement monthly project management activities, including regular internal project reviews to assess overall project quality, potential risks and challenges, and oversight of the project budget and staffing.

### **Other Direct Costs (ODCs) for 30-month Survey**

Abt has budgeted for the following ODC line items for fielding the 30-month survey data collection.

- Business Registration – Abt has budgeted \$209 for year 4 for a City of Alameda Business License.
- Knack – Abt has budgeted \$30 for year 4.
- Dialpad – Abt has budgeted \$360 for year 4.
- IT Rentals – Abt has budgeted \$100 for IT Rentals for year 4.

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

- Misc. Printing and Shipping Costs – Abt has budgeted \$150 for misc. printing and shipping costs for year 4.
- Printing and Mailing to research participants – Abt has budgeted \$156 total for Printing and Mailing for year 4 for the 30-month survey.
- Incentives – Abt has budgeted \$12,870 total for Incentives for year 4. Abt has \$52 for the survey incentive (\$50 per respondents along with a \$2 fee). Below is a detailed breakdown by year:  
Year 4: \$52\*248
- Postage – Abt has budgeted \$347 total for Postage for year 4.

### Task 7: Optional Qualitative Study

Should the City of Alameda wish to exercise the optional qualitative study, they will need to exercise this option by one month after disbursement of the first payment. For example, if disbursement of the first guaranteed income payment happens April 1, 2023, the City would need to exercise the optional qualitative study by May 1, 2023.

#### Subtask 7.1 Qualitative Research Design

In the second year of the contract, we have budgeted for the creation of a qualitative interview protocol that is approximately 60 minutes in length. We have also budgeted for the development of an informed consent document. Our team will work with the city to finalize the protocol. These materials will be submitted to the IRB for approval.

#### Subtasks 7.2 Qualitative Data Collection

In the second year of the contract, the team has budgeted to conduct up to 40 interviews. We have budgeted for two analysts to fly into Alameda and stay five days to conduct interviews, along with the local site lead. We have budgeted for the interview protocol to be translated into Spanish. One analyst will be fluent in Spanish and conduct 10 interviews in Spanish, along with some English interviews. All 40 interviews will be transcribed by professional transcription firm (the Spanish interviews will be transcribed into English as well). We have budgeted for each respondent to be given a \$60 gift card for participating in an interview.

#### Subtask 7.3 Qualitative Analysis

In year 2 the team has budgeted to conduct high quality analysis on both the baseline survey data and the qualitative interview data collected during the study (Year 2).

#### Subtask 7.4 Reporting

In Year 3, the team has budgeted for a report that will include descriptive analysis of the findings from the qualitative interviews. The report will be approximately 15 pages, including appendices. The team has budgeted for one draft and one revised version (final) to be submitted to the city. The team also budgeted for one virtual briefing to the City staff and the Advisory Board. We have also budgeted for one hybrid (some staff remote, some in person) briefing to City staff and the Advisory Board.

#### Other Direct Costs for Qualitative Data Collection

- Interview Incentives – Abt has budgeted \$2,480 for interview incentives in year 2 only. This cost is based on \$62 per incentive times 40. (\$60 per respondent, along with a \$2 fee for gift cards from the vendor).
- Translation Cost of Qual. Interview into Spanish – Abt has budgeted \$662 for translation cost of the Qual. Interview in year 2. This cost is based on 3,600 words translated at \$.184/word. \$662 total cost.
- Transcription Costs - Abt has budgeted \$10,050 for transcription costs in year 2. This cost is based on the following:
  - \$175\*30=\$5,250
  - \$480\*10=\$4,800 (for Spanish to English transcription)

#### Optional Task Qualitative Data Collection Travel and per Diem

Travel has been budgeted according to Abt Associates' Travel Policy which is consistent with Federal Travel Regulations (FTR). Abt researched airfares online and used GSA domestic per diem rates. We envision travel in Year 2 only totaling \$5,755. The snapshots below provide price details for travel related costs:

# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

TASK #	TASK NAME	Year	Purpose
3	Task 3: Data Collection	2	
Description	Unit Cost	# Trips	# People #Days/Nights Total
Airfare 1: Houston to San Francisco	\$708.96	1	1 \$ 708.96
Per Diem Lodging	\$288.00	1	1 \$ 1,440.00
Per Diem M&IE	\$79.00	1	1 \$ 395.00
Partial Per Diem M&IE	\$59.25	1	1 \$ 118.50
Ground Transportation from Airport to Hotel	\$75.00	1	1 \$ 150.00
			\$ 2,812.46

TASK #	TASK NAME	Year	Purpose
3	Task 3: Data Collection	2	
Description	Unit Cost	# Trips	# People #Days/Nights Total
Airfare 1: Washington, DC to San Francisco	\$838.96	1	1 \$ 838.96
Per Diem Lodging	\$288.00	1	1 \$ 1,440.00
Per Diem M&IE	\$79.00	1	1 \$ 395.00
Partial Per Diem M&IE	\$59.25	1	1 \$ 118.50
Ground Transportation from Airport to Hotel	\$75.00	1	1 \$ 150.00
			\$ 2,942.46

### Administrative Data

This proposal fully conforms to the RFP, entitled **Research Partner for Guaranteed Income Pilot Program** issued by the City of Alameda. Abt Associates does not take any exceptions or deviations with the provisions of the RFP. This proposal has been prepared based on the following understandings and assumptions:

### Terms and Conditions

- Our proposal is valid for a period of 180 days from the date submission of this proposal.
- The budgets contained in this proposal for the base contract assume a starting date of November 1, 2022 for a three-year period of performance. The Optional 30-month survey assumes a one-year period of performance beginning October 30, 2025.
- Our budget further assumes a Firm Fixed Price contract resulting from this solicitation.
- The names and telephone numbers of Abt Associates' authorized representatives for negotiation are:

Melissa B. Ashcraft VP, Contracts and Procurement 6130 Executive Blvd. Rockville, MD 20852-4907 301-347-5915 <a href="mailto:Lisa_Ashcraft@abtassoc.com">Lisa_Ashcraft@abtassoc.com</a>	Or	Kathleen Aguilar Contracts Senior Manager 6130 Executive Blvd. Rockville, MD 20852-4907 (301) 347-5093 voice <a href="mailto:Kathleen_Aguilar@abtassoc.com">Kathleen_Aguilar@abtassoc.com</a>
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- The name of Abt Associates' corporate representative for CPAR postings is:  
 Kyle Hall  
 Contracts Administrator 2  
 301-347-5117  
[Kyle\\_Hall@abtassoc.com](mailto:Kyle_Hall@abtassoc.com)
- Abt Associates will provide all equipment and facilities necessary for the performance of this contract. Abt Associates does not have any government-owned property or property acquired with Federal funds to be used in the performance of this contract.
- Abt Associates provides assurances that the personnel proposed are prepared to commit to the time budgeted.
- Abt Associates has completed the online representations and certifications applications at the System for Award Management (SAM) site.
- Abt Associates has sufficient capacity, working capital, and other resources to perform the work of the proposed contract without assistance from any outside source. The company has negotiated a line of credit with a major Boston bank sufficient to augment working capital needs that cannot be satisfied by operations.



