GRANT AWARD

GRANT NO: H98210-12-1-0006
EFFECTIVE DATE: 31 OCTOBER 2011

<table>
<thead>
<tr>
<th>SECTIONS</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section A</td>
<td>Execution of Grant Award</td>
</tr>
<tr>
<td>Section B</td>
<td>Grant Schedule</td>
</tr>
<tr>
<td>Section C</td>
<td>General Terms and Conditions</td>
</tr>
<tr>
<td>Section D</td>
<td>Reporting Requirements</td>
</tr>
</tbody>
</table>


2. **TOTAL AMOUNT OF AGREEMENT:** $25,000.00

3. **GOVERNMENT OBLIGATION/ACCOUNTING AND APPROPRIATION DATA.** Federal funds, in the amount of $25,000.00 are hereby made available for obligation. Accounting and Appropriation Data is set forth as follows:

   ACRN AA: [REDACTED]
   AMOUNT: $25,000.00

4. **ELECTRONIC FUNDS TRANSFER.** Pursuant to 32 CFR 22.810(b)(2), Electronic Funds Transfer (EFT) shall be used to make payments under this award. See SECTION B, Article No. 6 for payment process.

5. **PARTIES.** This Grant is entered into between the United States of America, represented by The Defense Human Resources Activity (hereinafter called the Government), and the County of Santa Cruz (D/B/A County Clerk Elections) (hereinafter called the Recipient) pursuant to and under U.S. Federal law.

**SECTION A - EXECUTION OF GRANT AWARD**

FOR THE RECIPIENT
County of Santa Cruz
D/B/A County Clerk Elections
701 Ocean Street, Room 210
Santa Cruz, CA 95060-4011
CAGE: [REDACTED]

(SIGNATURE)  
Gail L. Pellerin
(NAME)  
County Clerk
(TITLE)  
October 31, 2011
(DATE)

FOR THE UNITED STATES OF AMERICA
Defense Human Resources Activity (DHRA)
Procurement Support Office
4800 Mark Center Drive, Suite 07G12
Alexandria, VA 22350-1300
CODE: [REDACTED]

(SIGNATURE)  
ROBERT J. LAVELLE
(NAME)

GRANTS OFFICER
(TITLE)

31 OCTOBER 2011
(DATE)
SECTION B – GRANT SCHEDULE

1. TERMS AND CONDITIONS. By acceptance of this Grant, the Recipient certifies that it will perform as set forth in its Application for Federal Assistance (SF 424) and attachments thereto, and comply with all terms and conditions of this Grant and all attachments hereto (hereinafter referred to as “Grant”).

   Please see modification of above section on pages 14 and 15 of this document.

2. AGREEMENT TERM. The Term of this Grant is for a period of 31 October 2011 through 31 March 2013, subject to availability of funds as specified in Section B, Article 5, below.

3. ORDER OF PRECEDENCE. Inconsistencies or conflicts in the terms and conditions of this Grant shall be resolved according to the following order of precedence:

   (a) Applicable United States statutes including Title 10 U.S.C. § 2358 – Research and Development Projects;

   (b) The Grant Schedule as set forth in SECTION B;

   (c) The General Terms and Conditions, as set forth in SECTION C;

   (d) The Reporting Requirements, as set forth in SECTION D; then

   (e) The Recipient’s Application under Broad Agency Announcement H98210-BAA-11-0001 (dated 08 July 2011) and as revised (dated 27 September 2011) consisting of: (a) Application for Federal Assistance (SF 424), (b) Budget Information – Non-Construction Programs (SF424A) (and supporting documentation) and (c) the Technical Proposal is in the possession of both Parties, and is incorporated herein by reference with the same force and effect as if set forth in full text.

4. AUDIT. The Comptroller General and the Inspector General of the Department of Defense shall have direct access to sufficient records and information of the Recipient, as they determine, to ensure accountability for Federal Funds.

5. FUNDING LIMITATIONS.

   5.1. The Government’s maximum obligation for the term of this Grant is $25,000.00. Costs in excess of this amount will not be paid.

   5.2. The Government’s obligation to pay or reimburse any costs hereunder is subject to the availability of appropriated funds, and nothing in this Grant will be interpreted to require obligations or payments by the Federal Government in violation of the Anti-Deficiency Act (31 U.S.C. § 1341).

