



CONTRACT MA-042-17011420

FOR

ELECTRONIC RECORDS MANAGEMENT SYSTEM

BETWEEN

COUNTY OF ORANGE
HEALTH CARE AGENCY

AND

PANORAMIC SOFTWARE, INC.

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FOR
ELECTRONIC RECORDS MANAGEMENT SYSTEM
BETWEEN
COUNTY OF ORANGE HEALTH CARE AGENCY
AND PANORAMIC SOFTWARE, INC.

This Contract for Electronic Records Management System ("Contract"), is made and entered into as of the date fully executed by and between Panoramic Software, Inc. ("Contractor"), with a place of business at 32932 Pacific Coast Highway #14-482, Dana Point, CA 92629 and County of Orange, a political subdivision of the State of California ("County"), through its Health Care Agency with a place of business at 200 Santa Ana Blvd., Suite 650, Santa Ana, CA 92701-7506, which are sometimes individually referred to as "Party", or collectively referred to as "Parties".

ATTACHMENTS

This Contract is comprised of this document and the following Attachments, which are attached hereto and incorporated by this reference:

Attachment A – Scope of Work

Attachment B – Compensation and Payment

Attachment C – Pricing

Attachment D – Security Requirements and Guidelines for Application Contractors and Application Service Providers

RECITALS

WHEREAS, County desires to enter into a Contract with Contractor to obtain an Electronic Records Management System for the Public Guardian and Public Administrator; and

WHEREAS, Contractor agrees to render all the necessary skills, knowledge, material and labor to perform the services; and

WHEREAS, County Board of Supervisors has authorized the Purchasing Agent or designee to enter into this Contract with Contractor for obtaining an Electronic Records Management System; and

NOW, THEREFORE, the Parties mutually agree as follows:

ARTICLES

GENERAL TERMS AND CONDITIONS

- A. Governing Law and Venue:** This Contract has been negotiated and executed in the State of California and shall be governed by and construed under the laws of the State of California. In the event of any legal action to enforce or interpret this Contract, the sole and exclusive venue shall be a court of competent jurisdiction located in Orange County, California, and the parties hereto agree to and do hereby submit to the jurisdiction of such court, notwithstanding Code of Civil Procedure Section 394. Furthermore, the Parties specifically agree to waive any and all rights to request that an action be transferred for trial to another county.
- B. Entire Contract:** This Contract, when accepted by Contractor either in writing or by commencement of performance hereunder, contains the entire Contract between the Parties with respect to the matters herein and there are no restrictions, promises, warranties or undertakings other than those set forth herein or referred to herein. No exceptions, alternatives, substitutes or revisions are valid or binding on County unless authorized by County in writing. Electronic acceptance of any additional terms, conditions or supplemental Contracts by any County employee or agent, including but not limited to installers of software, shall not be valid or binding on County unless accepted in writing by County's Purchasing Agent or designee, hereinafter "Purchasing Agent".
- C. Amendments:** No alteration or variation of the terms of this Contract shall be valid unless made in writing and signed by the Parties; no oral understanding or agreement not incorporated herein shall be binding on either of the Parties; and no exceptions, alternatives, substitutes or revisions are valid or binding on County unless authorized by County in writing.
- D. Taxes:** Unless otherwise provided herein or by law, price quoted does not include California state sales or use tax.
- E. Delivery:** Time of delivery of services is of the essence in this Contract. County reserves the right to refuse any services and to cancel all or any part of the services that do not conform to the prescribed Scope of Work. Delivery shall not be deemed to be complete until all services have actually been received and accepted in writing by County.
- F. Acceptance/Payment:** Unless otherwise agreed to in writing by County 1) acceptance shall not be deemed complete unless in writing and until all the services have actually been received or inspected to the satisfaction of County, and 2) payment shall be made in arrears after satisfactory acceptance.
- G. Warranty:** Contractor expressly warrants that the goods/services covered by this Contract are 1) free of liens or encumbrances, 2) merchantable and good for the ordinary purposes for which they are used, and 3) fit for the particular purpose for which they are intended. Contractor agrees to indemnify, defend with counsel approved in writing by County, and hold harmless the County, its elected and appointed officials, officers, employees, and agents from any claims, demands or liability of any kind or nature, including expenses and reasonable attorney fees, against the County that arise from the failure of the goods/services to conform to such warranties, faulty work performance, negligent or unlawful acts, and non-compliance with any applicable state or federal codes, ordinances,

orders, or statutes, including the Occupational Safety and Health Act (OSHA) and the California Industrial Safety Act. Such remedies shall be in addition to any other remedies provided by law.

- H. Patent/Copyright Materials/Proprietary Infringement:** Unless otherwise expressly provided in this Contract, Contractor shall be solely responsible for clearing the right to use any patented or copyrighted materials in the performance of this Contract. Contractor warrants that any software as modified through services provided hereunder will not infringe upon or violate any patent, copyright, trademark, trade secret, or any other proprietary right (Intellectual Property Right) of any third party. Contractor agrees to indemnify, defend with counsel approved in writing by County, and hold harmless the County, its elected and appointed officials, officers, employees, and agents from any claims, demands or liability of any kind or nature, including expenses and reasonable attorney fees, against the County that arise from a third party claim of Intellectual Property Right infringement.
- I. Assignment or Subcontracting:** The terms, covenants, and conditions contained herein shall apply to and bind the heirs, successors, executors, administrators and assigns of the Parties. Furthermore, neither the performance of this Contract nor any portion thereof may be assigned or sub-contracted by Contractor without the express written consent of County. Any attempt by Contractor to assign or subcontract the performance or any portion thereof of this Contract without the express written consent of County shall be invalid and shall constitute a breach of this Contract.
- J. Non-Discrimination:** In the performance of this Contract, Contractor agrees that it will comply with the requirements of Section 1735 of the California Labor Code and not engage nor permit any subcontractors to engage in discrimination in employment of persons because of the race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status of such persons. Contractor acknowledges that a violation of this provision shall subject Contractor to all the penalties imposed for a violation of Section 1720 et seq. of the California Labor Code.
- K. Termination:** In addition to any other remedies or rights it may have by law, County has the right to terminate this Contract without penalty immediately with cause or after thirty (30) days' written notice without cause, unless otherwise specified. Cause shall be defined as any breach of this Contract, or any misrepresentation or fraud on the part of Contractor. Exercise by County of its right to terminate the Contract shall relieve County of all further obligations.
- L. Consent to Breach Not Waiver:** No term or provision of this Contract shall be deemed waived and no breach excused, unless such waiver or consent shall be in writing and signed by the Party claimed to have waived or consented. Any consent by any party to, or waiver of, a breach by the other, whether express or implied, shall not constitute consent to, waiver of, or excuse for any other different or subsequent breach.
- M. Remedies Not Exclusive:** The remedies for breach set forth in this Contract are cumulative as to one another and as to any other provided by law, rather than exclusive; and the expression of certain remedies in this Contract does not preclude resort by either Party to any other remedies provided by law.

- N. Independent Contractor:** Contractor shall be considered an independent contractor and neither Contractor, its employees, nor anyone working under Contractor shall be considered an agent or an employee of County. Neither Contractor, its employees, nor anyone working under Contractor, shall qualify for workers' compensation or other fringe benefits of any kind through County.
- O. Performance:** Contractor shall perform all work under this Contract, taking necessary steps and precautions to perform the work to County's satisfaction. Contractor shall be responsible for the professional quality, technical assurance, timely completion and coordination of all documentation and other services furnished by Contractor under this Contract. Contractor shall perform all work diligently, carefully, and in a good and workman-like manner; shall furnish all labor, supervision, machinery, equipment, materials, and supplies necessary therefor; shall at its sole expense obtain and maintain all permits and licenses required by public authorities, including those of County required in its governmental capacity, in connection with performance of the work; and, if permitted to subcontract, shall be fully responsible for all work performed by subcontractors.
- P. Insurance Provisions:** Prior to the provision of services under this Contract, the Contractor agrees to purchase all required insurance at Contractor's expense, including all endorsements required herein, necessary to satisfy the County that the insurance provisions of this Contract have been complied with. Contractor agrees to keep such insurance coverage, Certificates of Insurance, and endorsements on deposit with the County during the entire term of this Contract. In addition, all subcontractors performing work on behalf of Contractor pursuant to this Contract shall obtain insurance subject to the same terms and conditions as set forth herein for Contractor.

Contractor shall ensure that all subcontractors performing work on behalf of Contractor pursuant to this Contract shall be covered under Contractor's insurance as an Additional Insured or maintain insurance subject to the same terms and conditions as set forth herein for Contractor. Contractor shall not allow subcontractors to work if subcontractors have less than the level of coverage required by County from Contractor under this Contract. It is the obligation of Contractor to provide notice of the insurance requirements to every subcontractor and to receive proof of insurance prior to allowing any subcontractor to begin work. Such proof of insurance must be maintained by Contractor through the entirety of this Contract for inspection by County representative(s) at any reasonable time.

All self-insured retentions (SIRs) and deductibles shall be clearly stated on the Certificate of Insurance. If no SIRs or deductibles apply, indicate this on the Certificate of Insurance with a zero (0) by the appropriate line of coverage. Any self-insured retention (SIR) or deductible in an amount in excess of \$25,000 (\$5,000 for automobile liability), which shall specifically be approved by the County Executive Office (CEO)/Office of Risk Management upon review of Contractor's current audited financial report.

If the Contractor fails to maintain insurance acceptable to the County for the full term of this Contract, the County may terminate this Contract.

Qualified Insurer

The policy or policies of insurance must be issued by an insurer with a minimum rating of A- (Secure A.M. Best's Rating) and VIII (Financial Size Category as determined by the most current edition of the **Best's Key Rating Guide/Property-Casualty/United States**

or ambest.com). It is preferred, but not mandatory, that the insurer be licensed to do business in the state of California (California Admitted Carrier).

If the insurance carrier does not have an A.M. Best Rating of A-/VIII, the CEO/Office of Risk Management retains the right to approve or reject a carrier after a review of the company's performance and financial ratings.

The policy or policies of insurance maintained by the Contractor shall provide the minimum limits and coverage as set forth below:

<u>Coverage</u>	<u>Minimum Limits</u>
Commercial General Liability	\$1,000,000 per occurrence \$2,000,000 aggregate
Automobile Liability including coverage	\$1,000,000 per occurrence for owned, non-owned and hired vehicles
Workers Compensation	Statutory
Employers Liability Insurance	\$1,000,000 per occurrence
Network Security & Privacy Liability	\$1,000,000 per claims made
Technology Errors & Omissions*	\$1,000,000 per claims made \$1,000,000 aggregate

Required Coverage Forms

The Commercial General Liability coverage shall be written on Insurance Services Office (ISO) form CG 00 01, or a substitute form providing liability coverage at least as broad.