# Response to RFP: City of Alameda Research Partner

## Section 1: Work Plan, Fee Proposal, and Schedule

Dun & Bradstreet assigns a 1R3 rating to Abt Associates. The accounting firm of Grant Thornton audits our corporate records.

10. Abt Associates has delivered more than a billion and a half dollars in Federal, State and local government contracts, as well as countless private sector projects for over 50 years. As such, Abt Associates has the necessary organizational, experience, accounting and operational controls, and technical skills to perform the proposed contract. Abt Associates retains sufficient professional, technical, and support staff to deliver our contractual obligations; this record of performance capability can be substantiated by the contracts performed previously.
11. Abt Associates' accounting system has been audited by the Boston Branch Office of DCAA and was determined adequate for accumulating and billing costs under U.S. Government contracts.
12. In accordance with FAR 44.305-1 and FAR 44.305-2, Abt Associates' cognizant Administrative Contracting Officer granted approval of Abt's purchasing system effective January 17, 2020. Confirmation of the purchasing system approval can be obtained, if necessary, from:  
  
Ms. Eugenia L. Brown  
Cognizant Administrative Contracting Officer, USAID  
1300 Pennsylvania Avenue, NW  
Washington, DC 20523
13. Abt Associates uses a total time reporting system to record all hours worked by employees classified as Exempt.
14. Abt has the capability to deliver the proposed solution in-house and does not anticipate a need to subcontract any portion of the scope of work.
15. Abt Associates conducts itself with the highest degree of integrity and honesty. Abt Associates has a written code of business ethics and conduct and promotes compliance with this code with employee training programs. Compliance is monitored through an internal controls system to facilitate timely discovery and disclosure of improper conduct, and to ensure that corrective measures are promptly instituted and carried out should improper conduct be found.
16. A core component of Abt Associates' bids – as well as that of our team members – is the conduct of independent research and analysis. Accordingly, the ability to retain our intellectual property is of great importance. We request that the client include FAR Clause 52.227-14, Data Rights General, Alt. IV, in the contract, to allow Abt Associates and our team members to assert copyright to all data first produced under this contract.
17. Upon project termination, Abt Associates would be pleased to do a Quick Closeout in accordance with FAR 42.708 to avoid changes in rates impacting the total project payments.

**Exhibit C**  
**Additional Provisions**

The following paragraph(s) are added to the Agreement:

**1. CONFLICTING PROVISIONS**

In the event of a conflict between the terms and conditions of this Agreement and any other applicable terms and conditions, including Exhibits furnished by Provider to be made part of this Agreement, the terms and conditions of this Agreement shall prevail, except that Exhibit C-1 (Grant Conditions) shall prevail over any provision that conflict with the Agreement.

**2. RECORDS**

Notwithstanding Paragraph 17 (RECORDS), GRANTEE shall be solely responsible to implement internal controls and record keeping procedures that comply with this AGREEMENT and all applicable laws. GRANTEE's administrative, programmatic and financial records pertaining to the Program, or the AGREEMENT collectively, must sufficiently support the determination that expenditures are allowable. GRANTEE shall retain all records pertinent to this AGREEMENT for a period of five (5) years from the date of final payment or disbursement to U.S. Treasury of unexpended Coronavirus State and Local Fiscal Recovery Funds (SLFRF) subawards. GRANTEE shall retain such records beyond five (5) years so long as any litigation, audit, dispute or claim is pending.

**3. NO THIRD-PARTY RIGHTS**

This Agreement does not constitute a binding commitment to any client or agency except CITY and GRANTEE. No third-party rights are created for clients or other individuals.

**4. GRANT CONDITIONS**

Notwithstanding Paragraph 29 of the Agreement, the GRANTEE's grant conditions, attached hereto as Exhibit C-1, are hereby expressly made part of the Agreement between the parties.

**Exhibit C-1**  
**ARPA Subrecipient Certification**

Section 602(b) of the Social Security Act (the Act), as added by section 9901 of the American Rescue Plan Act ("ARPA"), Pub. L. No. 117-2 (March 11, 2021), authorizes the Department of the Treasury (Treasury) to make payments to certain subrecipients from the Coronavirus State and Local Fiscal Recovery Fund ("SLFRF"). The City of Alameda has signed and certified a separate agreement with Treasury as a condition of receiving such payments from the Treasury. This agreement is between your organization and the State and your organization is signing and certifying the same terms and conditions included in the State's separate agreement with Treasury. Your organization is referred to as a GRANTEE.

As a condition of your organization receiving federal recovery funds from the City, the authorized representative below hereby (i) certifies that your organization will carry out the activities listed in section 602(c) of the Act and (ii) agrees to the terms attached hereto as **Exhibit C-2 (ARPA Subrecipient Grant Agreement)**.

Under penalty of perjury, the undersigned official certifies that the authorized representative has read and understood the organization's obligations in the Assurances of Compliance and Civil Rights Requirements, attached hereto as **Exhibit C-3 (ASSURANCES OF COMPLIANCE WITH CIVIL RIGHTS REQUIREMENTS)**, that any information submitted in conjunction with this assurances document is accurate and complete, and that the organization complies with the nondiscrimination requirements.