6. PAYMENT.

   6.1. Advance Payment. Upon acceptance of the terms and conditions of this Agreement, the Recipient shall be entitled to a single Advance Payment (inclusive of pre-award costs). Advance Payments under this Grant shall be approved and certified by the Administrative Grants Officer (AGO).

   6.2. The Recipient shall use Wide Area Work Flow – Receipt and Acceptance (WAWF-RA) system when submitting requests for payment under this Agreement. The Recipient shall (i) ensure an Electronic Business Point of Contact is designated in the Central Contractor Registration (CCR) database at http://www.ccr.gov and (ii) register to use WAWF-RA at https://wawf.eb.mil, within ten (10) days after award of the Agreement.
When entering the BVN into WAWF-RA, the Recipient shall enter the following DODAAC fields:

<table>
<thead>
<tr>
<th>OFFICE</th>
<th>DODAAC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Office</td>
<td>S0507A</td>
</tr>
<tr>
<td>Payment Office</td>
<td>HQ0339</td>
</tr>
<tr>
<td>Issued By Office</td>
<td>H98210</td>
</tr>
<tr>
<td>Approver Office</td>
<td>S0507A</td>
</tr>
</tbody>
</table>

NOTE: The Recipient shall submit Standard Form (SF) 270 – "Request for Advance or Reimbursement" as an attachment to each WAWF-RA payment submission.

6.4 **Central Contractor Registration (CCR) Information (for Electronic Funds Transfer (EFT)).**

<table>
<thead>
<tr>
<th>DUNS NUMBER</th>
<th>TIN/EIN</th>
<th>CAGE CODE</th>
</tr>
</thead>
</table>

7. **PAYMENT OFFICE.** The Defense Finance and Accounting Service (DFAS) Office responsible for making payments under this Grant is as follows:

<table>
<thead>
<tr>
<th>PAYMENT OFFICE</th>
<th>ADDRESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>DFAS COLUMBUS CENTER (CODE: HQ0339)</td>
<td>DFAS-CO/West Entitlement Operations</td>
</tr>
<tr>
<td></td>
<td>P.O. BOX 182381</td>
</tr>
<tr>
<td></td>
<td>Columbus, OH 43218-2381</td>
</tr>
</tbody>
</table>

8. **DATA COLLECTION POINTS AND PERFORMANCE REPORT.** Performance reports shall be prepared in accordance with 32 CFR 32.51.

8.1 **Data Collection Points.** The Recipient shall prepare data collection point reports in accordance with FVAP Reporting Requirements at Section D. The Recipient shall submit one electronic copy of Data Collection Point Reports to the Federal Voting Assistance Program (FVAP) Program Officer; the DHRA Grants Officer and DCMA Administrative Grants Officer require only the transmittal cover page.

8.2 **Final Performance Report.** This report shall contain a comparison of actual accomplishments to the objectives established for the term of the Grant. This Report is due no later than 90 calendar days following the termination of the Grant. One electronic copy of Performance Reports shall be provided to the Federal Voting Assistance Program (FVAP) Program Officer; the DHRA Grants Officer and DCMA Administrative Grants Officer.

8.3 **Special Reporting Requirements.** The Recipient shall immediately notify the Grants Officer of developments that have a significant impact on the award-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 award. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

9. **FINANCIAL REPORTS:** Reports shall be prepared in accordance with 32 CFR 33.41. The Recipient will report program outlays and program income on a cash basis.
9.1. **Schedule of Financial Reports.** The schedule for required financial reports is as follows. Interim Federal Financial Reports are due no later than thirty (30) calendar days following the reporting period. A Final Federal Financial Report is due no later than 90 calendar days following the termination of the Grant:

<table>
<thead>
<tr>
<th>FINANCIAL REPORTS</th>
<th>REPORTING PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>01 February 2012 – 30 April 2012</td>
</tr>
<tr>
<td></td>
<td>01 May 2012 – 31 July 2012</td>
</tr>
<tr>
<td></td>
<td>01 August 2012 – 31 October 2012</td>
</tr>
<tr>
<td></td>
<td>01 November 2012 – 31 January 2013</td>
</tr>
<tr>
<td></td>
<td>01 February 2013 – 31 March 2013</td>
</tr>
</tbody>
</table>

10. **TITLE TO PROPERTY.** Title to equipment and supplies purchased by the Recipient with Grant funds, shall vest in the Recipient in accordance with the provisions 32 CFR 33.32 (equipment) and 32 CFR 33.33 (supplies).