The Business Auto Liability coverage shall be written on ISO form CA 00 01, CA 00 05, CA 0012, CA 00 20, or a substitute form providing coverage at least as broad.

Required Endorsements

The Commercial General Liability policy shall contain the following endorsements, which shall accompany the Certificate of Insurance:

- 1) An Additional Insured endorsement using ISO form CG 20 26 04 13 or a form at least as broad naming the **County of Orange its elected and appointed officials, officers, agents and employees** as Additional Insureds, or provide blanket coverage, which will state **AS REQUIRED BY WRITTEN CONTRACT.**
- 2) A primary non-contributing endorsement using ISO form CG 20 01 04 13, or a form at least as broad evidencing that the Contractor's insurance is primary and any

insurance or self-insurance maintained by the County of Orange shall be excess and non-contributing.

The Network Security and Privacy Liability policy shall contain the following endorsements which shall accompany the Certificate of Insurance:

- 1) An Additional Insured endorsement naming the **County of Orange, its elected and appointed officials, officers, agents and employees** as Additional Insureds for its vicarious liability.
- 2) A primary and non-contributing endorsement evidencing that the Contractor's insurance is primary and any insurance or self-insurance maintained by the County of Orange shall be excess and non-contributing.

The Workers' Compensation policy shall contain a waiver of subrogation endorsement waiving all rights of subrogation against the **County of Orange, its elected and appointed officials, officers, agents and employees** or provide blanket coverage, which will state **AS REQUIRED BY WRITTEN CONTRACT.**

All insurance policies required by this Contract shall waive all rights of subrogation against the County of Orange, its elected and appointed officials, officers, agents and employees when acting within the scope of their appointment or employment.

Contractor shall notify County in writing within thirty (30) days of any policy cancellation and ten (10) days for non-payment of premium and provide a copy of the cancellation notice to County. Failure to provide written notice of cancellation may constitute a material breach of the Contract, upon which the County may suspend or terminate this Contract.

If Contractor's Technology Errors & Omissions and/or Network Security & Privacy Liability are "Claims Made" policy(ies), Contractor shall agree to maintain coverage for two (2) years following the completion of the Contract.

The Commercial General Liability policy shall contain a severability of interest's clause also known as a "separation of insureds" clause (standard in the ISO CG 0001 policy).

Insurance certificates should be forwarded to the agency/department address listed on the solicitation.

If the Contractor fails to provide the insurance certificates and endorsements within seven (7) days of notification by CEO/Purchasing or the agency/department purchasing division, award may be made to the next qualified vendor.

County expressly retains the right to require Contractor to increase or decrease insurance of any of the above insurance types throughout the term of this Contract. Any increase or decrease in insurance will be as deemed by County of Orange Risk Manager as appropriate to adequately protect County.

County shall notify Contractor in writing of changes in the insurance requirements. If Contractor does not deposit copies of acceptable Certificates of Insurance and endorsements with County incorporating such changes within thirty (30) days of receipt of

such notice, this Contract may be in breach without further notice to Contractor, and County shall be entitled to all legal remedies.

The procuring of such required policy or policies of insurance shall not be construed to limit Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this Contract, nor act in any way to reduce the policy coverage and limits available from the insurer.

- Q. Bill and Liens:** Contractor shall pay promptly all indebtedness for labor, materials and equipment used in performance of the work. Contractor shall not permit any lien or charge to attach to the work or the premises, but if any does so attach, Contractor shall promptly procure its release and, in accordance with the requirements of paragraph "HH" below, indemnify, defend, and hold County harmless and be responsible for payment of all costs, damages, penalties and expenses related to or arising from or related thereto.
- R. Changes:** Contractor shall make no changes in the work or perform any additional work without County's specific written approval.
- S. Change of Ownership:** Contractor agrees that if there is a change or transfer in ownership of Contractor's business prior to completion of this Contract, the new owners shall be required under terms of sale or other transfer to assume Contractor's duties and obligations contained in this Contract and complete them to the satisfaction of County.
- T. Force Majeure:** Contractor shall not be assessed with liquidated damages or unsatisfactory performance penalties during any delay beyond the time named for the performance of this Contract caused by any act of God, war, civil disorder, employment strike or other cause beyond its reasonable control, provided Contractor gives written notice of the cause of the delay to County within thirty six (36) hours of the start of the delay and Contractor avails itself of any available remedies.
- U. Confidentiality:** Contractor agrees to maintain the confidentiality of all County and County-related records and information pursuant to all statutory laws relating to privacy and confidentiality that currently exist or exist at any time during the term of this Contract. All such records and information shall be considered confidential and kept confidential by Contractor and Contractor's staff, agents and employees.
- V. Compliance with Laws:** Contractor represents and warrants that services to be provided under this Contract shall fully comply, at Contractor's expense, with all standards, laws, statutes, restrictions, ordinances, requirements, and regulations (collectively "laws"), including, but not limited to those issued by County in its governmental capacity and all other laws applicable to the services at the time services are provided to and accepted by County. Contractor acknowledges that County is relying on Contractor to ensure such compliance, and pursuant to the requirements of paragraph "HH" below, Contractor agrees that it shall defend, indemnify and hold County and County Indemnitees harmless from all liability, damages, costs and expenses arising from or related to a violation of such laws.
- W. Freight FOB Destination:** Contractor assumes full responsibility for all transportation, transportation scheduling, packing, handling, insurance, and other services associated with delivery of all products deemed necessary under this Contract.

- X. Pricing:** The Contract amount shall include full compensation for providing all services as specified herein or when applicable, in the Scope of Work attached to this Contract, and no additional compensation shall be allowed therefor, unless otherwise provided for in this Contract.
- Y.** INTENTIONALLY LEFT BLANK
- Z Terms and Conditions:** Contractor acknowledges that it has read and agrees to all terms and conditions included in this Contract.
- AA. Headings:** The various headings and numbers herein, the grouping of provisions of this Contract into separate clauses and paragraphs, and the organization hereof are for the purpose of convenience only and shall not limit or otherwise affect the meaning hereof.
- BB. Severability:** If any term, covenant, condition or provision of this Contract is held by a court of competent jurisdiction to be invalid, void or unenforceable, the remainder of the provisions hereof shall remain in full force and effect and shall in no way be affected, impaired or invalidated thereby.
- CC. Calendar Days:** Any reference to the word “day” or “days” herein shall mean calendar day or calendar days, respectively, unless otherwise expressly provided.
- DD. Attorney’s Fees:** In any action or proceeding to enforce or interpret any provision of this Contract, or where any provision hereof is validly asserted as a defense, each party shall bear its own attorney’s fees, costs and expenses.
- EE. Interpretation:** This Contract has been negotiated at arm’s length and between persons sophisticated and knowledgeable in the matters dealt with in this Contract. In addition, each party has been represented by experienced and knowledgeable independent legal counsel of its own choosing, or has knowingly declined to seek such counsel despite being encouraged and given the opportunity to do so. Each Party further acknowledges that it has not been influenced to any extent whatsoever in executing this Contract by any other party hereto or by any person representing either or both of them. Accordingly, any rule of law (including California Civil Code Section 1654) or legal decision that would require interpretation of any ambiguities in this Contract against the Party that has drafted it is not applicable and is waived. The provisions of this Contract shall be interpreted in a reasonable manner to effect the purpose of the Parties and this Contract.
- FF. Authority:** The Parties to this Contract represent and warrant that this Contract has been duly authorized and executed and constitutes the legally binding obligation, enforceable in accordance with its terms.
- GG. Employee Eligibility Verification:** Contractor warrants that it fully complies with all federal and state statutes and regulations regarding the employment of aliens and others and that all its employees performing work under this Contract meet the citizenship or alien status requirement set forth in federal statutes and regulations. Contractor shall obtain, from all employees performing work hereunder, all verification and other documentation of employment eligibility status required by federal or state statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, 8 U.S.C. §1324 et seq., as they currently exist and as they may be hereafter amended. Contractor shall retain all such documentation for all covered employees for

the period prescribed by the law. Contractor shall indemnify, defend with counsel approved in writing by County, and hold harmless, County, its agents, officers, and employees from employer sanctions and any other liability which may be assessed against Contractor or County or both in connection with any alleged violation of any federal or state statutes or regulations pertaining to the eligibility for employment of any persons performing work under this Contract.

- HH. Indemnification:** Contractor agrees to indemnify, defend with counsel approved in writing by County, and hold County, its elected and appointed officials, officers, employees, agents and those special districts and agencies for which County's Board of Supervisors acts as the governing Board ("County Indemnitees") harmless from any claims, demands or liability of any kind or nature, including but not limited to personal injury or property damage, arising from or related to the services, products or other performance provided by Contractor pursuant to this Contract. If judgment is entered against Contractor and County by a court of competent jurisdiction because of the concurrent active negligence of County or County Indemnitees, Contractor and County agree that liability shall be apportioned as determined by the court. Neither Party shall request a jury apportionment.
- II. Audits/Inspections:** Contractor agrees to permit County's Auditor-Controller or the Auditor-Controller's authorized representative (including auditors from a private auditing company hired by County) access during normal working hours to all books, accounts, records, reports, files, financial records, supporting documentation, including payroll and accounts payable/receivable records, and other papers or property of Contractor for the purpose of auditing or inspecting any aspect of performance under this Contract. The inspection and/or audit shall be confined to those matters connected with the performance of the Contract including, but not limited to, the costs of administering the Contract. County shall provide reasonable notice of such an audit or inspection.

County reserves the right to audit and verify Contractor's Records before final payment is made.

Contractor agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated under this Contract or by law. Contractor agrees to allow interviews of any employees or others who might reasonably have information related to such records.

Should Contractor cease to exist as a legal entity, Contractor's Records pertaining to this Contract shall be forwarded to the surviving entity in a merger or acquisition or, in the event of liquidation, to County's Project Manager.

ADDITIONAL TERMS AND CONDITIONS

- 1. Scope of Contract:** This Contract, together with its Attachments attached hereto and incorporated herein by reference, specifies the contractual terms and conditions by which County shall procure and receive services from Contractor. The detailed Scope of Work (SOW) is fully set forth and incorporated herein as Attachment A.
- 2. Term of Contract:** This Contract shall be in effect from June 1, 2017 through June 30, 2021. Contract shall be in effect for the time period specified, unless this Contract is earlier

terminated by the Parties in accordance with Articles 5, 6, and 7. This Contract may be renewed for one (1) additional one-year terms with the agreement of both Parties. County does not have to give a reason if it decides not to renew.

If Contract No. MA-042-17011420 is renewed for an additional one year term (July 1, 2021 through June 30, 2022) under the provisions of Section 1, page 11 of the Contract, the parties further agree to increase the annual Contract amount by \$5,000.00 during the last term of the Contract for any additional services needed by the District Attorney-Public Administrator for its Electronic Records Management System. The Parties agree that they will modify and update the terms the scope of work for any additional services during this last term of the Contract by letter agreement signed by both parties.