**SUBRECIPIENT/GRANTEE:**  
 ABT ASSOCIATES INC.,

**Melissa B. Ashcraft** Digitally signed by  
 Melissa B. Ashcraft  
 Date: 2022.10.28  
 08:15:50 -04'00'

Melissa B. Ashcraft  
 Vice President, Contracts and Procurement  
**(AUTHORIZED REPRESENTATIVE)**

**Exhibit C-2**  
**ARPA Subrecipient Grant Agreement**

This Subrecipient Agreement ("Grant Agreement") is dated the effective date of the Agreement, by and between the Subrecipient Abt Associates Inc. ("GRANTEE") and the City of Alameda, a California municipal corporation ("CITY").

WHEREAS, the United States Department of the Treasury ("Treasury") has allocated CITY federal stimulus funding from the Coronavirus State and Local Fiscal Recovery Funds under CFDA No. 21.027 ("ARPA Funds") under Section 603(b) of the Social Security Act, as amended by Section 9901 of the America Rescue Plan Act ("ARPA"), of which \$28,679,908 was allocated to CITY in two tranches on June 17, 2021, and June 17, 2022, subject to applicable laws, rules, regulations and guidance, including without limitation, the Coronavirus State and Local Fiscal Recovery Funds Final Rule ("Final Rule"), identified as Attachment A (dated January 6, 2022), and the Compliance and Reporting Guidance for State and Local Fiscal Recovery Funds ("Compliance & Reporting Guidelines"), identified as Attachment B, and Uniform Guidance (2 CFR Part 200). Attachments A and B attached hereto and incorporated herein by this reference.

WHEREAS, Treasury authorizes CITY to expend ARPA Funds for the following eligible purposes as outlined in the Final Rule as follows:

- (1) To respond to the COVID-19 public health emergency or its negative economic impacts, including assistance to households, small businesses, and nonprofits, or aid to impacted industries such as tourism, travel, and hospitality;
- (2) To respond to workers performing essential work during the COVID-19 public health emergency by providing premium pay to eligible workers;
- (3) For the provision of government services to the extent of the reduction in revenue due to the COVID-19 public health emergency relative to revenues collected in the most recent full fiscal year prior to the emergency; and
- (4) To make necessary investments in water, sewer, or broadband infrastructure (collectively "Eligible Uses").

Pursuant to ARPA, Eligible Uses under this non-R&D federal program must be obligated no earlier than March 3, 2021 and no later than December 31, 2024, with final disbursement of all funds no later than December 31, 2026.

WHEREAS, CITY desires to allocate portions of the ARPA Funds to certain nonprofits whose operations are critical to those individuals, families, and entities adversely impacted by the COVID-19 public health emergency, whether through a reduction in income/revenues, increase in operating costs related to implementing COVID-19 prevention or mitigation tactics or other higher operating costs experienced during the pandemic, business disruption or closure, event cancellation, and/or other similar circumstances during the



pandemic that created a financial hardship, with such allocation of funds to be consistent with the Eligible Uses of ARPA Funds outlined above.

WHEREAS, CITY and GRANTEE desire to enter into the Agreement so that CITY may provide a subaward of ARPA Funds for appropriate and qualifying expenditures of grant funds advanced to GRANTEE by CITY for Eligible Uses set forth in Exhibit A (Scope of Work), as allowed under Final Rule.

NOW, THEREFORE, in consideration of the foregoing recitals which are incorporated herein by reference, and the terms and conditions set forth below, the parties agree as follows:

- i. **Effective Date and Term.** The Grant Agreement shall be coterminous with the term of the Agreement.
- ii. **ARPA Funds.** CITY agrees to provide the GRANTEE a total sum not to exceed the value of the Agreement for Eligible Uses set forth in the Exhibit A (Scope of Work).
- iii. **Use of ARPA Funds.** GRANTEE shall ensure that the ARPA Funds requests are necessary Eligible Uses under one of the following cost categories: a) To respond to the COVID-19 public health emergency or its negative economic impacts, including assistance to households, small businesses, and nonprofits, or aid to impacted industries such as tourism, travel, and hospitality, b) To respond to workers performing essential work during the COVID-19 public health emergency by providing premium pay to eligible workers, c) For the provision of government services to the extent of the reduction in revenue due to the COVID-19 public health emergency relative to revenues collected in the most recent full fiscal year prior to the emergency; and d) To make necessary investments in water, sewer, or broadband infrastructure.
- iv. **Pre-award Costs.** Pre-award costs, as defined in 2 C.F.R. § 200.458, may not be paid with funding from this award.
- v. **Administrative Costs.** GRANTEE may use funds provided under this award to cover both direct and indirect costs.
- vi. **Ineligible Uses.** Ineligible or non-allowable uses of ARPA Funds include, without limitation, the following: a) usage of funds to either directly or indirectly offset a reduction in net tax revenue resulting from a change in law, regulation or administrative interpretation during the covered period that reduces any tax or delays the imposition of any tax or tax increase; b) damages covered by insurance; c) usage of funds as a deposit into any pension fund; d) expenses that have been or will be reimbursed under any federal program; e) debt service costs; f) contributions to a "rainy day" fund; and d) legal settlements.
- vii. **SAM.gov Requirements.** If applicable, GRANTEE must obtain and maintain an active registration with the System for Award Management ("SAM") (<https://www.sam.gov>) pursuant to 2 CFR Part 25.

viii. **Reimbursement Requests and Reporting Requirements.** To facilitate the release of ARPA Funds by CITY to GRANTEE and CITY's compliance with reporting requirements for usage of ARPA funding, GRANTEE may submit one request per month to CITY consistent with compensation provisions of the Agreement (Paragraph 3, Compensation to Provider). CITY shall then disburse ARPA Funds, as requested by GRANTEE to fund services set forth in Exhibit A (Scope of Services) of the Agreement, ("Reimbursement Request Funds"). Such schedule may be modified with the prior written approval of CITY. Failure to provide any of the required documentation may result in the withholding and/or nonpayment of all or a portion of the request, and termination of the Agreement. Following receipt of the Reimbursement Request Funds from CITY and demonstrated compliance with the Agreement, as determined by CITY, GRANTEE will, if applicable, disburse the Reimbursement Request Funds to the approved recipients within 10 business days, and provide on a monthly basis a report to and in a form approved by CITY detailing the grant awards disbursed by GRANTEE.

ix. **Records, Reports and Audits.** As a subrecipient of ARPA Funds, GRANTEE may be subject to the Single Audit Act and 2 CFR part 200, subpart F regarding audit requirements.

