

**ADAMS COUNTY  
PROFESSIONAL SERVICE AGREEMENT**

THIS AGREEMENT ("Agreement") is made this 17 day of November 2017, by and between the Adams County Board of County Commissioners, located at 4430 South Adams County Parkway, Brighton, Colorado 80601, hereinafter referred to as the "County," and Community Reach Center, Inc., located at 1870 W. 122<sup>nd</sup> Avenue, Westminster, Colorado 80234, hereinafter referred to as the "Contractor." The County and the Contractor may be collectively referred to herein as the "Parties".

The County and the Contractor, for the consideration herein set forth, agree as follows:

**1. SERVICES OF THE CONTRACTOR:**

- 1.1. All work for the creation of a web dashboard as part of the greater Community Justice Coordinating Council project, shall be in accordance with the Project Budget Estimate and the Scope of Work attached hereto as Exhibit A, and incorporated herein by reference. Should there be any discrepancy between Exhibit A and this Agreement the terms and conditions of this Agreement shall prevail.
- 1.2. Emergency Services: In the event the Adams County Board of County Commissioners declares an emergency, the County may request additional services (of the type described in this Agreement or otherwise within the expertise of the Contractor) to be performed by the Contractor. If the County requests such additional services, the Contractor shall provide such services in a timely fashion given the nature of the emergency, pursuant to the terms of this Agreement. Unless otherwise agreed to in writing by the parties, the Contractor shall bill for such services at the rates provided for in this Agreement.

**2. RESPONSIBILITIES OF THE COUNTY:** The County shall provide information as necessary or requested by the Contractor to enable the Contractor's performance under this Agreement.

**3. TERM:**

- 3.1. Term of Agreement: The Term of this Agreement shall be for one-year from the date of agreement execution.
- 3.2. Renewal Option: The County, at its sole option, may offer to renew this Agreement as necessary for up to two, one year renewals providing satisfactory service is given and all terms and conditions of this Agreement have been fulfilled. Such renewals must be mutually agreed upon in writing by the County and the Contractor.

**4. PAYMENT AND FEE SCHEDULE:** The County shall pay the Contractor for services furnished under this Agreement, and the Contractor shall accept as full payment for those services, the sum of twenty thousand dollars and zero cents (\$20,000.00).

4.1. Payment pursuant to this Agreement, whether in full or in part, is subject to and contingent upon the continuing availability of County funds for the purposes hereof. In the event that funds become unavailable, as determined by the County, the County may immediately terminate this Agreement or amend it accordingly.

5. **INDEPENDENT CONTRACTOR:** In providing services under this Agreement, the Contractor acts as an independent contractor and not as an employee of the County. The Contractor shall be solely and entirely responsible for his/her acts and the acts of his/her employees, agents, servants, and subcontractors during the term and performance of this Agreement. No employee, agent, servant, or subcontractor of the Contractor shall be deemed to be an employee, agent, or servant of the County because of the performance of any services or work under this Agreement. The Contractor, at its expense, shall procure and maintain workers' compensation insurance as required by law. **Pursuant to the Workers' Compensation Act § 8-40-202(2)(b)(IV), C.R.S., as amended, the Contractor understands that it and its employees and servants are not entitled to workers' compensation benefits from the County. The Contractor further understands that it is solely obligated for the payment of federal and state income tax on any moneys earned pursuant to this Agreement.**

6. **NONDISCRIMINATION:**

6.1. **The Contractor shall not discriminate against any employee or qualified applicant for employment because of age, race, color, religion, marital status, disability, sex, or national origin. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices provided by the local public agency setting forth the provisions of this nondiscrimination clause. Adams County is an equal opportunity employer.**

6.1.1. The Contractor will cause the foregoing provisions to be inserted in all subcontracts for any work covered by this Agreement so that such provisions will be binding upon each subcontractor, provided that the foregoing provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials.

7. **INDEMNIFICATION:** The Contractor agrees to indemnify and hold harmless the County, its officers, agents, and employees for, from, and against any and all claims, suits, expenses, damages, or other liabilities, including reasonable attorney fees and court costs, arising out of damage or injury to persons, entities, or property, caused or sustained by any person(s) as a result of the Contractor's performance or failure to perform pursuant to the terms of this Agreement or as a result of any subcontractors' performance or failure to perform pursuant to the terms of this Agreement.

8. **INSURANCE:** The Contractor agrees to maintain insurance of the following types and amounts:

8.1. Commercial General Liability Insurance: to include products liability, completed operations, contractual, broad form property damage and personal injury.

8.1.1. Each Occurrence: \$1,000,000

8.1.2. General Aggregate: \$2,000,000

8.2. Comprehensive Automobile Liability Insurance: to include all motor vehicles owned, hired, leased, or borrowed.

8.2.1. Bodily Injury/Property Damage: \$1,000,000 (each accident)

8.2.2. Personal Injury Protection: Per Colorado Statutes

8.3. Workers' Compensation Insurance: Per Colorado Statutes

8.4. Professional Liability Insurance: to include coverage for damages or claims for damages arising out of the rendering, or failure to render, any professional services, as applicable.

8.4.1. Each Occurrence: \$1,000,000

8.4.2. This insurance requirement applies only to the Contractors who are performing services under this Agreement as professionals licensed under the laws of the State of Colorado, such as physicians, lawyers, engineers, nurses, mental health providers, and any other licensed professionals.

8.5. Adams County as "Additional Insured": The Contractor's commercial general liability, and comprehensive automobile liability, insurance policies and/or certificates of insurance shall be issued to include Adams County as an "additional insured" and shall include the following provisions:

8.5.1. Underwriters shall have no right of recovery or subrogation against the County, it being the intent of the parties that the insurance policies so affected shall protect both parties and be primary coverage for any and all losses resulting from the actions or negligence of the Contractor.

8.5.2. The insurance companies issuing the policy or policies shall have no recourse against the County for payment of any premiums due or for any assessments under any form of any policy.

8.5.3. Any and all deductibles contained in any insurance policy shall be assumed by and at the sole risk of the Contractor.

8.6. Licensed Insurers: All insurers of the Contractor must be licensed or approved to do business in the State of Colorado. Upon failure of the Contractor to furnish, deliver and/or maintain such insurance as provided herein, this Agreement, at the election of the County, may be immediately declared

suspended, discontinued, or terminated. Failure of the Contractor in obtaining and/or maintaining any required insurance shall not relieve the Contractor from any liability under this Agreement, nor shall the insurance requirements be construed to conflict with the obligations of the Contractor concerning indemnification.

8.7. Endorsement: Each insurance policy herein required shall be endorsed to state that coverage shall not be suspended, voided, or canceled without thirty (30) days prior written notice by certified mail, return receipt requested, to the County.

8.8. Proof of Insurance: At any time during the term of this Agreement, the County may require the Contractor to provide proof of the insurance coverage or policies required under this Agreement.

## **9. DAMAGES ARISING FROM BREACH OF PERFORMANCE OBLIGATIONS**

9.1. Notwithstanding anything else set forth in this Agreement, if Contractor fails to comply with all terms of this contract, including but not limited to, its obligation to perform its work in a workmanlike manner in accordance with all codes, plans, specifications and industry standards, Contractor shall be liable to County for all damages arising from the breach, including but not limited to, all attorney fees, costs and other damages.