3. **Precedence:** The Contract documents consist of this Contract, and its Attachments. In the event of a conflict between the Contract documents, the order of precedence shall be the provisions of the main body of this Contract, i.e., those provisions set forth in the recitals and articles of this Contract, and then the Attachments.
4. **Pricing Structure:** Contractor agrees that no price/fee increases shall be passed along to County during the term of this Contract. Contractor may discount said prices anytime during the term of the Contract.
5. **Fiscal Appropriations – Subject to:** This Contract is subject to and contingent upon applicable budgetary appropriations being approved by County of Orange Board of Supervisors for each fiscal year during the term of this Contract. If such appropriations are not approved, the Contract shall be terminated without penalty to County.
6. **Contingency of Funds:** Contractor acknowledges that funding or portions of funding for this Contract may also be contingent upon the receipt of funds from, and/or appropriation of funds by, the State of California to County. If such funding and/or appropriations are not forthcoming, or are otherwise limited, County may immediately terminate or modify this Contract without penalty.
7. **Termination**
 - A. **Termination – Default:** If Contractor is in default of any of its obligations under this Contract and has not commenced cure within ten (10) days after receipt of a written notice of default from County and cured such default within the time specified in the notice, County shall immediately be entitled to either commence resolution in accordance with this paragraph or to terminate this Contract by giving written notice to take effect immediately. Default shall include failure to carry out any of the requirements of this Contract, including, but not limited to persistently disregarding laws and or ordinances, not proceeding with the work as agreed to herein, or otherwise substantially violating any provision of this Contract. Upon termination of the Contract with Contractor, County may begin negotiations with a third-party contractor to provide services as specified in this Contract.

The right of either Party to terminate this Contract hereunder shall not be affected in any way by its waiver of or failure to take action with response to any previous default.

B. Termination – Orderly: After receipt of a termination notice from County, Contractor shall submit to County a termination claim, if applicable. Such claim shall be submitted promptly, but in no event later than sixty (60) days from the effective date of the

termination, unless one or more extensions in writing are granted by County upon written request of Contractor. Upon termination County agrees to pay Contractor for all services performed prior to termination which meet the requirements of the Contract, provided, however, that such compensation plus previously paid compensation shall not exceed the total compensation set forth in the Contract. Upon termination or other expiration of this Contract, each Party shall promptly return to the other Party all papers, materials, and other properties of the other held by each for purposes of execution of the Contract. In addition, each Party shall assist the other Party in orderly termination of this Contract and the transfer of all aspects, tangible and intangible, as may be necessary for the orderly, non-disruptive business continuation of each Party.

8. **County Project Manager:** County shall appoint a Project Manager to act as liaison with Contractor during the term of this Contract. County's Project Manager shall coordinate the activities of County staff assigned to work with Contractor.
9. **Contractor Project Manager:** Contractor shall appoint a Project Manager to direct Contractor's efforts in fulfilling Contractor's obligations under this Contract. The Project Manager shall be subject to approval by County and shall not be changed without the written consent of County's Project Manager.

Contractor's Project Manager shall be assigned to this project for the duration of this Contract and shall diligently pursue all work and services to meet the project time lines. County's Project Manager shall have the right to require the removal and replacement of Contractor's Project Manager or any other Contractor's staff providing services to County under this Contract. County's Project Manager shall notify Contractor in writing of such action. Contractor shall accomplish the removal within three (3) business days after written notice by County's Project Manager. County's Project Manager shall review and approve the appointment of the replacement for Contractor's Project Manager. County is not required to provide any additional information, reason or rationale in the event it elects to request the removal of Contractor's Project Manager providing services to County under this Contract.

10. **Breach of Contract:** The failure of Contractor to comply with any of the provisions, covenants or conditions of this Contract shall be a material breach of this Contract. In such event County may, and in addition to any other remedies available at law, in equity, or otherwise specified in this Contract:
 - a. Afford Contractor written notice of the breach and ten (10) calendar days or such shorter time that may be specified in this Contract within which to cure the breach;
 - b. Discontinue payment to Contractor for and during the period in which Contractor is in breach; and
 - c. Offset against any monies billed by Contractor but yet unpaid by County those monies disallowed pursuant to the above.
11. **County of Orange Child Support Enforcement:** In order to comply with the child support enforcement requirements of County of Orange, within 30 days of award of Contract, the Contractor agrees to furnish to the contract administrator, the Purchasing Agent, or the agency/department Deputy Purchasing Agent:

- a. In the case of an individual contractor, his/her name, date of birth, social security number, and residence address;
- b. In the case of a contractor doing business in a form other than as an individual, the name, date of birth, social security number, and residence address of each individual who owns an interest of ten (10) percent or more in the contracting entity;
- c. A certification that contractor has fully complied with all applicable federal and state reporting requirements regarding its employees; and
- c. A certification that contractor has fully complied with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment and shall continue to so comply.

Failure of Contractor to timely submit the data and/or certifications required or to comply with all federal, state, and local reporting requirements for child support enforcement or to comply with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment shall constitute a material breach of the Contract. Failure to cure such breach within sixty (60) calendar days of notice from County shall constitute grounds for termination of the Contract.

- 12. Conflict of Interest:** Contractor shall exercise reasonable care and diligence to prevent any actions or conditions that could result in a conflict with the best interests of County. This obligation shall apply to Contractor; Contractor's employees, agents, and relatives; sub-tier contractors; and third parties associated with accomplishing work and services hereunder. Contractor's efforts shall include, but not be limited to establishing precautions to prevent its employees or agents from making, receiving, providing or offering gifts, entertainment, payments, loans or other considerations which could be deemed to appear to influence individuals to act contrary to the best interests of County.

County of Orange Board of Supervisors' policy prohibits its public employees from engaging in activities involving conflicts of interest. Contractor shall not, during the period of this Contract, employ any County employee for any purpose.

- 13. Conflict with Existing Law:** Contractor and County agree that if any provision of this Contract is found to be illegal or unenforceable, such term or provision shall be deemed stricken and the remainder of the Contract shall remain in full force and effect. Either Party having knowledge of such term or provision shall promptly inform the other of the presumed non-applicability of such provision. Should the offending provision go to the heart of the Contract, the Contract shall be terminated in a manner commensurate with the interests of both Parties to the maximum extent reasonable.

- 14. Contractor Bankruptcy/Insolvency:** If Contractor should be adjudged bankrupt or should have a general assignment for the benefit of its creditors or if a receiver should be appointed on account of Contractor's insolvency, County may terminate this Contract.

- 15. Disputes – Contract:** The Parties shall deal in good faith and attempt to resolve potential disputes informally. If the dispute concerning a question of fact arising under the terms of this Contract is not disposed of in a reasonable period of time by Contractor and County's Project Manager, such matter shall be brought to the attention of the Purchasing Agent by way of the following process:

- a. Contractor shall submit to the agency/department assigned buyer a written demand for a final decision regarding the disposition of any dispute between the Parties arising under, related to, or involving this Contract, unless County, on its own initiative, has already rendered such a final decision.
- b. Contractor's written demand shall be fully supported by factual information, and, if such demand involves a cost adjustment to the Contract, Contractor shall include with the demand a written statement signed by a senior official indicating that the demand is made in good faith, that the supporting data are accurate and complete, and that the amount requested accurately reflects the Contract adjustment for which Contractor believes County is liable.

Pending the final resolution of any dispute arising under, related to, or involving this Contract, Contractor agrees to diligently proceed with the performance of this Contract, including the provision of services. Contractor's failure to diligently proceed shall be considered a material breach of this Contract.

Any final decision of County shall be expressly identified as such, shall be in writing, and shall be signed by the Purchasing Agent. If County fails to render a decision within ninety (90) days after receipt of Contractor's demand, it shall be deemed a final decision adverse to Contractor's contentions. County's final decision shall be conclusive and binding regarding the dispute unless Contractor commences action in a court of competent jurisdiction to contest such decision within ninety (90) days following the date of County's final decision or one (1) year following the accrual of the cause of action, whichever is later.

- 16. Notices:** Any and all notices, requests, demands, and other communications contemplated, called for, permitted, or required to be given hereunder shall be in writing, except through the course of the parties' routine exchange of information and cooperation during the term of the work and services, and shall be deemed to have been duly given (a) upon actual in-person delivery, if delivery is by direct hand; or (b) upon delivery agreed to as the actual day of receipt or no greater than five (5) calendar days after being mailed (the date of mailing shall count as the first day), whichever occurs first by United States certified or registered mail, return receipt requested, postage prepaid, addressed to the appropriate party at the following address or such other address as the parties hereto may designate by written notice from time to time in the manner aforesaid:

For Contractor:	Name:	Panoramic Software, Inc.
	Address:	32932 Pacific Coast Highway #14-482 Dana Point, CA 92629
	Attn:	Jeff von Waldburg
	Phone:	877-558-8526
	E-mail:	jeff@panosoft.com
For County:	Name:	County of Orange
	Address:	Health Care Agency/Purchasing Services 200 W. Santa Ana Blvd., Suite 650 Santa Ana, CA 92701
	Attn:	Anna Nevarez

Title: Deputy Purchasing Agent
 Phone: 714-347-0470
 Fax: 714-834-2657
 E-mail: anevarez@ochca.com

CC: Name: County of Orange
 Address: Health Care Agency/IT
 Attn: Adil Siddiqui
 Title: County Project Manager
 Phone: 714-834-6619
 E-mail: asiddiqui@ochca.com

17. **News/Information Release:** Contractor agrees that it shall not issue any news releases or upload County logos or other information onto any website in connection with either the award of this Contract or any subsequent amendment of or effort under this Contract without first obtaining review and written approval from County through County's Project Manager. All press releases, including graphic display information to be published in newspapers, magazines, etc., are to be administered only by County unless otherwise agreed to by both parties.
18. **California Public Records Act:** Contractor and County agree and acknowledge that all information and documents related to the award and performance of this Contract are subject to disclosure pursuant to the California Public Records Act, California Government Code Section 6250 *et seq.*
19. **Validity:** The invalidity in whole or in part of any article or provision of this Contract shall not void or affect validity of any other article or provision of this Contract.
20. **Gratuities:** Contractor warrants that no gratuities, in the form of entertainment, gifts or otherwise, were offered or given by Contractor or any agent or representative of Contractor to any officer or employee of County with a view toward securing the Contract or securing favorable treatment with respect to any determinations concerning the performance of the Contract. For breach or violation of this warranty, County shall have the right to terminate the Contract, either in whole or in part, and any loss or damage sustained by County in procuring on the open market any goods or services which Contractor agreed to supply shall be borne and paid for by Contractor. The rights and remedies of County provided in the clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under the Contract.
21. **Parking:** County shall not provide free parking.
22. **Amendments – Changes/Extra Work:** Contractor shall make no changes to this Contract without County's written consent. In the event that there are new or unforeseen requirements, County with Contractor's concurrence has the discretion to request official changes at any time without changing the intent of this Contract.