11. **SITE VISITS.** The Grants Officer, or authorized representatives, has the right at all reasonable times to make site visits to review the project's accomplishments and to provide technical assistance as may be required.

12. **PREAWARD COSTS.** Pre-award costs are authorized under this Grant, from **13 July 2011** through the effective date of award.

13. **GOVERNMENT AND RECIPIENT REPRESENTATIVES.**

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
<th>OFFICE &amp; E-MAIL</th>
<th>PHONE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr. Robert J. Lavelle</td>
<td>Grants Officer</td>
<td>Defense Human Resources Activity 4800 Mark Center Drive Suite 07G12</td>
<td>(571) 372-2614</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Alexandria, VA 22350-1300 <a href="mailto:Bob.lavelle@osd.pentagon.mil">Bob.lavelle@osd.pentagon.mil</a></td>
<td></td>
</tr>
<tr>
<td>TBD</td>
<td>Administrative Grants Officer</td>
<td>DCMA – Lathrop P.O. BOX 232 700 East Roth Road, Building 330 French Camp, CA 95231-0232</td>
<td>TBD</td>
</tr>
<tr>
<td>Ms. Robin Burgess</td>
<td>Program Officer</td>
<td>Federal Voting Assistance Program (FVAP) 1777 N. Kent Street, Suite 14003 Arlington, VA 22209-2162 <a href="mailto:Robin.Burgess@fvap.gov">Robin.Burgess@fvap.gov</a></td>
<td>(703) 588-8119</td>
</tr>
<tr>
<td>Ms. Gail Pellerin</td>
<td>County Clerk</td>
<td>County of Santa Cruz 701 Ocean Street, Room 210 Santa Cruz, CA 95060-4011 <a href="mailto:Gail.pellerin@co.santa-cruz.ca.us">Gail.pellerin@co.santa-cruz.ca.us</a></td>
<td>(831) 454-2419</td>
</tr>
</tbody>
</table>

**SECTION C – GENERAL TERMS AND CONDITIONS**

1. **FEDERAL REQUIREMENTS.** Federal statutes and regulations take precedence over all terms and conditions of this Grant.
2. **ADMINISTRATION AND COST PRINCIPLES.** Applicable to Grants and Cooperative Agreements, and incorporated herein by reference, are the requirements of the appropriate Office of Management and Budget (OMB) Circulars1; “appropriate” is determined by the organizational nature of the Recipient.

   (a) OMB A-102 “Administration of Grants and Cooperative Agreements With State and Local Governments” (October 7, 1994) (further amended August 29, 1997);

   (b) 2 CFR Part 225 “Cost Principles for State, Local and Indian Tribal Governments” (OMB A-87) (effective August 31, 2005); and

   (c) OMB A-133 “Audits of States, Local Governments, and Non-Profit Organizations” (includes revisions published in the Federal Register June 27, 2003 and June 26, 2007)

3. **DOD GRANT AND AGREEMENT REGULATIONS (DOD 3210.6-R)2.** These regulations, specifically 32 CFR Part 33, implements OMB Circular A-110 and establishes the uniform administrative requirements for Grants, Agreements and subawards awarded to State and Local Governments.

4. **OFFICIALS NOT TO BENEFIT.** No member of or delegate to Congress, or resident commissioner, shall be admitted to any share or part of this Grant, or to any benefit arising from it, in accordance with 41 U.S.C. § 22.

5. **CERTIFICATIONS.** By acceptance (signing) of the awarded Grant, or by accepting funds under the awarded Grant, the Recipient is providing the:

   (a) Certification at Appendix A to 32 CFR Part 25 regarding debarment, suspension, and other responsibility matters.

   (b) Certification at Appendix C to 32 CFR Part 25 regarding drug-free workplace requirements.

   (c) Certification at Appendix A to 32 CFR Part 28 regarding lobbying.

6. **AWARD PROVISIONS FOR NATIONAL POLICY REQUIREMENTS.** By acceptance (signing) of the award, or by accepting funds under the award, the Recipient assures that it will comply with applicable provisions of the following national policy requirements (as applicable) with respect to the prohibition of discrimination:

   (a) On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et seq.), as implemented by DoD regulations at 32 CFR Part 195.