1. Establishment and Maintenance of Records. GRANTEE shall maintain records, including but not limited to, books, financial records, supporting documents, statistical records, personnel, property, and all other pertinent records sufficient to reflect properly:

- a. All direct and indirect costs of whatever nature claimed to have been incurred and anticipated to be incurred to perform this AGREEMENT, and
- b. All other matters covered by this AGREEMENT. Such records shall be maintained in accordance with requirements now or hereafter prescribed by CITY.

2. Preservation of Records. GRANTEE shall preserve and make available its records:

- a. for a period of five (5) years from the date of final payment to GRANTEE under this AGREEMENT; or
- b. for such longer period, if any, as may be required by applicable law; or
- c. if this AGREEMENT is completely or partially terminated, for a period of five (5) years from the date of any resulting final settlement.

GRANTEE make all reasonable efforts to meet CITY's requests for records or other demands to ensure the parties' completion of financial, performance and compliance reporting obligations consistent with applicable laws, regulations and guidance, including requests made by the U.S. Treasury and the Government Accountability Office ("GAO").

3. Examination of Records; Facilities. At any time during normal business hours, and as often as may be deemed necessary by CITY, GRANTEE agrees that CITY, and/or any of its authorized representatives, shall:
- a. for a period of five (5) years after final payment under this AGREEMENT; or,
  - b. for such longer period as may be required by applicable law; or
  - c. if this AGREEMENT is completely or partially terminated, for a period of five (5) years from the date of any resulting settlement;
  - d. have access to and the right to examine its plants, offices and facilities engaged in performance of this AGREEMENT and all its records with respect to all matters covered by this AGREEMENT.

GRANTEE also agrees that CITY, or any of its respective authorized representatives, shall have the right to audit, examine, and make excerpts or transcripts of and from such records, and to make audits of all contracts and subcontracts, invoices, payrolls, records of personnel, conditions of employment, materials, and all other data relating to matters covered by this AGREEMENT, all as set forth in Section D, below. Notwithstanding anything in this AGREEMENT to the contrary for monitoring purposes, CITY shall not require access to any information of GRANTEE mutually determined by the parties hereto to be proprietary.

4. Audit of Records. If an audit is required, the following provisions apply:
- a. Funds from the subaward will be set aside in GRANTEE's budget for the independent audit. A separate line item will be established.
  - b. GRANTEE shall enter into an agreement with an independent public accountant certified to practice in the State of California no later than sixty (60) days before the end of this AGREEMENT to perform audit of GRANTEE's fiscal year which ends concurrently with or immediately after the end of this AGREEMENT.
  - c. The audit must be completed and sent to CITY's Finance Department staff within the later of one hundred fifty (150) days of the end of this AGREEMENT or ninety (90) days after the end of GRANTEE's fiscal year.
  - d. If GRANTEE does not enter into the agreement with an independent public accountant certified to practice in the State of California, or if an audit is not completed in a timely manner, CITY, at its sole discretion, may enter into an agreement with an independent public accountant certified to practice in the State of California to perform the audit and utilize GRANTEE's set-aside funds for the audit.

- e. The independent fiscal audit shall conform to generally accepted governmental auditing principals and, when applicable, Office of Management and Super Circular, "Attachment P, Audit Requirements." Such audits shall identify the funds received and disbursed under this AGREEMENT and include the following components:
  - i. Balance sheet;
  - ii. Statement of Financial Position;
  - iii. Statement of Support, Revenue and Expenses and Changes in Fund Balances or Statement Activities;
  - iv. Statement of Functional Expenses;
  - v. Independent Auditor's Report on the Financial Statement and Schedule of Expenditures of Federal Awards;
  - vi. Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters;
  - vii. Auditor's Report on Compliance with Requirements Applicable to Major Programs and on Internal Control over Compliance;
  - viii. Schedule of Findings and Questioned Costs;
  - ix. Summary of Schedule of Prior Audit Findings;
  - x. Corrective Action Plan;
  - xi. Data Collection Form; and
  - xii. Communication of Internal Control Related Matters Identified in an Audit (Management Letter) from Auditor (if one was issued).
- f. For grantees that expend \$750,000 or more of Federal financial assistance in a fiscal year, in addition to conducting normal financial audit procedures, the GRANTEE's independent public accountant certified to practice in the State of California shall perform tests to ascertain that:
  1. Expenditures submitted for reimbursement are allowable under 2 CFR 200:
    - a. Expenditures comply with the Agreement between CITY and GRANTEE; and



- b. Applicable laws and regulations. Further, the independent public accountant certified to practice in the State of California shall render an opinion as to whether the Expenditures complied with the Single Audit Act of 1984 and Appendix XI to 2 CFR Part 200—Compliance Supplement previously known as the Circular A-133 Compliance Supplement); and
- c. Funds from the subaward may be set aside in GRANTEE's budget for a reasonable share of a Single Audit if required. A separate line item will be established.
- g. For GRANTEES that expend more than \$750,000 of financial assistance in a fiscal year, the audit shall identify in a Schedule of Governmental Financial Assistance the gross amounts of grants obtained by GRANTEE from all governmental sources, the periods covered by the grants, and the grant contract or identification number(s), if any, under which funds were received and disbursed by GRANTEE during the audited fiscal year. In addition, the Schedule of Governmental Financial Assistance shall show the amount received and disbursed under each grant during the audited fiscal year, including the amount received and disbursed under this AGREEMENT.
- h. GRANTEE's independent public accountant certified to practice in the State of California shall perform reviews of GRANTEE's internal control systems and GRANTEE's compliance with applicable laws, regulations and the requirements of this AGREEMENT.

The independent public accountant certified to practice in the State of California shall issue a report on the financial statements and the Schedule of Governmental Financial Assistance, a report on the study and evaluation of internal controls and a report on GRANTEE compliance. The three reports may be bound into a single report, or presented at the same time as separate documents.

- 5. Disallowed or Ineligible Costs. If it is determined during the course of the audit that GRANTEE was reimbursed for unallowable costs or for ineligible uses under this Agreement, GRANTEE agrees to promptly reimburse the CITY for such payments upon request.
- x. **Fiscal Responsibilities of GRANTEE.** GRANTEE shall:
  - A. Appoint and submit to CITY, the name of a fiscal agent who shall be responsible for the financial and accounting activities of the GRANTEE, including the receipt and disbursement of GRANTEE funds.
  - B. Establish and maintain a system of accounts that shall be in conformance with generally accepted principles of accounting for budgeted funds. Such system of accounts shall be subject to review and approval of CITY.