## **10. WARRANTY:**

10.1. The Contractor warrants and guarantees to the County that all work, equipment, and materials furnished under the Agreement are free from defects in workmanship and materials for a period of one year after final acceptance by the County. The Contractor further warrants and guarantees that the plans and specifications incorporated herein are free of fault and defect sufficient for Contractor to warrant the finished product after completion date. Should the Contractor fail to proceed promptly in accordance with this guarantee, the County may have such work performed at the expense of the Contractor. This section does not relieve the Contractor from liability for defects that become known after one year.

## **11. TERMINATION:**

11.1. For Cause: If, through any cause, the Contractor fails to fulfill its obligations under this Agreement in a timely and proper manner, or if the Contractor violates any of the covenants, conditions, or stipulations of this Agreement, the County shall thereupon have the right to immediately terminate this Agreement, upon giving written notice to the Contractor of such termination and specifying the effective date thereof.

11.2. For Convenience: The County may terminate this Agreement at any time by giving written notice as specified herein to the other party, which notice shall be



given at least thirty (30) days prior to the effective date of the termination. If this Agreement is terminated by the County, the Contractor will be paid an amount that bears the same ratio to the total compensation as the services actually performed bear to the total services the Contractor was to perform under this Agreement, less payments previously made to the Contractor under this Agreement.

## **12. MUTUAL UNDERSTANDINGS:**

- 12.1. Jurisdiction and Venue: The laws of the State of Colorado shall govern as to the interpretation, validity, and effect of this Agreement. The parties agree that jurisdiction and venue for any disputes arising under this Agreement shall be with Adams County, Colorado.
- 12.2. Compliance with Laws: During the performance of this Agreement, the Contractor agrees to strictly adhere to all applicable federal, state, and local laws, rules and regulations, including all licensing and permit requirements. The parties hereto aver that they are familiar with § 18-8-301, et seq., C.R.S. (Bribery and Corrupt Influences), as amended, and § 18-8-401, et seq., C.R.S. (Abuse of Public Office), as amended, , the Clean Air Act (42 U.S.C. 7401-7671q), and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended, and that no violation of such provisions are present. The Contractor warrants that it is in compliance with the residency requirements in §§ 8-17.5-101, et seq., C.R.S. Without limiting the generality of the foregoing, the Contractor expressly agrees to comply with the privacy and security requirements of the Health Insurance Portability and Accountability Act of 1996 (HIPAA).
- 12.3. OSHA: The Contractor shall comply with the requirements of the Occupational Safety and Health Act (OSHA) and shall review and comply with the County's safety regulations while on any County property. Failure to comply with any applicable federal, state or local law, rule, or regulation shall give the County the right to terminate this agreement for cause.
- 12.4. Record Retention: The Contractor shall maintain records and documentation of the services provided under this Agreement, including fiscal records, and shall retain the records for a period of three (3) years from the date this Agreement is terminated. Said records and documents shall be subject at all reasonable times to inspection, review, or audit by authorized Federal, State, or County personnel.
- 12.5. Assignability: Neither this Agreement, nor any rights hereunder, in whole or in part, shall be assignable or otherwise transferable by the Contractor without the prior written consent of the County.
- 12.6. Waiver: Waiver of strict performance or the breach of any provision of this Agreement shall not be deemed a waiver, nor shall it prejudice the waiving party's right to require strict performance of the same provision, or any other

provision in the future, unless such waiver has rendered future performance commercially impossible.

12.7. Force Majeure: Neither party shall be liable for any delay or failure to perform its obligations hereunder to the extent that such delay or failure is caused by a force or event beyond the control of such party including, without limitation, war, embargoes, strikes, governmental restrictions, riots, fires, floods, earthquakes, or other acts of God.

12.8. Notice: Any notices given under this Agreement are deemed to have been received and to be effective:

1) Three (3) days after the same shall have been mailed by certified mail, return receipt requested;

2) Immediately upon hand delivery; or

3) Immediately upon receipt of confirmation that an E-mail was received. For the purposes of this Agreement, any and all notices shall be addressed to the contacts listed below:

Department: Adams County Community Justice Coordinating Council  
Contact: Debbie Allen  
Address: 150 North 19<sup>th</sup> Avenue  
City, State, Zip: Brighton, Colorado 80601  
Phone: 720.523.6332  
E-mail: DAllen@adcogov.org

Department: Adams County Purchasing  
Contact: Shawn Hartmann  
Address: 4430 South Adams County Parkway  
City, State, Zip: Brighton, Colorado 80601  
Phone: 720.523.6279  
E-mail: SHartmann@adcogov.org

Department: Adams County Attorney's Office  
Address: 4430 South Adams County Parkway  
City, State, Zip: Brighton, Colorado 80601  
Phone: 720.523.6116

Contractor: Community Reach Center, Inc.  
Contact: Rick Doucet  
Address: 1870 W. 122<sup>nd</sup> Avenue  
City, State, Zip: Westminster, Colorado 80234  
Phone: 303.853.3454  
E-mail: v.esposito@communityreachcenter.org

12.9. Integration of Understanding: This Agreement contains the entire understanding of the parties hereto and neither it, nor the rights and obligations

hereunder, may be changed, modified, or waived except by an instrument in writing that is signed by the parties hereto.

- 12.10. Severability: If any provision of this Agreement is determined to be unenforceable or invalid for any reason, the remainder of this Agreement shall remain in effect, unless otherwise terminated in accordance with the terms contained herein.
- 12.11. Authorization: Each party represents and warrants that it has the power and ability to enter into this Agreement, to grant the rights granted herein, and to perform the duties and obligations herein described.
- 12.12. Confidentiality: All documentation related to this Agreement will become the property of Adams County. All documentation maintained or kept by Adams County shall be subject to the Colorado Open Records Act, C.R.S. 24-72-201 *et seq.* ("CORA"). The County does not guarantee the confidentiality of any records.

### **13. AMENDMENTS, CHANGE ORDERS OR EXTENSIONS:**

- 13.1. Amendments or Change Orders: The County may, from time to time, require changes in the scope of the services of the Contractor to be performed herein including, but not limited to, additional instructions, additional work, and the omission of work previously ordered. The Contractor shall be compensated for all authorized changes in services, pursuant to the applicable provision in the Solicitation, or, if no provision exists, pursuant to the terms of the Amendment or Change Order.
- 13.2. Extensions: The County may, upon mutual written agreement by the parties, extend the time of completion of services to be performed by the Contractor.

