

1 AGREEMENT FOR PROVISION OF
2 COLLABORATIVE COURTS FULL SERVICE PARTNERSHIP/WRAPAROUND SERVICES
3 BETWEEN
4 COUNTY OF ORANGE
5 AND
6 COMMUNITY SERVICE PROGRAMS, INC.
7 JULY 1, 2017 THROUGH JUNE 30, 2020
8

9 THIS AGREEMENT entered into this 1st day of July 2017, (effective date), is by and between the
10 COUNTY OF ORANGE, a political subdivision of State of California (COUNTY) and
11 COMMUNITY SERVICE PROGRAMS, INC., a California nonprofit corporation (CONTRACTOR).
12 COUNTY and CONTRACTOR may sometimes be referred to herein as "Party" or collectively as
13 "Parties". This Agreement shall be administered by the County of Orange Health Care Agency
14 (ADMINISTRATOR).
15

16 **W I T N E S S E T H:**
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18 WHEREAS, COUNTY wishes to contract with CONTRACTOR for the provision Collaborative
19 Courts Full Service Partnership/Wraparound Services of, described herein to the residents of Orange
20 County; and

21 WHEREAS, CONTRACTOR is agreeable to the rendering of such services on the terms and
22 conditions hereinafter set forth:

23 NOW, THEREFORE, in consideration of the mutual covenants, benefits, and promises contained
24 herein, COUNTY and CONTRACTOR do hereby agree as follows:

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REFERENCED CONTRACT PROVISIONS

Term: July 1, 2017 through June 30, 2020

Period One means the period from July 1, 2017 through June 30, 2018

Period Two means the period from July 1, 2018 through June 30, 2019

Period Three means the period from July 1, 2019 through June 30, 2020

Maximum Obligation:

Period One Maximum Obligation:	\$2,389,519
Period Two Maximum Obligation:	2,389,519
Period Three Maximum Obligation:	<u>2,389,519</u>
TOTAL MAXIMUM OBLIGATION:	\$7,168,557

Basis for Reimbursement: Actual Cost

Payment Method: Monthly in Arrears

CONTRACTOR DUNS Number: 12-673-5729

CONTRACTOR TAX ID Number: 95-3167866

Notices to COUNTY and CONTRACTOR:

COUNTY: County of Orange
Health Care Agency
Contract Services
405 West 5th Street, Suite 600
Santa Ana, CA 92701-4637

CONTRACTOR: Community Service Programs, Inc.
1221 East Dyer Road, Suite 120
Santa Ana, CA 92705
Ronneta Johnson, Executive Director
rjohnson@cspinc.org

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I. ACRONYMS

The following standard definitions are for reference purposes only and may or may not apply in their entirety throughout this Agreement:

- 1 A. ARRA American Recovery and Reinvestment Act
- 2 B. BHS Behavioral Health Services
- 3 C. CCC California Civil Code
- 4 D. CCR California Code of Regulations
- 5 E. CEO County Executive Office
- 6 F. CFR Code of Federal Regulations
- 7 G. CHPP COUNTY HIPAA Policies and Procedures
- 8 H. COI Certificate of Insurance
- 9 I. CRS Crisis Residential Services
- 10 J. CSW Clinical Social Worker
- 11 K. DD Dual Diagnosis
- 12 L. D/MC Drug/Medi-Cal
- 13 M. DHCS Department of Health Care Services
- 14 N. DRS Designated Record Set
- 15 O. DSH Direct Service Hour
- 16 P. ePHI Electronic Protected Health Information
- 17 Q. EPSDT Early Periodic Screening, Diagnosis, and Treatment
- 18 R. FSP/W Full Service Partnership/Wraparound
- 19 S. GAAP Generally Accepted Accounting Principles
- 20 T. HCA Health Care Agency
- 21 U. HHS Health and Human Services
- 22 V. HIPAA Health Insurance Portability and Accountability Act of 1996, Public
23 Law 104-191
- 24 W. HSC California Health and Safety Code
- 25 X. IRIS Integrated Records and Information System
- 26 Y. ISO Insurance Services Office
- 27 Z. LCSW Licensed Clinical Social Worker
- 28 AA. LPT Licensed Psychiatric Technician
- 29 AB. LVN Licensed Vocational Nurse
- 30 AC. MFT Marriage and Family Therapist
- 31 AD. MHP Mental Health Plan
- 32 AE. MHSA Mental Health Services Act
- 33 AF. MIHS Medical and Institutional Health Services
- 34 AG. NOA-A Notice of Action

1	AH. NPI	National Provider Identifier
2	AI. NPP	Notice of Privacy Practices
3	AJ. OIG	Office of Inspector General
4	AK. OMB	Office of Management and Budget
5	AL. OPM	Federal Office of Personnel Management
6	AM. PC	State of California Penal Code
7	AN. PHI	Protected Health Information
8	AO. PII	Personally Identifiable Information
9	AP. PRA	Public Record Act
10	AQ. QIC	Quality Improvement Committee
11	AR. SIR	Self-Insured Retention
12	AS. SSA	Social Services Agency
13	AT. TAY	Transitional Age Youth
14	AU. TBS	Therapeutic Behavioral Services
15	AV. USC	United States Code
16	AW. WIC	State of California Welfare and Institutions Code
17	AX. WOC	Wraparound Orange County

18
19 **II. ALTERATION OF TERMS**

20 A. This Agreement, together with Exhibits A, B, and C attached hereto and incorporated herein,
21 fully expresses the complete understanding of COUNTY and CONTRACTOR with respect to the subject
22 matter of this Agreement.

23 B. Unless otherwise expressly stated in this Agreement, no addition to, or alteration of the terms of
24 this Agreement or any Exhibits, whether written or verbal, made by the parties, their officers, employees
25 or agents shall be valid unless made in the form of a written amendment to this Agreement, which has
26 been formally approved and executed by both parties.

27
28 **III. ASSIGNMENT OF DEBTS**

29 Unless this Agreement is followed without interruption by another Agreement between the parties
30 hereto for the same services and substantially the same scope, at the termination of this Agreement,
31 CONTRACTOR shall assign to COUNTY any debts owing to CONTRACTOR by or on behalf of
32 persons receiving services pursuant to this Agreement. CONTRACTOR shall immediately notify by
33 mail each of these persons, specifying the date of assignment, the County of Orange as assignee, and the
34 address to which payments are to be sent. Payments received by CONTRACTOR from or on behalf of
35 said persons, shall be immediately given to COUNTY.

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IV. COMPLIANCE

A. COMPLIANCE PROGRAM - ADMINISTRATOR has established a Compliance Program for the purpose of ensuring adherence to all rules and regulations related to federal and state health care programs.

1. ADMINISTRATOR shall provide CONTRACTOR with a copy of the policies and procedures relating to ADMINISTRATOR’s Compliance Program, Code of Conduct and access to General Compliance and Annual Provider Trainings.

2. CONTRACTOR has the option to provide ADMINISTRATOR with proof of its own Compliance Program, Code of Conduct and any Compliance related policies and procedures. CONTRACTOR’s Compliance Program, Code of Conduct and any related policies and procedures shall be verified by ADMINISTRATOR’s Compliance Department to ensure they include all required elements by ADMINISTRATOR’s Compliance Officer as described in this Paragraph IV (COMPLIANCE). These elements include:

- a. Designation of a Compliance Officer and/or compliance staff.
- b. Written standards, policies and/or procedures.
- c. Compliance related training and/or education program and proof of completion.
- d. Communication methods for reporting concerns to the Compliance Officer.
- e. Methodology for conducting internal monitoring and auditing.
- f. Methodology for detecting and correcting offenses.
- g. Methodology/Procedure for enforcing disciplinary standards.

3. If CONTRACTOR does not provide proof of its own Compliance program to ADMINISTRATOR, CONTRACTOR shall acknowledge to comply with ADMINISTRATOR’s Compliance Program and Code of Conduct, the CONTRACTOR shall submit to the ADMINISTRATOR within thirty (30) calendar days of execution of this Agreement a signed acknowledgement that CONTRACTOR shall comply with ADMINISTRATOR’s Compliance Program and Code of Conduct.

4. If CONTRACTOR elects to have its own Compliance Program, Code of Conduct and any Compliance related policies and procedures review by ADMINISTRATOR, then CONTRACTOR shall submit a copy of its compliance Program, code of Conduct and all relevant policies and procedures to ADMINISTRATOR within thirty (30) calendar days of execution of this Agreement. ADMINISTRATOR’s Compliance Officer, or designee, shall review said documents within a reasonable time, which shall not exceed forty five (45) calendar days, and determine if CONTRACTOR’s proposed compliance program and code of conduct contain all required elements to the ADMINISTRATOR’s satisfaction as consistent with the HCA’s Compliance Program and Code of Conduct. ADMINISTRATOR shall inform CONTRACTOR of any missing required elements and CONTRACTOR shall revise its compliance program and code of conduct to meet ADMINISTRATOR’s required elements within thirty (30) calendar days after ADMINISTRATOR’s Compliance Officer’s determination and resubmit the same for review by the ADMINISTRATOR.

1 5. Upon written confirmation from ADMINISTRATOR's Compliance Officer that the
2 CONTRACTOR's compliance program, code of conduct and any Compliance related policies and
3 procedures contain all required elements, CONTRACTOR shall ensure that all Covered Individuals
4 relative to this Agreement are made aware of CONTRACTOR's compliance program, code of conduct,
5 related policies and procedures and contact information for the ADMINISTRATOR's Compliance
6 Program.

7 B. SANCTION SCREENING – CONTRACTOR shall screen all Covered Individuals employed or
8 retained to provide services related to this Agreement semi-annually to ensure that they are not
9 designated as Ineligible Persons, as pursuant to this Agreement. Screening shall be conducted against the
10 General Services Administration's Excluded Parties List System or System for Award Management, the
11 Health and Human Services/Office of Inspector General List of Excluded Individuals/Entities, and the
12 California Medi-Cal Suspended and Ineligible Provider List and/or any other list or system as identified
13 by the ADMINISTRATOR.

14 1. For purposes of this Paragraph IV (COMPLIANCE), Covered Individuals includes all
15 employees, interns, volunteers, contractors, subcontractors, agents, and other persons who provide health
16 care items or services or who perform billing or coding functions on behalf of ADMINISTRATOR.
17 Notwithstanding the above, this term does not include part-time or per-diem employees, contractors,
18 subcontractors, agents, and other persons who are not reasonably expected to work more than one
19 hundred sixty (160) hours per year; except that any such individuals shall become Covered Individuals at
20 the point when they work more than one hundred sixty (160) hours during the calendar year.
21 CONTRACTOR shall ensure that all Covered Individuals relative to this Agreement are made aware of
22 ADMINISTRATOR's Compliance Program, Code of Conduct and related policies and procedures (or
23 CONTRACTOR's own compliance program, code of conduct and related policies and procedures if
24 CONTRACTOR has elected to use its own).

25 2. An Ineligible Person shall be any individual or entity who:
26 a. is currently excluded, suspended, debarred or otherwise ineligible to participate in
27 federal and state health care programs; or
28 b. has been convicted of a criminal offense related to the provision of health care items or
29 services and has not been reinstated in the federal and state health care programs after a period of
30 exclusion, suspension, debarment, or ineligibility.

31 3. CONTRACTOR shall screen prospective Covered Individuals prior to hire or engagement.
32 CONTRACTOR shall not hire or engage any Ineligible Person to provide services relative to this
33 Agreement.

34 4. CONTRACTOR shall screen all current Covered Individuals and subcontractors semi-
35 annually to ensure that they have not become Ineligible Persons. CONTRACTOR shall also request that
36 its subcontractors use their best efforts to verify that they are eligible to participate in all federal and
37 State of California health programs and have not been excluded or debarred from participation in any

1 federal or state health care programs, and to further represent to CONTRACTOR that they do not have
2 any Ineligible Person in their employ or under contract.

3 5. Covered Individuals shall be required to disclose to CONTRACTOR immediately any
4 debarment, exclusion or other event that makes the Covered Individual an Ineligible Person.
5 CONTRACTOR shall notify ADMINISTRATOR immediately if a Covered Individual providing
6 services directly relative to this Agreement becomes debarred, excluded or otherwise becomes an
7 Ineligible Person.

8 6. CONTRACTOR acknowledges that Ineligible Persons are precluded from providing federal
9 and state funded health care services by contract with COUNTY in the event that they are currently
10 sanctioned or excluded by a federal or state law enforcement regulatory or licensing agency. If
11 CONTRACTOR becomes aware that a Covered Individual has become an Ineligible Person,
12 CONTRACTOR shall remove such individual from responsibility for, or involvement with, COUNTY
13 business operations related to this Agreement.

14 7. CONTRACTOR shall notify ADMINISTRATOR immediately if a Covered Individual or
15 entity is currently excluded, suspended or debarred, or is identified as such after being sanction screened.
16 Such individual or entity shall be immediately removed from participating in any activity associated with
17 this Agreement. ADMINISTRATOR will determine appropriate repayment from, or sanction(s) to
18 CONTRACTOR for services provided by ineligible person or individual. CONTRACTOR shall
19 promptly return any overpayments within forty-five (45) business days after the overpayment is verified
20 by ADMINISTRATOR.

21 C. GENERAL COMPLIANCE TRAINING – ADMINISTRATOR shall make General Compliance
22 Training available to Covered Individuals.

23 1. CONTRACTORS that have acknowledged to comply with ADMINISTRATOR’s
24 Compliance Program shall use its best efforts to encourage completion by all Covered Individuals;
25 provided, however, that at a minimum CONTRACTOR shall assign at least one (1) designated
26 representative to complete the General Compliance Training when offered.

27 2. Such training will be made available to Covered Individuals within thirty (30) calendar days
28 of employment or engagement.

29 3. Such training will be made available to each Covered Individual annually.

30 4. ADMINISTRATOR will track training completion while CONTRACTOR shall provide
31 copies of training certification upon request.

32 5. Each Covered Individual attending a group training shall certify, in writing, attendance at
33 compliance training. ADMINISTRATOR shall provide instruction on group training completion while
34 CONTRACTOR shall retain the training certifications. Upon written request by ADMINISTRATOR,
35 CONTRACTOR shall provide copies of the certifications.

36 D. SPECIALIZED PROVIDER TRAINING – ADMINISTRATOR shall make Specialized
37 Provider Training, where appropriate, available to Covered Individuals.

1 1. CONTRACTOR shall ensure completion of Specialized Provider Training by all Covered
2 Individuals relative to this Agreement.

3 2. Such training will be made available to Covered Individuals within thirty (30) calendar days
4 of employment or engagement.

5 3. Such training will be made available to each Covered Individual annually.

6 4. ADMINISTRATOR will track online completion of training while CONTRACTOR shall
7 provide copies of the certifications upon request.

8 5. Each Covered Individual attending a group training shall certify, in writing, attendance at
9 compliance training. ADMINISTRATOR shall provide instructions on completing the training in a
10 group setting while CONTRACTOR shall retain the certifications. Upon written request by
11 ADMINISTRATOR, CONTRACTOR shall provide copies of the certifications.

