



Rent Stabilization Board
Office of the Executive Director

DATE: May 19, 2022

TO: Honorable Members of the Berkeley Rent Board

FROM: DéSeana Williams, Executive Director
By: Nathan Dahl, Public Information Unit Manager

SUBJECT: Recommendation to adopt Resolution 22-11 authorizing the Executive Director to enter into a contract with the Social Science Research Center at California State University Fullerton to conduct a tenant survey in the fall of 2022 for a total amount not to exceed \$77,246

Recommendation:

That the Board adopt Resolution 22-11 authorizing the Executive Director to enter into a contract with the Social Science Research Center at California State University Fullerton to conduct a residential tenant survey in the Fall of 2022 for a total amount not to exceed \$77,246. The term of the contract is outlined in Request for Proposal (RFP) Specification No. 22-11490-C.

Background and Need for Rent Stabilization Board Action:

Tenant surveys have been conducted in 1984, 1988, 1998, and 2009. The Board has discussed going forward with the next iteration of a Tenant Survey since 2018 and authorized the necessary funding for the project at the June 17, 2021 Board Meeting as part of the Board's adopted FY2022 budget.

The Tenant Survey generates accurate and representative statistics that provide valuable information for elected officials, staff, and the public about the characteristics of the tenants served by the Rent Stabilization Program. The survey responses yield information relating to how tenants perceive the quality of the buildings they live in, their relations with property owners and managers, and their experiences with the Rent Board and other public housing agencies. The purpose of the current survey is to gather a representative sample of tenants' experiences in Berkeley today and compare these results with those collected in 2009. Additionally, this year's survey will include questions related to how circumstances such as the COVID pandemic and factors relating to climate changes and its impacts may have affected the tenant housing experience in Berkeley.

The RFP for the tenant survey went out February 17, 2022, and the Social Science Research Center at California State University Fullerton was the only vendor to submit a proposal.

They originally proposed conducting the Tenant Survey in line with the Spring 2022 timeline outlined in the RFP, but due to administrative processing and contract execution timelines, it was not feasible to conduct the survey in the spring of 2022 and the vendor has agreed to modify the timelines outlined in the scope of services to execute the tenant Survey in the fall of 2022.

Financial Impact:

There are sufficient funds in the Fiscal Year (FY) 2021-2022 and the FY 2022-2023 budget to cover this contract amount.

Conclusion:

As the Social Science Research Center at California State University Fullerton was the only RFP response for this project and because staff and members of the Rent Board Outreach Committee have vetted the proposal and believe they are qualified and well suited for the project, it is prudent to move forward with Board approval of the Resolution so that Rent Board staff can move forward with implementing processing the contract and starting the Tenant Survey in the fall of 2022.

Name and Telephone Number of Contact Person:

Nathan Dahl – Public Information Unit Manager (510) 981-4935

Attachment:

- 1) Proposed Resolution 22-11
- 2) Applicant RFP Response
- 3) Applicant Pricing for Tenant Survey

RESOLUTION 22-11

AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CONTRACT WITH THE SOCIAL SCIENCE RESEARCH CENTER OF CALIFORNIA STATE FULLERTON TO CONDUCT A TENANT SURVEY IN THE FALL OF 2022

WHEREAS, The Board has discussed conducting a tenant survey and incorporated the costs into their Fiscal Year (FY) 2022 budget; and

WHEREAS, previous tenant surveys were conducted in 1984, 1988, 1998 and 2009 and it is intended to reoccur approximately every ten years; and

WHEREAS, tenant surveys generate accurate and representative statistics that provide valuable information for elected officials, staff, and the public about the characteristics of the tenants served by the Rent Stabilization Program; and

WHEREAS, the survey responses yield information relating to how tenants perceive the quality of the buildings they live in, their relations with property owners and managers, and their experiences with the Rent Board and other public housing agencies; and

WHEREAS, the Social Science Research Center of California State University Fullerton was the only response to the RFP and were deemed qualified by the selection committee to prepare and execute the activities associated with the scope of work required for the Tenant Survey;

NOW, THEREFORE BE IT RESOLVED that the City of Berkeley Rent Stabilization Board hereby directs the Executive Director to execute a contract with the Social Science Research Center of California State University Fullerton in an amount not to exceed \$77,246 for FY 2022 and FY 2023 to conduct the 2022 Berkeley Tenant Survey.