   (b) On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.), as implemented by Department of Health and Human Services regulations at 45 CFR Part 90.


7. **PROCUREMENT STANDARDS (LOCAL GOVERNMENTAL ENTITY).** When procuring property and services under this Grant, State governmental entities will use their own procurement procedures which

---

1 OMB Circulars can be found at: [http://www.whitehouse.gov/omb/grants_circulars](http://www.whitehouse.gov/omb/grants_circulars)

2 The DoD Grant and Agreement Regulations (DoD 3210.6-R) are published at: [http://www.dtic.mil/whs/directives/corres/html/321006r.htm](http://www.dtic.mil/whs/directives/corres/html/321006r.htm)
reflect applicable State and local laws and regulations, provided that the procurements conform to applicable Federal law and the standards set forth in 32 CFR 33.36 – paragraphs (b) through (i).

8. STANDARDS FOR FINANCIAL MANAGEMENT SYSTEMS. The uniform standards for Recipient’s financial management systems are set forth in 32 CFR 33.20.

9. RETENTION AND EXAMINATION OF RECORDS. Retention and access requirements for records shall be as set out at 32 CFR 33.42.

10. DISPUTES AND ALTERNATIVE DISPUTES RESOLUTION (32 CFR 22.815). Disputes between the Recipient and the Grants Officer shall be resolved by mutual agreement at the Grants Officer’s level, to the maximum extent practicable. Disputes are written demands or written assertions by one of the parties seeking, as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of terms, or other relief arising under or relating to the Grant. The dispute shall, at a minimum, contain sufficient information and supporting data to enable the Grants Officer to render an informed decision. Whenever a Recipient submits, in writing, a dispute to the Government, the Grants Officer shall consider the issue(s) and, within 60 calendar days of receipt, either:

(a) Prepare a written decision, which shall include the basis for the decision and shall be documented in the award file; or

(b) Notify the Recipient of a specific date when he or she will render a written decision. The notice shall inform the Recipient of the reason for delaying the decision.

(c) The Recipient shall proceed diligently with performance of the Grant, pending final resolution of any dispute.

10.1. Alternative Disputes Resolution (ADR). These procedures include settlement negotiations, mediation, and fact-finding. In the event the Recipient decides to appeal the decision the Recipient is encouraged to enter into ADR procedures with the Grants Officer, as set forth herein:

(a) If the Recipient decides to appeal under ADR, it must within 90 calendar days from the date that it receives the Grants Officer's written decision, mail or otherwise furnish to the Grants Officer notice that an appeal is intended using the ADR procedures herein. The appeal shall include a description of the claim/dispute, reference to the pertinent Grant terms, and a statement of factual areas of agreement and disagreement.

(b) Within 30 calendar days from the date that the Grants Officer is furnished the Recipient's appeal the Grants Officer shall provide all data, documentation, and pertinent information, required for use on a pending appeal to the Director, Defense Human Resources Activity (DHRA).

(c) The Director, Defense Human Resources Activity (DHRA) shall review the facts pertinent to the dispute or secure assistance from legal and other advisors and issue a written decision with supporting rationale.

(d) If the Recipient chooses not to initiate an appeal using ADR procedures, it may initiate such formal claims as are authorized by 28 U.S.C. 1491, or other applicable statutes.

11. RECIPIENT RESPONSIBILITY. The Recipient has full responsibility for the conduct of the effort supported by this Grant, in accordance with the Recipient's Application for Federal Assistance (SF 424) and all attachments thereto, and the terms and conditions specified in this Grant. The Recipient is encouraged to
suggest, or propose to discontinue, or modify unpromising efforts. The Recipient shall submit, within 90 calendar days after the date of expiration of the award, all financial, performance, and other reports as required by the terms and conditions of the award. The Grants Officer may approve extensions when requested by the Recipient.

12. ACKNOWLEDGEMENT OF SPONSORSHIP. The Recipient agrees that in the release of information relating to this Grant, such release shall include a statement to the effect that: (a) the effort is sponsored by the Federal Voting Assistance Program (FVAP) over the term of the Grant, as appropriate; (b) the content of the information does not necessarily reflect the position or policy of the Government; and (c) that no official Government endorsement should be inferred. "Information" includes news releases, articles, manuscripts, brochures, advertisements, still and motion pictures, speeches, trade association proceedings, symposia, etc.