12 E. MEDICAL BILLING, CODING, AND DOCUMENTATION COMPLIANCE STANDARDS

13 1. CONTRACTOR shall take reasonable precaution to ensure that the coding of health care
14 claims, billings and/or invoices for same are prepared and submitted in an accurate and timely manner
15 and are consistent with federal, state and county laws and regulations. This includes compliance with
16 federal and state health care program regulations and procedures or instructions otherwise communicated
17 by regulatory agencies including the Centers for Medicare and Medicaid Services or their agents.

18 2. CONTRACTOR shall not submit any false, fraudulent, inaccurate and/or fictitious claims
19 for payment or reimbursement of any kind.

20 3. CONTRACTOR shall bill only for those eligible services actually rendered which are also
21 fully documented. When such services are coded, CONTRACTOR shall use proper billing codes which
22 accurately describes the services provided and must ensure compliance with all billing and
23 documentation requirements.

24 4. CONTRACTOR shall act promptly to investigate and correct any problems or errors in
25 coding of claims and billing, if and when, any such problems or errors are identified.

26 5. CONTRACTOR shall promptly return any overpayments within forty-five (45) business
27 days after the overpayment is verified by the ADMINISTRATOR.

28 F. Failure to comply with the obligations stated in this Paragraph IV (COMPLIANCE) shall
29 constitute a breach of the Agreement on the part of CONTRACTOR and ground for COUNTY to
30 terminate the Agreement. Unless the circumstances require a sooner period of cure, CONTRACTOR
31 shall have thirty (30) calendar days from the date of the written notice of default to cure any defaults
32 grounded on this Paragraph IV (COMPLIANCE) prior to ADMINITRATOR's right to terminate this
33 Agreement on the basis of such default.

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V. CONFIDENTIALITY

A. CONTRACTOR shall maintain the confidentiality of all records, including billings and any audio and/or video recordings, in accordance with all applicable federal, state and county codes and regulations, as they now exist or may hereafter be amended or changed.

1. CONTRACTOR acknowledges and agrees that all persons served pursuant to this Agreement are clients of the Orange County Mental Health services system, and therefore it may be necessary for authorized staff of ADMINISTRATOR to audit client files, or to exchange information regarding specific clients with COUNTY or other providers of related services contracting with COUNTY.

2. CONTRACTOR acknowledges and agrees that it shall be responsible for obtaining written consents for the release of information from all persons served by CONTRACTOR pursuant to this Agreement. Such consents shall be obtained by CONTRACTOR in accordance with CCC, Division 1, Part 2.6, relating to confidentiality of medical information.

3. In the event of a collaborative service agreement between Mental Health services providers, CONTRACTOR acknowledges and agrees that it is responsible for obtaining releases of information, from the collaborative agency, for clients receiving services through the collaborative agreement.

B. Prior to providing any services pursuant to this Agreement, all members of the Board of Directors or its designee or authorized agent, employees, consultants, subcontractors, volunteers and interns of the CONTRACTOR shall agree, in writing, with CONTRACTOR to maintain the confidentiality of any and all information and records which may be obtained in the course of providing such services. This Agreement shall specify that it is effective irrespective of all subsequent resignations or terminations of CONTRACTOR members of the Board of Directors or its designee or authorized agent, employees, consultants, subcontractors, volunteers and interns.

VI. COST REPORT

A. CONTRACTOR shall submit separate Cost Reports for Period One, Period Two, and Period Three, or for a portion thereof, to the COUNTY no later than sixty (60) calendar days following the period for which they are prepared or termination of this Agreement. CONTRACTOR shall prepare the individual and/or consolidated Cost Report in accordance with all applicable federal, state and COUNTY requirements, GAAP and the Special Provisions Paragraph of this Agreement. CONTRACTOR shall allocate direct and indirect costs to and between programs, cost centers, services, and funding sources in accordance with such requirements and consistent with prudent business practice, which costs and allocations shall be supported by source documentation maintained by CONTRACTOR, and available at any time to ADMINISTRATOR upon reasonable notice. In the event CONTRACTOR has multiple Agreements for mental health services that are administered by HCA, consolidation of the individual Cost Reports into a single consolidated Cost Report may be required, as stipulated by ADMINISTRATOR. CONTRACTOR shall submit a consolidated Cost Report to COUNTY no later

1 than five (5) business days following approval by ADMINSTRATOR of all individual Cost Reports to
2 be incorporated into a consolidated Cost Report.

3 1. If CONTRACTOR fails to submit an accurate and complete individual and/or consolidated
4 Cost Report within the time period specified above, ADMINISTRATOR shall have sole discretion to
5 impose one or both of the following:

6 a. CONTRACTOR may be assessed a late penalty of five hundred dollars (\$500) for each
7 business day after the above specified due date that the accurate and complete individual and/or
8 consolidated Cost Report is not submitted. Imposition of the late penalty shall be at the sole discretion of
9 the ADMINISTRATOR. The late penalty shall be assessed separately on each outstanding individual
10 and or/consolidated Cost Report due COUNTY by CONTRACTOR.

11 b. ADMINISTRATOR may withhold or delay any or all payments due CONTRACTOR
12 pursuant to any or all agreements between COUNTY and CONTRACTOR until such time that the
13 accurate and complete individual and/or consolidated Cost Report is delivered to ADMINISTRATOR.

14 2. CONTRACTOR may request, in advance and in writing, an extension of the due date of the
15 individual and/or consolidated Cost Report setting forth good cause for justification of the request.
16 Approval of such requests shall be at the sole discretion of ADMINISTRATOR and shall not be
17 unreasonably denied.

18 3. In the event that CONTRACTOR does not submit an accurate and complete individual
19 and/or consolidated Cost Report within one hundred and eighty (180) calendar days following the
20 termination of this Agreement, and CONTRACTOR has not entered into a subsequent or new agreement
21 for any other services with COUNTY, then all amounts paid to CONTRACTOR by COUNTY during the
22 term of the Agreement shall be immediately reimbursed to COUNTY.

23 B. The individual and/or consolidated Cost Report prepared for each period shall be the final
24 financial and statistical report submitted by CONTRACTOR to COUNTY, and shall serve as the basis
25 for final settlement to CONTRACTOR for that period. CONTRACTOR shall document that costs are
26 reasonable and allowable and directly or indirectly related to the services to be provided hereunder. The
27 individual and/or consolidated Cost Report shall be the final financial record for subsequent audits, if
28 any.

29 C. Final settlement shall be based upon the actual and reimbursable costs for services hereunder,
30 less applicable revenues and any late penalty, not to exceed COUNTY's Maximum Obligation as set
31 forth in the Referenced Contract Provisions of this Agreement. CONTRACTOR shall not claim
32 expenditures to COUNTY which are not reimbursable pursuant to applicable federal, state and
33 COUNTY laws, regulations and requirements. Any payment made by COUNTY to CONTRACTOR,
34 which is subsequently determined to have been for an unreimbursable expenditure or service, shall be
35 repaid by CONTRACTOR to COUNTY in cash, or other authorized form of payment, within thirty (30)
36 calendar days of submission of the individual and/or consolidated Cost Report or COUNTY may elect
37 //

1 to reduce any amount owed CONTRACTOR by an amount not to exceed the reimbursement due
2 COUNTY.

3 D. Unless approved by ADMINISTRATOR, costs that exceed the Statewide Maximum Allowance
4 (SMA) rates per Medi-Cal Unit of Services, as determined by the DHCS, shall be unreimbursable to
5 CONTRACTOR.

6 E. In the event that CONTRACTOR is authorized to retain unanticipated revenues as described in
7 the Budget Paragraph of Exhibit A to this Agreement, CONTRACTOR shall specify in the individual
8 and/or consolidated Cost Report the services rendered with such revenues.

9 F. All Cost Reports shall contain the following attestation, which may be typed directly on or
10 attached to the Cost Report:

11
12 "I HEREBY CERTIFY that I have executed the accompanying Cost Report and
13 supporting documentation prepared by _____ for the cost report period
14 beginning _____ and ending _____ and that, to the best of my
15 knowledge and belief, costs reimbursed through this Agreement are reasonable and
16 allowable and directly or indirectly related to the services provided and that this Cost
17 Report is a true, correct, and complete statement from the books and records of
18 (provider name) in accordance with applicable instructions, except as noted. I also
19 hereby certify that I have the authority to execute the accompanying Cost Report.

20
21 Signed _____
22 Name _____
23 Title _____
24 Date _____"

25
26 **VII. DEBARMENT AND SUSPENSION CERTIFICATION**

27 A. CONTRACTOR certifies that it and its principals:

28 1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or
29 voluntarily excluded by any federal department or agency.

30 2. Have not within a three-year period preceding this Agreement been convicted of or had a
31 civil judgment rendered against them for commission of fraud or a criminal offense in connection with
32 obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract
33 under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement,
34 theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen
35 property.

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1 3. Are not presently indicted for or otherwise criminally or civilly charged by a federal, state,
2 or local governmental entity with commission of any of the offenses enumerated in Subparagraph A.2.
3 above.

4 4. Have not within a three-year period preceding this Agreement had one or more public
5 transactions (federal, state, or local) terminated for cause or default.

6 5. Shall not knowingly enter into any lower tier covered transaction with a person who is
7 proposed for debarment under federal regulations (i.e., 48 CFR Part 9, Subpart 9.4), debarred, suspended,
8 declared ineligible, or voluntarily excluded from participation in such transaction unless authorized by
9 the State of California.

10 6. Shall include without modification, the clause titled "Certification Regarding Debarment,
11 Suspension, Ineligibility, and Voluntary Exclusion Lower Tier Covered Transaction," (i.e., transactions
12 with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in
13 accordance with 2 CFR Part 376.

14 B. The terms and definitions of this paragraph have the meanings set out in the Definitions and
15 Coverage sections of the rules implementing 51 F.R. 6370.

16
17 **VIII. DELEGATION, ASSIGNMENT AND SUBCONTRACTS**

18 A. CONTRACTOR may not delegate the obligations hereunder, either in whole or in part, without
19 prior written consent of COUNTY. CONTRACTOR shall provide written notification of
20 CONTRACTOR's intent to delegate the obligations hereunder, either in whole or part, to
21 ADMINISTRATOR not less than sixty (60) calendar days prior to the effective date of the delegation.
22 Any attempted assignment or delegation in derogation of this Paragraph shall be void.

23 B. CONTRACTOR may not assign the rights hereunder, either in whole or in part, without the
24 prior written consent of COUNTY.

25 1. If CONTRACTOR is a nonprofit organization, any change from a nonprofit corporation to
26 any other corporate structure of CONTRACTOR, including a change in more than fifty percent (50%) of
27 the composition of the Board of Directors within a two (2) month period of time, shall be deemed an
28 assignment for purposes of this Paragraph, unless CONTRACTOR is transitioning from a community
29 clinic/health center to a Federally Qualified Health Center and has been so designated by the Federal
30 Government. Any attempted assignment or delegation in derogation of this Subparagraph shall be void.

31 2. If CONTRACTOR is a for-profit organization, any change in the business structure,
32 including but not limited to, the sale or transfer of more than ten percent (10%) of the assets or stocks of
33 CONTRACTOR, change to another corporate structure, including a change to a sole proprietorship, or a
34 change in fifty percent (50%) or more of Board of Directors of CONTRACTOR at one time shall be
35 deemed an assignment pursuant to this Paragraph. Any attempted assignment or delegation in derogation
36 of this Subparagraph shall be void.

37 //

1 3. If CONTRACTOR is a governmental organization, any change to another structure,
2 including a change in more than fifty percent (50%) of the composition of its governing body (i.e. Board
3 of Supervisors, City Council, School Board) within a two (2) month period of time, shall be deemed an
4 assignment for purposes of this Paragraph. Any attempted assignment or delegation in derogation of this
5 Subparagraph shall be void.

6 4. Whether CONTRACTOR is a nonprofit, for-profit, or a governmental organization,
7 CONTRACTOR shall provide written notification of CONTRACTOR's intent to assign the obligations
8 hereunder, either in whole or part, to ADMINISTRATOR not less than sixty (60) calendar days prior to
9 the effective date of the assignment.

10 5. Whether CONTRACTOR is a nonprofit, for-profit, or a governmental organization,
11 CONTRACTOR shall provide written notification within thirty (30) calendar days to
12 ADMINISTRATOR when there is change of less than fifty percent (50%) of Board of Directors or any
13 governing body of CONTRACTOR at one time.

14 C. CONTRACTOR's obligations undertaken pursuant to this Agreement may be carried out by
15 means of subcontracts, provided such subcontracts are approved in advance, in writing by
16 ADMINISTRATOR, meet the requirements of this Agreement as they relate to the service or activity
17 under subcontract, and include any provisions that ADMINISTRATOR may require.

18 1. After approval of a subcontract, ADMINISTRATOR may revoke the approval of a
19 subcontract upon five (5) calendar day's written notice to CONTRACTOR if the subcontract
20 subsequently fails to meet the requirements of this Agreement or any provisions that
21 ADMINISTRATOR has required.

22 2. No subcontract shall terminate or alter the responsibilities of CONTRACTOR to COUNTY
23 pursuant to this Agreement.

24 3. ADMINISTRATOR may disallow, from payments otherwise due CONTRACTOR, amounts
25 claimed for subcontracts not approved in accordance with this Paragraph.

26 4. This provision shall not be applicable to service agreements usually and customarily entered
27 into by CONTRACTOR to obtain or arrange for supplies, technical support, and professional services
28 provided by consultants.

29
30 **IX. EMPLOYEE ELIGIBILITY VERIFICATION**

31 CONTRACTOR warrants that it shall fully comply with all federal and state statutes and regulations
32 regarding the employment of aliens and others and to ensure that employees, subcontractors, and
33 consultants performing work under this Agreement meet the citizenship or alien status requirement set
34 forth in federal statutes and regulations. CONTRACTOR shall obtain, from all employees,
35 subcontractors, and consultants performing work hereunder, all verification and other documentation of
36 employment eligibility status required by federal or state statutes and regulations including, but not
37 limited to, the Immigration Reform and Control Act of 1986, 8 USC §1324 et seq., as they currently exist

1 and as they may be hereafter amended. CONTRACTOR shall retain all such documentation for all
2 covered employees, subcontractors, and consultants for the period prescribed by the law.

3
4 **X. EQUIPMENT**

5 A. Unless otherwise specified in writing by ADMINISTRATOR, Equipment is defined as all
6 property of a Relatively Permanent nature with significant value, purchased in whole or in part by
7 ADMINISTRATOR to assist in performing the services described in this Agreement. “Relatively
8 Permanent” is defined as having a useful life of one year or longer. Equipment which costs \$5,000 or
9 over, including freight charges, sales taxes, and other taxes, and installation costs are defined as Capital
10 Assets. Equipment which costs between \$600 and \$5,000, including freight charges, sales taxes and
11 other taxes, and installation costs, or electronic equipment that costs less than \$600 but may contained
12 PHI or PII, are defined as Controlled Equipment. Controlled Equipment includes, but is not limited to
13 phones, tablets, audio/visual equipment, computer equipment, and lab equipment. The cost of
14 Equipment purchased, in whole or in part, with funds paid pursuant to this Agreement shall be
15 depreciated according to GAAP.

16 B. CONTRACTOR shall obtain ADMINISTRATOR’s prior written approval to purchase any
17 Equipment with funds paid pursuant to this Agreement. Upon delivery of Equipment, CONTRACTOR
18 shall forward to ADMINISTRATOR, copies of the purchase order, receipt, and other supporting
19 documentation, which includes delivery date, unit price, tax, shipping and serial numbers.
20 CONTRACTOR shall request an applicable asset tag for said Equipment and shall include each
21 purchased asset in an Equipment inventory.