Dated: May 19, 2022

Adopted by the Rent Stabilization Board of the City of Berkeley by the following vote:

YES:

NO:

ABSTAIN:

ABSENT:

Leah Simon-Weisberg, Chair
Rent Stabilization Board

Attest: _____
DéSeana Williams, Executive Director



Proposal Specification No. 22-11490-C
Prepared for City of Berkley's Rent Board

March 3, 2022

PRESENTED TO
Moni Law

PRESENTED BY
Laura Gil-Trejo, MPH, MA

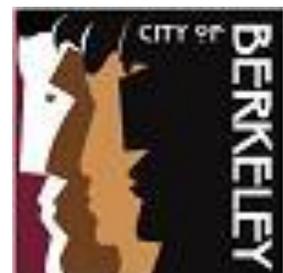


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PROPOSAL
Specification No. 22-11490-C
City of Berkeley's Rent Board Tenant Survey

Introduction

The City of Berkeley seeks a qualified vendor to co-develop and implement the 2022 City of Berkeley's Rent Board Tenant Survey. This is the fifth year the Tenant Survey will be administered, as previous iterations of the survey have been administered in 1984, 1988, 1998, and 2009. The Rent Program surveys generate accurate and representative statistics that provide valuable information for elected officials, staff, and the public about the characteristics of the tenants served by the Rent Stabilization Program, how they perceive the quality of the buildings they live in, their relations with property owners and managers, and their experiences with the Rent Board and other public housing agencies. The purpose of the current survey is to gather a representative sample of tenants' experiences in Berkeley today and compare these results with those collected in 2009.

The Social Science Research Center (SSRC), a non-profit organization at California State University, Fullerton (CSUF), was established in 1987 to provide research services to community organizations and research support to university faculty. The SSRC offers the expertise of full-time research scientists and high-quality research services utilizing state-of-the-art hardware, software, and methodology. The SSRC conducts mailed, telephone, and online surveys, evaluation research, and needs assessments, and ensures the development of linguistically and culturally appropriate research instruments and methods. The SSRC has experience conducting surveys related to the renter experience as well as surveys with low income and multi-lingual populations. The SSRC believes itself more than qualified to complete the Scope of Services as outlined in RFP Specification No. 22-11490-C and has the capacity to do so based on its portfolio of projects for the spring of 2022. The following sections detail the SSRC's proposed approach to the 2022 City of Berkeley Rent Board Tenant Survey.

Proposed Approach

Survey Design Support and IRB Approval

One of the SSRC's strengths is its ability to ascertain how much support clients need by means of survey design, with some needing little to no assistance and others needing the SSRC to design the survey for them entirely. The SSRC respects where its clients are and works diligently to ensure their needs are met during the surveying phase of the study. We have the capacity to work collaboratively, productively, responsively, and reliably with clients to produce a survey that is clear and understandable, flows well, and minimizes respondent fatigue. Given the City of Berkeley's Rent Board Survey has been administered several years prior and comparisons between the 2009 and 2022 versions of the survey are sought, it is expected there will be a fair degree of similarity between the items used in the 2009 survey and those used in the 2022 survey. Additionally, the SSRC will work with RSB Staff to establish the areas of interest to them for this year's survey administration. Once the SSRC has compiled a list of areas of interest to the Board, they will conduct research to determine if survey items already exist that address each particular area of interest and adapt those to the current context. Furthermore, the City of Berkeley Rent Board has retained Dr. Barton as a consultant to the study, and the SSRC will work closely with him to ensure the content and quality of the survey meet the Board's expectations. Lastly, upon finalization of the survey, the SSRC obtains approval from the CSUF Institutional Review Board (IRB) to conduct the proposed study with human participants. The CSUF IRB is a university committee appointed by the CSUF President to protect the rights and welfare of human subjects recruited to participate in research

activities. The SSRC submits one to two dozen IRB applications per year and has an excellent track record of obtaining approvals efficiently. At this time, we anticipate requesting an exemption given the low risk nature of the study.

Sampling Plan

The population of inference for the current study includes almost all housing units presently rented or available for rent in properties with two or more units built prior to 1990. These units represent approximately 73% of Berkeley's rental housing stock. In 2009, long-term tenants were oversampled as a means of focusing additional attention on the units receiving the largest discounts from market rents and on the characteristics of tenants who occupy them. Currently, it is unknown whether the Board will desire an oversampling of this group again. The SSRC can easily accommodate oversampling of this group into the study's sampling plan. The Board plans to furnish the SSRC with the mailing and email addresses of the target households from their database, which will serve as the study's sampling frame. To the list of addresses, the SSRC will append phone numbers where available. The SSRC will do so by furnishing the list of addresses provided by the Board to a commercial vendor, Scientific Telephone Samples (STS), a highly reputable vendor of statistically sound telephone samples, which will then append telephone numbers to the households for which they possess this information. In our experience, STS is able to provide telephone numbers for 50% to 60% of addresses provided. These telephone numbers will be used to make reminder phone calls to potential study participants who have not completed the survey seven weeks after data collection has commenced. These reminder calls will serve to increase the response rate for the overall study.