If County-initiated changes or changes in laws or government regulations affect price, Contractor's ability to deliver services, or the project schedule, Contractor shall give County written notice no later than seven (7) calendar days from the date the law or regulation went into effect or the date the change was proposed by County and Contractor

was notified of the change. Such changes shall be agreed to in writing and incorporated into a Contract amendment. Said amendment shall be issued by County-assigned buyer, shall require the mutual consent of all Parties, and may be subject to approval by County Board of Supervisors. Nothing herein shall prohibit Contractor from proceeding with the work as set forth in this Contract.

- 23. Reports/Meetings:** Contractor shall develop reports and any other relevant documents necessary to complete the services and requirements as set forth in this Contract. County's Project Manager and Contractor's Project Manager shall meet on reasonable notice to discuss Contractor's performance and progress under this Contract. If requested, Contractor's Project Manager and other project personnel shall attend all meetings. Contractor shall provide such information that is requested by County for the purpose of monitoring progress under this Contract.
- 24. Ownership of Documents:** County has permanent ownership of all directly connected and derivative materials produced under this Contract by Contractor. All documents, reports and other incidental or derivative work or materials furnished hereunder shall become and remains the sole property of County and may be used by County as it may require without additional cost to County. None of the documents, reports and other incidental or derivative work or furnished materials shall be used by Contractor without the express written consent of County.
- 25. Debarment:** To the extent applicable, Contractor shall certify in writing that neither Contractor nor its employee(s) are presently debarred, proposed for debarment, declared ineligible or voluntarily excluded from participation in a contractual transaction by any state or federal department or agency. Where Contractor is unable to certify to any of the statements in the written certification, Contractor must include a written explanation thereon for the County to consider. County shall have the right to refuse to enter into this Contract with the Contractor, or terminate this Contract if already entered into, if Contractor either fails to certify or certifies that it is subject of any debarment, pending debarment, declared ineligibility or voluntary exclusion from participation by any state or federal department or agency.
- 26. Contractor Screening:** Throughout the term of this Contract, Contractor shall not be listed on any state or federal exclusionary rosters, listed below. County may screen Contractor on a monthly basis to ensure Contractor is not listed on the exclusionary rosters, listed below. If Contractor or its employee(s) are found to be included on any of the rosters indicated below, Contractor shall be deemed in default of its obligation under this Paragraph and shall constitute a cause for County to exercise its right to terminate this Contract immediately. County, in its sole discretion, may afford Contractor an opportunity to cure said default within a reasonable time.
- a. United States Department of Health and Human Services, Office of Inspector General (OIG) List of Excluded Individuals & Entities (LEIE) (<http://exclusions.oig.hhs.gov>).
 - b. General Services Administration (GSA) System for Award Management (SAM) Excluded Parties List (<http://sam.gov>).
 - c. State of California Department of Health Care Services Medi-Cal Suspended and Ineligible Provider List (County Health Care Agency Internal Database).

27. **Lobbying:** On best information and belief, Contractor certifies no federal appropriated funds have been paid or shall be paid by, or on behalf of, Contractor to any person for influencing or attempting to influence an officer or employee of Congress; or an employee of a member of Congress in connection with the awarding of any federal contract, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
28. **Software – Protection:** County agrees that all material appropriately marked or identified as proprietary, whether oral or written, and furnished hereunder are provided for County's exclusive use for the purposes of this Contract only and shall be held in confidence. All proprietary data shall remain the property of Contractor. County agrees to take all reasonable steps to ensure that such data are not disclosed to others without prior written consent of Contractor. County shall ensure, prior to disposing of any media, that any licensed materials contained thereon have been erased or otherwise destroyed. County agrees that it shall take appropriate action by instruction, agreement or otherwise with its employees or other persons permitted access to licensed programs and/or optional materials to satisfy its obligations under this Contract with respect to use, copying, modification and protection and security of licensed programs and optional materials.
29. **Software – Maintenance:** The correction of any residual errors in any software products which may be discovered by Contractor or by County shall be considered maintenance. Such maintenance shall be performed by Contractor without additional charge for the duration of this Contract. Suspected errors discovered by County in the software products shall be handled by the following procedure:
- a. A listing of the output and a copy of the evidential input data in machine-readable format shall be submitted to Contractor along with a completed copy of the appropriate Contractor information form and, if appropriate, a listing of the contents of the memory of the CPU at the time the error was noted.
 - b. Errors in the software product as verified by Contractor shall be corrected by providing a new copy of said software product or a new copy of the affected portions in machine-readable format.

Contractor shall be available to assist County in isolating and correcting error conditions caused by County's particular hardware or operating system at rates specified in this Contract. If Contractor is called upon by the state to correct an error caused by County's negligence, modification by County, County-supplied data, or machine or operator failure or due to any other cause not inherent in the original software products, Contractor reserves the right to charge County for such service on a time and material basis at rates in accordance with the Contract.

30. **Software License:** Contractor hereby grants to County and County accepts from Contractor, subject to the terms and conditions of this Contract: (a) the non-exclusive, non-transferable right to access the Contractor's system via the internet to provide services solely in connection with County's existing business; (b) the non-exclusive, non-transferable right of County to copy the County data solely for backup purposes; and (c) the right to receive and use the online documentation. The license granted above does not authorize County to (d) access the Contractor's system other than in connection with County's existing business; (e) to permit any person or entity other than County and its

employees to access the system; or (f) to copy or access the County's data in any manner or in any form other than solely for backup purposes; or (g) to modify or enhance the system in any respect; or (h) to transfer any right in the software to any other person or entity.

- 31. Software Ownership:** County acknowledges and agrees that, as between Contractor and County, title and full ownership of all rights in and to the system and all other materials provided to County hereunder shall remain with Contractor. County further acknowledges and agrees that the system, and all ideas and expressions contained therein, are proprietary information and trade secrets of Contractor.

In the event Contractor either: (a) ceases to transact business as a State of California licensed vendor; or (b) discontinues supporting any software product licensed to County during the term of any license, County shall have the option to purchase a perpetual, non-exclusive, non-transferable license to access, utilize and modify the source code associated with the licensed software solely in connection with operation and maintenance of the PGPro and PAPro (Expanded License). In addition, Contractor will deploy a private cloud environment hosting an operational version of PGPro and PAPro and all its data. The ownership of this environment will be handed to County along with source code and documentation. The Expanded License shall include the most recent supported version of each component or upgrade, together with any associated documentation. The purchase price for the Expanded License shall be five (5) times the amount of the annual support.

County may exercise its option to purchase the Expanded License by submitting a dated written request on County letterhead, which shall be signed by County Department Head or Department Head Designee. Contractor shall provide County with the source code and associated documentation within 30 days following its receipt of the written notice.

- 32. Software Installation:** The installation date for the software products shall be established in accordance with the provisions below:

- a. If County elects to install the software products, County shall have thirty (30) days from the date of receipt of the software products to initially install and evaluate the software. The date of expiration of this period shall hereafter be known as the "installation date." Contractor shall be responsible for providing criteria and test data necessary to check out the software products.
- b. If installation by Contractor is required by County, Contractor shall have up to thirty (30) days from the effective date of this Contract to provide initial installation and evaluation of the software products on County's designated CPU. Contractor shall issue written notice of the fact that the software products are operational, and the date of said notice shall be known as the "installation date." It shall be at Contractor's discretion to determine the criteria and tests necessary to allow Contractor to issue a notice to the effect that the system is operational.

County agrees to provide such access to its computer system as may be required by Contractor to properly install and test the software products. County further agrees to provide, at no cost to Contractor, systems and production support as may be required by Contractor during installation.

If installation by Contractor is required by County, Contractor shall provide such installation on County's equipment at the rates specified in this Contract.

- 33. Software – Acceptance Testing:** Acceptance testing may be required as specified for all Contractor-supplied software as specified and listed in the Contract or order, including all software initially installed. Included in this clause are improved versions, including new releases, of this software, any such software which has been modified by Contractor to satisfy County requirements, and any substitute software provided by Contractor in lieu thereof, unless the Contract or order provides otherwise. The purpose of the acceptance test is to ensure that the software operates in substantial accord with Contractor's technical specifications and meets County's performance specifications.

- 34. Software – Documentation:** Contractor agrees to provide to County, County-designated number of all manuals and other associated printed materials and updated versions thereof, which are necessary or useful to County in its use of the equipment or software provided hereunder. County shall designate the number of copies for production use and the number of copies for disaster recovery purposes and shall provide this information to Contractor.

If additional copies of such documentation are required, Contractor shall provide such manuals at the request of County. The requesting agency/department shall be billed for the manuals and any associated costs thereto by invoice. Contractor agrees to provide such additional manuals at prices not in excess of charges made by Contractor to its best customers for similar publications.

Contractor further agrees that County may reproduce such manuals for its own use in maintaining the equipment or software provided hereunder. County agrees to include Contractor's copyright notice on any such documentation reproduced in accordance with copyright instructions to be provided by Contractor.

- 35. Software – Future Releases:** If improvement, upgraded, or enhancement versions of any software product under this Contract are developed by Contractor and are made available to other licensees, they shall be made available to County at County's option, provided such versions are operable on the same computer hardware configuration.

- 36. Compliance with County Information Technology Policies and Procedures:**

Policies and Procedures

Contractor, its subcontractors, Contractor personnel, and all other agents and representatives of Contractor, shall at all times comply with and abide by all Information Technology (IT) policies and procedures of County that are provided or made available to Contractor that pertain to Contractor (and of which Contractor has been provided with advance notice) in connection with Contractor's performance under this Contract. Contractor shall cooperate with County in ensuring Contractor's compliance with the IT policies and procedures described in this Contract and as adopted by County from time-to-time, and any material violations or disregard of such IT policies or procedures shall, in addition to all other available rights and remedies of County, be cause for termination of this Contract. In addition to the foregoing, Contractor shall comply with the following:

Security and Policies

All performance under this Contract shall be in accordance with County's security requirements, policies, and procedures as set forth above and as modified, supplemented, or replaced by County from time to time, in its sole discretion, by providing Contractor with a written copy of such revised requirements, policies, or procedures reasonably in advance of the date that they are to be implemented and effective (collectively, the "Security Policies"). Contractor shall at all times use industry best practices and methods, and all applicable HIPAA privacy and security regulations with regard to the prevention, detection, and elimination, by all appropriate means, of fraud, abuse, and other inappropriate or unauthorized access to County systems accessed in the performance of services in this Contract.