22 C. Upon ADMINISTRATOR’s prior written approval, CONTRACTOR may expense to COUNTY
23 the cost of the approved Equipment purchased by CONTRACTOR. To “expense,” in relation to
24 Equipment, means to charge the proportionate cost of Equipment in the fiscal year in which it is
25 purchased. Title of expensed Equipment shall be vested with COUNTY.

26 D. CONTRACTOR shall maintain an inventory of all Equipment purchased in whole or in part with
27 funds paid through this Agreement, including date of purchase, purchase price, serial number, model and
28 type of Equipment. Such inventory shall be available for review by ADMINISTRATOR, and shall
29 include the original purchase date and price, useful life, and balance of depreciated Equipment cost, if
30 any.

31 E. CONTRACTOR shall cooperate with ADMINISTRATOR in conducting periodic physical
32 inventories of all Equipment. Upon demand by ADMINISTRATOR, CONTRACTOR shall return any
33 or all Equipment to COUNTY.

34 F. CONTRACTOR must report any loss or theft of Equipment in accordance with the procedure
35 approved by ADMINISTRATOR and the Notices Paragraph of this Agreement. In addition,
36 CONTRACTOR must complete and submit to ADMINISTRATOR a notification form when items of
37 Equipment are moved from one location to another or returned to COUNTY as surplus.

1 G. Unless this Agreement is followed without interruption by another agreement between the
2 parties for substantially the same type and scope of services, at the termination of this Agreement for any
3 cause, CONTRACTOR shall return to COUNTY all Equipment purchased with funds paid through this
4 Agreement.

5 H. CONTRACTOR shall maintain and administer a sound business program for ensuring the proper
6 use, maintenance, repair, protection, insurance, and preservation of COUNTY Equipment.

7
8 **XI. FACILITIES, PAYMENTS AND SERVICES**

9 A. CONTRACTOR agrees to provide the services, staffing, facilities, and supplies in accordance
10 with to this Agreement. COUNTY shall compensate, and authorize, when applicable, said services.
11 CONTRACTOR shall operate continuously throughout the term of this Agreement with at least the
12 minimum number and type of staff which meet applicable federal and state requirements, and which are
13 necessary for the provision of the services hereunder.

14 B. In the event that CONTRACTOR is unable to provide the services, staffing, facilities, or
15 supplies as required, ADMINISTRATOR may, at its sole discretion, reduce the Maximum Obligation.
16 for the appropriate Period as well as the Total Maximum Obligation. The reduction to the Maximum
17 Obligation for the appropriate Period as well as the Total Maximum Obligation shall be in an amount
18 proportionate to the number of days in which CONTRACTOR was determined to be unable to provide
19 services, staffing, facilities or supplies.

20
21 **XII. INDEMNIFICATION AND INSURANCE**

22 A. CONTRACTOR agrees to indemnify, defend with counsel approved in writing by COUNTY,
23 and hold COUNTY, its elected and appointed officials, officers, employees, agents and those special
24 districts and agencies for which COUNTY's Board of Supervisors acts as the governing Board
25 ("COUNTY INDEMNITEES") harmless from any claims, demands or liability of any kind or nature,
26 including but not limited to personal injury or property damage, arising from or related to the services,
27 products or other performance provided by CONTRACTOR pursuant to this Agreement. If judgment is
28 entered against CONTRACTOR and COUNTY by a court of competent jurisdiction because of the
29 concurrent active negligence of COUNTY or COUNTY INDEMNITEES, CONTRACTOR and
30 COUNTY agree that liability will be apportioned as determined by the court. Neither Party shall request
31 a jury apportionment.

32 B. Prior to the provision of services under this Agreement, CONTRACTOR agrees to purchase all
33 required insurance at CONTRACTOR's expense, including all endorsements required herein, necessary
34 to satisfy COUNTY that the insurance provisions of this Agreement have been complied with.
35 CONTRACTOR agrees to keep such insurance coverage, Certificates of Insurance, and endorsements on
36 deposit with COUNTY during the entire term of this Agreement. In addition, all subcontractors
37 //

1 performing work on behalf of CONTRACTOR pursuant to this Agreement shall obtain insurance subject
2 to the same terms and conditions as set forth herein for CONTRACTOR.

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

12 D. All SIRs and deductibles shall be clearly stated on the COI. If no SIRs or deductibles apply,
13 indicate this on the COI with a zero (0) by the appropriate line of coverage. Any SIR or deductible in an
14 amount in excess of \$50,000 (\$5,000 for automobile liability) shall specifically be approved by the
15 CEO/Office of Risk Management upon review of CONTRACTOR's current audited financial report. If
16 CONTRACTOR's SIR is approved, CONTRACTOR, in addition to, and without limitation of, any other
17 indemnity provision(s) in this Agreement, agrees to all of the following:

18 1. In addition to the duty to indemnify and hold the COUNTY harmless against any and all
19 liability, claim, demand or suit resulting from CONTRACTOR's, its agents, employee's or
20 subcontractor's performance of this Agreement, CONTRACTOR shall defend the COUNTY at its sole
21 cost and expense with counsel approved by Board of Supervisors against same; and

22 2. CONTRACTOR's duty to defend, as stated above, shall be absolute and irrespective of any
23 duty to indemnify or hold harmless; and

24 3. The provisions of California Civil Code Section 2860 shall apply to any and all actions to
25 which the duty to defend stated above applies, and the CONTRACTOR's SIR provision shall be
26 interpreted as though the CONTRACTOR was an insurer and the COUNTY was the insured.

27 E. If CONTRACTOR fails to maintain insurance as required in this Paragraph XII
28 (INDEMNIFICATION AND INSURANCE) for the full term of this Agreement, such failure shall
29 constitute a breach of CONTRACTOR's obligation hereunder and ground for COUNTY to terminate this
30 Agreement.

31 F. QUALIFIED INSURER

32 1. The policy or policies of insurance must be issued by an insurer with a minimum rating of
33 A- (Secure A.M. Best's Rating) and VIII (Financial Size Category as determined by the most current
34 edition of the Best's Key Rating Guide/Property-Casualty/United States or ambest.com). It is preferred,
35 but not mandatory, that the insurer be licensed to do business in the state of California (California
36 Admitted Carrier).

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2. 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.

G. The policy or policies of insurance maintained by 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 for owned, non-owned and hired vehicles	\$1,000,000 per occurrence
Workers' Compensation	Statutory
Employers' Liability Insurance	\$1,000,000 per occurrence
Network Security & Privacy Liability	\$1,000,000 per claims made
Professional Liability Insurance	\$1,000,000 per claims made \$1,000,000 aggregate
Sexual Misconduct Liability	\$1,000,000 per occurrence

H. REQUIRED COVERAGE FORMS

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

2. The Business Automobile Liability coverage shall be written on ISO form CA 00 01, CA 00 05, CA 00 12, CA 00 20, or a substitute form providing coverage at least as broad.

I. REQUIRED ENDORSEMENTS

1. The Commercial General Liability policy shall contain the following endorsements, which shall accompany the COI:

a. 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, employees, and agents as Additional Insureds, or provide blanket coverage, which will state **AS REQUIRED BY WRITTEN AGREEMENT.**

1 b. A primary non-contributing endorsement using ISO form CG 20 01 04 13, or a form at
2 least as broad evidencing that the CONTRACTOR’s insurance is primary and any insurance or self-
3 insurance maintained by the County of Orange shall be excess and non-contributing.

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

6 a. An Additional Insured endorsement naming the County of Orange, its elected and
7 appointed officials, officers, agents and employees as Additional Insureds for its vicarious liability.

8 b. A primary and non-contributing endorsement evidencing that the Contractor’s insurance
9 is primary and any insurance or self-insurance maintained by the County of Orange shall be excess and
10 non-contributing.

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

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

18 L. CONTRACTOR shall notify COUNTY in writing within thirty (30) days of any policy
19 cancellation and within ten (10) days for non-payment of premium and provide a copy of the cancellation
20 notice to COUNTY. Failure to provide written notice of cancellation shall constitute a breach of
21 CONTRACTOR’s obligation hereunder and ground for COUNTY to terminate this Agreement.

22 M. If CONTRACTOR’s Professional Liability and/or Network Security & Privacy Liability are
23 “Claims Made” policy(ies), CONTRACTOR shall agree to maintain coverage for two (2) years
24 following the completion of the Agreement.

25 N. The Commercial General Liability policy shall contain a “severability of interests” clause also
26 known as a “separation of insureds” clause (standard in the ISO CG 0001 policy).

27 O. COUNTY expressly retains the right to require CONTRACTOR to increase or decrease
28 insurance of any of the above insurance types throughout the term of this Agreement. Any increase or
29 decrease in insurance will be as deemed by County of Orange Risk Manager as appropriate to adequately
30 protect COUNTY.

31 P. COUNTY shall notify CONTRACTOR in writing of changes in the insurance requirements. If
32 CONTRACTOR does not deposit copies of acceptable COIs and endorsements with COUNTY
33 incorporating such changes within thirty (30) calendar days of receipt of such notice, such failure shall
34 constitute a breach of CONTRACTOR’s obligation hereunder and ground for termination of this
35 Agreement by COUNTY.

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

4 R. SUBMISSION OF INSURANCE DOCUMENTS

5 1. The COI and endorsements shall be provided to COUNTY as follows:
6 a. Prior to the start date of this Agreement.
7 b. No later than the expiration date for each policy.
8 c. Within thirty (30) calendar days upon receipt of written notice by COUNTY regarding
9 changes to any of the insurance types as set forth in Subparagraph G, above.

10 2. The COI and endorsements shall be provided to the COUNTY at the address as specified in
11 the Referenced Contract Provisions of this Agreement.

12 3. If CONTRACTOR fails to submit the COI and endorsements that meet the insurance
13 provisions stipulated in this Agreement by the above specified due dates, ADMINISTRATOR shall have
14 sole discretion to impose one or both of the following:

15 a. ADMINISTRATOR may withhold or delay any or all payments due CONTRACTOR
16 pursuant to any and all Agreements between COUNTY and CONTRACTOR until such time that the
17 required COI and endorsements that meet the insurance provisions stipulated in this Agreement are
18 submitted to ADMINISTRATOR.

19 b. CONTRACTOR may be assessed a penalty of one hundred dollars (\$100) for each late
20 COI or endorsement for each business day, pursuant to any and all Agreements between COUNTY and
21 CONTRACTOR, until such time that the required COI and endorsements that meet the insurance
22 provisions stipulated in this Agreement are submitted to ADMINISTRATOR.

23 c. If CONTRACTOR is assessed a late penalty, the amount shall be deducted from
24 CONTRACTOR's monthly invoice.

25 4. In no cases shall assurances by CONTRACTOR, its employees, agents, including any
26 insurance agent, be construed as adequate evidence of insurance. COUNTY will only accept valid COIs
27 and endorsements, or in the interim, an insurance binder as adequate evidence of insurance coverage.
28

29 **XIII. INSPECTIONS AND AUDITS**

30 A. ADMINISTRATOR, any authorized representative of COUNTY, any authorized representative
31 of the State of California, the Secretary of the United States Department of Health and Human Services,
32 the Comptroller General of the United States, or any other of their authorized representatives, shall have
33 access to any books, documents, and records, including but not limited to, financial statements, general
34 ledgers, relevant accounting systems, medical and client records, of CONTRACTOR that are directly
35 pertinent to this Agreement, for the purpose of responding to a beneficiary complaint or conducting an
36 audit, review, evaluation, or examination, or making transcripts during the periods of retention set forth
37 in the Records Management and Maintenance Paragraph of this Agreement. Such persons may at all

1 reasonable times inspect or otherwise evaluate the services provided pursuant to this Agreement, and the
2 premises in which they are provided.

3 B. CONTRACTOR shall actively participate and cooperate with any person specified in
4 Subparagraph A. above in any evaluation or monitoring of the services provided pursuant to this
5 Agreement, and shall provide the above-mentioned persons adequate office space to conduct such
6 evaluation or monitoring.

7 C. AUDIT RESPONSE

8 1. Following an audit report, in the event of non-compliance with applicable laws and
9 regulations governing funds provided through this Agreement, COUNTY may terminate this Agreement
10 as provided for in the Termination Paragraph or direct CONTRACTOR to immediately implement
11 appropriate corrective action. A plan of corrective action shall be submitted to ADMINISTRATOR in
12 writing within thirty (30) calendar days after receiving notice from ADMINISTRATOR.

13 2. If the audit reveals that money is payable from one party to the other, that is, reimbursement
14 by CONTRACTOR to COUNTY, or payment of sums due from COUNTY to CONTRACTOR, said
15 funds shall be due and payable from one party to the other within sixty (60) calendar days of receipt of
16 the audit results. If reimbursement is due from CONTRACTOR to COUNTY, and such reimbursement
17 is not received within said sixty (60) calendar days, COUNTY may, in addition to any other remedies
18 provided by law, reduce any amount owed CONTRACTOR by an amount not to exceed the
19 reimbursement due COUNTY.

20 D. CONTRACTOR shall retain a licensed certified public accountant, who will prepare an annual
21 Single Audit as required by 31 USC 7501 – 7507, as well as its implementing regulations under 2 CFR
22 Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal
23 Awards. CONTRACTOR shall forward the Single Audit to ADMINISTRATOR within fourteen (14)
24 calendar days of receipt.

25 E. CONTRACTOR shall forward to ADMINISTRATOR a copy of any audit report within fourteen
26 (14) calendar days of receipt. Such audit shall include, but not be limited to, management, financial,
27 programmatic or any other type of audit of CONTRACTOR’s operations, whether or not the cost of such
28 operation or audit is reimbursed in whole or in part through this Agreement.

30 **XIV. LICENSES AND LAWS**

31 A. CONTRACTOR, its officers, agents, employees, affiliates, and subcontractors shall, throughout
32 the term of this Agreement, maintain all necessary licenses, permits, approvals, certificates,
33 accreditations, waivers, and exemptions necessary for the provision of the services hereunder and
34 required by the laws, regulations and requirements of the United States, the State of California,
35 COUNTY, and all other applicable governmental agencies. CONTRACTOR shall notify
36 ADMINISTRATOR immediately and in writing of its inability to obtain or maintain, irrespective of the
37 //

1 | pendency of any hearings or appeals, permits, licenses, approvals, certificates, accreditations, waivers
2 | and exemptions. Said inability shall be cause for termination of this Agreement.

3 | B. ENFORCEMENT OF CHILD SUPPORT OBLIGATIONS

4 | 1. CONTRACTOR agrees to furnish to ADMINISTRATOR within thirty (30) calendar days of
5 | the award of this Agreement:

6 | a. In the case of an individual contractor, his/her name, date of birth, social security
7 | number, and residence address;

8 | b. In the case of a contractor doing business in a form other than as an individual, the
9 | name, date of birth, social security number, and residence address of each individual who owns an
10 | interest of ten percent (10%) or more in the contracting entity;

11 | c. A certification that CONTRACTOR has fully complied with all applicable federal and
12 | state reporting requirements regarding its employees;

13 | d. A certification that CONTRACTOR has fully complied with all lawfully served Wage
14 | and Earnings Assignment Orders and Notices of Assignment, and will continue to so comply.