### **14. COMPLIANCE WITH C.R.S. § 8-17.5-101, ET. SEQ. AS AMENDED 5/13/08:** Pursuant to Colorado Revised Statute (C.R.S.), § 8-17.5-101, *et. seq.*, as amended May 13, 2008, the Contractor shall meet the following requirements prior to signing this Agreement (public contract for service) and for the duration thereof:

- 14.1. The Contractor shall certify participation in the E-Verify Program (the electronic employment verification program that is authorized in 8 U.S.C. § 1324a and jointly administered by the United States Department of Homeland Security and the Social Security Administration, or its successor program) or the Department Program (the employment verification program established by the Colorado Department of Labor and Employment pursuant to C.R.S. § 8-17.5-102(5)) on the attached certification.
- 14.2. The Contractor shall not knowingly employ or contract with an illegal alien to perform work under this public contract for services.
- 14.3. The Contractor shall not enter into a contract with a subcontractor that fails to certify to the Contractor that the subcontractor shall not knowingly employ or

contract with an illegal alien to perform work under this public contract for services.

- 14.4. At the time of signing this public contract for services, the Contractor has confirmed the employment eligibility of all employees who are newly hired for employment to perform work under this public contract for services through participation in either the E-Verify Program or the Department Program.
- 14.5. The Contractor shall not use either the E-Verify Program or the Department Program procedures to undertake pre-employment screening of job applicants while this public contract for services is being performed.
- 14.6. If the Contractor obtains actual knowledge that a subcontractor performing work under this public contract for services knowingly employs or contracts with an illegal alien, the Contractor shall: notify the subcontractor and the County within three (3) days that the Contractor has actual knowledge that the subcontractor is employing or contracting with an illegal alien; and terminate the subcontract with the subcontractor if within three days of receiving the notice required pursuant to the previous paragraph, the subcontractor does not stop employing or contracting with the illegal alien; except that the Contractor shall not terminate the contract with the subcontractor if during such three (3) days the subcontractor provides information to establish that the subcontractor has not knowingly employed or contracted with an illegal alien.
- 14.7. Contractor shall comply with any reasonable requests by the Department of Labor and Employment (the Department) made in the course of an investigation that the Department is undertaking pursuant to the authority established in C.R.S. § 8-17.5-102(5).
- 14.8. If Contractor violates this Section, of this Agreement, the County may terminate this Agreement for breach of contract. If the Agreement is so terminated, the Contractor shall be liable for actual and consequential damages to the County.

REMAINDER OF THIS PAGE LEFT BLANK INTENTIONALLY



IN WITNESS WHEREOF, the Parties have caused their names to be affixed hereto:

**County Manager**



Raymond H. Gonzales, County Manager

11-17-2017

Date

**Community Reach Center, Inc.**



Signature

11/13/17

Date

Rick Doucet

Printed Name

CEO

Title

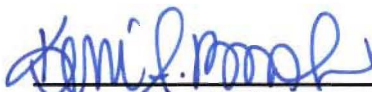
**Attest:**

Stan Martin, Clerk and Recorder



Deputy Clerk

Approved as to Form:



Adams County Attorney's Office

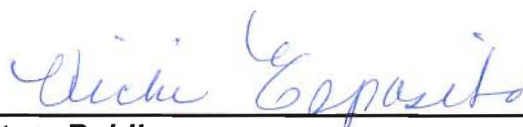
**NOTARIZATION OF CONTRACTOR'S SIGNATURE:**

COUNTY OF Adams)

STATE OF Colorado) SS.

Signed and sworn to before me this 13<sup>th</sup> day of November, 2017,

by Rick Doucet,



Notary Public

VICKI ESPOSITO  
NOTARY PUBLIC  
STATE OF COLORADO  
NOTARY ID 20064045359  
MY COMMISSION EXPIRES NOVEMBER 3, 2018

My commission expires on: 11/03/2018

## CONTRACTOR'S CERTIFICATION OF COMPLIANCE

Pursuant to Colorado Revised Statute, § 8-17.5-101, *et. seq.*, as amended 5/13/08, as a prerequisite to entering into a contract for services with Adams County, Colorado, the undersigned Contractor hereby certifies that at the time of this certification, Contractor does not knowingly employ or contract with an illegal alien who will perform work under the attached contract for services and that the Contractor will participate in the E-Verify Program or Department program, as those terms are defined in C.R.S. § 8-17.5-101, *et. seq.* in order to confirm the employment eligibility of all employees who are newly hired for employment to perform work under the attached contract for services.

### CONTRACTOR:

COMMUNITY REACH CENTER  
\_\_\_\_\_  
Company Name

11/13/17  
\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

Rick Doucet  
\_\_\_\_\_  
Name (Print or Type)

CEO  
\_\_\_\_\_  
Title

Note: Registration for the E-Verify Program can be completed at:  
<https://www.vis-dhs.com/employerregistration>.

It is recommended that employers review the sample "memorandum of understanding" available at the website prior to registering

**Adams County/Community Reach Center**  
**Professional Services Agreement**  
**MacArthur Project**  
**Invoice/Budget**  
**1/1/17-6/30/18**

	<b>Hours</b>	<b>Brief Description</b>	<b>Rate</b>	
		Input on Business Needs &		
<b>CRC Clinical Director</b>	24	coordination efforts	160	3,840
		Input on Technical Infrastructure and		
<b>CRC CIO</b>	88	development	160	14,080
<b>CRC COO</b>	4	Input on Business Needs	160	640
		Input on Fiscal Impact and Business		
<b>CRC CFO</b>	4.5	needs	160	720
		Input on Business Needs &		
<b>CRC Legal</b>	4.5	coordination efforts	160	720
<b>TOTAL</b>	<b>125</b>		<b>\$</b>	<b>20,000</b>

**1. SERVICES OF THE CONTRACTOR:**

- 1.1. All project-specific work shall be in accordance with the project scope outlined in the Project Charter: *Adams County Criminal Justice Coordinating Council (CJCC) – Justice and Health Dashboard with an Analytics Toolset, SIM 0 & 1.*
- 1.2. The scope of project-specific work performed by CRC can be in the areas of legal, programmatic, information technology and fiscal with the majority of the hours being devoted to information technology.
- 1.3. CRC shall submit quarterly fiscal and programmatic reports from January 2017-June 2018. All reports should be submitted in a timely fashion to the Project Director, which is identified as the CJCC Chief Justice Planning Officer. Submissions should be sent via email.

**2. RESPONSIBILITIES OF THE COUNTY:** The County shall provide information as necessary or requested by the Contractor to enable the Contractor's performance under this Agreement.



**SUBGRANT AGREEMENT NO. 09258-000-00-AC-01**

**BETWEEN**

**THE URBAN INSTITUTE**

**AND**

**ADAMS COUNTY**

**THROUGH FUNDS PROVIDED BY**

**JOHN D. AND CATHERINE T. MACARTHUR FOUNDATION**

Subgrant No.: 09258-000-00-AC-01

Urban Project No.: 09258-000-00

Urban Project Title: Safety and Justice Challenge Network Innovation Fund

Total Subgrant Amount: \$50,000

**Grantor:**

The Urban Institute  
Office of Grants, Contracts, Pricing &  
Purchasing  
2100 M Street, NW  
Washington, DC 20037-1207  
Attn: Nicole S. Rivera, Interim Subcontracts Manager  
Tel: 202 261 5336  
E-mail: [Nrivera@urban.org](mailto:Nrivera@urban.org)

**Grantee:**

Adams County  
4430 South Adams County Parkway  
Brighton, CO, 80601-8218  
Attn: Todd Leopold, County Manager  
Tel: 720-523-6864  
e-mail: [tleopold@adcogov.org](mailto:tleopold@adcogov.org)  
DUNS No. 07-647-6373

**Awarding Institution:** John D. and Catherine T. MacArthur Foundation, Foundation  
Grant No. 16-1512-150472-CJ

This Agreement, which shall constitute a subgrant (Subgrant) under the foundation grant no. 16-1512-150472-CJ (Prime Award) with John D. and Catherine T. MacArthur Foundation (Client) is entered into by and between The Urban Institute (Grantor), a non-profit organization organized and existing under the laws of Delaware, having its principal place of business at 2100 M Street, NW, Washington, DC 20037-1207, and the Adams County (Grantee), a local government entity having its principal place of business 4430 South Adams County Parkway, Brighton, CO, 80601-8218.