Information Access

County may require all Contractor personnel performing services under this Contract to execute a confidentiality and non-disclosure agreement and concerning access protection and data security in the form provided by County. County shall authorize, and Contractor shall issue, any necessary information-access mechanisms, including access IDs and passwords, and Contractor shall take all commercially reasonable measures that comply with HIPAA security and privacy regulations to secure such mechanisms. Contractor shall provide each Contractor personnel with only such level of access as is required for such individual to perform his or her assigned tasks and functions. All County systems, and all data and software contained therein, including County data, County hardware and County software, used or accessed by Contractor: (a) shall be used and accessed by such Contractor solely and exclusively in the performance of their assigned duties in connection with, and in furtherance of, the performance of Contractor's obligations hereunder; and (b) shall not be used or accessed except as expressly permitted hereunder, or commercially exploited in any manner whatsoever, by Contractor, at any time.

Enhanced Security Procedures

County may, in its discretion, designate certain areas, facilities, or systems as requiring a higher level of security and access control. County shall notify Contractor in writing reasonably in advance of any such designation becoming effective. Any such notice shall set forth in reasonable detail the enhanced security or access-control procedures, measures, or requirements that Contractor shall be required to implement and enforce, as well as the date on which such procedures and measures shall take effect. Contractor shall fully comply with and abide by all such enhanced security and access measures and procedures as of such date.

Breach of Security

Any breach or violation by Contractor of any of the foregoing shall be deemed a material breach of a material obligation of Contractor under this Contract and may be deemed an incurable and material breach of a material obligation of Contractor under this Contract resulting in termination.

Conduct on County Premises

Contractor shall, at all times, comply with and abide by all reasonable policies and procedures of County (or that may be established thereby, from time to time) that pertain to conduct on County's premises, possession or distribution of contraband, or the access to, and security of, the Party's real property or facilities, to the extent that Contractor has been provided with a copy of each such policy or procedure. Contractor shall exercise due care and diligence to prevent any injury to persons or damage to property while on the

other Party's premises. The operation of vehicles by either Party's personnel on the other Party's property shall conform to posted and other applicable regulations and safe-driving practices. Vehicular accidents occurring on a Party's property and involving either Party's personnel shall be reported promptly to the appropriate Party's personnel. Each Party covenants that at all times during the Term, it, and its employees, agents, and subcontractors shall comply with, and take no action that results in the other Party being in violation of, any applicable federal, state, and local laws, ordinances, regulations, and rules. Each Party's personnel shall clearly identify themselves as the appropriate Party's personnel and not as employees of the other Party. When on the other Party's premises, each Party's personnel shall wear and clearly display identification badges or tags, as approved by the other Party.

Security Audits

Each Contract year, County may perform or have performed security reviews and testing. Such reviews and testing shall ensure compliance with all pertinent County security standards as well as any HCA/Environmental Health requirements such as federal tax requirements or HIPAA.

(SIGNATURE PAGE FOLLOWS)

CONTRACT SIGNATURE PAGE

IN WITNESS WHEREOF, the Parties hereto have executed this Contract on the dates shown opposite their respective signatures below.

Contractor's Name: Panoramic Software, Inc.

Print Name Title

Signature Date

Print Name Title

Signature Date

If the company is a corporation two signatures are required: one signature by the Chairman of the Board, President, or any Vice President; and one signature by the Secretary, any Assistant Secretary, Chief Financial Officer or any Assistant Treasurer. If signed by one authorized individual only, a copy of the corporate resolution or by-laws whereby the board of directors has empowered said authorized individual to act on its behalf by his or her signature alone is required.

County of Orange, a political subdivision of the State of California

Print Name Title

Signature Date

Approved as to Form
Office of the County Counsel
County of Orange, California

ATTACHMENT A

SCOPE OF WORK

A. BACKGROUND

County of Orange Health Care Agency-Public Guardian (HCA-PG) provides investigative and fiduciary services to adults in the community who are unable to provide their own basic personal needs due to a severe mental disorder or disabling physical condition. HCA-PG deputies and staff ensure that individualized personal treatment, supervision and financial oversight is provided so that conservatees achieve their highest level of self-determination, autonomy and independence.

County of Orange Office of the District Attorney-Public Administrator (DA-PA), as mandated by the California Probate Code sections 7601-7604, protects, assists, manages and administers the affairs of resident decedent estates when there are no other viable persons or entities to administer the estates. This includes a statutory duty to investigate whether family members can be located and if a will or other testamentary documents can be found, to arrange for indigent burials where there is no family who can act, and when appointed by the court, to step in and administer other business matters including the sale of assets.

Both HCA-PG and DA-PA have been using ePages system to administer their respective case administration and record-keeping tasks, and meet their legal obligations to manage the vast amount of legal, health and financial data collected and processed throughout their functional units. The ePages system has been functioning with no technological or functional updates due to lack of support and maintenance services from the vendor, and additionally, the system lacks overall stability due to its age. It is prone to errors that requires a high degree of staff oversight to mitigate record inaccuracies.

B. OBJECTIVE

The objective of this Contract is to implement a scalable hosted solution with moderate modifications for both HCA-PG and DA-PA. Contractor shall provide a customized off the shelf (COTS) version of current Public Administrator and Public Guardian systems to meet the needs of the County.

Contractor shall deploy and customize two independent systems; one for HCA-PG and one for DA-PA. Both systems will be hosted by Contractor in the Amazon Web Services (AWS) cloud, but will consist of two separate code bases, databases, and document repositories.

The customized systems shall enable HCA-PG and DA-PA users to manage each case from inception to closure. Users will have the ability to enter case demographics data into the systems, perform all accounting functions, and manage assets and trusts for each case throughout the many different case types and life cycles. The systems will also allow users to generate various reports related to each case in compliance with court mandates.

C. SYSTEM COMPONENTS

Public Administrator System (PAPro):

Contractor's Public Administrator system (PAPro) for DA-PA will track decedent information, allowing DA-PA deputies to efficiently manage multiple cases, and ensure that funeral and

burial arrangements are made. PAPro's base functionality will help DA-PA to protect the property belonging to decedent estates, allowing for efficient marshalling of estate assets, storage of these items, tracking of initial and appraised values, and reporting total estate value to the courts. PAPro will help DA-PA staff to ensure that benefits are applied for and received, and that bills are paid as required by applicable law. PAPro allows for the documenting of entities entitled to inherit from the estate, ensure the entities receive their inheritance, and maintain a documented trail that each asset is accounted for and distributed properly.

Public Guardian System (PGPro):

Contractor's Public Guardian System (PGPro) for HCA-PG will ensure that county residents under HCA-PG's care are less susceptible to being taken advantage of financially, and that conservatee's assets are managed to provide long term health and wellness for the clients. PGPro logs assets owned by the client at the time of appointment as well as assets acquired during the conservatorship. PGPro allows for the entry of both estimated and appraised values of each asset, and will also manage changes to conservatee's asset, their locations and values over time. PGPro can also manage bank account information. PGPro makes processing of recurring deposits easy to track on a large scale, tracks payments and makes communication to request and process payments between case managers and accountants easy and auditable. PGPro tracks individual client balances, and aggregate client balances agency wide to assist HCA-PG with bank reconciliation. PGPro tracks financial and asset information, and can produce court accounting reports.

D. SCOPE OF WORK

Contractor will customize base PG and PA systems to meet the needs of HCA-PG and DA-PA. Contractor shall meet with each agency subject matter experts to work through each core process in the base systems, document the required changes, and develop those changes.

1. Development and Testing Environment Deployment

Contractor will deploy a HCA-PG and DA-PA development environment for testing of functionality, and demonstration of modifications as they are made throughout the process prior to implementation. This environment will be used to run preliminary data conversions, as well as during UAT and for user training.

2. Security

Contractor will work with County to configure user access roles and application security to meet both HCA-PG and DA-PA requirements, such as HIPAA compliance and general security. In an effort to enhance security, the application will allow only whitelisted file types to include PDF, JPG, and TIF files be attached to system case files.

3. User Roles

Base system user roles such as Case Manager, Case Manager Supervisor, Accountant, Accounting Supervisor, and Administrator will be implemented along with development of additional user roles identified by HCA-PG and DA-PA.

4. Penetration Testing

Contractor will work with County and perform and pass penetration testing.

E. CLIENT MANAGEMENT

Contractor base client management module will include, but not limited to, the following functionality and will allow for modification and customizations as identified by County HCA-PG and DA-PA.

1. Companion Cases and Case Linking - The base PA and PG system tracks clients/cases. Typically, these are one to one case record to person. Modification to the base will grant the ability to link cases together as "Companion Cases".
2. High Profile Cases – Requirements dictate the ability to separate "high profile cases" from the standard workflow and user access. This will be new functionality to the base system.
3. Ticklers and Alerts - These ticklers/alerts will be generated based on system data, or triggered events and displayed to the user to remind them of time sensitive tasks needed to be completed.
4. Face Sheet - Client demographics, and other key information is entered and displayed, modification from the base system will be made to accommodate the county business needs.
5. Address History - The base system includes client address and placement tracking, start and end dates of a client living at a given location. Functionality here will be configured and enhanced to meet the needs of HCA-PG tracking and placement history needs, including "Temporary Placement" and "Acute Placement" scenarios. The DA-PA system will be configured to track burial arrangements, mortuary and plot location as well as other needs.
6. Benefit Tracking – Requirements dictate the need to input track and trace the filing, reporting and receipt of client based benefits.
7. Contacts - The base system includes the ability to store contact information for people associated with the client such as primary, next of kin, included in will. Modifications are necessary to imbed a picture of the contact for users to properly identify contacts when encountering them and to accommodate any additional data tracking requirements.
8. Client Transactions and Payment Requests – The base system includes the ability for PG and PA staff case managers to be able to enter and track all payment and receipt related information as it comes to the fiduciary management of the assigned cases.
9. Document and case related Attachments – The base system allows for the import and attachment of case related documents. These documents would span from personal documents about the individual, medical declaration, invoices, filed court documents, as well as systemically generated reports, created for the maintenance of the case.
10. Word forms Templates – The base system function utilizes Microsoft word based templates, which pulls case management related information from the application and populates appropriately defined zones of these pre-defined templates. The case managers would then be able to fill in key areas as it comes to business needs.