15 | 2. Failure of CONTRACTOR to timely submit the data and/or certifications required by
16 | Subparagraphs 1.a., 1.b., 1.c., or 1.d. above, or to comply with all federal and state employee reporting
17 | requirements for child support enforcement, or to comply with all lawfully served Wage and Earnings
18 | Assignment Orders and Notices of Assignment, shall constitute a material breach of this Agreement; and
19 | failure to cure such breach within sixty (60) calendar days of notice from COUNTY shall constitute
20 | grounds for termination of this Agreement.

21 | 3. It is expressly understood that this data will be transmitted to governmental agencies
22 | charged with the establishment and enforcement of child support orders, or as permitted by federal
23 | and/or state statute.

24 | C. CONTRACTOR shall comply with all applicable governmental laws, regulations, and
25 | requirements as they exist now or may be hereafter amended or changed. These laws, regulations, and
26 | requirements shall include, but not be limited to, the following:

- 27 | 1. ARRA of 2009.
- 28 | 2. WIC, Division 5, Community Mental Health Services.
- 29 | 3. WIC, Division 6, Admissions and Judicial Commitments.
- 30 | 4. WIC, Division 7, Mental Institutions.
- 31 | 5. HSC, §§1250 et seq., Health Facilities.
- 32 | 6. PC, §§11164-11174.3, Child Abuse and Neglect Reporting Act.
- 33 | 7. CCR, Title 9, Rehabilitative and Developmental Services.
- 34 | 8. CCR, Title 17, Public Health.
- 35 | 9. CCR, Title 22, Social Security.
- 36 | 10. CFR, Title 42, Public Health.
- 37 | 11. CFR, Title 45, Public Welfare.

- 1 12. USC Title 42. Public Health and Welfare.
- 2 13. Federal Social Security Act, Title XVIII and Title XIX Medicare and Medicaid.
- 3 14. 42 USC §12101 et seq., Americans with Disabilities Act of 1990.
- 4 15. 42 USC §1857, et seq., Clean Air Act.
- 5 16. 33 USC 84, §308 and §§1251 et seq., the Federal Water Pollution Control Act.
- 6 17. 31 USC 7501.70, Federal Single Audit Act of 1984.
- 7 18. Policies and procedures set forth in Mental Health Services Act.
- 8 19. Policies and procedures set forth in DHCS Letters.
- 9 20. HIPAA privacy rule, as it may exist now, or be hereafter amended, and if applicable.
- 10 31 USC 7501 – 7507, as well as its implementing regulations under 2 CFR Part 200,
- 11 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for
- 12 Federal Awards.

13 D. CONTRACTOR shall at all times be capable and authorized by the State of California to
 14 provide treatment and bill for services provided to Medi-Cal eligible clients while working under the
 15 terms of this Agreement.

16 E. CONTRACTOR shall make every reasonable effort to obtain appropriate licenses and/or
 17 waivers to provide Medi-Cal billable treatment services at school or other sites requested by
 18 ADMINISTRATOR.

19
 20 **XV. LITERATURE, ADVERTISEMENTS, AND SOCIAL MEDIA**

21 A. Any written information or literature, including educational or promotional materials, distributed
 22 by CONTRACTOR to any person or organization for purposes directly or indirectly related to this
 23 Agreement must be approved at least thirty (30) days in advance and in writing by ADMINISTRATOR
 24 before distribution. For the purposes of this Agreement, distribution of written materials shall include,
 25 but not be limited to, pamphlets, brochures, flyers, newspaper or magazine ads, and electronic media
 26 such as the Internet.

27 B. Any advertisement through radio, television broadcast, or the Internet, for educational or
 28 promotional purposes, made by CONTRACTOR for purposes directly or indirectly related to this
 29 Agreement must be approved in advance at least thirty (30) days and in writing by ADMINISTRATOR.

30 C. If CONTRACTOR uses social media (such as Facebook, Twitter, YouTube or other publicly
 31 available social media sites) in support of the services described within this Agreement, CONTRACTOR
 32 shall develop social media Policy & Procedures and have them available to ADMINISTRATOR upon
 33 reasonable notice. CONTRACTOR shall inform ADMINISTRATOR of all forms of social media used
 34 to either directly or indirectly support the services described within this Agreement. CONTRACTOR
 35 shall comply with COUNTY Social Media Use Policy and Procedures as they pertain to any social media
 36 developed in support of the services described within this Agreement. CONTRACTOR shall also

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1 include any required funding statement information on social media when required by
2 ADMINISTRATOR.

3 D. Any information as described in Subparagraphs A. and B. above shall not imply endorsement by
4 COUNTY, unless ADMINISTRATOR consents thereto in writing.

5 **XVI. MAXIMUM OBLIGATION**

6 A. The Total Maximum Obligation of COUNTY for services provided in accordance with this
7 Agreement and the separate Maximum Obligations, for each period under this Agreement, are as
8 specified in the Referenced Contract Provisions of this Agreement, except as allowed for in
9 Subparagraph B. below.

10 B. ADMINISTRATOR may amend the Maximum Obligation by an amount not to exceed ten
11 percent (10%) of Period One funding for this Agreement.

12
13 **XVII. MINIMUM WAGE LAWS**

14 A. Pursuant to the United States of America Fair Labor Standards Act of 1938, as amended, and
15 State of California Labor Code, §1178.5, CONTRACTOR shall pay no less than the greater of the
16 federal or California Minimum Wage to all its employees that directly or indirectly provide services
17 pursuant to this Agreement, in any manner whatsoever. CONTRACTOR shall require and verify that all
18 its contractors or other persons providing services pursuant to this Agreement on behalf of
19 CONTRACTOR also pay their employees no less than the greater of the federal or California Minimum
20 Wage.

21 B. CONTRACTOR shall comply and verify that its contractors comply with all other federal and
22 State of California laws for minimum wage, overtime pay, record keeping, and child labor standards
23 pursuant to providing services pursuant to this Agreement.

24 C. Notwithstanding the minimum wage requirements provided for in this clause, CONTRACTOR,
25 where applicable, shall comply with the prevailing wage and related requirements, as provided for in
26 accordance with the provisions of Article 2 of Chapter 1, Part 7, Division 2 of the Labor Code of the
27 State of California (§§1770, et seq.), as it now exists or may hereafter be amended.

28
29 **XVIII. NONDISCRIMINATION**

30 **A. EMPLOYMENT**

31 1. During the term of this Agreement, CONTRACTOR and its Covered Individuals shall not
32 unlawfully discriminate against any employee or applicant for employment because of his/her race,
33 religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition,
34 genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual
35 orientation, or military and veteran status. Additionally, during the term of this Agreement,
36 CONTRACTOR and its Covered Individuals shall require in its subcontracts that subcontractors shall
37 not unlawfully discriminate against any employee or applicant for employment because of his/her race,

1 religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition,
2 genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual
3 orientation, or military and veteran status.

4 2. CONTRACTOR and its Covered Individuals shall not discriminate against employees or
5 applicants for employment in the areas of employment, promotion, demotion or transfer; recruitment or
6 recruitment advertising; layoff or termination; rate of pay or other forms of compensation; and selection
7 for training, including apprenticeship.

8 3. CONTRACTOR shall not discriminate between employees with spouses and employees
9 with domestic partners, or discriminate between domestic partners and spouses of those employees, in
10 the provision of benefits.

11 4. CONTRACTOR shall post in conspicuous places, available to employees and applicants for
12 employment, notices from ADMINISTRATOR and/or the United States Equal Employment Opportunity
13 Commission setting forth the provisions of the Equal Opportunity clause.

14 5. All solicitations or advertisements for employees placed by or on behalf of CONTRACTOR
15 and/or subcontractor shall state that all qualified applicants will receive consideration for employment
16 without regard to race, religious creed, color, national origin, ancestry, physical disability, mental
17 disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender
18 expression, age, sexual orientation, or military and veteran status. Such requirements shall be deemed
19 fulfilled by use of the term EOE.

20 6. Each labor union or representative of workers with which CONTRACTOR and/or
21 subcontractor has a collective bargaining agreement or other contract or understanding must post a notice
22 advising the labor union or workers' representative of the commitments under this Nondiscrimination
23 Paragraph and shall post copies of the notice in conspicuous places available to employees and applicants
24 for employment.

25 B. SERVICES, BENEFITS AND FACILITIES – CONTRACTOR and/or subcontractor shall not
26 discriminate in the provision of services, the allocation of benefits, or in the accommodation in facilities
27 on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental
28 disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender
29 expression, age, sexual orientation, or military and veteran status in accordance with Title IX of the
30 Education Amendments of 1972 as they relate to 20 USC §1681 - §1688; Title VI of the Civil Rights
31 Act of 1964 (42 USC §2000d); the Age Discrimination Act of 1975 (42 USC §6101); Title 9, Division 4,
32 Chapter 6, Article 1 (§10800, et seq.) of the California Code of Regulations; and Title II of the Genetic
33 Information Nondiscrimination Act of 2008, 42 USC 2000ff, et seq. as applicable, and all other pertinent
34 rules and regulations promulgated pursuant thereto, and as otherwise provided by state law and
35 regulations, as all may now exist or be hereafter amended or changed. For the purpose of this
36 Nondiscrimination paragraph, Discrimination includes, but is not limited to the following based on one
37 or more of the factors identified above:

- 1 1. Denying a client or potential client any service, benefit, or accommodation.
- 2 2. Providing any service or benefit to a client which is different or is provided in a different
- 3 manner or at a different time from that provided to other clients.
- 4 3. Restricting a client in any way in the enjoyment of any advantage or privilege enjoyed by
- 5 others receiving any service or benefit.
- 6 4. Treating a client differently from others in satisfying any admission requirement or
- 7 condition, or eligibility requirement or condition, which individuals must meet in order to be provided
- 8 any service or benefit.
- 9 5. Assignment of times or places for the provision of services.

10 C. COMPLAINT PROCESS – CONTRACTOR shall establish procedures for advising all clients
 11 through a written statement that CONTRACTOR’s and/or subcontractor’s clients may file all complaints
 12 alleging discrimination in the delivery of services with CONTRACTOR, subcontractor, and
 13 ADMINISTRATOR or COUNTY’s Patient’s Rights Office.

14 1. Whenever possible, problems shall be resolved informally and at the point of service.
 15 CONTRACTOR shall establish an internal informal problem resolution process for clients not able to
 16 resolve such problems at the point of service. Clients may initiate a grievance or complaint directly with
 17 CONTRACTOR either orally or in writing.

18 a. COUNTY shall establish a formal resolution and grievance process in the event
 19 informal processes do not yield a resolution.

20 b. Throughout the problem resolution and grievance process, client rights shall be
 21 maintained, including access to the Patients’ Rights Office at any point in the process. Clients shall be
 22 informed of their right to access the Patients’ Rights Office at any time.

23 2. Within the time limits procedurally imposed, the complainant shall be notified in writing as
 24 to the findings regarding the alleged complaint and, if not satisfied with the decision, may file an appeal.

25 D. PERSONS WITH DISABILITIES – CONTRACTOR and/or subcontractor agree to comply
 26 with the provisions of §504 of the Rehabilitation Act of 1973, as amended, (29 USC 794 et seq., as
 27 implemented in 45 CFR 84.1 et seq.), and the Americans with Disabilities Act of 1990 as amended (42
 28 USC 12101 et seq.; as implemented as 29 CFR 1630), as applicable, pertaining to the prohibition of
 29 discrimination against qualified persons with disabilities in all programs or activities; and if applicable,
 30 as implemented in Title 45, CFR, §84.1 et seq., as they exist now or may be hereafter amended together
 31 with succeeding legislation.

32 E. RETALIATION – Neither CONTRACTOR nor subcontractor, nor its employees or agents shall
 33 intimidate, coerce or take adverse action against any person for the purpose of interfering with rights
 34 secured by federal or state laws, or because such person has filed a complaint, certified, assisted or
 35 otherwise participated in an investigation, proceeding, hearing or any other activity undertaken to enforce
 36 rights secured by federal or state law.

37 //

1 F. In the event of non-compliance with this Paragraph or as otherwise provided by federal and state
2 law, this Agreement may be canceled, terminated or suspended in whole or in part and CONTRACTOR
3 or subcontractor may be declared ineligible for further contracts involving federal, state or county funds.
4

5 **XIX. NOTICES**

6 A. Unless otherwise specified, all notices, claims, correspondence, reports and/or statements
7 authorized or required by this Agreement shall be effective:

- 8 1. When written and deposited in the United States mail, first class postage prepaid and
9 addressed as specified in the Referenced Contract Provisions of this Agreement or as otherwise directed
10 by ADMINISTRATOR;
- 11 2. When faxed, transmission confirmed;
- 12 3. When sent by Email; or
- 13 4. When accepted by U.S. Postal Service Express Mail, Federal Express, United Parcel
14 Service, or other expedited delivery service.

15 B. Termination Notices shall be addressed as specified in the Referenced Contract Provisions of
16 this Agreement or as otherwise directed by ADMINISTRATOR and shall be effective when faxed,
17 transmission confirmed, or when accepted by U.S. Postal Service Express Mail, Federal Express, United
18 Parcel Service, or other expedited delivery service.

19 C. CONTRACTOR shall notify ADMINISTRATOR, in writing, within twenty-four (24) hours of
20 becoming aware of any occurrence of a serious nature, which may expose COUNTY to liability. Such
21 occurrences shall include, but not be limited to, accidents, injuries, or acts of negligence, or loss or
22 damage to any COUNTY property in possession of CONTRACTOR.

23 D. For purposes of this Agreement, any notice to be provided by COUNTY may be given by
24 ADMINISTRATOR.
25

26 **XX. NOTIFICATION OF DEATH**

27 A. Upon becoming aware of the death of any person served pursuant to this Agreement,
28 CONTRACTOR shall immediately notify ADMINISTRATOR.

29 B. All Notifications of Death provided to ADMINISTRATOR by CONTRACTOR shall contain
30 the name of the deceased, the date and time of death, the nature and circumstances of the death, and the
31 name(s) of CONTRACTOR's officers or employees with knowledge of the incident.

32 1. TELEPHONE NOTIFICATION – CONTRACTOR shall notify ADMINISTRATOR by
33 telephone immediately upon becoming aware of the death due to non-terminal illness of any person
34 served pursuant to this Agreement; provided, however, weekends and holidays shall not be included for
35 purposes of computing the time within which to give telephone notice and, notwithstanding the time
36 limit herein specified, notice need only be given during normal business hours.

37 2. WRITTEN NOTIFICATION

1 a. NON-TERMINAL ILLNESS – CONTRACTOR shall hand deliver, fax, and/or send via
2 encrypted email to ADMINISTRATOR a written report within sixteen (16) hours after becoming aware
3 of the death due to non-terminal illness of any person served pursuant to this Agreement.

4 b. TERMINAL ILLNESS – CONTRACTOR shall notify ADMINISTRATOR by written
5 report hand delivered, faxed, sent via encrypted email, and/or postmarked and sent via U.S. Mail within
6 forty-eight (48) hours of becoming aware of the death due to terminal illness of any person served
7 pursuant to this Agreement.