### PART I - SUBGRANT SCHEDULE

1. **Purpose:** The purpose of this Subgrant is to fund Grantee's assistance in implementing bold and innovative ideas to reduce over-incarceration in jails and build capacity for future system change. This effort shall be carried out generally as set forth in Appendix A of this Agreement.
2. **Term.** The term of this Subgrant shall be from January 1, 2017 through March 31, 2018 unless amended by written agreement.
3. **Subgrant Funding.** The Subgrant is fully funded in the amount of \$50,000. Grantor's obligation to make payments to the Grantee is limited to only those funds obligated by this Subgrant or by modification of this Subgrant. Subject to availability of funds and continued satisfactory progress on the Subgrant as determined by Grantor, Grantor agrees to provide funding in disbursements according to the following schedule:  
  
Disbursement 1:                      \$50,000 paid upon execution of this Subgrant
4. **Invoice.** (a) To request a disbursement of funds, the Grantee shall submit an original and two ink-signed copies of a proper invoice to:

The Urban Institute  
Attn: Accounting Department  
2100 M Street, NW, Suite 500  
Washington, DC 20037

Alternatively, Grantor may email invoices as an attached file in Portable Document Format (PDF) to Urban Accounts Payable department at "accountspayable@urban.org"; the subject line should reference the Subgrant Number on the Summary of Subgrant cover page.

(b) A proper invoice shall be numbered sequentially and shall contain the following information:

- 1) Name and address of Grantee;
- 2) Invoice date and installment covered by the invoice;
- 3) Subgrant number and Urban project number;
- 4) Amount of disbursement(s);
- 5) Name, address and telephone number of Subgrant official to whom payment is to be sent (if payment is to be sent to a bank account, provide complete account number, bank's routing number and address);
- 6) Name (where practicable), title, telephone number and mailing address or person to be notified in the event of defective invoice;
- 7) Any other information or documentation required under other requirements of this Subgrant.

**5. Terms and Conditions.** This Subgrant is subject to the terms and conditions set forth in the Part II, entitled "Subgrant General Terms and Conditions" and to any special terms and conditions in this Subgrant Schedule.

**6. Subgrant Administrator.** The Grantor's Subgrant Administrator Officer for this Subgrant is Nicole S. Rivera, Interim Subcontracts Manager, Office of Grants, Contracts, Purchasing, and Pricing, telephone (202) 261- 5336, e-mail: [Nrivera@urban.org](mailto:Nrivera@urban.org). Said individual is Grantor's duly authorized representative.

**7. Subgrant Technical Officer.** The Grantor's Technical Officer for this Subgrant is Jesse Jannetta, Senior Research Associate, telephone (202) 261- 5593, e-mail: [JJannetta@urban.org](mailto:JJannetta@urban.org).

**8. Grantee's Duly Authorized Representative.** The Grantee's Duly Authorized Representative for this Subgrant is Todd Leopold, County Manager, telephone: (720) 523-6864, e-mail: [tleopold@adcogov.org](mailto:tleopold@adcogov.org). This individual is authorized to request Subgrant funds from the Grantor.

**9. Grantee's Contractual Officer.** The Grantee's Contractual Officer under this Subgrant is also the Grantee's Duly Authorized Representative. This individual is authorized to request Subgrant funds from the Grantor.

**10. Grantee Technical Officer.** The Grantee's Technical Officer under this Subgrant is Debbie Allen, Chief Justice Planning Officer, telephone: (720) 523-6332, email: [dallen@adcogov.org](mailto:dallen@adcogov.org). All of the correspondence from Grantor involving technical matters shall be addressed to Grantee's Technical Officer. The Grantee agrees to notify the Grantor before changing its Technical Officer.

**11. Notices.** All notices shall be sent by the most expeditious means available that enables independent verification of receipt including but not limited to facsimile, overnight courier or certified or registered mail to the following addresses:

To	The Urban Institute
Mail Address:	Office of Grants, Contracts, Purchasing & Pricing Attn: Subcontracts 2100 M Street, NW Washington, DC 20037
E-mail:	<a href="mailto:Nrivera@urban.org">Nrivera@urban.org</a>

To	Adams County
Mail Address:	Attn: Todd Leopold, County Manager 4430 South Adams County Parkway Brighton, CO, 80601-8218
E-mail:	<a href="mailto:tfcopold@adcogov.org">tfcopold@adcogov.org</a>

Other addresses may be substituted for the above upon the giving of written notice.

Notices shall be delivered in accordance with this provision, or on the effective date of the notice, whichever is later.

**12. Non-liability.** The Grantor and the Client do not assume any liability for any third party claims for damages arising out of this Subgrant.

**13. Applicable Law and Venue.** This Subgrant will be governed by, and construed in accordance with, the law of the District of Columbia. Any dispute hereunder shall be adjudicated in the courts of the District of Columbia.

**14. Non-Waiver of Rights.** If either party fails to require strict performance of any provision of this Subgrant, or waives any breach of any provision, such action will in no way affect either party's rights to later enforce that provisions or otherwise exercise rights with respect to a succeeding breach of the same or any other provision of this Subgrant.

**15. Entire Agreement.** (a) This Subgrant is the complete and exclusive statement of the agreement between the Grantor and the Grantee, and supersedes all prior agreements, oral or written, with respect to the subject matter hereof. No change or modification of this Subgrant will be enforceable unless in writing and signed by both the Grantee and a duly authorized representative of the Grantor.

(b) Both parties acknowledge that the following documents attached hereto shall be deemed to form an integral part of this Subgrant:



- (1) The Schedule
- (2) The General Conditions of the Subgrant
- (3) The following Appendices:

Appendix A:	Program Description
Appendix B:	Subgrant Budget
Appendix C:	Mandatory Prime Award Provisions

IN WITNESS WHEREOF, the Grantee and Grantor, each acting through its duly authorized representatives, have caused this Agreement to be signed on the dates below.