13. LIABILITY AND INDEMNITY. Each party hereto shall be responsible for its own activities and those of its agents and employees in carrying out its responsibilities under this Grant. The Government will not be responsible for, and the Recipient will assume, all liability to persons which may be attributable or incident to the Recipient's negligence or breach of this Grant, or by the negligence or breach of the Grant by any of the Recipient's agents and employees. The Recipient further agrees to indemnify, save, hold harmless, and defend the Government, its officers, agents and employees, from and against all suits, claims, demands or actions, liabilities, judgments, costs and attorneys' fees arising out of, or in any manner predicated upon personal injury or death resulting from, related to, caused by or incident to the Recipient's negligence in the carrying out of the terms of this Grant, or breach thereof, or any and all other activities conducted by the Recipient, its agents, employees and contractors incident to this Grant. Any claim against the Government or its employees for damages arising out of negligence, wrongful acts, or wrongful omissions shall be pursued under the Federal Tort Claims Act.

14. CHANGE OF CIRCUMSTANCES. Each party will promptly notify the other party of any legal impediment, change of circumstances, pending litigation, or any other event or condition that may adversely affect such party's ability to carry out any of its obligations under this Grant.

15. TERMINATION AND ENFORCEMENT.

(a) Enforcement. The Government's remedies for noncompliance are as set forth at 32 CFR 33.43. The enforcement remedies identified in this section, including suspension and termination, do not preclude the Recipient from being subject to “Debarment and Suspension” under E.O. 12549.

(b) Termination. This award may be terminated in whole or in part only as set forth at 32 CFR 33.44.

16. CHANGES.

16.1. The Recipient is permitted to re-budget within the approved direct cost budget to meet unanticipated requirements and may make limited program changes to the approved project. However, the Recipient shall obtain prior written approval of the Grants Officer whenever any of the following changes is anticipated:

(a) Any revision which would result in the need for additional funding;

(b) Cumulative transfers among direct cost categories which exceed or are expected to exceed ten percent (10%) of the current total approved budget, whenever the Government's share exceeds $100,000.00;

(c) Any revision of the scope or objectives of the project (regardless of whether there is an associated budget revision requiring prior approval;
(d) Need to extend the period of availability of funds;

(e) Changes in key persons in cases where specified in an application for a Grant award. In research projects, a change in the project director or principal investigator shall always require approval of the Grants Officer.

(f) Contracting out, sub-granting or otherwise obtaining the services of a third party to perform activities which are central to the purposes of this Grant. This approval is in addition to the approval requirements of 32 CFR 33.36(g), but does not apply to the procurement of equipment, supplies and general support services.

16.2. Requesting Prior Approval.

(a) A request for prior approval of any budget revision will be in the same budget format that the Recipient used in its application and shall be accompanied by a narrative justification for the proposed revision.

(b) A request for a prior approval under OMB Circular A-87 may be made by letter.

17. HATCH ACT. The Recipient agrees to comply with the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328), as implemented by the Office of Personnel Management at 5 CFR Part 151, which limits political activity of employees or officers of State or local governments whose employment is connected to an activity financed in whole or in part with Federal funds.

18. APPENDIX A TO PART 170 — AWARD TERM

I. Reporting Subawards And Executive Compensation

a. Reporting of first-tier subawards.

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

2. Where and when to report.

i. You must report each obligating action described in paragraph a.1. of this award term to http://www.fsrs.gov.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. What to report. You must report the information about each obligating action that the submission instructions posted at http://www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

i. the total Federal funding authorized to date under this award is $25,000 or more;

ii. in the preceding fiscal year, you received—
(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at http://www.ccr.gov.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

i. in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions.

If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:

i. Subawards,
ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:
   i. A Governmental organization, which is a State, local government, or Indian tribe;
   ii. A foreign public entity;
   iii. A domestic or foreign nonprofit organization;
   iv. A domestic or foreign for-profit organization;
   v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:
   i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
   ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).
   iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. Subrecipient means an entity that:
   i. Receives a subaward from you (the recipient) under this award; and
   ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
   i. Salary and bonus.
   ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
   iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
   iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
   v. Above-market earnings on deferred compensation which is not tax-qualified.
vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.