8 C. If there are any questions regarding the cause of death of any person served pursuant to this
9 Agreement who was diagnosed with a terminal illness, or if there are any unusual circumstances related
10 to the death, CONTRACTOR shall immediately notify ADMINISTRATOR in accordance with this
11 Notification of Death Paragraph.

12
13 **XXI. NOTIFICATION OF PUBLIC EVENTS AND MEETINGS**

14 A. CONTRACTOR shall notify ADMINISTRATOR of any public event or meeting funded in
15 whole or part by the COUNTY, except for those events or meetings that are intended solely to serve
16 clients or occur in the normal course of business.

17 B. CONTRACTOR shall notify ADMINISTRATOR at least thirty (30) business days in advance of
18 any applicable public event or meeting. The notification must include the date, time, duration, location
19 and purpose of public event or meeting. Any promotional materials or event related flyers must be
20 approved by ADMINISTRATOR prior to distribution.

21
22 **XXII. RECORDS MANAGEMENT AND MAINTENANCE**

23 A. CONTRACTOR, its officers, agents, employees and subcontractors shall, throughout the term of
24 this Agreement, prepare, maintain and manage records appropriate to the services provided and in
25 accordance with this Agreement and all applicable requirements.

26 B. CONTRACTOR shall implement and maintain administrative, technical and physical safeguards
27 to ensure the privacy of PHI and prevent the intentional or unintentional use or disclosure of PHI in
28 violation of the HIPAA, federal and state regulations and/or CHPP. CONTRACTOR shall mitigate to
29 the extent practicable, the known harmful effect of any use or disclosure of PHI made in violation of
30 federal or state regulations and/or COUNTY policies.

31 C. CONTRACTOR’s participant, client, and/or patient records shall be maintained in a secure
32 manner. CONTRACTOR shall maintain participant, client, and/or patient records and must establish and
33 implement written record management procedures.

34 D. CONTRACTOR shall ensure appropriate financial records related to cost reporting, expenditure,
35 revenue, billings, etc., are prepared and maintained accurately and appropriately.

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37 //

1 E. CONTRACTOR shall ensure all appropriate state and federal standards of documentation,
2 preparation, and confidentiality of records related to participant, client and/or patient records are met at
3 all times.

4 F. CONTRACTOR shall ensure all HIPAA (DRS) requirements are met. HIPAA requires that
5 clients, participants and/or patients be provided the right to access or receive a copy of their DRS and/or
6 request addendum to their records. Title 45 CFR §164.501, defines DRS as a group of records
7 maintained by or for a covered entity that is:

- 8 1. The medical records and billing records about individuals maintained by or for a covered
9 health care provider;
- 10 2. The enrollment, payment, claims adjudication, and case or medical management record
11 systems maintained by or for a health plan; or
- 12 3. Used, in whole or in part, by or for the covered entity to make decisions about individuals.

13 G. CONTRACTOR may retain participant, client, and/or patient documentation electronically in
14 accordance with the terms of this Agreement and common business practices. If documentation is
15 retained electronically, CONTRACTOR shall, in the event of an audit or site visit:

- 16 1. Have documents readily available within forty-eight (48) hour notice of a scheduled audit or
17 site visit.
- 18 2. Provide auditor or other authorized individuals access to documents via a computer terminal.
- 19 3. Provide auditor or other authorized individuals a hardcopy printout of documents, if
20 requested.

21 H. CONTRACTOR shall ensure compliance with requirements pertaining to the privacy and
22 security of PII and/or PHI. CONTRACTOR shall notify COUNTY immediately by telephone call plus
23 email or fax upon the discovery of a Breach of unsecured PHI and/or PII.

24 I. CONTRACTOR may be required to pay any costs associated with a Breach of privacy and/or
25 security of PII and/or PHI, including but not limited to the costs of notification. CONTRACTOR shall
26 pay any and all such costs arising out of a Breach of privacy and/or security of PII and/or PHI.

27 J. CONTRACTOR shall retain all participant, client, and/or patient medical records for seven (7)
28 years following discharge of the participant, client and/or patient, with the exception of non-emancipated
29 minors for whom records must be kept for at least one (1) year after such minors have reached the age of
30 eighteen (18) years, or for seven (7) years after the last date of service, whichever is longer.

31 K. CONTRACTOR shall retain all financial records for a minimum of seven (7) years from the
32 commencement of the contract, unless a longer period is required due to legal proceedings such as
33 litigations and/or settlement of claims.

34 L. CONTRACTOR shall make records pertaining to the costs of services, participant fees, charges,
35 billings, and revenues available at one (1) location within the limits of the County of Orange.

36 //
37 //

1 M. If CONTRACTOR is unable to meet the record location criteria above, ADMINISTRATOR
2 may provide written approval to CONTRACTOR to maintain records in a single location, identified by
3 CONTRACTOR.

4 N. CONTRACTOR may be required to retain all records involving litigation proceedings and
5 settlement of claims for a longer term which will be directed by the ADMINISTRATOR.

6 O. CONTRACTOR shall notify ADMINISTRATOR of any PRA requests related to, or arising out
7 of, this Agreement, within forty-eight (48) hours. CONTRACTOR shall provide ADMINISTRATOR all
8 information that is requested by the PRA request.

9
10 **XXIII. RESEARCH AND PUBLICATION**

11 CONTRACTOR shall not utilize information and data received from COUNTY or developed as a
12 result of this Agreement for the purpose of personal publication.

13
14 **XXIV. SEVERABILITY**

15 If a court of competent jurisdiction declares any provision of this Agreement or application thereof
16 to any person or circumstances to be invalid or if any provision of this Agreement contravenes any
17 federal, state or county statute, ordinance, or regulation, the remaining provisions of this Agreement or
18 the application thereof shall remain valid, and the remaining provisions of this Agreement shall remain in
19 full force and effect, and to that extent the provisions of this Agreement are severable.

20
21 **XXV. SPECIAL PROVISIONS**

22 A. CONTRACTOR shall not use the funds provided by means of this Agreement for the following
23 purposes:

- 24 1. Making cash payments to intended recipients of services through this Agreement.
- 25 2. Lobbying any governmental agency or official. CONTRACTOR shall file all certifications
26 and reports in compliance with this requirement pursuant to Title 31, USC, §1352 (e.g., limitation on use
27 of appropriated funds to influence certain federal contracting and financial transactions).
- 28 3. Fundraising.
- 29 4. Purchase of gifts, meals, entertainment, awards, or other personal expenses for
30 CONTRACTOR's staff, volunteers, or members of the Board of Directors.
- 31 5. Reimbursement of CONTRACTOR's members of the Board of Directors for expenses or
32 services.
- 33 6. Making personal loans to CONTRACTOR's staff, volunteers, interns, consultants,
34 subcontractors, and members of the Board of Directors or its designee or authorized agent, or making
35 salary advances or giving bonuses to CONTRACTOR's staff.

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1 7. Paying an individual salary or compensation for services at a rate in excess of the current
2 Level I of the Executive Salary Schedule as published by the OPM. The OPM Executive Salary
3 Schedule may be found at www.opm.gov.

4 8. Severance pay for separating employees.

5 9. Paying rent and/or lease costs for a facility prior to the facility meeting all required building
6 codes and obtaining all necessary building permits for any associated construction.

7 10. Supplanting current funding for existing services.

8 B. Unless otherwise specified in advance and in writing by ADMINISTRATOR, CONTRACTOR
9 shall not use the funds provided by means of this Agreement for the following purposes:

10 1. Funding travel or training (excluding mileage or parking).

11 2. Making phone calls outside of the local area unless documented to be directly for the
12 purpose of client care.

13 3. Payment for grant writing, consultants, certified public accounting, or legal services.

14 4. Purchase of artwork or other items that are for decorative purposes and do not directly
15 contribute to the quality of services to be provided pursuant to this Agreement.

16 5. Purchasing or improving land, including constructing or permanently improving any
17 building or facility, except for tenant improvements.

18 6. Providing inpatient hospital services or purchasing major medical equipment.

19 7. Satisfying any expenditure of non-federal funds as a condition for the receipt of federal
20 funds (matching).

21
22 **XXVI. STATUS OF CONTRACTOR**

23 CONTRACTOR is, and shall at all times be deemed to be, an independent contractor and shall be
24 wholly responsible for the manner in which it performs the services required of it by the terms of this
25 Agreement. CONTRACTOR is entirely responsible for compensating staff, subcontractors, and
26 consultants employed by CONTRACTOR. This Agreement shall not be construed as creating the
27 relationship of employer and employee, or principal and agent, between COUNTY and CONTRACTOR
28 or any of CONTRACTOR's employees, agents, consultants, or subcontractors. CONTRACTOR
29 assumes exclusively the responsibility for the acts of its employees, agents, consultants, or
30 subcontractors as they relate to the services to be provided during the course and scope of their
31 employment. CONTRACTOR, its agents, employees, consultants, or subcontractors, shall not be
32 entitled to any rights or privileges of COUNTY's employees and shall not be considered in any manner
33 to be COUNTY's employees.

34
35 **XXVII. TERM**

36 A. The term of this Agreement shall commence as specified in the Referenced Contract Provisions
37 of this Agreement or the execution date, whichever is later. This Agreement shall terminate as specified

1 in the Referenced Contract Provisions of this Agreement unless otherwise sooner terminated as provided
2 in this Agreement; provided, however, CONTRACTOR shall be obligated to perform such duties as
3 would normally extend beyond this term, including but not limited to, obligations with respect to
4 confidentiality, indemnification, audits, reporting and accounting.

5 B. Any administrative duty or obligation to be performed pursuant to this Agreement on a weekend
6 or holiday may be performed on the next regular business day.

7
8 **XXVIII. TERMINATION**

9 A. Either party may terminate this Agreement, without cause, upon thirty (30) calendar days written
10 notice given the other party.

11 B. Unless otherwise specified in this Agreement, COUNTY may terminate this Agreement upon
12 five (5) calendar days written notice if CONTRACTOR fails to perform any of the terms of this
13 Agreement. At ADMINISTRATOR’s sole discretion, CONTRACTOR may be allowed up to thirty (30)
14 calendar days’ for corrective action.

15 C. COUNTY may terminate this Agreement immediately, upon written notice, on the occurrence of
16 any of the following events:

- 17 1. The loss by CONTRACTOR of legal capacity.
- 18 2. Cessation of services.
- 19 3. The delegation or assignment of CONTRACTOR’s services, operation or administration to
20 another entity without the prior written consent of COUNTY.
- 21 4. The neglect by any physician or licensed person employed by CONTRACTOR of any duty
22 required pursuant to this Agreement.
- 23 5. The loss of accreditation or any license required by the Licenses and Laws Paragraph of this
24 Agreement.
- 25 6. The continued incapacity of any physician or licensed person to perform duties required
26 pursuant to this Agreement.
- 27 7. Unethical conduct or malpractice by any physician or licensed person providing services
28 pursuant to this Agreement; provided, however, COUNTY may waive this option if CONTRACTOR
29 removes such physician or licensed person from serving persons treated or assisted pursuant to this
30 Agreement.

31 **D. CONTINGENT FUNDING**

- 32 1. Any obligation of COUNTY under this Agreement is contingent upon the following:
- 33 a. The continued availability of federal, state and county funds for reimbursement of
34 COUNTY’s expenditures, and
- 35 b. Inclusion of sufficient funding for the services hereunder in the applicable budget
36 approved by the Board of Supervisors.

37 //

1 2. In the event such funding is subsequently reduced or terminated, COUNTY may suspend,
2 terminate or renegotiate this Agreement upon thirty (30) calendar day's written notice given
3 CONTRACTOR. If COUNTY elects to renegotiate this Agreement due to reduced or terminated
4 funding, CONTRACTOR shall not be obligated to accept the renegotiated terms.

5 E. In the event this Agreement is suspended or terminated prior to the completion of the term as
6 specified in the Referenced Contract Provisions of this Agreement, ADMINISTRATOR may, at its sole
7 discretion, reduce the Maximum Obligation of this Agreement in an amount consistent with the reduced
8 term of this Agreement.

9 F. In the event this Agreement is terminated by either party pursuant to Subparagraphs B., C. or D.
10 above, CONTRACTOR shall do the following:

11 1. Comply with termination instructions provided by ADMINISTRATOR in a manner which is
12 consistent with recognized standards of quality care and prudent business practice.

13 2. Obtain immediate clarification from ADMINISTRATOR of any unsettled issues of contract
14 performance during the remaining contract term.

15 3. Until the date of termination, continue to provide the same level of service required by this
16 Agreement.

17 4. If clients are to be transferred to another facility for services, furnish ADMINISTRATOR,
18 upon request, all client information and records deemed necessary by ADMINISTRATOR to effect an
19 orderly transfer.

20 5. Assist ADMINISTRATOR in effecting the transfer of clients in a manner consistent with
21 client's best interests.

22 6. If records are to be transferred to COUNTY, pack and label such records in accordance with
23 directions provided by ADMINISTRATOR.

24 7. Return to COUNTY, in the manner indicated by ADMINISTRATOR, any equipment and
25 supplies purchased with funds provided by COUNTY.

26 8. To the extent services are terminated, cancel outstanding commitments covering the
27 procurement of materials, supplies, equipment, and miscellaneous items, as well as outstanding
28 commitments which relate to personal services. With respect to these canceled commitments,
29 CONTRACTOR shall submit a written plan for settlement of all outstanding liabilities and all claims
30 arising out of such cancellation of commitment which shall be subject to written approval of
31 ADMINISTRATOR.

32 9. Provide written notice of termination of services to each client being served under this
33 Agreement, within fifteen (15) calendar days of receipt of termination notice. A copy of the notice of
34 termination of services must also be provided to ADMINISTRATOR within the fifteen (15) calendar day
35 period.

36 G. The rights and remedies of COUNTY provided in this Termination Paragraph shall not be
37 exclusive, and are in addition to any other rights and remedies provided by law or under this Agreement.

XXIX. THIRD PARTY BENEFICIARY

Neither party hereto intends that this Agreement shall create rights hereunder in third parties including, but not limited to, any subcontractors or any clients provided services pursuant to this Agreement.

XXX. WAIVER OF DEFAULT OR BREACH

Waiver by COUNTY of any default by CONTRACTOR shall not be considered a waiver of any subsequent default. Waiver by COUNTY of any breach by CONTRACTOR of any provision of this Agreement shall not be considered a waiver of any subsequent breach. Waiver by COUNTY of any default or any breach by CONTRACTOR shall not be considered a modification of the terms of this Agreement.

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1 IN WITNESS WHEREOF, the parties have executed this Agreement, in the County of Orange, State
2 of California.

3
4 COMMUNITY SERVICE PROGRAMS, INC.

5
6 DocuSigned by:
7 BY: Ronetta Johnson _____ DATED: 2/21/2017
8 7330F02BD33844E...

9
10 TITLE: Executive Director

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15
16 COUNTY OF ORANGE

17
18
19 BY: _____ DATED: _____
20 HEALTH CARE AGENCY

21
22
23
24 APPROVED AS TO FORM
25 OFFICE OF THE COUNTY COUNSEL
26 ORANGE COUNTY, CALIFORNIA

27
28 DocuSigned by:
29 BY: Eric Divine _____ DATED: 2/21/2017
30 C4E3886C1E6D4FD...
31 DEPUTY

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33
34
35 If the contracting party is a corporation, two (2) signatures are required: one (1) signature by the Chairman of the Board, the President or
36 any Vice President; and one (1) signature by the Secretary, any Assistant Secretary, the Chief Financial Officer or any Assistant Treasurer.
37 If the contract is signed by one (1) 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 by ADMINISTRATOR..