For the 2009 City of Berkeley Rent Board Tenant Survey, the population of inference consisted of 20,175 unit addresses, 18,855 of which were registered and 1,320 listed as temporarily exempt because the tenants received rental assistance. Of these, 1,907 were sampled for the study, and 766 surveys were completed, for a total response rate of 42%. The SSRC anticipates receiving a similar number of addresses for the 2022 effort and sampling a similar proportion of units. The SSRC also expects to complete a similar, if not higher, number of surveys completes and response rate.

Survey Procedure

Like the 2009 City of Berkeley's Rent Board Tenant Survey, Dillman's "Total Design Method" will be utilized for the 2022 Survey. However, some elements will be added to the method in order to modernize the 2022 Survey and increase response rate. Using this method, three separate mailings will go out to all housing units sampled from the universe of all addresses provided by the Rent Board. Beginning April 25th, an introductory/pre-notification letter will go out to all sampled units. The letter will explain the purpose of the study, who is conducting it, and a number to call should a potential respondent have concerns regarding the study. The letter will contain a QR code and shortened URL potential respondents can use to access an online version of the survey. It will also contain a unique code participants use to log in and link their survey to their address (necessary to ensure no duplicate responses and calculate response rate). The online version of the survey will be hosted on Qualtrics, a well-known and respected cloud-based platform for creating and distributing web-based surveys. SSRC Assistant Manager, under the Direction of the Project Manager, will monitor the addresses of all incoming online survey completes to cull them from the list of addresses who will receive the second mailing. On the week of May 2nd, a letter containing a paper version of the survey will be mailed out to all addresses for whom an online survey has not been completed. The SSRC will use Remark OMR (Optical Mark Recognition) to create a fillable survey, so data can be scanned into a data file rather than entered manually. The SSRC Assistant Project Manager will again be responsible for tracking which addresses return surveys and culling them

from the list of addresses that will receive a reminder postcard on May 16th. A QR card will also be included on this reminder post-card for those interested in completing the survey online. At this point, the SSRC will make reminder calls to the phone numbers associated with addresses that have no completed survey on record. The purpose of the reminder call is to encourage the head of household or their family member to complete the City of Berkeley Rent Board Tenant Survey and alert them they will be receiving a copy in the mail shortly. Finally, a replacement survey will be mailed to the addresses for which no survey has been returned as of May 16th.

Response Rate and Survey Outcome

With this method, the SSRC expects it will obtain at least 766 survey completions with a response rate of 42% or higher. Given the population of addresses in the list, the confidence interval for the sample estimates generated through the study should be +/- 3.47, with a 95% confidence level.

Data Analysis and Report Production

In order to present the 2022 data, a reliance of univariate descriptive statistics will be relied upon. To compare 2022 data to 2009 data, Pearson’s chi-squared tests will be utilized. Prior to data analysis, however, data will be weighted if any oversampling is required in the sampling plan. The weighting will ensure the final study sample mirrors the study population on some primary characteristic (e.g., older vs. newer tenancy).

Project Timeline

| Task | Description | |
|------|--|--------------------|
| 1 | Develop and refine survey instrument with RSB Staff | March 21-31 |
| 2 | Develop outreach materials | March 28- April 8 |
| 3 | Send draft survey to RSB Staff | April 8 |
| 4 | Submit IRB application | April 4-8 |
| 5 | Print surveys and outreach materials | April 11-15 |
| 6 | Program survey instrument into Qualtrics | April 20-22 |
| 7 | Mail pre-notification letters | April 25-29 |
| 8 | Send survey | May 2-6 |
| 9 | Send reminder postcard | May 16-20 |
| 10 | Make reminder phone calls | May 16-20 |
| 11 | Send replacement survey | May 16-20 |
| 12 | Collect 766 surveys with Berkeley tenants | April 25-July 18 |
| 13 | Monitor data for quality control | April 25-July 18 |
| 14 | Enter data | May 16-July 22 |
| 15 | Clean and merge all data | June 13-17 |
| 16 | Analyze data | June 20-July |
| 17 | Send data results to RSB Staff | July 18 |
| 18 | First draft of report | June 20- August 10 |
| 19 | Send data results to RSB Staff | July 18 |
| 20 | Produce final report | August 10- Sept 5 |
| 21 | Integrate revisions /feedback from Rent Board into final draft of report | Sept 5-October 10 |

Center Staff

Laura Gil-Trejo | Director | Years of Experience: 13 | Role: Project Director

Laura is an experienced survey research expert with research design, project oversight, survey instrument development, data analysis, and report writing experience spanning numerous industries and disciplines. Laura works closely with clients to establish needs, create and administer the research design, provide updates for the project, oversee disbursement of grant funds, and deliver all contract obligations at the end of the study.