- C. Document all costs by maintaining complete and accurate records of all financial transactions, including but not limited to contracts, invoices, time cards, cash receipts, vouchers, canceled checks, bank statements and/or other official documentation evidencing in proper detail the nature and propriety of all charges.
- D. Submit to the CITY, within thirty (30) calendar days of the end of the preceding month, requests for reimbursement, together with documentation required by CITY.
- E. Certify insurability subject to CITY approval as outlined in Paragraph 11 of the Agreement, entitled "INSURANCE."
- F. Submit to CITY at such times and in such forms as CITY may require, such statements, records, reports, data, and information pertaining to matters covered by the Agreement.
- G. Administer all programs in conformance with OMB Circular A-122, "Cost Principles for Non-Profit Organizations." These principles shall be applied for all costs incurred whether charged in a direct or indirect basis.
- H. Develop an indirect cost allocation plan for determining the appropriate GRANTEE's share of administrative costs if indirect costs are charged and submit such plan to the CITY for approval in a form specified by the CITY prior to submitting reimbursement requests.

**xi. Compliance with Laws.**

- A. Federal regulations applicable to this award include, without limitation, the following:
  - i. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. Part 200, other than such provisions as Treasury may determine are inapplicable to this Award and subject to such exceptions as may be otherwise provided by Treasury. Subpart F – Audit Requirements of the Uniform Guidance, implementing the Single Audit Act, shall apply to this award.
  - ii. Universal Identifier and System for Award Management (SAM), 2 C.F.R. Part 25, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 25 is hereby incorporated by reference.
  - iii. Reporting Subaward and Executive Compensation Information, 2 C.F.R. Part 170, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 170 is hereby incorporated by reference.
  - iv. OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement), 2 C.F.R. Part 180, including the requirement to include a term or condition in all lower tier covered transactions (Agreements and Subcontractors

described in 2 C.F.R. Part 180, subpart B) that the award is subject to 2 C.F.R. Part 180 and Treasury's implementing regulation at 31 C.F.R. Part 19.

- v. Subrecipient Integrity and Performance Matters, pursuant to which the award term set forth in 2 C.F.R. Part 200, Appendix XII to Part 200 is hereby incorporated by reference.
  - vi. Government wide Requirements for Drug-Free Workplace, 31 C.F.R. Part 20.
  - vii. New Restrictions on Lobbying, 31 C.F.R. Part 21.
  - viii. Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. §§ 4601-4655) and implementing regulations.
  - ix. Generally applicable federal environmental laws and regulations.
  - x. Any other applicable law or regulation, including the Final Rule and Compliance & Reporting Guidelines, to the extent applicable, when disbursing ARPA Funds to recipients or when seeking Reimbursement from the CITY.
- B. Statutes and regulations prohibiting discrimination applicable to this award include, without limitation, the following:
- i. Title VI of the Civil Rights Act of 1964 (Title VI) Public Law 88-352, 42 U.S.C. 2000d-1 et seq., and the Department's implementing regulations, 31 CFR part 22; Section 504 of the Rehabilitation Act of 1973 (Section 504), Public Law 93-112, as amended by Public Law 93-516, 29 U.S.C. 794; Title IX of the Education Amendments of 1972 (Title IX), 20 U.S.C. 1681 et seq., and the Department's implementing regulations, 31 CFR part 28, which prohibit discrimination on the basis of race, color, or national origin under programs or activities receiving federal financial assistance;
  - ii. The Fair Housing Act, Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), which prohibits discrimination in housing on the basis of race, color, religion, national origin, sex, familial status, or disability;
  - iii. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of disability under any program or activity receiving federal financial assistance;
  - iv. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101 et seq.), and Treasury's implementing regulations at 31 C.F.R. Part 23, which prohibit discrimination on the basis of age in programs or activities receiving federal financial assistance; and
  - v. Title II of the Americans with Disabilities Act of 1990, as amended (42

U.S.C. §§ 12101 et seq.), which prohibits discrimination on the basis of disability under programs, activities, and services provided or made available by state and local governments or instrumentalities or agencies thereto.

- C. GRANTEE will also obtain and maintain all licenses and permits appropriate to its proper and effective performance of the Agreement prior to the date of commencement. GRANTEE is responsible for contacting the appropriate offices and filing the necessary documents to comply with these requirements.
- xii. **Remedial Actions.** In the event of GRANTEE's noncompliance with section 602 of the Act, other applicable laws, Treasury's implementing regulations, guidance, or any reporting or other program requirements, Treasury may impose additional conditions on the receipt of a subsequent tranche of future award funds, if any, or take other available remedies as set forth in 2 C.F.R. § 200.339. In the case of a violation of section 602(c) of the Act regarding the use of funds, previous payments shall be subject to recoupment as provided in section 602(e) of the Act and any additional payments may be subject to withholding as provided in sections 602(b)(6)(A)(ii)(III) of the Act, as applicable.
  - xiii. **Hatch Act.** GRANTEE agrees to comply, as applicable, with requirements of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by this federal assistance.
  - xiv. **False Statements.** GRANTEE understands that making false statements or claims in connection with this award is a violation of federal law and may result in criminal, civil, or administrative sanctions, including fines, imprisonment, civil damages and penalties, debarment from participating in federal awards or Agreements, and/or any other remedy available by law.
  - xv. **Publications.** Any publications produced with funds from this award must display the following language: "This project [is being] [was] supported, in whole or in part, by federal allocation number SLT-7032 allocated to the City of Alameda by the U.S. Department of the Treasury."
  - xvi. **Debts Owed the Federal Government.**
    - 1. Any funds paid to the GRANTEE (1) in excess of the amount to which GRANTEE is finally determined to be authorized to retain under the terms of this award; (2) that are determined by the Treasury Office of Inspector General to have been misused; or (3) that are determined by Treasury to be subject to a repayment obligation pursuant to sections 602(e) and 603(b)(2)(D) of the Act and have not been repaid by the GRANTEE shall constitute a debt to the federal government.
    - 2. Any debts determined to be owed to the federal government must be paid promptly by GRANTEE. A debt is delinquent if it has not been paid by the date specified in Treasury's initial written demand for payment, unless other satisfactory arrangements



have been made or if the GRANTEE knowingly or improperly retains funds that are a debt as defined in paragraph 14(a). Treasury will take any actions available to it to collect such a debt.