**FOR GRANTEE:**

Adams County

Todd M. Leopold  
(Signature)

Todd M. Leopold  
(Name)

County Manager  
(Title)

3/21/17  
(Date)

**FOR GRANTOR:**

The Urban Institute

Nicole S. Rivera  
(Signature)

Nicole S. Rivera  
(Name)

Interim Subcontracts Manager  
(Title)

3/23/2017  
(Date)

**PART II - SUBGRANT GENERAL TERMS AND CONDITIONS**

**1. Order of Precedence.** Any inconsistency or conflict in the terms and conditions specified in this Subgrant shall be resolved according to the following order of precedence:

- (a) The Subgrant Schedule
- (b) These Terms and Conditions
- (c) The Appendices

**2. Grantee Responsibilities.**

(a) Grantee has full responsibility for the conduct of the project or activity supported under this Subgrant and for adherence to the Grantee's proposal, and the terms and conditions specified in this Subgrant. Grantees are encouraged to suggest or propose to discontinue or modify unpromising lines of activity or to explore interesting leads which may appear during the development of the project or activity. However, they must consult the Subgrant Technical Officer before significantly deviating from the objectives or overall program of the project or activity originally proposed.

(b) The Grantee shall immediately notify the Subgrant Technical Officer of developments that have significant impact on the Subgrant-supported activities. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the Subgrant. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

**3. Incorporation of the Prime Award.** Grantee assumes toward Grantor some of the obligations and responsibilities that Grantor assumes towards the Client in the Prime Award grant agreement as it relates to the Program. Applicable provisions of the Prime Award grant agreement are incorporated herein by reference in Appendix C (Mandatory Prime Award Provisions).

**4. Amendment of Subgrant.** The only method by which this Subgrant can be amended is by a written amendment signed by the Subgrant Administrator.

**5. Right to Discontinue Funding, Rescind Disbursements, and Require Return of Unspent Funds.** The Grantor may, at its sole discretion or as directed by Client, discontinue or suspend funding, rescind disbursements or payments made or demand return of any unspent funds based on any of the following: (a) the written reports or work required herein are not submitted to the Grantor on a timely basis, (b) the reports or work does not comply with the term of this agreement or fail to contain adequate information to allow the Grantor to determine the funds have been used for their intended charitable purpose, (c) Subgrant funds have not been used for their intended charitable purpose or have been used inconsistent with the terms of this agreement, (d) the Grantor is not satisfied with the progress of the activities funded by the Subgrant, (e) the purposes for which the Subgrant was made cannot be accomplished, or (f) making any payment or disbursement might, in the judgement of the Grantor, expose the Grantor or Client to

liability, adverse tax consequences, or constitute a taxable expenditure. The Grantor will provide notice of any determinations made under this paragraph. In the event the Grantor takes action permitted by this paragraph solely based on (d) and (e), and your organization provides documentation that it has incurred obligations consistent with the terms of the Subgrant in good faith reliance on the Subgrant agreement and the approved budget, the Grantor will consider in good faith permitting the Subgrant funds to be used to pay such obligations.

**6. Right to Recover Spent Funds.** The Grantee will repay the Grantor, upon demand, the amount of any funds spent for purposes inconsistent with or contrary to the Subgrant agreement or the approved budget.

**7. Standards for Financial Management.** The Grantee shall maintain its financial books and records in accordance with Generally Accepted Accounting Principles (GAAP).

**8. Prior Approvals.**

(a) The following activities and expenditures require Grantor's prior approval:

(1) Change of Scope or objectives as required by Art. 4 of the Subgrant General Terms and Conditions entitled "Amendment of Subgrant."

(2) Change of Key personnel as required by Art. 14 of the Subgrant General Terms and Conditions entitled "Principal Investigator".

(3) The need for additional funding.

**9. Suspension and Termination /Enforcement.**

(a) This Subgrant may be terminated, in whole or in part in the following situations:

(1) By Subgrant Administrator, if recipient materially fails to comply with terms and conditions of this Subgrant. Grantee shall immediately cease to incur further costs upon notification by Grantor. The Grantor has the right, in accordance with Articles 5 and 6 above, to rescind disbursements, require the return of unspent funds, and recover spent funds if the Subgrant is terminated under this section.

(2) By Subgrant Administrator with the consent of Grantee, in which case the two parties shall agree upon the termination conditions, including the effective date, the return of any unspent funds, and, in the case of partial termination, the portion to be terminated.

(3) By Subgrant Administrator, if the Client determines that continuation of all or part of the funding for this Subgrant should be suspended or terminated.

Grantee shall cease to incur further costs upon notification by Grantor, and the Parties will coordinate regarding the return of any unspent funds.

**10. Site Visit.** Grantor, through authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. In any site visit is made by Grantor on the premises of the Grantee or a contractor under the Subgrant, the Grantee shall provide and shall require its contractors to provide all reasonable facilities and assistance for the safety and convenience of Grantor in the performance of their duties. All site visits and evaluations shall be performed in such a manner that will not unduly delay the work.

**11. Disputes, Claims and Appeals.** The Grantor and Grantee shall work together in good faith in an attempt to resolve any dispute arising under this Subgrant.

**12. Publications.** In addition to the terms and conditions outlined in Appendix C, Sections 6, 7, and Appendix C, Attachment I, the Grantee shall follow the requirements outlined below.

(a) **Acknowledgement of Support.** The Grantee is responsible for assuring that an acknowledgement of Grantor is made as follows:

*"This research is based upon work supported by the Urban Institute through funds provided by the John D. and Catherine T. MacArthur Foundation. We thank them for their support but acknowledge that the findings and conclusions presented in this report are those of the author(s) alone, and do not necessarily reflect the opinions of the Urban Institute and the John D. and Catherine T. MacArthur Foundation."*

The above disclaimer should appear inside the front cover, title page, or on any page preceding the body of the report where other credits and acknowledgements are provided. On a website or similar electronic format, the disclaimer should appear at the beginning of the text.

(b) **Copies to Grantor.** Grantee is responsible for assuring that four copies of every publication of material based on or developed under this Subgrant, clearly labeled with the Subgrant number and other appropriate identifying information, are sent to the Subgrant Administrator promptly after publication. An electronic file copy should also be sent if available.

**13. Rights in Technical Data and Copyright.** The work of Grantee called for by this Subgrant may include all written, graphic, audio, visual and any other materials, contributions, applicable work product and production elements contained therein, whether on paper, disk, tape, digital file or any other media (the Deliverable Work). In accordance with Appendix C, Section 5 and Attachment I, the Deliverable Work shall be jointly owned by the Parties, thus allowing all joint owners to use, reproduce, publish, or



otherwise use, and authorize others to use in print or electronic form (in whole or in part, including in connection with derivative works), the Deliverable Work.

In addition, the Client shall have a paid up, non-exclusive, irrevocable, perpetual, worldwide license to reproduce, publish, republish, summarize or otherwise use, and authorize others to use in print or electronic form (in whole, or in part, including in connection with derivative works), including in electronic databases or in any future form not yet discovered or implemented, the Deliverable Work.

**14. Principal Investigator.** Support for the Subgrant may not continue without the active direction of the Grantee Technical Officer approved for, and identified in, this Subgrant. If the approved Grantee Technical Officer severs his or her connection with the Grantee, or otherwise relinquishes active direction of the project, either permanently or for a significant length of time (three months or more), the Grantee must appoint a replacement with the approval of both the Subgrant Administrator and Subgrant Technical Officer.

**15. Assignment/Subagreements.** Grantee shall not assign this Subgrant nor any rights or obligations herein, nor subcontract or subgrant any funds under this Subgrant without Grantor's prior written consent.