Lizette Sanchez | Office Manager | Years of Experience: 16 | Role: Project Manager and Budget Oversight

Lizette has extensive experience as a public service administrator including but not limited to project coordination and oversight, personnel management, maintaining effective operations and productivity, quality control, and research implementation. Lizette is also proficient in budget development and tracking.

Frederick Rose | Research Operations Coordinator | Years of Experience: 10 | Role: Programmer and Analyst

Frederick is an experienced survey research expert with project management, survey instrument development, data management, data analysis, and report writing experience. Frederick leads the research team to address client needs, implement the research design, assign responsibilities to the research team, program surveys for administration, monitor the quality of data collected, perform data analysis, and write comprehensive reports on study methods and findings.

Rachel Peterson M.S. | Project Manager | Years of Experience: 4

Rachel Parker is a program evaluator who is obtaining her Masters of Science in Measurement and Evaluation. On this project, she will serve as Project Manager and play a major role in data analysis and report preparation. In her years at the SSRC, Rachel has cultivated a great deal of experience in project management, program evaluation, survey design, survey programming, data analysis, report production, and staff development.

1. CONTRACTOR IDENTIFICATION

Name of Firm:

CSU Fullerton Auxiliary Services Corporation

Firm’s Principal Place of Business:

1121 N. State College Blvd.
Fullerton, CA 92831-3014

Contact Person(s):

Authorized Official with legal authority to sign and administer the project:

Charles D. Kissel
Executive Director
(657)278-4100

Designated Financial Officer authorized to receive warrants:

Sydney Dawes
Director, Office of Sponsored Programs
(657) 278-4103

Tax Identification Number:

95-2081258

2. CLIENT REFERENCE

- a. Soo Elizabeth Kang, M.A.
Executive Director
City of Stanton
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Stanton CA 90680
(714) 890-4274

- b. David Chou, D. Env., P.E.
Manager
Gasoline Off-Road Inventory Section
Air Quality Planning and Science Division
California Air Resources Board
4001 Iowa Avenue
Riverside, CA 92507
(626) 450-6136

- c. Dr. Michele Wood, Ph.D.
Professor and Chair, CSU Fullerton Dept. of Public Health
800 N. State College Boulevard
Fullerton, CA 92834
(657) 278-7330

- d. Joelle K. Greene, Ph.D.
Director
Harder+Company Community Research
555 W 5th Street, Los Angeles, CA 90013
(213) 542-2512

3. PRICE PROPOSAL

See attached.

4. CONTRACT TERMINATIONS

On May 7 of 2018, the SSRC entered into an agreement with Mid-City Research, LLC to conduct 1,337 surveys with Denver residents of Jewish ethnicity, religion, or identity using three different sampling methods: List assisted, Random Digit Dial (RDD), and Respondent Driven Sampling (RDS).

RDS is a novel variant of link-tracing sampling for estimating the characteristics of hard-to-reach groups, such as HIV prevalence in sex workers. Despite its use by leading health organizations, the performance of this method in realistic situations is still largely unknown (McCreesh, et al., 2012). This project was innovative, as the SSRC and the Principal Investigator (PI) at Mid-City Research, Bruce Phillips, had never used RDS in any of their studies. We knew it was going to be challenging.

The idea behind the RDS design is the researcher starts with a small number of “seeds” from the target population (3-15 people). Seeds complete the interview process and receive a predetermined number of coupons they can use to recruit other people in their network (Wave 1). This process continues, like a chain, until the goal number of completed surveys is reached. Participants receive two incentives, one for completing the survey and another for each person in their network who completes the survey. Because this design is typically used to sample harder-to-reach populations, such as sex workers, the concept of a physical coupon typically works well. For individuals living in a large urban city, like Denver, the idea of a physical coupon did not, so the SSRC developed an electronic coupon that seeds could disseminate to people in their network. The entire methodology depends on 1) the seed’s willingness to refer eligible members of their network to the study (e.g. disseminate their coupons to their peers) and 2) the referred individual’s willingness to complete the survey and refer eligible members of their network to the study (e.g. continue the chain by using their coupons).