11. Client photo linking – The base system allows for the linking of client photos to the cases, for compliance with the Probate code pc 2360.
12. Court Module – The base system includes the ability to assign PG & PA relative court cases to each client of the system, which are track and monitor all associated data and function elements as it comes to the probate code requirements.
13. Court Accounting – The base system includes standard Guardian and Conservatorship (GC) forms court accounting reports. The system pulls data from throughout the variety of input areas to automate the generation of these accounting reports. Modification to the base system will be done to the accommodate per California probate code and follow the Rule of Court 7.575 which deals with the requirements of Probate Code Section 2620(a), revised as part of the Omnibus Conservatorship and Guardianship Reform Act of 2006; also known as the Jones Legislation of the court accounting schedule.
14. Court Calendaring - Requirements dictate the need to input track and trace the filing, reporting and processing of all client based court appointments and their results.
15. Creditor's Claims – DA-PA requirements dictate the creation of a Creditor's Claim input and tracking process with the end result be to meet the state and judicial criteria for receipt and processing of Creditor's Claims, thus allowing the PA to submit a populated "Statement of Liability" form to the court for the cases where this is necessary.
16. Pre-Needs – HCA-PG requirements dictate the input and maintenance of "Pre-Need" data for clients with the need to have and track this information.
17. Special Needs Trusts – Modification of the base system for HCA-PG will be needed to allow for this type of case, and the "case linking" of these cases to particular clients, both inside or outside of conservatorship.
18. Events – The base system which includes an "events" module allows for case notes, phone calls, automated system triggers. "Events" is a chronological log of nearly all case activity. The event section functionality will be modified to meet the needs of Orange County time tracking.
19. Inventory - The base PA and PG systems track client assets and asset disposition in the inventory module, this includes information related to valuation, encumbrances, sale information, and notes. In addition, a sub module will be developed to track "Chain of Custody" for each inventory item. Base functionality will be expanded to track inventory types according to the state probate code, and state referee requirements. The functionality expansion of the asset and inventory module, it will allow for the system to compile, prepare, and generate court inventory and appraisal reports (I&A), in Judicial Council format consistent with Rule of Court 7.575 requirements which suggest that I&A items must be listed and sub-totaled in "categorized" format by similar class of assets i.e. cash, bank accounts, marketable securities, real properties, business interests, notes receivable, etc. compliant to CA Probate referee and court requirements.
20. I&A History and Versioning – The base system already has an I&A asset functionality, which will be modified in order to capture and recall Inventory and Appraisal documents created and submitted to the court, and the various versions.

21. Trust Management – Requirements dictate the build of functionality exclusively around the management and administration of Trust type cases. This functionality will be developed in compliance to these needs.
22. Client Reports – The base system will be expanded beyond “out of the box” reporting to include additional reports as required by HCA-PG and DA-PG allowing the accurate and quick pull of results and agile management of cases and statistics.

F. ACCOUNTING MODULE

Contractor base accounting module will include, but not limited to, the following functionality and will allow for modification and customizations as identified by County HCA-PG and DA-PA.

1. Payment Batches – The base system will be reviewed and modification of Payment batch functionality will be reviewed with Orange County subject matter experts, to define which users should be able to mark, print, post, void, cancel, and clear checks, in order to comply with the segregation of duties requirements. In addition, each of these functions will be reviewed to ensure the functionality meets the needs of Orange County.
2. Payment Processing – The base system will be reviewed and customized to meet the county payment approval workflows, whereas it comes to their threshold amounts, segregation of duties and further requirements.
3. Receipt Processing – The base system will be reviewed and customized to meet the county receipt workflows, whereas it comes to their inputs, approvals, and segregation of duties and further requirements.
4. Journal Entry Processing – The base system will be reviewed and customized to meet the county journal entry workflows, whereas it comes to their inputs, approvals, and segregation of duties and further requirements.
5. Chart of Accounts – The base system allows for a large and expansive setup of the chart of accounts. These account codings will be aligned to the HCA-PG and DA-PA divisional needs as appropriate to the independent application
6. CAPS+ - New functionality and interface will be developed to produce a CAPS+ file. This file will be used to send data to the Auditor’s office so that checks can be cut at the centralized location. A bi-directional data-exchange will be created for the reconciliation of data to and from the County of Orange Auditor Controller’s office.
7. Revolving Fund Reimbursement – Requirements dictate the ability to loan money to client accounts from a revolving fund, then track reimbursement until the loans are fully repaid.
8. Bank Import – The base system functionality will be customized for the import routine to accept the OC bank format. This file will contain details of cleared, stopped, voided, and cancelled checks. Performing this function makes bank reconciliation much smoother.
9. ACH Processing – The base PA and PG systems have the capability to import an ACH deposit file, which Orange County’s ePages system cannot do. This baseline functionality streamlines the processing of electronically received recurring receipts.

10. Investments – The base system PA and PG systems has the functionality to track investments made by the agency in order to generate more interest than leaving the combined client money in a typical checking or savings account. This will be reviewed and customized to meet the needs of the county.
11. Bank Reconciliation – The base PA and PG systems include a Bank Reconciliation module. HCA-PG and DA-PA divisions will be customized in order to verify the client balances it manages add up to the total amount it has at the bank or county account.
12. Vendors Management – The base system will be customized to HCA-PG and DA-PA, for tracking the Vendors associated with the clients they manage. Vendor information can be pulled to auto-populate placement facility information, payment details, and a plethora of other functionality, for more consistent data across the system. Access controls will be put in place to control who can create and modify these vendors. Additional fields and functionality will need to be added to support Orange County given the integration with the Auditor Controller’s office and centralized control of vendor lists to support the initiatives of the County.
13. Interest Distribution – The base system includes an Interest Distribution Wizard to allow for the automation of interest to be distributed either by a rate ladder, or lump sum divided between clients’ average daily balances. Customization of this function will be done to ensure that it meets the needs of the County.
14. Transaction Logs – The base system function allows for the entry, monitoring and reporting of transaction logs throughout each case individually. This section will be reviewed and aligned with the County business needs.
15. Client Balance Tracking – The base system by default allows for the tracking of transaction based details as it comes to fiduciary management in the areas of cash, savings, burial, investment and other areas.
16. End of Period – The base system is built with reports and reconciliation functionality referred to as “End of Period”. End of period process allows the users run various end of period reports and verify balances before closing out a month, quarter, or year-end.
17. Data Conversion – Migration of the legacy system “ePages” data into the new system, including data translation, field mapping, data validation and final staging and testing to make sure client balances are exact.

G. APPLICATION CUSTOMIZATION

Contractor shall meet with County Project Manager and key users from both HCA-PG and DA-PA to refine and expand base system functionality and detail additional required changes to meet the needs of the County.

H. PROJECT MANAGEMENT AND MILESTONES

Contractor will create and provide project matrix that will clearly identify the scope, list the milestones and element deliverables. Contractor will work with County Project Manager to assemble a project team for both HCA-PG and DA-PA and provide a timeline for the milestones and deliverables.

I. CHANGE CONTROL POLICY

If change requests are needed, Contractor will work with County Project Manager from HCA-PG and DA-PA to identify or define the change, assess the importance and impact of the change and obtain approval from HCA-PG or DA-PA before proceeding.

J. RESOURCES TO BE PROVIDED BY COUNTY

County will provide the following resources to Contractor.

1. General system access – an internet connection and all devices which need to be equipped with a supported browser.
2. Conference room and equipment – a conference room for project meetings with a projector and a white board for the duration of the project.
3. Internet access – to run the system for demonstration purposes from a County connection to simulate real world connection speeds and connectivity issues.
4. County project manager – County will provide a project manager for HCA-PG and a project manager for DA-PA to work with Contractor project manager.
5. Domain experts – for access to County domains.
6. UAT personnel – for user acceptance testing.
7. County IT – assistance in obtaining legacy database and ensuring desktop machines are configured to access the system prior to “Go Live”.
8. Training room – training room equipped with 10-15 workstations for hands-on training.

K. New Community Contacts Table for the DA-PA Electronic Records Management System

Contractor shall implement a "Community Contacts" table under the existing Case Management navigation element in the application.

1. The grid default view would be "All" Community Contact records and would have the following columns (in this order):
 - Contract Name
 - Contract Type
 - Address
 - Work [Number]
 - Cell [Number]
 - Home [Number]
2. Additional views may be added at later time that would correspond to the type selected on each individual Community Contract record.
3. The Community Contact page would have an agency name, first name, middle initial, and last name fields along with the Contact Type dropdown field. The following options shall be included in the Contract Type dropdown field.
 - Locksmith

- Government Agency
- Landscaper
- Financial Institution
- Embassy
- Mortuary
- Cemetery
- Contractor/Handyman
- Heir Finder
- Escrow
- Appraiser
- Title Company
- House Cleaners
- Buyout/Cleanout Company

4. The remaining fields on the Community Contact page will allow for users to enter basic address and phone information for the contact.
5. An individual attachment field will be available on the Community Contact page that will allow a user to upload one image that will be visible on the Community Contact page.
6. There will also a general Notes field at the bottom of the record. There will be no fields that will be required to be populated prior to saving the Community Contact page
7. Additionally, once the Community Contact record is saved, an attachment table under the individual record will be available. The attachment record will allow for name and description to be entered and a file uploaded. The attachment table will mirror the format of the existing client/contact/attachments table.

8. User Access

The following users levels will have access to view, insert and edit Community Contact records in the application:

- Clerical
- Deputy
- Senior Deputy
- Supervising Deputy
- Chief Deputy
- Accountant
- Accounting Manager
- Personal Property Clerk
- Property Manager
- System administrator

The following user levels will also have delete access to the Community Contact records in the application:

- Supervising Deputy
- Chief Deputy
- Property Manager

ATTACHMENT B
COMPENSATION AND INVOICING

I. COMPENSATION

This is a fixed price Contract not to exceed the amount of ~~\$2,154,000~~ \$2,289,600 for the Term of Contract. Contractor agrees to accept the specified compensation as full remuneration for performing all services and furnishing all staffing and materials called for; for any reasonably foreseen difficulties under the responsibility of Contractor which may arise or be encountered in the execution of the services until their acceptance; for risks connected with the services; and for performance by Contractor of all of its duties and obligations hereunder. The fixed price shall include the fee and all expenses related to the performance of work and services required to meet the tasks and deliverables in the Scope of Work of Attachment A.

II. PAYMENT TERMS

Contractor shall submit invoices to the addresses listed below. Payment of invoices shall be made per pricing and payment schedule listed in Attachment C and shall be net thirty (30) days after the receipt of an acceptable invoice submitted in accordance with the terms set forth herein. The invoice shall be verified and approved by County's Project Manager, and shall be subject to routine processing requirements of County. Invoices shall not be paid if services have not been appropriately provided as determined by County's Project Manager.

Billing shall cover only those services not previously invoiced. Contractor shall reimburse County for any monies paid to Contractor for services not provided or when services do not meet the Contract requirements. Payment made by County shall not preclude the right of County from thereafter disputing any items or services involved or billed under this Contract and shall not be construed as acceptance of any part of the services.

III. PAYMENT (ELECTRONIC FUNDS TRANSFER) - INVOICING INSTRUCTIONS

County offers Contractor the option of receiving payment directly to its bank account via an Electronic Fund Transfer (EFT) process in lieu of a check payment. Payment made via EFT shall also receive an Electronic Remittance Advice with the payment details via e-mail. An e-mail address shall need to be provided to County via an EFT Authorization Form. Contractor may request a form from the agency/department representative listed in the Contract.