**16. Equal Employment Opportunity.** All contracts to be performed in the United States, or to be performed with employees who were recruited in the United States, shall contain a provision requiring compliance with E.O. 11246, "Equal Employment Opportunity", as amended by E.O. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and as supplemented by regulations at 41 CFR Chapter 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," to the extent required by the foregoing.

**17. Discrimination Prohibited.** Grantee and any authorized lower-tier subgrantees shall not discriminate against any employee or applicant for employment, to be employed in the performance of this Subgrant, with respect to the hire, tenure, term, conditions, or privileges of employment because of his/her race, color, religion, sex, handicap, national origin, ancestry, or status as a veteran. The Grantee and its lower-tier subgrantees, if any, shall also comply with all applicable federal provisions, statutes and regulations relating to nondiscrimination and equal employment opportunity including all relevant sections of the American with Disabilities Act of 1990.

**18. Human Research Subjects.** The Grantee is responsible for the protection of the rights and welfare of any human subjects involved in research, development and related activities supported by this Subgrant. The Grantee, and any lower-tier subawardees shall also comply with all applicable federal provisions, statutes and regulations relating to the protection and privacy of human subjects, and the law and regulations of individual states, if applicable.

**19. Drug Free Requirements.** This Subgrant is subject to the requirements of the Drug-Free Workplace Act of 1988.

**20. Nonliability.** Grantor and Client Institution cannot assume any liability for accidents, illnesses, losses, claims or liability of any kind arising out of any work performed by Grantee supported by this Subgrant or for unauthorized use of patented or copyrighted materials by Grantee. The Grantee is advised to take such steps as may be deemed necessary to insure or protect itself, its employees and its property.

**21. Sexual Harassment.** Grantee, its employees and agents shall not engage in sexual harassment or make lewd or derogatory comments during the performance of the Services or while on the work site. Failure of the Grantee to take immediate and forceful action to prevent sexual harassment shall subject Grantee to penalty up to and including termination of this Subgrant for cause.

### III. APPENDICES

#### APPENDIX A- THE PROGRAM

##### I. Objective –

The Innovation Fund is an opportunity for justice agencies and local communities to implement bold and innovative ideas in order to reduce over-incarceration in jails and build capacity for future system change.

##### II. Program Description –

The intention of the Innovation Fund is to create an opportunity for local jurisdictions to build capacity by providing a package of tailored support including technical assistance, peer learning, and financial support for future system change efforts leading to reduced reliance on local jails. To that end, Innovation Fund awardees will complete the following tasks:

##### A. Tasks

###### *1: Project Management:*

- a. Commit to participate in the Innovation Fund over a 15-month implementation period, from January 2017 to March 2018.
- b. Send a two-person team to participate in two Safety and Justice Challenge (SJC) convenings - Attendees will participate in plenaries, as well as separate working sessions specific to the Fund sites, working with the Urban TA team.
- c. Report progress on grant-funded activities to Urban on the below schedule:
  - i. Progress Report #1: July 15, 2017
  - ii. Progress Report #2: October 15, 2017
  - iii. Progress Report #3: January 15, 2018
  - iv. Progress Report #4: April 15, 2018
- d. Share information with the other Innovation Fund sites, and the field, on innovation efforts and lessons learned from them as they develop
- e. Participate in regular conference calls with the Urban TA team.
- f. Commit to ongoing monitoring and evaluation of their innovation efforts, and to adapt and modify their efforts as indicated by evaluation and performance measurement results.

- g. Participate in virtual learning opportunities convened by Urban and the SJC network.

## 2. Implementation

- a. Develop a data dashboard that will allow the Grantee to measure outcomes related to individuals accessing mental health services via 911 dispatch calls. Outcomes measured will include, but are not limited to, the number of clients accessing mental health services via 911 dispatch calls, the number of Emergency Department visits by clients under treatment, and the number of clients staying in voluntary treatment programs through the Community Reach Center (CRC).
- b. Establish an automated data exchange and integration between the Thornton Police Department (TPD) and the CRC to create the database underlying the dashboard tool. To do this, the Grantee will:
  - i. Have TPD periodically extract information from its records management system for service calls and incidents involving severely mentally ill persons. TPD will place the extract on a secure file sharing platform.
  - ii. CRC will retrieve it, match each record with its electronic health records system, add relevant information to the extract, anonymize the data, and place the enhanced extract on the secure file sharing platform.

## B. Outputs

Output No.	Output	Due Date
1	Progress Report #1	July 15, 2017
2	Progress Report #2	October 15, 2017
3	Progress Report #3	January 15, 2018
4	Final Report	April 15, 2018

**APPENDIX B - SUBGRANT BUDGET**

Category Name	Requested Amount
<b>Category 1</b>	
Data Enhancements	\$ 45,000.0
Dashboard w/ Analytic Toolset	\$20,000
Dashboard w/ Analytic Toolset	25,000
<b>Category 2</b>	
Equipment and Hardware	\$ 5,000.0
Virtual Server	2000
Digital Certificates	1000
Hard Drive Space	2000
<b>TOTAL:</b>	<b>\$ 50,000.00</b>

**APPENDIX C - MANDATORY PRIME AWARD PROVISIONS**

I. The following Prime Award Conditions are hereby incorporated in this Subgrant.

Changes in references are as follows:

"Grant" means "Subgrant"

"Foundation" means "John D. and Catherine T. MacArthur Foundation" in Sections 5, 6 and 9, otherwise it means "Grantor."

All communications and submissions of publications shall be handled via Grantor.

2. **BANK ACCOUNTS:** Grant funds shall be deposited in an interest-bearing account whenever feasible. Any grant funds, and income earned thereon, not expended or committed for the purposes of the grant, will be returned to the Foundation.
3. **USE OF FUNDS:** (A) Under United States law, Foundation grant funds, and income earned thereon, may be expended only for charitable, religious, scientific, literary or educational purposes. This grant is made only for the Purpose stated above. It is understood that these grant funds will be used only for such purpose, subject to the terms of this agreement.

B) Your organization confirms that the decision made on the selection of any subgrantee or consultant is completely independent of the Client, and further, that there does not exist an agreement, written or oral, under which the Client has caused or may cause the selection of any secondary grantee or consultant.

(C) **RESTRICTIONS ON USE OF FUNDS:** (1) In connection with the activities to be funded under this grant, your organization acknowledges that it is responsible for complying with all relevant laws and regulations of the countries in which such activities are conducted.

(2) Your organization hereby confirms that Foundation grant funds will not be used to carry on propaganda, to lobby or otherwise attempt to influence legislation or to conduct any activities described in Sections 4945(d) and (e) of the United States Internal Revenue Code and the Treasury Regulations thereunder. Your organization further confirms that the primary purpose of undertaking the work described in your organization's proposal is not for use in lobbying. For your information, enclosed is a summary of the types of activities prohibited under Section 4945 of the United States Internal Revenue Code. Further questions regarding impermissible activities should be directed to your organization's tax or legal advisor.

(3) Your organization agrees that Foundation grant funds will be used in compliance with all applicable anti-terrorist financing and asset control laws, regulations, rules and executive orders, including but not limited to, the USA Patriot Act of 2001 and Executive Order No. 13224.