Unfortunately, this methodology did not function as anticipated. While seed participants were willing to refer members of their network to the study, the referred individuals were not willing to complete the survey, breaking the chain. We worked with Mid-City Research, LLC to develop solutions to the problem, with no success. For example, the SSRC attempted calling the individuals seeds had referred into the study in an attempt to complete the survey with them over the phone. This task was outside of the scope of work for this contract, but something we were willing to try to make this project work. At some point, it became clear that this methodology, while ideal for hard-to-reach populations, was not a feasible approach for a population of residents living in a large urban city. It also became clear to us at some point Mid-City Research was going to continue to expend funds on a design that was not working, dismissing our recommendations to stop the project and change course completely. After consulting with the CSUF Auxiliary Services Corporation, I ultimately made the decision to discontinue the SSRC’s work on this project. The vendor would likely agree that the RDS approach was not working at the time we negotiated to exit the contract. However, they might argue that there were still work arounds that we could have tried to make the sampling design work. The contact person for this contract is Dr. Bruce Phillips, 6109 Del Valle Drive, Los Angeles, CA, 9008. (323) 428-5217. His Co-PI on this project was Dr. Daniel Lainer Vos, 6533 Olympic Place, Los Angeles, CA 90035. (646) 644-8759.

5. COMPARABLE PROJECTS

- a. Chollas Creek EcoVillage Survey, 2017: The primary goal of the Chollas Creek EcoVillage Project is to collaboratively transform the City of San Diego's Encanto Neighborhood, which is in the top 25% of CalEPA Enviro 2.0 Disadvantaged Communities, into a modern, sustainable community. Given the ethnic diversity and socioeconomic status of those in the area, the Chollas Creek EcoVillage Project Team wishes to accomplish this goal using a community-driven approach, integrating the input of community members to the extent possible and providing them with a sense of empowerment over this aspect of their lives. In order to support the Chollas Creek EcoVillage Project, the Social Science Research Center (SSRC) at California State University

Fullerton conducted surveys with Encanto neighborhood residents regarding their knowledge, attitudes, and behaviors toward energy and water conservation in the home. These surveys were administered through multiple modes, including telephone, web, mail, and in-person, to ensure complete coverage of the area and maximize response rate. Between March 13th, 2017 and October 21st, 2017, 386 surveys were completed with Encanto area residents, with more than two-thirds ($n = 265$; 68.7%) of these conducted in-person, about a quarter by telephone ($n = 89$; 23.1%), and smaller proportions completed online ($n = 28$; 7.3%) and by mail ($n = 4$; 1.0%).

- b. CalOptima Member Health Needs Assessment Member Survey-2017: To improve services for all members, CalOptima wished to complete a comprehensive Member Health Needs Assessment (MHNA). This assessment would ascertain the priority needs and issues affecting the health of CalOptima's members and identify the needs of the diverse Medi-Cal communities that previous assessments had not been able to address. One component of the broader MHNA is a survey of CalOptima's membership. The SSRC, along with Harder + Company Community Research, opted to use a rigorous mixed-methods approach for the survey. Surveys were collected by mail, telephone, and online for this study. This mixed-methods approach ensured representation across the many languages, ages, and county regions of the members. The results of this assessment would be used to reach a wide range of audiences to help resolve health disparities and promote health equity. The SSRC adapted the survey instrument for online and telephone administration. The survey was translated into Spanish, Vietnamese, Korean, Farsi, Arabic, and Mandarin Chinese. Respondents were asked approximately 50 questions about their experiences with the health care system, housing and basic needs, mental health, and substance abuse. In total, 5,815 surveys were collected between September 1, 2017 and November 5, 2017, with 86.0% ($n = 5,003$) administered by mail, and smaller proportions completed by phone ($n = 534$; 9.2%) and online ($n = 278$; 4.8%).
- c. BRIDGE Housing Resident Survey Phase 3 (2019): BRIDGE Housing Corporation is a nonprofit organization that develops and manages high quality, affordable homes for seniors and working families. The organization has provided services for over three decades and has participated in the development of more than 17,000 homes and apartments on the US West Coast. Research staff at BRIDGE Housing were interested in learning about BRIDGE residents' experiences living in their communities and how these experiences have impacted their quality of life and sense of wellbeing and safety. BRIDGE Housing contracted with Harder and Company Community Research to conduct household assessments at selected BRIDGE properties. As a part of these assessments, the Social Science Research Center (SSRC) at California State University, Fullerton agreed to complete telephone and mailed surveys with selected BRIDGE properties for a third consecutive year. SSRC interviewers completed surveys with 220 residents from eight BRIDGE properties between August 26 and September 23, 2019. Data from mailed surveys were input up until October 25, 2019, with a total of 63 surveys ultimately completed via this mode. The mailed survey instrument included versions in English, Spanish, Vietnamese, Chinese, Russian, Arabic, and Farsi. Respondents were asked to answer approximately 64 items in the survey, which were used to measure their level of satisfaction with their current living situation compared to their previous situation, along with questions about number of children and other residents living with them, educational attainment, health care, how they access the internet, employment status, race, income level, and primary spoken language. The mailed survey instrument was adapted for administration via telephone by SSRC staff.