1 EXHIBIT A
2 TO AGREEMENT FOR PROVISION OF
3 COLLABORATIVE COURTS FULL SERVICE PARTNERSHIP/WRAPAROUND SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 COMMUNITY SERVICE PROGRAMS, INC.
8 JULY 1, 2017 THROUGH JUNE 30, 2020
9

10 **I. COMMON TERMS AND DEFINITIONS**

11 The parties agree to the following terms and definitions, and to those terms and definitions which,
12 for convenience, are set forth elsewhere in the Agreement.

13 A. Admission means documentation, by CONTRACTOR, for completion of entry and evaluation
14 services provided to Clients into IRIS.

15 B. Client means any individual, referred or enrolled, for services under the Agreement who is
16 living with mental, emotional, or behavioral disorders.

17 C. Crisis Intervention means a service, lasting less than twenty-four (24) hours that is provided to
18 or on the behalf of a Client for a condition that requires more timely response than a regularly scheduled
19 visit. Service activities may include, but are not limited to: assessment, individual therapy, collateral
20 therapy, family therapy, case management, and psychiatric evaluation.

21 D. Data Collection Reporting system means the collection of State mandated data used for the
22 tracking and reporting of outcome data for Clients enrolled in FSP/W programs.

23 1. 3 M's means the Quarterly Assessment Form being completed for each Client every three
24 months in the approved Data Collection System. It tracks changes in education, sources of financial
25 support, legal issues/designations, health status, substance abuse, and any other fields set forth by the
26 State and/or the County. Must be completed not more than 14 days prior to or 30 days after the due
27 date.

28 2. Data Certification means reviewing outcome data mandated by the state and COUNTY for
29 accuracy and signing a Certification of Accuracy of Data form indicating that the data is accurate.

30 3. Key Event Tracking (KET) means the tracking of a Client's service movement and changes
31 in the approved Data Collection System. A KET must be completed following the DCR business rules
32 and entered accurately each time the CONTRACTOR is reporting a change from previous Client status
33 in certain categories. The categories include: administrative status, residential status (including
34 incarcerations and hospitalizations), employment, education, benefits acquisition, legal status,
35 emergency interventions and any other fields set forth by the State or County.

36 4. Partnership Assessment Form (PAF) means the baseline Assessment for each Client (as
37 defined by the State and/or County) that must be completed in full and entered into the DCR system

1 within thirty (30) days of the Client’s enrollment date All DCR business rules regarding transferring and
2 re-enrolling clients must be followed and verified prior to entering a PAF in the system.

3 E. Diagnosis means identifying the nature of a Client's disorder. When formulating the Diagnosis
4 of Client, CONTRACTOR shall use the diagnostic codes as specified in the most current edition of the
5 Diagnostic and Statistical Manual of Mental Disorders (DSM) published by the American Psychiatric
6 Association. DSM diagnoses will be recorded on all IRIS documents, as appropriate.

7 F. Direct Service Hour (DSH) means the time, measured in hours and portions of hours, that a
8 clinician spends providing services to Clients or others on behalf of Clients. DSH credit, both billable
9 and non-billable minutes, is obtained by providing mental health, case management, medication support,
10 and crisis intervention services to Clients open in IRIS.

11 G. Early Periodic Screening Diagnostic and Treatment (EPSDT) means the State of California’s
12 implementation of the Federal child health component of Medicaid program which provides physical,
13 mental, and developmental health services for children and young adults.

14 H. Education Coordinator means an individual who is responsible for providing assistance and
15 support with educational and vocational services as well as developing resources for those Clients that
16 wish to further their education or training.

17 I. Employment Coordinator means an individual who provides pre-employment training, job
18 orientation, and site training to Clients. This individual is also responsible for assisting Clients with job
19 application procedures; teaching social, grooming and dress-for-success personal hygiene skills to
20 Clients; and coaching Clients on how to maintain employment. This individual will develop
21 employment resources that match the needs of the program’s Clients. In addition, the Employment
22 Coordinator may provide on-the-job mentoring and will work closely with the hiring companies and
23 Clients.

24 J. Engagement means the process where a trusting relationship between CONTRACTOR’s staff
25 and Client is developed over a short period of time, so CONTRACTOR and Client can develop a plan to
26 link the Client to appropriate services within the community. Engagement of the Client is the objective
27 of a successful outreach.

28 K. Face-to-Face Contact means, as it pertains to a FSP/W, a direct encounter between
29 CONTRACTOR’s staff and Client(s)/parent(s)/guardian(s). This does not include contact by phone,
30 email, etc. For the purpose of completing an Encounter Document, Face-to-Face Contact means a direct
31 encounter between staff and Client(s), regardless if another individual(s) is/are present or not.

32 L. Family Team means a group formed to meet the needs of a FSP/W eligible Client through
33 whatever means possible, and this team includes a program staff, the eligible Client, the Client’s family
34 members, and other support individual(s) the family agrees to include on the team.

35 M. Full Service Partnership/Wraparound (FSP/W) means a program model described in
36 COUNTY’s MHSA plan that has been approved by the state. The MHSA plan describes how
37 COUNTY will use MHSA funds to develop and implement treatment plans for mental health Clients

1 through FSP/Ws. A FSP/W is an evidence-based and strength-based model with the focus on the
 2 individual rather than the disease. It is culturally competent in-home, intensive, mental health care
 3 coordination services that will address family needs across all life domains of the Client.

4 N. Group Home means a facility for housing youth and is licensed by Community Care Licensing
 5 under the provisions of CCR, Title 22, Division 6, et seq.

6 O. Head of Service means an individual ultimately responsible for overseeing the program and is
 7 required to be licensed as a mental health professional.

8 P. Housing Coordinator means an individual who provides assistance to Clients/families to have
 9 the most stable housing appropriate to their functioning levels and life circumstances. This may range
 10 from emergency motel placement to avoid homelessness, transitional housing that will provide stability
 11 and skills that would lead to more permanent housing. This individual may also assist in moving to
 12 greater independence by creating flex fund usage plans where the Client/family pays a greater
 13 percentage of housing cost per month so that housing costs become independent sustainable.

14 Q. Individual Services and Support Funds (Flexible Funds) means funds used to provide Clients
 15 and/or their families with immediate assistance, as deemed necessary, for the treatment of their mental
 16 illness and improve their overall quality of life. Flexible Funds are generally categorized as housing,
 17 transportation, food, clothing, medical, and miscellaneous expenditures that are individualized and
 18 appropriate to support Clients' mental health treatment activities.

19 R. Integrated Records Information System (IRIS) means the ADMINISTRATOR's database
 20 system that collects Clients' information such as registration, scheduled appointments, laboratory
 21 information system, invoice and reporting capabilities, compliance with regulatory requirements,
 22 electronic medical records, and other relevant applications.

23 S. Katie A. Subclass means the lawsuit, Katie A. et al. v. Bonta et al., a class action lawsuit filed in
 24 Federal District Court concerning the availability of intensive mental health services to children in
 25 California who are either in foster care or at imminent risk of coming into care, created this Subclass.

26 T. Licensed Clinical Social Worker (LCSW) means a licensed individual, pursuant to the
 27 provisions of Chapter 14 of the California Business and Professions Code, who can provide clinical
 28 services to Clients. The license must be current and in force, and has not been suspended or revoked.
 29 Also, it is preferred that the individual has at least one (1) year of experience treating children and TAY.

30 U. Licensed Marriage Family Therapist (MFT) means a licensed individual, pursuant to the
 31 provisions of Chapter 13 of the California Business and Professions Code, pursuant to the provisions of
 32 Chapter 14 of the California Business and Professions Code, who can provide clinical services to
 33 Clients. The license must be current and in force, and has not been suspended or revoked. Also, it is
 34 preferred that the individual has at least one (1) year of experience treating children and TAY.

35 V. Licensed Professional Clinical Counselor (LPCC) means a licensed individual, pursuant to the
 36 provisions of Chapter 13 of the California Business and Professions Code, pursuant to the provisions of
 37 Chapter 16 of the California Business and Professions Code, who can provide clinical service to Clients.

1 The license must be current and in force, and has not been suspended or revoked. Also, it is preferred
2 that the individual has at least one (1) year of experience treating children and TAY.

3 W. Licensed Psychiatric Technician (LPT) means a licensed individual, pursuant to the provisions
4 of Chapter 10 of the California Business and Professions Code, who can provide clinical services to
5 Clients. The license must be current and in force, and has not been suspended or revoked. Also, it is
6 preferred that the individual has at least one (1) year of experience treating children and TAY.

7 X. Licensed Psychologist means a licensed individual, pursuant to the provisions of Chapter 6.6 of
8 the California Business and Professions Code, who can provide clinical services to Clients. The license
9 must be current and in force, and has not been suspended or revoked. Also, it is preferred that the
10 individual has at least one (1) year of experience treating children and TAY.

11 Y. Licensed Vocational Nurse (LVN) means a licensed individual, pursuant to the provisions of
12 Chapter 6.5 of the California Business and Professions Code, who can provide clinical services to
13 Clients. The license must be current and in force, and has not been suspended or revoked. Also, it is
14 preferred that the individual has at least one (1) year of experience treating children and TAY.

15 Z. Live Scan means an inkless, electronic fingerprint which is transmitted directly to the
16 Department of Justice (DOJ) for the completion of a criminal record check, typically required of
17 employees who have direct contact with Clients.

18 AA. Medi-Cal means the State of California's implementation of the federal Medicaid health care
19 program which pays for a variety of medical services for children and adults who meet eligibility
20 criteria.

21 AB. Medical Necessity means diagnosis, impairment, and intervention related criteria as defined in
22 the COUNTY's MHP under Medical Necessity for Medi-Cal reimbursed Specialty Mental Health
23 Services.

24 AC. Mental Health Services means an individual or a group therapy and intervention being provided
25 to Clients that is designed to reduce mental disability and restores or improves daily functioning.
26 Mental Health Services must be consistent with goals of learning and development, as well as
27 independent living and enhanced self-sufficiency. In addition, these services cannot be provided as a
28 component of adult residential services, crisis residential treatment services, crisis intervention, crisis
29 stabilization, day rehabilitation, or day treatment intensive. Service activities may include, but are not
30 limited to: Assessment, plan development, rehabilitation, and collateral. Also, Mental Health Services
31 may be either Face-to-Face Contact, or by telephone with Clients or significant support individuals, and
32 services may be provided anywhere in the community.

33 1. Assessment means a service activity, which may include a clinical analysis of the history
34 and current status of a Client's mental, emotional, behavioral disorder, and relevant cultural issues. The
35 Assessment also needs to include history of services being provided, diagnosis, and any testing
36 procedures that were used.

37 //

1 2. Collateral means significant support individual(s) in a Client’s life and is/are used to define
2 services provided to the Client with the intent of improving or maintaining the mental health status of
3 the Client. The Client may or may not be present for this service activity.

4 3. Intensive Care Coordination (ICC) means a medically necessary service provided to
5 Medi-Cal beneficiaries under the EPSDT benefit. ICC includes assessment, care planning and
6 coordination of services across child services systems and providers, including intensive services for
7 children/youth who meet the Katie A. Subclass criteria.

8 4. Intensive Home-Based Services (IHBS) means a medically necessary service provided to
9 Medi-Cal beneficiaries under the EPSDT benefit. IHBS are individualized, strength-based mental
10 health treatment interventions designed to ameliorate mental health conditions that interfere with a
11 client’s functioning. IHBS are provided only in conjunction with ICC and are recommended by the
12 Child and Family Team. IHBS is also provided to the Katie A. Subclass population.

13 5. Medication Support Services means services provided by licensed physicians, registered
14 nurses, or other qualified medical staff, which include: prescribing, administering, dispensing and
15 monitoring of psychiatric medications or biologicals that are necessary to alleviate symptoms of mental
16 illness. These services also include evaluation and documentation of the clinical justification and
17 effectiveness of medication, dosage, side effects, compliance, and response to medication. In addition,
18 the licensed physicians, registered nurses, or other qualified medical staff must obtain informed consent
19 from Clients prior to providing medication education and plan development related to the delivery of
20 these services and/or Assessment to Clients.

21 6. Rehabilitation Service means an activity which includes assistance to improving,
22 maintaining, or restoring a Client’s or group of Clients’ functional skills, daily living skills, social and
23 leisure skill, grooming and personal hygiene skills, meal preparation skills, support resources and/or
24 medication education.

25 7. Substance Use treatment means a program that uses a stage-wise treatment model and is
26 non-confrontational, follows behavioral principles, considers interactions between mental illness and
27 substance abuse, and has gradual expectations of abstinence. Mental illness and substance abuse
28 research has strongly indicated that a Client with a disorder needs treatment for both problems to
29 recover fully. Focusing on one does not ensure the other will go away. Substance use services integrate
30 assistance for each condition by helping Clients recover from mental illness and substance abuse in one
31 setting and at the same time.

32 8. Therapeutic Behavioral Services (TBS) means one-on-one behavioral interventions with a
33 Client, which is designed to reduce or eliminate targeted behaviors as identified in the Client’s treatment
34 plan. Collateral services are also provided to parent(s)/guardian(s) as part of TBS. Clients must be
35 Medi-Cal eligible and meet TBS class membership and service need requirements. Documentation in
36 the medical record must support Medical Necessity for these intensive services. Cases in which Clients
37 are receiving more than twenty (20) hours per week of TBS or those who are expected to receive more

1 than four months (120 days) of TBS must be approved by ADMINISTRATOR. ADMINISTRATOR
 2 has to approve individuals that are delivering these intervention services to ensure they are qualified to
 3 deliver these services.

4 9. Targeted Case Management (TCM) means services that assist a Client to access needed
 5 medical, educational, social, prevocational, vocational, rehabilitative, or other community services.
 6 These service activities may include, but are not limited to: communicating and coordinating services
 7 through referral; monitoring service delivery to ensure Clients' access to service and the service delivery
 8 system; and tracking of Clients' progress and plan development. Treatment Foster Care (TFC) also
 9 known as Therapeutic Foster Care, consists of intensive and highly coordinated mental health and
 10 support services provided to a foster parent or caregiver in which the foster parent/caregiver becomes an
 11 integral part of the child's treatment team.

12 10. Therapy means a therapeutic intervention that focuses primarily on symptom reduction as a
 13 means to improve functional impairments. Therapy may be delivered to a Client or a group of Clients,
 14 which may include family Therapy with Client being present.

15 AD. The Mental Health Services Act (MHSA) is a voter-approved initiative to develop a
 16 comprehensive approach to providing community-based mental health services and supports for
 17 California residents. It is also known as "Proposition 63."

18 AE. Mentoring Services means a service that provides support to Clients by building a structured
 19 and trusting relationship over a prolonged period of time between a Client and a mentor. The mentor is
 20 a peer or older individual who provides one-to-one contact and support in the following areas to assist
 21 Client(s)/parent(s)/guardian(s): consistent support, guidance, and coaching in life skills; concrete help
 22 and/or other relationship-building activities to the Client(s)/parent(s)/guardian(s); and linking the
 23 Client(s)/parent(s)/guardian(s) to other services within the COUNTY.