19. MODIFICATION OF AGREEMENT. This Agreement constitutes the entire agreement of the Parties and supersedes all prior and contemporaneous agreements, understandings, negotiations and discussions among the Parties, whether oral or written, with respect to the subject matter herein. The only method by which the Agreement can be modified is through formal, written modification, signed by either the Grants Officer or the Administrative Grants Officer (AGO). No other communications, whether oral or in writing, shall be binding on the parties.

SECTION D – REPORT REQUIREMENTS

Santa Cruz: Data Collection Point Reporting Requirements.

FVAP hypothesizes that the use of smart technology would bring the percentage of unreturned ballots much more in line with the general population’s absentee ballot success rates. These research data collection point reports will provide FVAP with data needed to prove or disapprove its hypothesis. Therefore, the following data reports are required 45 days after each election for federal office during the grant’s term.

The term “election” is defined as —
(A) a general, special, primary, or runoff election;
(B) a primary election held for the selection of delegates to a national nominating convention of a political party; and
(C) a primary election held for the expression of a preference for the nomination of individuals for election to the office of President.

A federal election is defined as the office of President or Vice President, or of Senator or Representative in, or Delegate or Resident Commissioner to, the Congress.

Standard:

Please categorize all questions by:
- Uniformed Services
- Overseas Civilians
- Total

1. How many total registered voters in your jurisdiction?
2. How many total registered UOCAVA voters in your jurisdiction?
3. How many total Federal Post Card Applications did you receive (before and after the 45-day deadline) by the following modes of submission?
   a. Postal Mail
   b. Fax
   c. E-mail
   d. Online submission
3. How many UOCAVA non-Federal Post Card Application registrations or absentee ballot requests did you receive (before and after the 45-day deadline) by the following modes of submission?
a.Postal Mail
b. Fax
c. E-mail
d. Online submission

5. How many total FPCAs did you reject?
6. How many total UOCAVA FPCA registrations or absentee ballot requests did you reject because they were received after your jurisdiction’s voter registration or absentee ballot deadline?
7. How many total UOCAVA non-FPCA registrations or absentee ballot requests did you reject because they were received after your jurisdiction’s voter registration or absentee ballot deadline?
8. How many total UOCAVA non-FPCA registrations or absentee ballot requests were rejected?
9. How many UOCAVA absentee ballots were transmitted using the following modes of transmission?
   a. Postal Mail
   b. Fax
   c. Email
   d. Online submission

10. How many UOCAVA ballots were cast?
11. How many UOCAVA ballots were returned as undeliverable?
12. How many total regular absentee ballots were sent?
13. How many regular absentee ballots were cast using the following modes of transmission?
   a. Postal Mail
   b. Fax
   c. Email
   d. Online submission

14. How many regular absentee ballots were rejected?
15. How many regular absentee ballots were rejected because they were received after the ballot receipt deadline?
16. How many FWABs were cast?
17. How many FWABs were rejected?
18. How many FWABs were rejected after the ballot receipt deadline?
19. To assist FVAP with establishment of a baseline for UOCAVA voter performance, please provide a full absentee ballot roster (i.e. voter history report) with mailing address reflecting voting history in federal elections from 2004 to the present in a comma delimited or text file format. All personally identifiable information should be excluded from the report.
20. Please provide a comparative analysis of ballot transit time (narrative and supporting raw data)
   a. Funded program vs. traditional totals
   b. Funded program vs. traditional program for UOCAVA military
   c. Funded program vs. traditional program for UOCAVA temporarily overseas
   d. Funded program vs. traditional program for UOCAVA military dependents
   e. Funded program vs. traditional program for UOCAVA overseas permanently
21. Please provide a comparative analysis of ballot rejections of UOCAVA ballots vs. non-UOCAVA ballots, funded program versus traditional program (narrative and supporting raw data)
22. Please provide a summary of the comments that you receive from users.

**Project One: Internal Procedural Upgrades:** Updating the procedures with current information as well as translating them into plain language and posting them online would increase transparency and voter confidence, reduce staff errors in inserting the required documents, and overall improve consistency between elections.

- What improvements did you see in the ease of the UOCAVA voter voting experience?
- What improvements were noted as a result of the ballot acceptance handbook? Was there any change in the percentage of ballots accepted than in past elections?
• What improvements were noted as a result of the ballot issuing guidelines?