**xvii. Disclaimer.**

1. The United States expressly disclaims any and all responsibility or liability to GRANTEE or third persons for the actions of GRANTEE or third persons resulting in death, bodily injury, property damages, or any other losses resulting in any way from the performance of this award or any other losses resulting in any way from the performance of this award or any Agreement, or Subcontractor under this award.
2. The acceptance of this award by GRANTEE does not in any way establish an agency relationship between the United States and GRANTEE.

**xviii. Protections for Whistleblowers.**

1. In accordance with 41 U.S.C. § 4712, GRANTEE may not discharge, demote, or otherwise discriminate against an employee in reprisal for disclosing to any of the list of persons or entities provided below, information that the employee reasonably believes is evidence of gross mismanagement of a federal Agreement or grant, a gross waste of federal funds, an abuse of authority relating to a federal Agreement or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal Agreement (including the competition for or negotiation of an Agreement) or grant.
2. The list of persons and entities referenced in the paragraph above includes the following:
  - i. A member of Congress or a representative of a committee of Congress;
  - ii. An Inspector General;
  - iii. The Government Accountability Office;
  - iv. A Treasury employee responsible for Agreement or grant oversight or management;
  - v. An authorized official of the Department of Justice or other law enforcement agency;
  - vi. A court or grand jury; or
  - vii. A management official or other employee of GRANTEE, Contractor, or

Subcontractor who has the responsibility to investigate, discover, or address misconduct.

C. GRANTEE shall inform its employees in writing of the rights and remedies provided under this section, in the predominant native language of the workforce.

- xix. **Increasing Seat Belt Use in the United States.** Pursuant to Executive Order 13043, 62 FR 19217 (Apr. 18, 1997), GRANTEE should encourage its Contractors to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented or personally owned vehicles.
- xx. **Reducing Text Messaging While Driving.** Pursuant to Executive Order 13513, 74 FR 51225 (Oct. 6, 2009), GRANTEE should encourage its employees, Subrecipients, and Contractors to adopt and enforce policies that ban text messaging while driving, and GRANTEE should establish workplace safety policies to decrease accidents caused by distracted drivers.
- xxi. **Improper Influence.** Each party warrants that it did not and will not employ, retain, or contract with any person or entity on a contingent compensation basis for the purpose of seeking, obtaining, maintaining, or extending this Agreement. Each party agrees, warrants, and represents that no gratuity whatsoever has been or will offered or conferred with a view towards obtaining, maintaining, or extending this Agreement.
- xxii. **Conflict of Interest.** The elected and appointed officials and employees of the parties shall not have any personal interest, direct or indirect, which gives rise to a conflict of interest.
- xxiii. **Survival.** The provisions of this Agreement that by their sense and purpose should survive expiration or termination of the Agreement shall so survive. Those provisions include without limitation Indemnification and Maintenance and Audit of Records.
- xxiv. **Governing Law; Venue.** The Agreement will be governed in all respects by the laws of the State of California, both as to interpretation and performance, without regard to conflicts of law or choice of law provisions. Any action arising out of or in connection with the Agreement may be instituted and maintained only in a court of competent jurisdiction in Alameda County, California.
- xxv. **Binding Effect.** This Agreement shall be binding upon and inure to the benefit of the parties hereto and their respective successors.

- xxvi. **Counterparts.** This Agreement may be executed in one or more counterparts, any of which shall be deemed an original but all of which together shall constitute one and the same instrument.
- xxvii. **Authorization.** Each party signing below warrants to the other, that they have the full power and authority to execute this Agreement on behalf of the party for whom they purport to sign.

## ASSURANCES OF COMPLIANCE WITH CIVIL RIGHTS REQUIREMENTS

### ASSURANCES OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

As a condition of receipt of federal financial assistance from the Department of the Treasury, the GRANTEE provides the assurances stated herein. The federal financial assistance may include federal grants, loans and Agreements to provide assistance to the GRANTEE's beneficiaries, the use or rent of Federal land or property at below market value, Federal training, a loan of Federal personnel, subsidies, and other arrangements with the intention of providing assistance. Federal financial assistance does not encompass Agreements of guarantee or insurance, regulated programs, licenses, procurement Agreements by the Federal government at market value, or programs that provide direct benefits.

The assurances apply to all federal financial assistance from or funds made available through the Department of the Treasury, including any assistance that the GRANTEE may request in the future.

The Civil Rights Restoration Act of 1987 provides that the provisions of the assurances apply to all of the operations of the GRANTEE's program(s) and activity(ies), so long as any portion of the GRANTEE's program(s) or activity(ies) is federally assisted in the manner prescribed above.

1. GRANTEE ensures its current and future compliance with Title VI of the Civil Rights Act of 1964, as amended, which prohibits exclusion from participation, denial of the benefits of, or subjection to discrimination under programs and activities receiving federal financial assistance, of any person in the United States on the ground of race, color, or national origin (42 U.S.C. § 2000d *et seq.*), as implemented by the Department of the Treasury Title VI regulations at 31 CFR Part 22 and other pertinent executive orders such as Executive Order 13166, directives, circulars, policies, memoranda, and/or guidance documents.
2. GRANTEE acknowledges that Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency," seeks to improve access to federally assisted programs and activities for individuals who, because of national origin, have Limited English proficiency (LEP). GRANTEE understands that denying a person access to its programs, services, and activities because of LEP is a form of national origin discrimination prohibited under Title VI of the Civil Rights Act of 1964 and the Department of the Treasury's implementing regulations. Accordingly, GRANTEE shall initiate reasonable steps, or comply with the Department of the Treasury's directives, to ensure that LEP persons have meaningful access to its programs, services, and activities. GRANTEE understands and agrees that meaningful access may entail providing language assistance services, including oral interpretation and written translation where necessary, to ensure effective communication in the GRANTEE's programs, services, and activities.
3. GRANTEE agrees to consider the need for language services for LEP persons when GRANTEE develops applicable budgets and conducts programs, services, and activities.



As a resource, the Department of the Treasury has published its LEP guidance at 70 FR 6067. For more information on taking reasonable steps to provide meaningful access for LEP persons, please visit <http://www.lep.gov>.