24 AF. National Provider Identifier (NPI) means the standard unique health identifier that was adopted
 25 by the Secretary of HHS Services under HIPAA for health care providers. All HIPAA covered
 26 healthcare providers, individuals, and organizations must obtain an NPI for use to identify themselves in
 27 HIPAA standard transactions. The NPI is assigned for life.

28 AG. Notice of Action-A (NOA-A) means a Medi-Cal requirement that informs the beneficiary that
 29 she/he is not entitled to any specialty mental health service. The COUNTY has expanded the
 30 requirement for an NOA-A to all beneficiaries requesting an Assessment for services and found not to
 31 meet the Medical Necessity criteria for specialty Mental Health Services.

32 AH. Notice of Privacy Practices (NPP) means a document that notifies Clients of uses and
 33 disclosures of PHI. The NPP may be made by, or on behalf of, the health plan or health care provider as
 34 set forth in HIPAA.

35 AI. Outcomes Analyst means an individual who ensures that an FSP program maintains a focus on
 36 program outcomes and quality assurance of the data being reported. This individual will be responsible
 37 for reviewing outcome data and other collected information for accuracy and correcting any errors prior

1 to entering into the data capture system and again prior to exporting the files to the County and State.
 2 The Outcomes Analyst will, analyze data, and developing strategies for gathering new data from the
 3 Client's perspective to improve FSP/W's understanding of Client's needs and desires towards furthering
 4 their recovery. This individual will also provide feedback to the program and work collaboratively with
 5 the employment specialist, education specialist, benefits specialist, and other staff in the program to
 6 strategize and improve outcomes in service delivery as well as improve accuracy in reporting and
 7 tracking outcomes and other information. In addition, this position will be responsible for attending all
 8 data and outcome related meetings and ensuring that the FSP/W is being proactive in all data collection
 9 requirements and changes at the local and state levels.

10 AJ. Outreach means linking potential Clients to appropriate Mental Health Services within the
 11 community. Outreach activities will include educating the community about the services offered and
 12 requirements for participation in the various mental health programs within the community. Such
 13 activities may result in the CONTRACTOR developing Referral sources for Clients from programs
 14 being offered within the community.

15 AK. Personal Services Coordinator (PSC) means an individual with a Bachelor's Degree in Human
 16 Services or related field. It is preferred that the individual has at least two years of related experience
 17 with Mental Health Services, or three years' experience as a Client in a similar program who has
 18 graduated to self-sufficiency. A PSC leads the implementation of a service plan covering an entire
 19 range of needs for the Client and/or Client's family to promote success, safety, and permanence in the
 20 home, school, workforce, and community and lead Clients to self-sufficiency.

21 AL. Plan of Care (POC) means a written plan, including by reference any juvenile court order(s),
 22 developed and signed by the Family Team that includes the following elements:

- 23 1. A statement of an overall goal or vision for the Client and Client's family.
- 24 2. The strengths of the Client and Client's family.
- 25 3. The needs, as defined by specific life areas that must be met to achieve the goal(s) of the
 26 Client and Client's family.
- 27 4. Prevention and intervention safety plans.
- 28 5. The type, frequency, and duration of intervention strategies.
- 29 6. Financial responsibility for the components of the POC.
- 30 7. Desired outcomes.

31 AM. Program Director means an individual who is responsible for all aspects of administration and
 32 clinical operations of the mental health program, including development and adherence to the annual
 33 budget. This individual will also be responsible for the following: hiring, development and performance
 34 management of professional and support staff, and ensuring mental health treatment services are
 35 provided in concert with COUNTY and state rules and regulations.

36 AN. Protected Health Information (PHI) means individually identifiable health information usually
 37 transmitted through electronic media. PHI can be maintained in any medium as defined in the

1 regulations, or for an entity such as a health plan, transmitted or maintained in any other medium. It is
2 created or received by a covered entity and is related to the past, present, or future physical or mental
3 health or condition of an individual, provision of health care to an individual, or the past, present, or
4 future payment for health care provided to an individual.

5 AO. Psychiatrist means an individual who meets the minimum professional and licensure
6 requirements set forth in Title 9, CCR, Section 623, and, preferably, has at least one (1) year of
7 experience treating children and TAY.

8 AP. Quality Improvement Committee (QIC) means a committee that meets quarterly to review one
9 percent (1%) of all “high-risk” Medi-Cal Clients in order to monitor and evaluate the quality and
10 appropriateness of services provided. At a minimum, the committee is comprised of one (1)
11 ADMINSTRATOR, one (1) clinician, and one (1) physician who are not involved in the clinical care of
12 the cases.

13 AQ. Referral means effectively linking Clients to other services within the community and
14 documenting follow-up provided within five (5) business days to assure that Clients have made contact
15 with the referred service(s).

16 AR. Registered Nurse (RN) means a licensed individual, pursuant to the provisions of Chapter 6 of
17 the California Business and Professions Code, who can provide clinical services to Clients. The license
18 must be current and in force, and has not been suspended or revoked. Also, it is preferred that the
19 individual has at least one (1) year of experience treating children and TAY.

20 AS. Seriously Emotionally Disturbed (SED) means children or adolescents minors under the age of
21 18 years who have a mental disorder as identified in the most recent edition of the Diagnostic and
22 Statistical Manual of Mental Disorders, other than a primary substance use disorder or developmental
23 disorder, which results in behavior inappropriate to the child’s age according to expected developmental
24 norms. W&I 5600.3.

25 AT. Serious Mental Impairment (SMI) means an adult with a mental disorder that is severe in degree
26 and persistent in duration, which may cause behavioral functioning which interferes substantially with
27 the primary activities of daily living, and which may result in an inability to maintain stable adjustment
28 and independent functioning without treatment, support, and rehabilitation for a long or indefinite period
29 of time. W&I 5600.3.

30 AU. Student Intern means student(s) currently enrolled in an accredited graduate or undergraduate
31 program and is/are accumulating supervised work experience hours as part of field work, internship, or
32 practicum requirements. Acceptable programs include all programs that assist students in meeting the
33 educational requirements to be a Licensed MFT, a LCSW, a Licensed Clinical Psychologist, a Licensed
34 PCC, or to obtain a Bachelor’s degree. Individuals with graduate degrees and have two (2) years of
35 full-time experience in a mental health setting, either post-degree or as part of the program leading to the
36 graduate degree, are not considered as students.

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1 AV. Token means the security device which allows an end-user to access the ADMINISTRATOR's
2 computer based IRIS.

3 AW. UMDAP means the method used for determining the annual client liability for mental health
4 services received from the COUNTY mental health system and is set by the State of California.

5 AX. WOC means the wraparound program administered by the COUNTY SSA and is available to
6 children and transitional age youth who are returning from or being considered for placement in group
7 homes.

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II. BUDGET

A. COUNTY shall pay CONTRACTOR in accordance with the Payments Paragraph in this Exhibit A to the Agreement and the following budgets, which are set forth for informational purposes only and may be adjusted by mutual agreement, in writing, by ADMINISTRATOR and CONTRACTOR.

	<u>PERIOD</u>	<u>PERIOD</u>	<u>PERIOD</u>	<u>TOTAL</u>
	<u>ONE</u>	<u>TWO</u>	<u>THREE</u>	
ADMINISTRATIVE COST				
Indirect Costs	\$ 201,600	\$ 201,600	\$ 201,600	\$ 604,800
SUBTOTAL	\$ 201,600	\$ 201,600	\$ 201,600	\$ 604,800
ADMINISTRATIVE COST				
PROGRAM COST				
Salaries	\$1,303,902	\$1,303,902	\$1,303,902	\$3,911,706
Benefits	336,513	336,513	336,513	1,009,539
Services and Supplies	303,984	303,984	303,984	911,952
Subcontractor	57,720	57,720	57,720	173,160
Flexible Funds	<u>185,800</u>	<u>185,800</u>	<u>185,800</u>	<u>557,400</u>
SUBTOTAL	\$2,187,919	\$2,187,919	\$2,187,919	\$6,563,757
PROGRAM COST				
TOTAL GROSS COST	\$2,389,519	\$2,389,519	\$2,389,519	\$7,168,557
REVENUE				
FFP Medi-Cal	\$ 378,877	\$ 378,877	\$ 378,877	\$1,136,631
Medi-Cal Match (MHA)	378,877	378,877	378,877	1,136,631
MHA	<u>1,631,765</u>	<u>1,631,765</u>	<u>1,631,765</u>	<u>4,895,295</u>
TOTAL REVENUE	\$2,389,519	\$2,389,519	\$2,389,519	\$7,168,557
TOTAL MAXIMUM OBLIGATION	\$2,389,519	\$2,389,519	\$2,389,519	\$7,168,557

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1 B. CONTRACTOR agrees the total cost of services provided for in the Agreement are based upon
2 projected revenue generation and shall be reimbursed by federal Medi-Cal and COUNTY MHSA
3 revenues. CONTRACTOR agrees that if actual federal Medi-Cal reimbursement, based upon the
4 completed Cost Report, as specified in the Cost Report Paragraph of the Agreement, for each Fiscal
5 Year is less than budgeted, the Maximum Obligation may, at ADMINISTRATOR's sole discretion, be
6 adjusted down by the amount of under generated federal Medi-Cal revenue. CONTRACTOR further
7 agrees that MHSA revenue shall be used to cover the cost of non-Medi-Cal Clients and/or non-Medi-Cal
8 billable services and shall not exceed the amounts specified in the Budget Paragraph, Subparagraph A.
9 of this Exhibit A to the Agreement, unless authorized, in writing, by ADMINISTRATOR.

10 C. In the event CONTRACTOR collects fees and insurance, including Medicare, for services
11 provided pursuant to the Agreement, CONTRACTOR may make written application to
12 ADMINISTRATOR to retain such revenues; provided, however, the application must specify that the
13 fees and insurance shall be utilized exclusively to provide Mental Health Services. ADMINISTRATOR
14 may, at its sole discretion, approve any such retention of revenues. Approval by ADMINISTRATOR
15 shall be in writing to CONTRACTOR and shall specify the amount of said revenues to be retained and
16 the quantity of services to be provided by CONTRACTOR.

17 D. BUDGET/STAFFING MODIFICATIONS - CONTRACTOR may request to shift funds
18 between budgeted line items for the purpose of meeting specific program needs or for providing
19 continuity of care to its members, by utilizing a Budget/Staffing Modification Request form provided by
20 ADMINISTRATOR. CONTRACTOR shall submit a properly completed Budget/Staffing Modification
21 Request to ADMINISTRATOR for consideration, in advance, which shall include a justification
22 narrative specifying the purpose of the request, the amount of said funds to be shifted, and the sustaining
23 impact of the shift as may be applicable to the current contract period and/or future contract periods.
24 CONTRACTOR shall obtain written approval of any Budget/Staffing Modification Request(s) from
25 ADMINISTRATOR prior to implementation by CONTRACTOR. Failure of CONTRACTOR to obtain
26 written approval from ADMINISTRATOR for any proposed Budget/Staffing Modification Request(s)
27 may result in disallowance of those costs.

28 E. FINANCIAL RECORDS - CONTRACTOR shall prepare and maintain accurate and complete
29 financial records of its cost and operating expenses. Such records will reflect the actual cost of the type
30 of service for which payment is claimed. Any apportionment of or distribution of costs, including
31 indirect costs, to or between programs or cost centers of CONTRACTOR shall be documented, and will
32 be made in accordance with GAAP.

33 F. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
34 Budget Paragraph of this Exhibit A to the Agreement.

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III. PAYMENTS

A. COUNTY shall pay CONTRACTOR monthly, in arrears, the provisional amount of \$199,127 per month for each period, as specified in the Referenced Contract Provisions of the Agreement. All payments are interim payments only, and subject to Final Settlement in accordance with the Cost Report Paragraph of the Agreement for which CONTRACTOR shall be reimbursed for the actual cost of providing the services hereunder; provided, however, the total of such payments does not exceed COUNTY's Maximum Obligation as specified in the Referenced Contract Provisions of the Agreement and, provided further, CONTRACTOR's costs are reimbursable pursuant to COUNTY, state, and federal regulations. ADMINISTRATOR may, at its discretion, pay supplemental invoices for any month for which the provisional amount specified above has not been fully paid.

1. In support of the monthly invoice, CONTRACTOR shall submit an Expenditure and Revenue Report as specified in the Reports Paragraph of this Exhibit A to the Agreement. ADMINISTRATOR shall use the Expenditure and Revenue Report to determine payment to CONTRACTOR as specified in Subparagraphs A.2. and A.3., below.

2. If, at any time, CONTRACTOR's Expenditure and Revenue Reports indicate that the provisional amount payments exceed the actual cost of providing services, ADMINISTRATOR may reduce payments to CONTRACTOR by an amount not to exceed the difference between the year-to-date provisional amount payments to CONTRACTOR's and the year-to-date actual cost incurred by CONTRACTOR.

3. If, at any time, CONTRACTOR's Expenditure and Revenue Reports indicate that the provisional amount payments are less than the actual cost of providing services, ADMINISTRATOR may authorize an increase in the provisional amount payment to CONTRACTOR by an amount not to exceed the difference between the year-to-date provisional amount payments to CONTRACTOR and the year-to-date actual cost incurred by CONTRACTOR.

B. CONTRACTOR's invoices shall be on a form approved or supplied by ADMINISTRATOR and provide such information as is required by ADMINISTRATOR. Invoices are due the tenth (10th) day of each month. Invoices received after the due date may not be paid within the same month. Payments to CONTRACTOR should be released by COUNTY no later than thirty (30) calendar days after receipt of the correctly completed invoice.

C. All invoices to COUNTY shall be supported at CONTRACTOR's facility, by source documentation including, but not limited to, ledgers, journals, time sheets, invoices, bank statements, canceled checks, receipts, receiving records, and records of services provided.

D. ADMINISTRATOR may withhold or delay any payment if CONTRACTOR fails to comply with any provision of the Agreement.

E. COUNTY shall not reimburse CONTRACTOR for services provided beyond the expiration and/or termination of the Agreement, except as may otherwise be provided under the Agreement, or specifically agreed upon in a subsequent Agreement.

1 F. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
2 Payments Paragraph of this Exhibit A to the Agreement.

3
4 **IV. REPORTS**

5 **A. FISCAL**

6 1. CONTRACTOR shall submit monthly Expenditure and Revenue Reports to
7 ADMINISTRATOR. These reports shall be on a form acceptable to, or provided by,
8 ADMINISTRATOR and shall report actual costs and revenues for CONTRACTOR's program described
9 in the Services Paragraph of this Exhibit A to the Agreement. Any changes, modifications, or
10 deviations to any approved budget line item must be approved in advance and in writing by
11 ADMINISTRATOR and annotated on the monthly Expenditure and Revenue Report, or said cost
12 deviations may be subject to disallowance. Such reports shall be received by ADMINISTRATOR no
13 later than twenty (20) calendar days following the end of the month being reported.