- d. Conditional Use Permit Public Intercept Survey Protocol 2021: The Health Care Agency's Tobacco Use Prevention Program (TUPP) was interested in collecting data about community knowledge, attitudes, and perceptions in Buena Park and La Habra regarding Conditional Use Permit (CUP) oriented approaches to monitor the tobacco retail environment as it relates to youth access to tobacco products. TUPP sought to conduct a survey of adults 18 and older in Buena Park and La Habra to document knowledge of and support and opposition to CUP strategies, and demographic information provided by survey participants. To this end, TUPP, through the County's public health services, contracted with the SSRC to collect the data of interest. To this end, the SSRC administered telephone surveys to a sample of residents residing in the cities of Buena Park and La Habra. Between June 16, 2021 and September 10, 2021, the SSRC completed a total of 401 telephone interviews with individuals 18 years of age or older living in the city of La Habra or Buena Park. Surveys were administered to maximize representation of key demographic groups comprised of Spanish and Korean households based on the individual's stated language preference. Surveys were conducted in English, Spanish, and Korean in Buena Park and in English and Spanish in La Habra. The overall margin of error for the total survey sample is plus or minus 4.89 percentage points.

3. Price Proposal

April 1, 2022 through October 30, 2022

| Object Code | Budget Category Description | Subtotal | Total |
|-------------|---|----------|-----------------|
| 1. | PERSONNEL | | |
| | Ph.D. Level Staff / Project Director (1) - Responsible for overall project oversight <u>Salary Calculation:</u> \$50.47 an hour x approximately 0 hours per week for 30 weeks (total 0 hours) = \$0 | \$0 | |
| | Research Operations Coordinator (1) - Program and pre-test survey instrument; provide technical support. <u>Salary Calculation:</u> \$37.00 an hour x approximately 2.83 hours per week for 30 weeks (total 85 hours) = \$3,145 | \$3,145 | |
| | Project Manager (1) - Sample management, data file management, and validation. <u>Salary Calculation:</u> \$35.00 an hour x approximately 4.67 hours per week for 30 weeks (total 140 hours) = \$4,900 | \$4,900 | |
| | Assistant Project Manager (1) - Assist with sample management, data file management, and validation. <u>Salary Calculation:</u> \$25.00 an hour x approximately 1.33 hours per week for 30 weeks (total 40 hours) = \$1,000 | \$1,000 | |
| | Telephone Interviewers - Reminder calls and mailer preparation <u>Salary Calculation:</u> \$15.00 an hour x approximately 18.6 hours per week for 30 weeks (total 558 hours) = \$8,377 | \$8,377 | |
| | Research Assistants - Data entry verification <u>Salary Calculation:</u> \$15.00 an hour x approximately 2.67 hours per week for 30 weeks (total 80 hours) = \$1,200 | \$1,200 | |
| | Shift Supervisors (1) - Reminder call and mailer preparation oversight and quality control <u>Salary Calculation:</u> \$20.00 an hour x approximately 3.73 hours per week for 30 weeks (total 112 hours) = \$2,234 | \$2,234 | |
| | Administrative Operations Manager (1) - Payroll and budget administration <u>Salary Calculation:</u> \$35.00 an hour x approximately 2 hours per week for 30 weeks (total 60 hours) = \$2,100 | \$2,100 | |
| | TOTAL DIRECT COSTS | | \$22,956 |
| 2. | FRINGE BENEFITS | | |
| | Project Director Reassigned Time at 66.50% | \$0 | |
| | Research Operations Coordinator F/T ASC personnel at 40.15% | \$1,263 | |
| | Project Manager F/T ASC personnel at 40.15% | \$1,967 | |
| | Assistant Project Manager F/T ASC personnel at 40.15% | \$402 | |