4. GRANTEE acknowledges and agrees that compliance with the assurances constitutes a condition of continued receipt of federal financial assistance and is binding upon GRANTEE and GRANTEE's successors, transferees, and assignees for the period in which such assistance is provided.
5. GRANTEE acknowledges and agrees that it must require any sub-grantees, contractors, subcontractors, successors, transferees, and assignees to comply with assurances 1-4 above, and agrees to incorporate the following language in every Agreement or agreement subject to Title VI and its regulations between the GRANTEE and the GRANTEE's sub-grantees, Contractors, Subcontractors, successors, transferees, and assignees:

*The sub-grantee, Contractor, Subcontractor, successor, transferee, and assignee shall comply with Title VI of the Civil Rights Act of 1964, which prohibits GRANTEE's of federal financial assistance from excluding from a program or activity, denying benefits of, or otherwise discriminating against a person on the basis of race, color, or national origin (42 U.S.C. § 2000d et seq.), as implemented by the Department of the Treasury's Title VI regulations, 31 CFR Part 22, which are herein incorporated by reference and made a part of this Agreement (or agreement). Title VI also includes protection to persons with "Limited English Proficiency" in any program or activity receiving federal financial assistance, 42*

*U.S.C. § 2000d et seq., as implemented by the Department of the Treasury's Title VI regulations, 31 CFR Part 22, and herein incorporated by reference and made a part of this Agreement or agreement.*

6. GRANTEE understands and agrees that if any real property or structure is provided or improved with the aid of federal financial assistance by the Department of the Treasury, this assurance obligates the GRANTEE, or in the case of a subsequent transfer, the transferee, for the period during which the real property or structure is used for a purpose for which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is provided, this assurance obligates the GRANTEE for the period during which it retains ownership or possession of the property.
7. GRANTEE shall cooperate in any enforcement or compliance review activities by the Department of the Treasury of the aforementioned obligations. Enforcement may include investigation, arbitration, mediation, litigation, and monitoring of any settlement agreements that may result from these actions. The GRANTEE shall comply with information requests, on-site compliance reviews and reporting requirements.
8. GRANTEE shall maintain a complaint log and inform the Department of the Treasury of any complaints of discrimination on the grounds of race, color, or national origin, and limited English proficiency covered by Title VI of the Civil Rights Act of 1964 and implementing regulations and provide, upon request, a list of all such reviews or proceedings based on the

complaint, pending or completed, including outcome. GRANTEE also must inform the Department of the Treasury if GRANTEE has received no complaints under Title VI.

9. GRANTEE must provide documentation of an administrative agency's or court's findings of non-compliance of Title VI and efforts to address the non-compliance, including any voluntary compliance or other agreements between the GRANTEE and the administrative agency that made the finding. If the GRANTEE settles a case or matter alleging such discrimination, the GRANTEE must provide documentation of the settlement. If GRANTEE has not been the subject of any court or administrative agency finding of discrimination, please so state.
10. If the GRANTEE makes sub-awards to other agencies or other entities, the GRANTEE is responsible for ensuring that sub-grantees also comply with Title VI and other applicable authorities covered in this document State agencies that make sub-awards must have in place standard grant assurances and review procedures to demonstrate that that they are effectively monitoring the civil rights compliance of sub- GRANTEES.

The United States of America has the right to seek judicial enforcement of the terms of this assurances document and nothing in this document alters or limits the federal enforcement measures that the United States may take in order to address violations of this document or applicable federal law.

**EXHIBIT D**  
**SUBRECIPIENT DISCLOSURES PER 2 CFR SECTION 200.331**

**Fiscal Year:** 2022-2023  
**Agency Name:** U.S Department of Treasury  
**Program Name:** City of Alameda Guaranteed Income Pilot Program  
**Amount of Grant:** \$309,940

CFDA Number	No. 21.027
CFDA Title	Coronavirus State and Local Fiscal Recovery Fund
Name of Federal Agency	U.S. Department of Treasury
Unique Entity Identifier/UEI	C9S1NLQ67626
Subrecipient Name	Abt Associates
Federal Award Date (Date of award to City by Treasury)	March 11, 2021
Federal Award Identification Number	SLT-7032
Subaward Period of Performance Start and End Date	_____ 2022 to May 30, 2026
Federal Funds Obligated by this Agreement	\$309,940

## **Certification of Compliance With the City of Alameda's Vaccination Requirement**

The City of Alameda ("City") requires all individuals who perform work for the City to be fully vaccinated<sup>1</sup> against COVID-19. All service providers and contractors for the City must sign the following statement certifying compliance with this requirement.

---

By signing below, I certify that all of our personnel who are performing work for the City are fully vaccinated against COVID-19. I also acknowledge that the City reserves the right to review any relevant records to demonstrate our compliance with this requirement.

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

Abt Associates

Date: 11/30/22

Meryl Finkel (signed digitally)

By: Meryl Finkel, Ph.D.

Its Account Lead: Housing and Communities

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<sup>1</sup> For the purposes of this Certification of Compliance, an individual is considered to be fully vaccinated if two weeks have passed since their second dose in a 2-dose series (such as the Pfizer or Moderna vaccines) or if two weeks have passed since receiving their single-dose vaccine (such as Johnson & Johnson's Janssen vaccine).





# CERTIFICATE OF LIABILITY INSURANCE

 DATE (MM/DD/YYYY)  
10/17/2022

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 have ADDITIONAL INSURED provisions or 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 Towers Watson Northeast, Inc. c/o 26 Century Blvd P.O. Box 305191 Nashville, TN 372305191 USA	<b>CONTACT</b> NAME: Willis Towers Watson Certificate Center PHONE (A/C No. Ext): 1-877-945-7378 FAX (A/C No): 1-888-467-2378 E-MAIL: certificates@willis.com ADDRESS:														
<b>INSURED</b> Abt Associates Inc. 10 Fawcett St. Cambridge, MA 02138	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">INSURER(S) AFFORDING COVERAGE</th> <th style="text-align: left;">NAIC #</th> </tr> </thead> <tbody> <tr> <td>INSURER A: Hartford Underwriters Insurance Company</td> <td>30104</td> </tr> <tr> <td>INSURER B: Hartford Casualty Insurance Company</td> <td>29424</td> </tr> <tr> <td>INSURER C: Twin City Fire Insurance Company</td> <td>29459</td> </tr> <tr> <td>INSURER D: ACE American Insurance Company</td> <td>22667</td> </tr> <tr> <td>INSURER E:</td> <td></td> </tr> <tr> <td>INSURER F:</td> <td></td> </tr> </tbody> </table>	INSURER(S) AFFORDING COVERAGE	NAIC #	INSURER A: Hartford Underwriters Insurance Company	30104	INSURER B: Hartford Casualty Insurance Company	29424	INSURER C: Twin City Fire Insurance Company	29459	INSURER D: ACE American Insurance Company	22667	INSURER E:		INSURER F:	
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INSURER C: Twin City Fire Insurance Company	29459														
INSURER D: ACE American Insurance Company	22667														
INSURER E:															
INSURER F:															