5.

**INTELLECTUAL PROPERTY:** (A) In countersigning this agreement, your organization acknowledges that it has read the Foundation's Policy Regarding Intellectual Property Arising Out of Foundation Grants (the "Policy"; Attachment I hereto). Except as may otherwise be provided herein, all copyright interest in materials produced as a result of this grant (the "Grant Work Product") shall be owned by your organization and made available consistent with the terms of the Policy. To effect the widest possible distribution of the Grant Work Product and to ensure that it furthers charitable purposes and benefits the public, your organization hereby grants to the Foundation a non-exclusive, transferable, perpetual, irrevocable, royalty-free, paid-up, worldwide license to use, display, perform, reproduce, publish, copy, and distribute, for non-commercial purposes, the Grant Work Product and any other work product arising out of or resulting from your organization's use (including digital, electronic or other media) of these funds, including all intellectual property rights appurtenant thereto, and to sublicense to third parties the rights described herein. Without limiting the foregoing, such license includes the right of the Foundation to publish the Grant Work Product on the Foundation's website in connection with the Foundation's work with and support of your organization, and for use in periodic public reports, press releases, and fact sheets about the

Foundation's grantmaking. Your organization further acknowledges and agrees, at the Foundation's request, to execute any additional documents necessary to effect such license.

(B) To the extent that, as part of any arrangement with any subcontractor, subgrantee, or other party working on matters related to this grant and receiving the benefit of the grant funds (a "Third Party"), the intellectual property rights in the Grant Work Product is to be owned by such Third Party, your organization agrees to require that the Foundation be granted a license in such Grant Work Product in a form reasonably acceptable to the Foundation.

(C) Except as stated in Paragraph 5(A) herein, and as you may be otherwise notified by the Foundation, it is the Foundation's policy not to ordinarily use the license granted herein if the Grant Work Product is otherwise made widely available through a means and on terms (including any cost to the public and timeliness of publication) satisfactory to the Foundation. Under the Foundation's Policy, the Foundation will consider also releasing such license at the request of your organization if it is demonstrated to the Foundation's satisfaction that such release is necessary in connection with a publication or distribution plan that will make the Grant Work Product widely available at a reasonable or little cost, such as through scholarly publication, open access journals, or use of a suitable Creative Commons license.

6. **USE OF NAME:** Your organization acknowledges that the name and mark "John D. and Catherine T. MacArthur Foundation" and all variations thereof and any other names and marks comprising the name or mark "MacArthur" (the "MacArthur Name"), are the sole and exclusive property of the Foundation, that any and all uses of the MacArthur Name by your organization shall inure solely to the benefit of the Foundation, and that your organization shall not acquire any right, title or interest in any MacArthur Name. All uses of any MacArthur Name by your organization in any manner shall be subject to inspection by and approval of the Foundation, which approval may be granted or withheld in the sole and absolute discretion of the Foundation. Upon termination of this agreement, or at the request of the Foundation at any time, your organization shall immediately discontinue and forever thereafter desist from any and all use of any MacArthur Name and shall either destroy or deliver to the Foundation, at no charge to the Foundation, stationery, brochures, proposed paid media and other similar materials bearing any MacArthur Name that then are in the possession or control of your organization.

7. **PUBLICATIONS:** Two copies of any publications produced or disseminated wholly or in part with these grant funds will be furnished to the Foundation. Unless otherwise notified by the Foundation, such publications should include a simple acknowledgment of the grant support from the Foundation.
8. **EVALUATING OPERATIONS:** The Foundation may monitor and conduct an evaluation of operations under this grant, which may include a visit from Foundation personnel to observe your organization's program, discuss the program with your organization's personnel, and review financial and other records and materials connected with the activities financed by this grant.
9. **FOUNDATION GRANT REPORTS:** The Foundation may include basic information about this grant through a variety of public channels, including press releases, publications, videos, social media, and the Foundation's website. If there are special considerations concerning the public announcement of this grant at your organization, if you plan to issue a public announcement of the grant, or if you would like to coordinate a public announcement of the grant with the Foundation's announcement, contact the Subgrant Technical Officer.

## ATTACHMENT I to Appendix C

### Policy Regarding Intellectual Property Arising Out of Foundation Grants

#### Introduction

Foundation grants often result in tangible products, such as reports, papers, research, software, data sets, curriculum, books, film or television documentaries, or radio programs ("Grant Work Product"). This Policy articulates the principles guiding the Foundation's approach to the ownership and use of Grant Work Product. It addresses specifically the ownership, use, copyright to, distribution and licensing of the Grant Work Product arising from project grants by balancing the interests of the Foundation with the interests of the grantees and other interested parties.

Recipients of general operating support grants are expected to have policies in place reasonably consistent with the underlying philosophy and principles reflected in this Policy.

The Foundation is cognizant that fast-evolving technological advances are impacting the manner and method by which knowledge in whatever form can be protected and distributed and the Foundation will evaluate this policy in light of this understanding. The attached glossary defines certain underscored terms used in this Policy. A Guidance Memorandum that provides further detail on the Foundation's approach to specific issues accompanies this policy and will be revised from time to time as appropriate.

#### Policy

The Foundation's policy is to ensure that use of the Grant Work Product furthers charitable purposes and benefits the public. To that end, the Foundation seeks prompt and broad dissemination or availability of the Grant Work Product at minimal cost to the public or, when justified, at a reasonable price. Distribution at a reasonable price may be justified when integral to the business plan and sustainability of a charitable organization or when the Foundation is satisfied that net revenues derived from the distribution will be used for charitable purposes.

- Grant Work Product should, whenever feasible, be licensed under a Creative Commons license appropriate for the circumstances or other similar scheme that provides for wide distribution or access to the public.
- Software created with grant funds should be ordinarily licensed under an open source license.
- The Foundation also expects openness in research and freedom of access to research results and, when feasible, to the underlying data by persons with a serious interest in the research. This means that grant-funded impact studies should generally be registered in a field-appropriate registry, preferably before data are collected or at least before statistical analyses are performed.

The Foundation recognizes there may be circumstances where limited or delayed dissemination of Grant Work Product, delayed or non-registration of impact studies, or limited or delayed access to data may be appropriate to protect legitimate interests of the grantees, other funders, principal investigators or participants in research studies. Such circumstances will be evaluated on a case-by-case basis.

We will apply these same general principles to our contract-funded evaluation work and make the relevant information available under our Policy on Information Sharing.

Ownership of intellectual property rights (including copyright and patent rights) should not be used to limit or deny access to the Grant Work Product, to result in exclusive use of such Grant Work Product, or to create revenue that is not used substantially for charitable purposes. Copyright to or patent rights in the Grant Work Product will ordinarily remain with the grantees, but the Foundation will be granted a no-cost assignable license to use or publish the Grant Work Product consistent with this Policy. The Foundation may forego or limit the requirement of a license if the Foundation is reasonably satisfied that other appropriate arrangements will be implemented that will assure the goals of this Policy.

In all instances, the Foundation will agree to suitable terms at the time a grant is made based on the facts to ensure the objectives of the Policy are met while respecting appropriate interests of others.