**Project Two: Upgrading digital Tracking Methods:** A voluntary form that would be sent to UOCAVA voters requesting a third party point of contact.

• How many forms were sent to UOCAVA voters?
• How many forms were completed and returned?
• How many ballots were returned as undeliverable?
• How many of the undeliverable ballots had a third party point of contact that you could refer to in order to redirect the ballot?
• Of the undeliverable ballots, how many were you able to successfully redirect utilizing third party contact information?
• How many of the successfully redirected ballots were sent and received in time to be counted for the election? How many were returned too late to be counted?
• How many undeliverable ballots were sent by mail? By email?
• How many were originally sent by mail and the second attempt was by mail as well?
• How many were originally sent by email and the second attempt was by email as well?
• How many were originally sent by mail and second attempt was by email?
• What method were the ballots returned and how many ballots returned by each method?

**Project Three: Dedicated, Isolated, Secure Electronic Balloting Station:** Fax machine specifically dedicated for the sending of UOCAVA ballots

• How many ballots were sent out via fax?
• How many of these ballots were counted?
• How many ballots rejected?
• What were the reasons for rejection?
GRANT MODIFICATION

GRANT NO: H98210-12-1-0006
EFFECTIVE DATE: 31 OCTOBER 2011

PR NO(S): HQ0579-1290-0009-000

MODIFICATION NO: P00002
EFFECTIVE DATE: 22 OCTOBER 2013

This is a bilateral modification (supplemental agreement) reflecting other agreements of the parties, modifying the terms and conditions of the Grant. The Recipient is required to execute and return ONE (1) copy of this modification (via electronic mail) to the Grants Officer.

NOTE: In the event that the Recipient elects to NOT execute this modification, the modification will result in an unilateral modification, executed ONLY by the Grants Officer. The revised terms and conditions as stated herein will be incorporated and enforced.

DESCRIPTION OF MODIFICATION

The purpose of this modification is to formalize the Parties’ agreement prior to execution of the Grant award, that the electronic transmission of voted ballots in an actual election will not be funded through this Grant (this includes, but is not limited to, the transmission of ballots via the internet, email and facsimile).

--- SEE CONTINUATION PAGE(S) ---

ACCOUNTING AND APPROPRIATIONS DATA:
NO CHANGES TO OBLIGATED AMOUNT OF GRANT AWARD

EXECUTION OF MODIFICATION

FOR THE RECIPIENT
County of Santa Cruz
D/B/A County Clerk Elections
701 Ocean Street, Room 210
Santa Cruz, CA 95060-4011
CAGE: [Redacted]

GAIL L. PELLERIN
(NAME)

COUNTY CLERK
(TITLE)

OCTOBER 22, 2013
(DATE)

FOR THE UNITED STATES OF AMERICA
Defense Human Resources Activity (DHRA)
Procurement Support Office
4800 Mark Center Drive, Suite 07G12
Alexandria, VA 22350-1300
CODE: [Redacted]

ROBERT J. LAVELLE
(NAME)

GRANTS OFFICER
(TITLE)

25 OCTOBER 2013
(DATE)
FIRST: Section B, Article #1 is revised to read as follows:

1. TERMS AND CONDITIONS. By acceptance of this Grant, the Recipient certifies that it will perform as set forth in its Application for Federal Assistance (SF 424) and attachments thereto, and comply with all terms and conditions of this Grant and all attachments hereto (hereinafter referred to as “Grant”).

   (a) The electronic transmission of voted ballots in an actual election will not be funded through this Grant. This includes, but is not limited to the transmission of ballots via the internet, email and facsimile.

   (b) This Grant prohibits the integration of separate electronic voted ballot return system developed at the Recipient’s expense into this funded research project.

   (c) This Grant does not prohibit the use of an electronic voted ballot return system developed at the Recipient’s expense that is separate and independent of this funded research project.

   (d) This Grant does not prohibit demonstration projects that test the electronic transmission of voted ballots to analyze the security and reliability of online voted ballot transmission systems in environments other than actual elections.

SECOND AND FINAL: As a result of his modification the total amount of the Grant is neither increased nor decreased. All other terms and conditions remain unchanged and in full force and effect.

--- NOTHING FOLLOWS ---