**COVERAGES**
**CERTIFICATE NUMBER:** W26310593

**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
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY					
	CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR					
			08 UEN BA5241	12/31/2021	12/31/2022	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000 MED EXP (Any one person) \$ 10,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMP/OP AGG \$ 2,000,000
	GEN'L AGGREGATE LIMIT APPLIES PER: POLICY <input type="checkbox"/> PRO-JECT <input checked="" type="checkbox"/> LOC OTHER:					
B	<b>AUTOMOBILE LIABILITY</b>					
	ANY AUTO:					
	OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS NON-OWNED AUTOS ONLY <input checked="" type="checkbox"/>		08 UEN BA5239	12/31/2021	12/31/2022	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$
	HIRED AUTOS ONLY <input checked="" type="checkbox"/>					
B	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR					
	EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE		08 RHU BA6260	12/31/2021	12/31/2022	EACH OCCURRENCE \$ 2,000,000 AGGREGATE \$ 2,000,000
	DED <input checked="" type="checkbox"/> RETENTION \$ 10,000					
C	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b>					
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)	Y/N <input type="checkbox"/>	08 WB CT5395	12/31/2021	12/31/2022	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000
	If yes, describe under DESCRIPTION OF OPERATIONS below:	N/A				
D	<b>Professional Liability</b>		D95694731 016	12/31/2021	12/31/2022	Each Claim \$2,000,000 Aggregate \$2,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

Certificate Holder is included as an Additional Insured as respects to General Liability and Auto Liability.

OK LKC

**CERTIFICATE HOLDER**
**CANCELLATION**

City of Alameda Attn: Risk Manager Community Development Department 950 West Mall Square 2nd Floor Alameda, CA 94501	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.  AUTHORIZED REPRESENTATIVE 
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Broker Notation: Policy #08 UEN BA5241



**THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.**

## **NOTICE OF CANCELLATION TO CERTIFICATE HOLDER(S)**

This policy is subject to the following additional Conditions:

- A.** If this policy is cancelled by the Company, other than for nonpayment of premium, notice of such cancellation will be provided at least thirty (30) days in advance of the cancellation effective date to the certificate holder(s) with mailing addresses on file with the agent of record or the Company.
- B.** If this policy is cancelled by the Company for nonpayment of premium, or by the insured, notice of such cancellation will be provided within (10) days of the cancellation effective date to the certificate holder(s) with mailing addresses on file with the agent of record or the Company.

If notice is mailed, proof of mailing to the last known mailing address of the certificate holder(s) on file with the agent of record or the Company will be sufficient proof of notice.

Any notification rights provided by this endorsement apply only to active certificate holder(s) who were issued a certificate of insurance applicable to this policy's term.

Failure to provide such notice to the certificate holder(s) will not amend or extend the date the cancellation becomes effective, nor will it negate cancellation of the policy. Failure to send notice shall impose no liability of any kind upon the Company or its agents or representatives.



**THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.**

## **NOTICE OF CANCELLATION TO CERTIFICATE HOLDER(S)**

This policy is subject to the following additional Conditions:

- A.** If this policy is cancelled by the Company, other than for nonpayment of premium, notice of such cancellation will be provided at least thirty (30) days in advance of the cancellation effective date to the certificate holder(s) with mailing addresses on file with the agent of record or the Company.
- B.** If this policy is cancelled by the Company for nonpayment of premium, or by the insured, notice of such cancellation will be provided within (10) days of the cancellation effective date to the certificate holder(s) with mailing addresses on file with the agent of record or the Company.

If notice is mailed, proof of mailing to the last known mailing address of the certificate holder(s) on file with the agent of record or the Company will be sufficient proof of notice.

Any notification rights provided by this endorsement apply only to active certificate holder(s) who were issued a certificate of insurance applicable to this policy's term.

Failure to provide such notice to the certificate holder(s) will not amend or extend the date the cancellation becomes effective, nor will it negate cancellation of the policy. Failure to send notice shall impose no liability of any kind upon the Company or its agents or representatives.



Form **W-9**  
(Rev. October 2018)  
Department of the Treasury  
Internal Revenue Service

# Request for Taxpayer Identification Number and Certification

► Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

Give Form to the  
requester. Do not  
send to the IRS.

Print or type.  
See Specific Instructions on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

**Abt Associates Inc.**

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ►

**Note:** Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) ►

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) \_\_\_\_\_

Exemption from FATCA reporting code (if any) \_\_\_\_\_

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

**6130 Executive Blvd.**

6 City, state, and ZIP code

**Rockville, MD 20852**

7 List account number(s) here (optional)

Requester's name and address (optional)

## Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

			-			-				
--	--	--	---	--	--	---	--	--	--	--

or

Employer identification number

0	4	-	2	3	4	7	6	4	3
---	---	---	---	---	---	---	---	---	---

## Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign  
Here

Signature of  
U.S. person ►

**Melissa B.  
Ashcraft**

Digitally signed by Melissa B.  
Ashcraft  
Date: 2022.07.06 18:13:44  
0499

Date ►

## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

## Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
  - Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
  - Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
  - Form 1099-S (proceeds from real estate transactions)
  - Form 1099-K (merchant card and third party network transactions)
  - Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
  - Form 1099-C (canceled debt)
  - Form 1099-A (acquisition or abandonment of secured property)
- Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.
- If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.



By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**Note:** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note: ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

### Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

### Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

### Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

#### Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note:** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

## Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

## Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note:** See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://www.SSA.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/Businesses](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.



**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor <sup>4</sup>
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

**\*Note:** The grantor also must provide a Form W-9 to trustee of trust.

**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

## Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN.
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

### Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.



The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at [spam@uce.gov](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.