3. Price Proposal

April 1, 2022 through October 30, 2022

| Object Code | Budget Category Description | Subtotal | Total |
|-------------|---|----------|----------------|
| | Telephone Interviewers P/T ASC personnel at 12.15% | \$1,018 | |
| | Research Assistants P/T ASC personnel at 12.15% | \$146 | |
| | Shift Supervisors P/T ASC personnel at 12.15% | \$271 | |
| | Administrative Operations Manager F/T ASC personnel at 40.15% | \$843 | |
| | CSU charges actual fringe benefit costs incurred. Full time benefits for release time include a benefit package consisting of FICA, State Unemployment Insurance (SUI), Worker's Compensation, leave including vacation and sick leave, medical, dental, and life insurance benefits, and retirement benefits (PERS). Rates vary with the number of dependents and type of coverage. Currently the rate for CSUF employees is 66.50% (State employees), ASC Personnel: Full-time (F/T), fully-benefitted assessed at 40.15%, Part-time non-benefitted is 12.15% (payroll taxes, Workmen Comp/UI). | | |
| | TOTAL DIRECT COSTS | | \$5,910 |
| 3. | OTHER DIRECT COSTS | | |
| | Incentives An estimate of 776 survey completions is anticipated. Participants will receive \$5 Amazon Gift Cards for completing the survey. | \$3,880 | |
| | Materials 2600 Pre-notification letters will be mailed out: \$598 \$.12 per letter; \$.11 per envelope 2470 Survey instruments will be mailed out: \$6,037 \$2.21 per survey; \$.23 per envelope 2223 reminder postcards will be mailed out: \$511 \$.12 per letter; \$.11 per envelope 2001 second letters with a replacement survey will be sent out: \$4,890 \$2.21 per survey; .234 per envelope | \$12,036 | |
| | Postage 2600 Pre-notification letters will be mailed out: \$1,326 \$.51 postage; \$.51 postage return 2470 Survey instruments will be mailed out: \$3,831 \$1.41 postage; \$1.41 postage return 2223 reminder postcards will be mailed out: \$1,248 \$.51 postage; \$.51 postage return 2001 second letters with a replacement survey will be sent out: \$3,056 \$1.41 postage; \$1.41 postage return | \$9,461 | |

3. Price Proposal

April 1, 2022 through October 30, 2022

| Object Code | Budget Category Description | Subtotal | Total |
|-------------|--|----------|-----------------|
| | Translation The SSRC will hire Transperfect to translate the English version of the survey instrument into Spanish. | \$1,500 | |
| | Telephone / FAX The SSRC is billed \$0.07 cents per minute for each telephone call and a \$440 communication fee per month. To complete the number of surveys specified in the budget detailed report. | \$2,382 | |
| | License SSRC will purchase one license of Remark Office OMR Data entry software. Current pricing for this license is \$1,295. | \$1,295 | |
| | TOTAL DIRECT COSTS | | \$30,554 |
| | | | |
| | TOTAL DIRECT COSTS | | \$59,420 |
| | TOTAL INDIRECT COSTS = 30% (Based Total Direct Costs) | | \$17,826 |
| | TOTAL CONTRACT AMOUNT | | \$77,246 |

Special Note about Facilities and Administrative Costs (also known as "Indirect Costs"):

The University expects external sponsors to pay the actual costs of conducting the sponsored project. These costs include both the direct and the facilities and administrative costs obligations incurred by the University in the conduct of a project. The costs that are clearly identified with and benefit a specific research project ("Direct Costs") include salaries, fringe benefits, equipment, supplies, travel and other expenses. The facilities and administrative costs ("F&A") are those institutional research infrastructure costs that cannot be readily attributed to an individual project or monitored on an individual basis and include building and equipment use, operations, maintenance and utilities, general, departmental and sponsored projects administration, library, and capital improvements. Each sponsored project is expected to pay its proportional share of these research infrastructure costs. This payment is based on the facilities and administrative cost rate that is negotiated annually (or multiple years) between the University and the U.S. Department of Health and Human Services. Since the facilities and administrative cost rate is based on the level of existing facilities and administrative costs associated with research, the facilities and administrative cost income received by the University (and all other institutions of higher education) is a reimbursement for actual costs incurred. All research project budgets should include facilities and administrative costs as determined by this federally negotiated facilities and administrative cost rate.



DEPARTMENT OF HEALTH & HUMAN SERVICES

Program Support Center
Financial Management Portfolio
Cost Allocation Services

90 7th Street, Suite 4-600
San Francisco, CA 94103-6705
PHONE: (415) 437-7820
FAX: (415) 437-7823
EMAIL: CAS-SF@psc.hhs.gov

June 13, 2017

Frank A. Mumford
Executive Director
California State University, Fullerton and the
Auxiliary Services Corporation
2600 Nutwood Avenue, Suite 275
Fullerton, CA 92831-3137

Dear Mr. Mumford:

A copy the facilities and administrative (F&A) cost rate agreement for the California State University, Fullerton and the Auxiliary Services Corp. is being sent to you for signature. This agreement reflects an understanding reached between your organization and a member of my staff concerning the rate(s) that may be used in support of your claim for F&A costs on grants and contracts with the Federal Government.