1. Invoices for HCA-PG and all supporting documentation shall be submitted as follows:

County of Orange
Health Care Agency
Attn: Accounts Payable
PO Box 689
Santa Ana, CA 92702

Invoice for DA-PA and all supporting documentation shall be submitted as follows:

County of Orange
Office of the District Attorney
Attn: Accounts Payable
PO Box 808
Santa Ana, CA 92702

2. Contractor shall provide a two-part invoice on Contractor's letterhead for services rendered. Each invoice shall have a number and shall include the following information:
 - b. Contractor's name and address, and remittance address (if different)
 - c. Contractor's Tax Identification Number or Employer's Identification Number
 - d. County agency name and service address
 - e. Master Agreement Number: MA-042-17011420
 - f. Description and date services provided
 - g. Amount of Payment Requested

The responsibility for providing acceptable invoices to County for payment rests with Contractor. Incomplete or incorrect invoices are not acceptable and shall be returned to Contractor.

ATTACHMENT C**PRICING**

HCA-PG	Monthly Cost	Project Cost	Year 1	Year 2	Year 3	Total 3 Year Cost
			2017-2018	2018-2019	2019-2020	
Project Cost		\$ 1,070,000				
Monthly Hosting/Support	6,000			\$ 72,000	\$ 72,000	
Total:		\$ 1,070,000		\$ 72,000	\$ 72,000	\$ 1,214,000
DA-PA			Year 1	Year 2	Year 3	
			2017-2018	2018-2019	2019-2020	
Project Cost		\$ 820,000				
Monthly Hosting/Support	5,000			\$ 60,000	\$ 60,000	
Total:		\$ 820,000		\$ 60,000	\$ 60,000	\$ 940,000
Total Project Cost PA & PG		\$ 1,890,000				\$ 2,154,000

HCA-PG	Year 4	Year 5	Total 5 Year Cost
	2020-2021	2021-2022	
Project Cost			
Monthly Hosting/Support	\$ 72,000	\$ 72,000	
Total:	\$ 72,000	\$ 72,000	\$ 1,358,000
DA-PA	Year 4	Year 5	
	2020-2021	2021-2022	
Project Cost			
Monthly Hosting/Support	\$ 60,000	\$ 60,000	
Total:	\$ 60,000	\$ 60,000	\$ 1,060,000
Total Project Cost PA & PG			\$ 2,418,000

Milestone Payments					
	%	HCA-PG	Date	DA-PA	Date
Contract Signing & Security Compliance	20%	\$ 214,000	May 2017	\$ 164,000	May 2017
Requirements Approval	20%	\$ 214,000	August 2017	\$ 164,000	June 2017
Test and Validation	20%	\$ 214,000	April 2018	\$ 164,000	January 2018
Data Conversion	10%	\$ 107,000	June 2018	\$ 82,000	February 2018
Go Live	15%	\$ 214,000	July 2018	\$ 164,000	March 2018
Post Go Live Validation	15%	\$ 107,000	August 2018	\$ 82,000	May 2018
		\$ 1,070,000		\$ 820,000	

YEAR 4 – DA-PA PROJECT ADDONS	YEAR 4 - COST
COMMUNITY CONTRACT TABLE	\$3,600

ATTACHMENT D



**Security
Requirements and
Guidelines for
Application
Vendors and
Application
Service Providers
(Panoramic)**

03/2017

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1 Overview

Security Requirements and Guidelines for Application Vendors and Application Service Providers

This document provides a high-level overview of application security related guidelines and requirements set forth by the Orange County Health Care Agency (OCHCA), and applies to both software vendors for County-implemented applications and application service providers who provide hosted services.

These requirements and guidelines are consistent with regulatory privacy and security requirements and guidelines as well as supportive of OCHCA's position and practices on risk management in terms of appropriately safeguarding OCHCA's information assets.

The sections below are comprehensive and may apply in whole or in part based on specific implementation and scope of work. The expectation is that vendors will comply with relevant sections, as necessary. This information will be reviewed, validated and documented by OCHCA Security prior to any contract being finalized.

Vendors are required to comply with all existing legal and regulatory requirements as they relate to OCHCA's systems and data. Example of regulations, rules and laws include, but are not limited to, the Health Insurance Portability and Accountability Act (HIPAA), Senate Bill 1386, Payment Card Industry (PCI) Data Security Standards, and Sarbanes-Oxley (SOX). Vendors must also commit to ensuring compliance with all future local, state and federal laws and regulations related to privacy and security as they pertain to the application or service.

2 General Security Requirements

- The application/system must meet the general security standards based upon ISO 17799 – Code of Practice for Information Security and ISO 27799 – Security Management in Health Using ISO 17799.
- The application must run on an operating system that is consistently and currently supported by the operating systems vendor. Applications under maintenance are

expected to always be current in regards to the current version of the relevant operating system.

- For applications hosted by OCHCA, OCHCA will routinely apply patches to both the operating system and subsystems as updated releases are available from the operating system vendor and or any third party vendors. The vendors must keep their software current and compatible with such updated releases in order for the application to operate in this environment.
- Vendors must provide timely updates to address any applicable security vulnerabilities found in the application.
- OCHCA utilizes a variety of proactive, generally available, monitoring tools to assess and manage the health and performance of the application server, network connectivity, power etc. The application must function appropriately while the monitoring tools are actively running.
- All application services must run as a true service and not require a user to be logged into the application for these services to continue to be active. OCHCA will provide an account with the appropriate security level to logon as a service, and an account with the appropriate administrative rights to administer the application. The account password must periodically expire, as per OCHCA policies and procedures.
- In order for the application to run on OCHCA server and network resources, the application must not require the end users to have administrative rights on the server or subsystems.

3 Encryption

- Application/system must use encryption to protect sensitive data at rest wherever technically possible (e.g. SQL TDE Encryption).
- All data transmissions must be encrypted using a FIPS 140-2 certified algorithm, such as Advanced Encryption Standard (AES), with a 128bit key or higher. Encryption can be end to end at the network level. This requirement pertains to any regulated data in motion such as website access and file transfers.
- All electronic files, where applicable, that contain OCHCA data must be encrypted when stored on any removable media or portable device (USB drives, CD/DVD, mobile phones, backup tapes). The encryption must be a FIPS 140-2 certified algorithm, such as Advanced Encryption Standard (AES), with a 128bit key or higher.

- All encryption methods used for data storage and transmission must be disclosed by the vendors.

4 Network Application Documentation

- Vendors must provide documentation related to the configuration of the application including methods of secure implementation and port requirements.

5 Access Management

- Application/system must control access to and within the system at multiple levels (e.g. per user, per user role, per area, per section of the chart) through a consistent mechanism of identification and authentication of all users in accordance with the 'Role Based Access Control' (RBAC) standard.
- Application/system must support measures to define, attach, modify and remove access rights for all classes of users.
- Application/system must support measures to enable and restrict access to the whole and/or sections of the technology solution in accordance with prevailing consent and access rules.
- Application must have the ability to create unique user accounts.
- Application must support session timeouts or automatic logoff after 20 minutes of inactivity.
- The application must provide functionality to automatically disable or lock accounts after 60 days of inactivity.

6 Password Management

- Application must support password management measures including but not limited to password expiration, account lockout and complex passwords.
- Passwords expiration must be set to 90 days
- Vendor will work towards implementing controls to prevent the use of previous 5 passwords.

- The password must be at least 8 characters in length and a combination of letters, numbers, and special characters with at least 3 of the four following categories.
 - ◆ Uppercase letters (A through Z)
 - ◆ Lowercase letters (a through z)
 - ◆ Numeric digits (0 through 9)
 - ◆ Special Characters (! @ # \$ % ^ & etc.)

7 Audit Capabilities

Auditing and logging capabilities will permit HCA to identify, and possibly reverse, unauthorized or unintended changes to application.

- Application must support the identification of the nature of each access and/or modification through the use of logging.
- Application must employ audit capabilities to sufficiently track details that can establish accountability for each step or task taken in a clinical or operational process.
- All audit logs must be protected from human alteration.
- Access to logs must be limited to authorized users.
- The application must employ basic query tools and reports to easily search logs.
- OCHCA record retention policies must be followed. [Currently OCHCA requires that this period be at least six years from the time the record was initiated.](#)
- Logging and auditing functionality must include the following:
 - ◆ Record of who did what to which object, when and on which system.
 - ◆ Successful/unsuccessful log-in and log-out of users.
 - ◆ Add, modify and delete actions on data/files/objects.
 - ◆ Read/view actions on data classified as restricted/confidential.
 - ◆ Changes to user accounts or privileges (creation, modification, deletion).
 - ◆ Switching to another users access or privileges after logging in (if applicable).

8 Protection from Malicious Code

- For cloud hosted solutions, vendors must utilize antivirus/antispysware software on servers and monitor to prevent malicious code which may lead to a compromise of OCHCA's data.

- For local hosted solutions, vendors must ensure that the application appropriately supports the use of antivirus/antispymware software.

9 Remote Support Functionality

- Provider must conform to OCHCA Vendor Remote Access Policy.

10 HCA Data Usage

- During the course of any implementation and subsequent support and life cycle management, any OCHCA data that the vendors have access to in any manner shall be considered confidential unless otherwise designated in writing.
- Vendors must not use or disclose OCHCA's data other than as permitted or as required by contract or law.
- The vendors must agree to use appropriate safeguards to prevent the unauthorized use or disclosure of OCHCA's data during any time that the data is stored or transported in any manner by vendors.
- After the end of any appropriate use of OCHCA's data within the vendors' possession, such data must be returned to OCHCA or securely destroyed unless otherwise permitted by contract or law.

11 Cloud Solutions

Application Service Providers hosting OCHCA data must meet the following additional requirements and are required to comply with and provide deliverables noted below:

- **SSAE 16.** SSAE 16 SOC 2 Type 2 or SSAE 16 SOC 1 Type 2 compliance certificate.
- **Network Intrusion Detection and Prevention.** All systems that are accessible via the internet must actively use a network based intrusion detection and prevention solution.
- **Workstation/Laptop Encryption.** All workstations, laptops and mobile devices that process and/or store OCHCA data must be encrypted using full disk encryption that uses a FIPS 140-2 certified algorithm, such as Advanced Encryption Standard (AES), with a 128bit key or higher.
- **Jurisdiction and Location of OCHCA Data.** To protect against seizure and improper use by non-United States (US) persons and government entities, all data / information

stored and processed for OCHCA must reside in a facility under the legal jurisdiction of the US.

- **Patch Management.** All workstations, laptops, and other systems that access, process and/or store OCHCA data must have appropriate security patches installed. Application Service Providers must utilize a documented patch management process which determines installation timeframe based on risk assessment and vendor recommendations. At a minimum, all applicable patches must be installed within 30 days of vendor release.
- **Application Access.** All systems accessible via the internet must employ security controls to prevent access to the application via an asset not approved or owned by the county.
- **Risk Assessment.** Application Service Providers hosting data for HIPAA covered services must conduct an accurate and thorough Risk Assessment as required by HIPAA Security Rule, Security Management (§ 164.308(a)(1)). Further, they must follow the risk assessment methodology, based on the latest version of NIST SP 800-30 (http://csrc.nist.gov/publications/nistpubs/800-30-rev1/sp800_30_r1.pdf). Upon request, the Risk Assessment findings and remediation strategy must be shared with OCHCA.
- **NIST.** To ensure compliance with HIPAA, Application Service Providers shall implement appropriate security safeguards by following National Institute of Standards and Technology (NIST) guidelines.