This Policy was initially adopted September 18, 2008. It was last revised on September 10, 2015 and applies to grants awarded after that date.

#### Glossary

**Creative Commons License:** A license that allows creators of intellectual property to retain copyright while allowing others to copy, distribute, and make some uses of their work — at least non-commercially. <http://creativecommons.org/licenses/>

**Data:** All materials created during the research process including raw data and metadata required to replicate and assess the trustworthiness of reported findings in their entirety.

**Impact Study:** A study that investigates how an intervention affects outcomes based on a model of cause and effect. It requires a credible counterfactual (typically, a control group or a comparison group) of what those outcomes would have been in the absence of the intervention. An impact study must control for factors other than the intervention that might account for the observed change.

**Open Source License:** A license that allows software or other products to be used, modified, and shared under defined terms and conditions.

**Registry:** An access point for collaborators, other scholars, students, and the interested public that provides links to data sets, survey instruments, impact studies, and experimental protocols. The purpose is to enhance the transparency and quality of research/evaluations studies funded by foundations.

**Research:** The general field of disciplined investigation, covering the humanities, the sciences, jurisprudence, evaluation and so on.

Source: Evaluation Thesaurus. Michael Scriven.

## 2/1/99

Under United States law, MacArthur Foundation grant monies may not be used to pay for attempts to influence legislation, unless they qualify under certain specific exceptions. (These laws do not affect how grantees may spend money received from other sources.) This paper will generally describe what activities are regarded as attempts to influence legislation and some of the exceptions available. Also, attached is a chart describing some permissible and prohibited public policy activities.

Attempts to influence legislation, commonly known as lobbying, may be of two types, direct or indirect:

Direct lobbying refers to certain communications directly with government personnel who are involved in the legislative process. They may be legislators or employees of legislative bodies, or other government personnel who participate in the formulation of the legislation concerned.

Indirect (or "grass roots") lobbying refers to communications with members of the general public. Certain "public relations" or educational activities may constitute indirect lobbying, and others will not. Indirect lobbying communications include only communications that (1) refer to specific legislation, (2) indicate a view on the legislation, and (3) encourage the recipient of the communication to take action with respect to the legislation.

"Specific legislation" includes both legislation that has already been introduced in a legislative body and a specific legislative proposal.

Legislation refers only to action by a legislative body -- such as a congress, senate, chamber of deputies, house of representatives, state legislature, local council or municipal chamber of representatives -- or by the public in a referendum or similar

Legislation also includes proposed treaties required to be submitted by the President of the United States to the Senate for its advice and consent from the time the President's representative begins to negotiate its position with the prospective parties to the proposed treaties.

A communication may encourage the recipient to take action with respect to legislation, and therefore meet the third test for indirect lobbying, in any one of the following four ways:

1. It may state that the recipient should contact a legislator (or other government official or employee who may be involved in the legislation).
2. It may state the address, telephone number, or similar information of a legislator or an employee of a legislative body.
3. It may provide a petition, tear-off postcard, or similar materials for the recipient to send to a legislator or other government official or employee.
4. It may specifically identify one or more legislators who will vote as:
  - a. opposing the communication's view with respect to the legislation,
  - b. undecided about the legislation,
  - c. the recipient's legislative representative, or
  - d. a member of the legislative committee that will consider the legislation.

There are a few specific exceptions from prohibited lobbying. The most important of these for MacArthur Foundation grantees are the exception for examinations and discussions of broad social, economic, and similar problems and the exception for nonpartisan analysis, study, or research.

A communication regarding broad social, economic, and similar problems will not constitute lobbying, even if the problems discussed are of a type with

which government would be expected to deal eventually. Accordingly, it is permissible to speak to legislators or the general public about problems that the legislature should address. These communications may not, however, discuss the merits of a specific legislative proposal or directly encourage recipients to take action with respect to the legislation.

Nonpartisan analysis, study, or research means an independent or objective exposition of a particular subject matter. It may advocate a particular position or viewpoint, so long as there is a full and fair discussion of the pertinent facts, which is sufficient to enable an individual to form an independent opinion or conclusion.

The results of nonpartisan analysis, study, or research may indicate a view on specific legislation, and they may be communicated to a legislator or government official or employee involved in the legislative process. They may not, however, be communicated to members of the general public with a direct encouragement to the recipient to take action with respect to the legislation.

A grantee may not use the nonpartisan analysis, study, or research exception, such as by omitting the direct encouragement to take action, and then later use the

communication for lobbying purposes. If it does, and if the grantee's primary purpose in preparing the original communication was for use in lobbying, the amounts spent to prepare the original communication will be treated as funds used for lobbying.

#### Related Issues

The use of any MacArthur Foundation grant monies to participate in any political campaign on behalf of or in opposition to any candidate for public office is also prohibited by United States law. This applies to elections both inside and outside the United States.

Also, no MacArthur Foundation grant monies may be used to make any payments that would be illegal under local law, such as to offer money to a public official to perform an official action or to omit or to delay an official action.

#### Questions

If you have any questions regarding the rules discussed in this memorandum, or if you would like further information please contact the Office of the General Counsel, at the John D. and Catherine T. MacArthur Foundation, 140 South Dearborn Street, Chicago, Illinois 60603-5285, U.S.A.; telephone (312) 726-8000.

2/1/99

2/1/99

**PERMISSIBLE AND PROHIBITED ACTIVITIES*****Some Permissible Public Policy Activities***

1. Meetings with or letters to government officials, including legislators, about a problem needing a legislative solution, so long as there is either no reference to specific legislation or no view expressed on specific legislation.
2. Communications with members of the general public about a social problem, so long as there is either no reference to specific legislation, no position taken on the legislation or no encouragement of the public to contact legislators or other government personnel concerning the legislation.
3. Meetings with or letters to government personnel other than legislators or their staff (such as mayors, governors or their staff) about specific legislation if the personnel contacted are not participating in formulating the legislation.
4. Efforts to influence regulations or other actions of an executive, judicial or administrative body.
5. Public interest lawsuits.
6. Communications directly to legislators or their staff regarding legislation that might affect the communicating organization's existence, powers and duties, or its exemption from taxes.
7. Responding to written requests from a legislative body or committee (but not one legislator) for technical advice or assistance on particular legislation.
8. Communicating the results of nonpartisan analysis, study or research on a legislative issue, so long as there is no direct encouragement of members of the general public to contact legislators or other government personnel concerning the legislation.

***Some Prohibited Public Policy Activities***

1. A letter to or meeting with a legislator encouraging the legislator to vote either for or against specific legislation or to submit a specific legislative proposal to the legislature.
2. An advertisement or pamphlet encouraging people to contact their legislators and to urge them to vote for or against specific legislation.
3. A public meeting where individuals are asked to sign a petition urging legislators to vote for or against specific legislation.
4. Publishing articles and producing radio and television broadcasts urging recipients to become involved in a political campaign on behalf of or in opposition to a candidate.
5. Preparing a fact sheet for a legislative committee describing one view of proposed legislation important to an organization's objectives, when such fact sheet has not been requested in writing by the committee.