The Office of Management and Budget (OMB) has requested that we reach an agreement with each major institution on the components of published F&A rates. The enclosed forms are provided for that purpose.

Please have the agreement signed by an authorized representative of your organization and return within ten business days of receipt. The signed agreement should be sent to me by email, while retaining the copy for your files. Only when the signed agreement is returned, will we then reproduce and distribute the agreement to the appropriate awarding organizations of the Federal Government for their use.

An F&A cost proposal, together with the supporting information, are required to substantiate your claim for indirect costs under grants and contracts awarded by the Federal Government. Therefore, your next proposal based on actual costs for the fiscal year ending 06/30/2019 is due in our office by 12/31/2019. Please submit your next proposal electronically via email to CAS-SF@psc.hhs.gov.

Sincerely,

Arif M.

Karim -A

Arif Karim, Director
Cost Allocation Services

Digitally signed by Arif M. Karim -A
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ou=PSC, ou=People, cn=Arif M. Karim -A,
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Date: 2017.06.16 13:01:02 -05'00'

Enclosure

PLEASE SIGN AND RETURN THE NEGOTIATION AGREEMENT BY EMAIL

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN:

DATE:06/13/2017

ORGANIZATION:

FILING REF.: The preceding agreement was dated 05/02/2013

Calif State Univ, Fullerton and the Auxiliary Services Corporation
800 North State College Blvd.
Fullerton, CA 92634

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: Facilities And Administrative Cost Rates

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

| <u>TYPE</u> | <u>FROM</u> | <u>TO</u> | <u>RATE (%)</u> | <u>LOCATION</u> | <u>APPLICABLE TO</u> |
|-------------|-------------|------------|-----------------|-----------------|----------------------------|
| PRED. | 07/01/2015 | 06/30/2017 | 39.10 | On-Campus | Organized Research |
| PRED. | 07/01/2017 | 06/30/2018 | 40.00 | On-Campus | Organized Research |
| PRED. | 07/01/2018 | 06/30/2020 | 42.00 | On-Campus | Organized Research |
| PRED. | 07/01/2015 | 06/30/2020 | 26.00 | Off-Campus | Organized Research |
| PRED. | 07/01/2015 | 06/30/2020 | 45.00 | On-Campus | Instruction |
| PRED. | 07/01/2015 | 06/30/2020 | 26.00 | Off-Campus | Instruction |
| PRED. | 07/01/2015 | 06/30/2020 | 37.00 | On-Campus | Other Sponsored Activities |
| PRED. | 01/01/2015 | 06/30/2020 | 26.00 | Off-Campus | Other Sponsored Activities |

ORGANIZATION: Calif State Univ, Fullerton and the Auxiliary Services Corporation

AGREEMENT DATE: 6/13/2017

| <u>TYPE</u> | <u>FROM</u> | <u>TO</u> | <u>RATE (%)</u> | <u>LOCATION</u> | <u>APPLICABLE TO</u> |
|-------------|-------------|------------------|-----------------|-----------------|---|
| PROV. | 07/01/2020 | Until Amended | | | Use same rates and conditions as those cited for fiscal year ending June 30, 2020 |

*BASE

Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

ORGANIZATION: Calif State Univ, Fullerton and the Auxiliary
Services Corporation

AGREEMENT DATE: 6/13/2017

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

OFF-CAMPUS DEFINITION: For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s) the off-campus rate will apply. Grants or contracts will not be subject to more than one F&A cost rate. If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.

DEFINITION OF EQUIPMENT

Equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

The following fringe benefits are treated as direct costs:

FICA, SUI, WORKERS COMPENSATION, HEALTH/LIFE/DENTAL/VISION INSURANCE, LONG-TERM DISABILITY AND RETIREMENT.

NEXT PROPOSAL DUE DATE

A proposal based on actual costs for fiscal year ending 06/30/19, will be due no later than 12/31/19.

ORGANIZATION: Calif State Univ, Fullerton and the Auxiliary Services Corporation

AGREEMENT DATE: 6/13/2017

SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to these programs.

BY THE INSTITUTION:

Calif State Univ, Fullerton and the Auxiliary Services Corporation

(INSTITUTION)

(SIGNATURE)

(NAME) Frank A. Mumford

(TITLE) Executive Director

(DATE) 6/21/17

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Arif M. Karim -A

Digitally signed by Arif M. Karim -A
DN: c=US, o=U.S. Government, ou=HHS,
ou=PSC, ou=People, cn=Arif M. Karim -A,
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Date: 2017.06.16 13:00:23 -05'00'

(SIGNATURE)

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

6/13/2017

(DATE) 0168

HHS REPRESENTATIVE: Jeanette Lu

Telephone: (415) 437-7820