12 Policies

Vendors must have formal, published IT security policies that address how they manage and maintain the internal security posture of their own or sub-contracted infrastructure. The vendor shall also clearly demonstrate that additional security features are in place to protect systems and data in the unique environment of the service provider model: namely, security issues associated with storing County-owned data on a remote server that is not under direct County control and the necessity of transferring this data over an untrusted network.

Vendors must provide, to the extent permissible, all relevant security policies and procedures to the County for review and validation. All documentation must be provided in electronic format for the County's review.

These policies must include, but not be limited to, the following:

- **IT Staff Usage Agreement.** All vendor employees performing services for the County must sign and agree to an IT usage agreement within their own organization as part of an overall security training and awareness program. At a minimum, vendor employees must sign a statement of understanding within their own organization regarding Internet dangers, IT security, and IT ethics and best practices,
- **IT Security Policies and Procedures.**
- **IT Operations Security Policy.** Written standards for operational security for any facilities where the County data, staff or systems shall exist. These documents must include, but not be limited to, physical security, network security, logical security, systems/platform security, wireless access, remote access, and data protections.
- **Data Management Security Policy.** Policy for the safeguarding and management of all data provided by the County or accessed by vendor as part of implementation and ongoing maintenance. This policy must, at a minimum, include check-in, check-out, copy control, audit logs and separation of duties.
- **Security Incident Notification and Management Process.** A detailed document that outlines the contact names and order and escalation of events that will occur in the case of a security breach concerning the County staff, data, or systems. This document must be updated immediately upon any change. The vendor shall be held liable to the time-tables and protections outlined in the document.

In addition to developing, maintaining, and enforcing the above named policies, the vendor must:

- Bear the cost of compliance for any required changes to security infrastructure, policies and procedures to comply with existing regulations, unless such change is unique to the County.
- Comply with reasonable requests by the County for audits of security measures, including those related to identification and password administration.
- Comply with reasonable requests by the County for onsite physical inspections of the location from which the vendor provides services.
- Provide the County with any annual audit summaries and certifications, including but not limited to HIPAA, ISO or SOX audits, as applicable.
- Designate a single point of contact to facilitate all IT security activities related to services provided to the County, with the allowance of appropriate backups. Such contact(s) must be available on a 7/24/365 basis.

13 Business Continuity / Disaster Recovery Plans

Application Service Providers must have a viable risk management strategy that is formally documented in a Business Continuity Plan (BCP) and/or a Disaster Recovery Plan (DRP). This BCP/DRP plan(s) must identify recovery strategies within the application service areas, outline specific recovery methods and goals, and provide the mutually agreed upon recovery time and point objectives.

14 Backup and Restore

The vendor must provide their routine Backup and Restore policy and procedure which includes their backup data security strategy. These procedures shall allow for protection of encryption keys (if applicable) as well as a document media destruction strategy including media management tasks (i.e., offsite vaulting and librarian duties).

15 Staff Verification

For any employee a vendor contemplates using to provide services for the County, the vendor shall use its standard employment criteria as used for similar services provided to other customers in evaluating the suitability of that employee for such roles.

At a minimum, subject to the requirements of applicable law, such criteria must include the information as outlined below for each employee:

- **Relevant Skills, Licenses, Certifications, Registrations.** Each service employee must possess the educational background, work experience, skills, applicable professional licenses, and related professional certifications commensurate with their position. The County may, at any time and at its sole discretion, request that the vendor demonstrate compliance with this requirement as applicable to the nature of the services to be offered by the vendor's employee. The County may, at its sole discretion, also request the vendor's certification that the vendor employee has undergone a chemical/drug screening, with negative results, prior to granting access to the County facilities.

- **Background Checks.** In accordance with applicable law, the vendor must, at the County's request, obtain as a condition of employment, a background investigation on any vendor employee selected to work for the County. The security and background investigation shall include criminal record checks, including records of any conviction in the U.S. or other relevant jurisdiction where the employee resides. Costs for background investigations must be borne by the vendor.

At a minimum, subject to the requirements of applicable law, the vendor must:

1. Ensure that all vendor service employees performing applicable services or supporting the vendor's duties and obligations under a County agreement: (i) have not been convicted of any crime involving violence, fraud, theft, dishonesty or breach of trust under any laws; and (ii) have not been on any list published and maintained by the Government of the United States of America of persons or entities with whom any United States person or entity is prohibited from conducting business.

2. Follow such verification procedures as may be reasonably specified by the County from time to time. If either the vendor or the County becomes aware that any vendor employee has been convicted of a crime involving violence, fraud, theft, dishonesty or breach of trust, or has been included on any such list of persons or entities convicted of such crimes, then the vendor shall promptly remove the employee from providing services to the County and prohibit that employee from entering any facilities at which services are provided.
3. Annually certify to the County that, to the best of its knowledge, none of the service employees have been convicted of any felony involving fraud, theft, dishonesty or a breach of trust under any laws.

16 IT Physical Security and Access Control

The vendor must establish processes and procedures for physical access to and control of their own facilities that are, at a minimum, consistent with relevant industry-specific best practices.

Vendor employees are expected to:

- Comply with facility access procedures, using procedures such as sign-in/sign-out requirements and use of assigned ID badges.
- Scan ID badges, where applicable, at any secure door and/or entrance and exit gates, including any door or gate that may already be open.
- Refrain from using recordable media in conjunction with County-owned equipment.
- Comply with check-in/check-out requirements for materials and/or equipment.
- Adhere to the facility's established emergency, safety and evacuation procedures.
- Report any unsafe conditions to the facility's safety representative.
- Report any access violations or security threats to the facility's local security administrator.

17 IT Security Compliance and Training

The vendor must ensure that all vendor employees comply with security policies and procedures and take all reasonable measures to reduce the opportunity for unauthorized access, transmission, modification or misuse of the County's data by vendor employees.

The vendor must ensure that all vendor employees are trained on security measures and practices. The vendor will be responsible for any costs related to such training.

At a minimum, the vendor is expected to:

- Ensure that a formal disciplinary process is defined and followed for vendor employees who violate established security policies and procedures.
- Proactively manage and administer access rights to any equipment, software and systems used to provide services to the County.
- Define, maintain and monitor access controls, ranging from physical access to logical security access, including a monthly review of vendor employees' access to systems used to provide services to the County.

The vendor shall monitor facilities, systems and equipment to protect against unauthorized access.

At a minimum, the vendor is expected to:

- Monitor access to systems; investigate apparent security violations; and notify the County of suspected violations, including routine reporting on hacking attempts, penetrations and responses.
- Maintain data access control and auditing software and provide adequate logging, monitoring, and investigation of unusual or suspicious activity.
- Initiate immediate corrective actions to minimize and prevent the reoccurrence of attempted or actual security violations.
- Document details related to attempted or actual security violations and provide documentation to the County.

- Provide necessary documentation and evidence to the County in connection with any legal action or investigation.

18 Security Testing Recommendations

The vendor should perform a series of steps to verify the security of applications, some of which are noted below. This section will not be validated by the County, but reflects best practices that the vendor should consider and follow.

1. Look for vulnerabilities at various layers of the target environment. In the lowest layer, the vendor's testing team should look for flaws in the target network environment, including any routers and firewalls designed to control access to the web server and related target components. The team should attempt to determine whether such filters provide adequate protection at the network layer of the target hosts that the team can reach across the Internet.
2. Look for flaws in the Internet-accessible hosts associated with the target infrastructure, including the web server. This host-based component of the test will analyze which network-accessible services are available on the target hosts across the Internet, including the web server process. The testing team should look for incorrect configuration, unpatched or enabled services, and other related problems on the target hosts.

This review performed by the vendor should include but not be limited to:

- The web application (i.e., the software that interacts with users at their web browsers; typically custom-crafted code created by the web development team)
- The web server application (the underlying software that sends and receives information via HTTP and HTTPS, typically off-the-shelf software such as Microsoft's IIS or the open-source Apache software)
- Any separate backend application servers that process information from the web application
- The backend database systems that house information associated with the web application.
- Infrastructure diagrams.

- Configuration host review of settings and patch versions, etc.
- Full code review.
- Identification and remediation of well-known web server, code engine, and database vulnerabilities.
- Identification and remediation of any server and application administration flaws and an exploitation attempt of same.
- Analysis of user interface, normal application behavior, and overall application architecture for potential security vulnerabilities.
- Analysis of data communications between the application and databases or other backend systems.
- Manual analyses of all input facilities for unexpected behavior such as SQL injection, arbitrary command execution, and unauthorized data access.
- Analyses of user and group account authentication and authorization controls to determine if they can be bypassed.
- Identification of information leakage across application boundaries, including the capability to enumerate other users' data and "show code" weaknesses that reveal internal application logic.
- Identification of areas where error handling is insufficient or reveals too much sensitive information.
- Identification of opportunities to write to the host file system or execute uploaded files.
- Identification of product sample files, application debugging information, developer accounts or other legacy functionality that allows inappropriate access.
- Determination as to whether or not fraudulent transactions or access can be performed.
- Attempts to view unauthorized data, especially data that should be confidential.
- Examination of client-side cached files, temporary files, and other information that can yield sensitive information or be altered and re-submitted.
- Analysis of encoded and encrypted tokens, such as cookies, for weakness or the ability to be reverse engineered.

19 Web Application Penetration Test Requirement

OCHCA contracted with a third party vendor to conduct a web application penetration test (WAPT) of the Panoramic application. The following items are to be addressed by Panoramic vendor before go-live and before OCHCA provides any data to vendor.

- All findings that have a risk level of high will be mitigated and the mitigating security control must be approved by OCHCA
- All findings medium risk level findings that OCHCA requires Panoramic to address must be mitigated. The mitigating security control must be approved by OCHCA.

20 Vendor Deliverables

The following items are to be provided by the vendor:

- OCHCA Security Requirements and Guidelines for Application Vendors and Application Service Providers - Questionnaire
- Business Continuity Plan Summary (as related to service provided)
- Network Diagram that demonstrates vendor network and application segmentation including the security controls in place to protect HCA data
- IT Security Staff Usage Policy
- IT Security Policies and Procedures
- IT Operations Security Policy
- Data Management Security Policy
- Security Incident Notification and Management Process
- Security Contact Identification (24x7x365)
- Staff Related Items
 - Pre-Employment Screening Policy/Procedure
 - Background Checking Procedure
 - Ongoing Employment Status Validation Process
 - Staff Roster and Duties