14 2. CONTRACTOR shall submit Year-End Projection Reports to ADMINISTRATOR. These
15 reports shall be on a form acceptable to, or provided by, ADMINISTRATOR and shall report
16 anticipated year-end actual costs and revenues for CONTRACTOR's program described in the Services
17 Paragraph of this Exhibit A to the Agreement. Such reports shall include actual monthly costs and
18 revenue to date and anticipated monthly costs and revenue to the end of the fiscal year, and shall include
19 a projection narrative justifying the year-end projections. Year-End Projection Reports shall be
20 submitted in conjunction with the Monthly Expenditure and Revenue Reports.

21 B. STAFFING REPORT – CONTRACTOR shall submit monthly Staffing Reports to
22 ADMINISTRATOR. CONTRACTOR's reports shall contain required information, and be on a form
23 acceptable to, or provided by ADMINISTRATOR. CONTRACTOR shall submit these reports no later
24 than twenty (20) calendar days following the end of the month being reported.

25 C. PROGRAMMATIC – CONTRACTOR shall submit monthly Programmatic reports to
26 ADMINISTRATOR. These reports shall be in a format approved by ADMINISTRATOR and shall
27 include but not limited to, descriptions of any performance objectives, outcomes, and or interim findings
28 as directed by ADMINISTRATOR. DCR data files shall be submitted to the ADMINISTRATOR in an
29 XML format that has successfully passed individual and batch tests for submission to the State.
30 CONTRACTOR shall be prepared to present and discuss the programmatic reports at the monthly
31 meetings with ADMINISTRATOR, to include whether or not CONTRACTOR is progressing
32 satisfactorily and if not, specify what steps are being taken to achieve satisfactory progress. Such
33 reports shall be received by ADMINISTRATOR no later than twentieth (20th) calendar day following
34 the end of the month being reported.

35 D. ADDITIONAL REPORTS – Upon ADMINISTRATOR's request, CONTRACTOR shall make
36 such additional reports as required by ADMINISTRATOR concerning CONTRACTOR's activities as
37 //

1 they affect the services hereunder. ADMINISTRATOR shall be specific as to the nature of information
2 requested and allow thirty (30) calendar days for CONTRACTOR to respond.

3 E. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
4 Reports Paragraph of this Exhibit A to the Agreement.

5
6 **V. SERVICES**

7 **A. FACILITIES**

8 1. CONTRACTOR shall maintain a minimum of two (2) fully licensed and appropriate
9 facilities for the provision of Full Service Partnership/Wraparound Services for participants in Juvenile
10 Recovery Court (formerly Juvenile Drug Court), those youth involved with the Juvenile Court's
11 Truancy Reduction Program and those youth who are dually eligible as being both Wards and
12 Dependents of the Court which meet the minimum requirements for Medi-Cal eligibility at the
13 following locations or any other location(s) approved by ADMINISTRATOR:

14
15 1221 E. Dyer Road, Suite 220 16580 Harbor Blvd, Unit O
16 Santa Ana, California 92705 Fountain, Valley, CA 92708
17

18 2. CONTRACTOR shall maintain regularly scheduled service hours, throughout the year, and
19 maintain the capability to provide services during after-school hours on weekdays, and on the weekends,
20 if necessary, in order to accommodate Clients.

21 a. CONTRACTOR's administrative staff holiday schedule shall be consistent with
22 COUNTY's holiday schedule unless otherwise approved, in advance and in writing, by
23 ADMINISTRATOR.

24 b. CONTRACTOR shall provide Clients and/or their family members with twenty-four
25 (24) hour a day, seven (7) day a week, three hundred sixty five (365) day a year access to their assigned
26 case manager or designee acceptable to ADMINISTRATOR. CONTRACTOR shall also develop with
27 each Client and/or Client's family a plan for Crisis Intervention services which includes whom to
28 contact for emergency services.

29 3. Upon ADMINISTRATOR's certification of the provider's existing site, the
30 CONTRACTOR shall be responsible for making any necessary changes to meet and maintain Medi-Cal
31 site standards.

32 **B. FSP/FSW SERVICES**

33 1. CONTRACTOR shall assess potential Clients meeting the following criteria unless written
34 exception is granted by ADMINISTRATOR:

35 a. Individuals under the age of eighteen (18) years of age (until eighteenth [18th]
36 birthday);

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1 b. Individuals eighteen (18) through twenty-five (25) years of age (until twenty-sixth
2 [26th] birthday) who are legally residing in COUNTY and otherwise eligible for public services under
3 federal and state law;

4 c. Displaying behaviors or a history indicative of Serious Emotional Disorder as defined
5 by WIC Section 5600.3; and

6 d. In one of the following target groups:

- 7 1) homeless;
- 8 2) unserved or underserved because of linguistic or cultural isolation;
- 9 3) with a history of multiple psychiatric hospitalizations;
- 10 4) experiencing their first psychotic episodes;
- 11 5) uninsured and exiting the Social Service or Probation systems;
- 12 6) with special needs and/or co-occurring disorders;
- 13 7) children of parent(s)/guardian(s) with serious mental illness; or
- 14 8) ages zero (0) through five (5) and school age children who are unable to function in
15 the mainstream school, preschool or day care setting because of emotional problems.

16 2. CONTRACTOR shall coordinate referrals with the Juvenile Court of Orange County and
17 serve those Clients referred by Juvenile Recovery Court (formally Drug Court), the Truancy Response
18 Program and those Clients referred who are dual jurisdiction (under Court supervision as under the
19 provisions of both W&I 300 and W&I 601 or 602). This coordination will include participation in court
20 team meetings, appearance in Court as requested and other activities that support the functioning of
21 those collaborative courts. Additional youth may be served as the Juvenile Court identifies needs
22 beyond those specified above. This contract may be renegotiated and amended as necessary to meet
23 these needs.

24 3. CONTRACTOR shall coordinate referrals with other existing wraparound and Mental
25 Health Services to ensure that all Clients and/or their families are given access to the most appropriate
26 level and type of services. Other services may include WOC, MHSA FSP programs for children and/or
27 adults, and other COUNTY Mental Health Services.

28 4. CONTRACTOR shall provide supportive services for all persons referred but not admitted
29 to the FSW until those persons can be engaged in alternative services. Referrals to alternate services,
30 and the supported services provided until Engagement, will be reviewed and approved by
31 ADMINISTRATOR.

32 5. CONTRACTOR shall provide a FSW program that will provide in-home, intensive, mental
33 health case management services addressing family needs across all life domains of the Client. In the
34 program, a case manager and an enrollee/family will form a service team which will identify strengths,
35 needs and resources, including additional people to be added to the team. The team will develop a
36 service plan for each enrollee within sixty (60) calendar days of enrollment. The implementation of the
37 service plan will be the responsibility of the team using a "whatever-it-takes" approach to promote

1 success, safety and permanence in the home, school, and community. The plan will cover the entire
2 range of needs for the Client and/or their family: housing, employment and medical, etc. in addition to
3 Mental Health Services. The team will be responsible for identifying ways of addressing need through
4 linkage to existing services in the community and will also have limited access to additional funding to
5 access other needed services or support as necessary.

6 6. CONTRACTOR shall ensure that every Client is engaged in mental health treatment
7 appropriate to his/her Diagnosis and level of distress. Therapists, Psychiatrist, and others providing
8 treatment will be included on the FSW team unless otherwise approved in writing by
9 ADMINISTRATOR.

10 7. CONTRACTOR shall collect and input all data about characteristics and progress of the
11 Clients into a Data Collection System or other database as mandated by the state and/or
12 ADMINISTRATOR.

13 8. CONTRACTOR shall review the financial status of all enrollees using the UMDAP, unless
14 otherwise approved in writing by COUNTY.

15 9. CONTRACTOR shall maximize collection of Medi-Cal and other third party payors
16 whenever appropriate and in accordance with all State and COUNTY procedures.

17 10. CONTRACTOR shall confer with ADMINISTRATOR prior to recommending a Client for
18 discharge. Planning for discharge or transition to an appropriate alternative service shall be initiated at
19 Admission to the FSW and be incorporated into the service plan.

20 11. CONTRACTOR shall develop and maintain an advisory committee for the FSW services,
21 which shall meet at least monthly to review and comment on the progress of the program. Clients,
22 former Clients, and/or their family members shall be represented on the committee, as well as relevant
23 community representatives mutually agreed upon by ADMINISTRATOR and CONTRACTOR.

24 12. CONTRACTOR shall participate in any clinical case review and implement any
25 recommendations made by ADMINISTRATOR to improve Client care.

26 13. CONTRACTOR shall conduct sixty (60) day review of open cases, or previously opened
27 with another provider. CONTRACTOR shall ensure that all chart documentation complies with all
28 federal, state, and COUNTY guidelines and standards.

29 14. CONTRACTOR shall ensure that all clinical documentation is completed promptly and is
30 reflected on the Client's chart within twenty-four (24) hours after the completion of services.

31 C. FLEXIBLE FUNDS

32 1. CONTRACTOR shall follow the procedures identified below and as specified by
33 ADMINISTRATOR, regarding the request for, use, and accounting of Individual Services and Support
34 funds (Flexible Funds):

35 a. Flexible Funds shall be individualized, appropriate, reasonable, and justified for the
36 treatment of a Client's mental illness and overall quality of life;

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1 b. Flexible Funds may be utilized when other community resources such as
2 family/friends, food banks, shelters, charitable organizations, etc. are not available and/or accessible in a
3 timely manner, or are not appropriate for a Client’s situation. Designated CONTRACTOR staff shall
4 assist Clients in exploring other available resources whenever possible, prior to utilizing Flexible Funds;

5 c. Flexible Funds expenditures for various types of purchases shall be identified as
6 allowable, unallowable, or require discussion with ADMINISTRATOR;

7 d. Flexible Funds shall not be used for housing Clients that have not been enrolled in
8 CONTRACTOR’s program, unless approved, in advance and in writing, by ADMINISTRATOR;

9 e. Flexible Funds shall not be given in the form of cash to any Client, either enrolled or in
10 the Outreach and Engagement phase of the CONTRACTOR’s program;

11 f. Pre-purchases shall only be for food, transportation, clothing and motels or other
12 purchases as required and appropriate, and approved in advance and in writing, by ADMINISTRATOR;

13 g. Pre-purchases of food, transportation, and clothing vouchers and/or gift cards shall be
14 limited to a combined \$5,000 supply on-hand at any given time, and that all voucher and/or gift card
15 purchases and disbursements shall be tracked and logged by designated CONTRACTOR staff.
16 Vouchers and/or gift cards shall be limited in monetary value to not more than \$25 each, unless
17 otherwise approved in advance and in writing, by ADMINISTRATOR.

18 h. Pre-purchases for motels shall be on a case-by-case basis and time-limited in nature,
19 and only utilized while more appropriate housing is being located. Pre-purchases of motel rooms shall
20 be tracked and logged upon purchase and disbursement.

21 2. CONTRACTOR’s process for documenting and accounting for all Flexible Fund
22 expenditures, shall include, but not be limited to, retention of comprehensible source documentation
23 such as receipts, copies of lease/rental agreements for Client housing, general ledgers, and needs shall be
24 documented in Client’s MHP;

25 3. CONTRACTOR shall obtain written authorization from ADMINISTRATOR for individual
26 purchases made on behalf of a Client and/or Client family member(s) in the amount(s) as determined by
27 ADMINISTRATOR;

28 a. Gift cards and vouchers for Clients shall be securely stored and documentation of their
29 disbursement, including end-of-year process accounting for gift cards still in staff possession, shall be
30 maintained by CONTRACTOR.

31 b. A single Flexible Fund expenditure, between \$500 and \$1,000 will need prior approval
32 from the program monitor, any requests in excess of \$1,000, shall not be made without prior written
33 approval of ADMINISTRATOR. In emergency situations, CONTRACTOR may exceed the \$1,000
34 limit, if appropriate and justified, and shall notify ADMINISTRATOR the next business day of such an
35 expense. Said notification shall include total costs and a justification for the expense. Failure to notify
36 ADMINISTRATOR within the specified timeframe may result in disallowance of the expenditure;

37 //

1 4. CONTRACTOR shall designate staff to authorize Flexible Fund expenditures and that the
2 mechanism used to ensure this staff has timely access to Flexible Funds is identified;

3 5. CONTRACTOR shall report Flexible Funds expenditure detail monthly, on a form
4 provided or approved by ADMINISTRATOR. The Flexible Fund report shall be submitted with
5 CONTRACTOR's monthly Expenditure and Revenue Report. The report shall be submitted to
6 ADMINISTRATOR no later than the twentieth (20th) day following the end of the month being
7 reported. CONTRACTOR must request in writing any extensions to the due date of the monthly report.

8 6. CONTRACTOR shall develop and maintain a policy and procedure regarding Flexible
9 Funds that incorporates at a minimum the requirements as specified in Subparagraph C.1., above.
10 CONTRACTOR shall submit said policy and procedure to ADMINISTRATOR no later than twenty (20)
11 calendar days from the start of the Agreement. If the Flexible Fund policy and procedure has not been
12 approved by ADMINISTRATOR within sixty (60) calendar days from the start of the Agreement, any
13 subsequent Flexible Fund expenditures may be disallowed by ADMINISTRATOR.

14 D. TOKENS – ADMINISTRATOR shall provide CONTRACTOR the necessary number of
15 Tokens for appropriate individual staff to access IRIS at no cost to the CONTRACTOR.

16 1. CONTRACTOR recognizes Tokens are assigned to a specific individual staff member with
17 a unique password. Tokens and passwords will not be shared with anyone.

18 2. CONTRACTOR shall maintain an inventory of the Tokens, by serial number and the staff
19 member to whom each is assigned.

20 3. CONTRACTOR shall indicate in the monthly staffing report, the serial number of the
21 Token for each staff member assigned a Token.

22 4. CONTRACTOR shall return to ADMINISTRATOR all Tokens under the following
23 conditions:

- 24 a. Token of each staff member who no longer supports the Agreement;
- 25 b. Token of each staff member who no longer requires access to IRIS;
- 26 c. Token of each staff member who leaves employment of CONTRACTOR; or
- 27 d. Token is malfunctioning;
- 28 e. Termination of the Agreement.

29 5. ADMINISTRATOR shall issue Tokens for CONTRACTOR's staff members who require
30 access to IRIS upon initial training or as a replacement for malfunctioning Tokens.

31 6. CONTRACTOR shall reimburse the COUNTY for Tokens lost, stolen, or damaged through
32 acts of negligence.

33 7. CONTRACTOR shall input all IRIS data following COUNTY procedure and practice. All
34 statistical data used to monitor CONTRACTOR shall be compiled using only COUNTY IRIS reports, if
35 available, and if applicable.

36 E. CONTRACTOR shall obtain a NPI.

37 //

1 1. All HIPAA covered healthcare providers, individuals and organizations must obtain a NPI
2 for use to identify themselves in HIPAA standard transactions.

3 2. CONTRACTOR, including each employee that provides services under the Agreement,
4 will obtain a NPI upon commencement of the Agreement or prior to providing services under the
5 Agreement. CONTRACTOR shall report to ADMINISTRATOR, on a form approved or supplied by
6 ADMINISTRATOR, all NPI as soon as they are available.

7 F. CONTRACTOR shall provide the NPP for the COUNTY, as the MHP, at the time of the first
8 service provided under the Agreement to individuals who are covered by Medi-Cal and have not
9 previously received services at a COUNTY operated clinic. CONTRACTOR shall also provide, upon
10 request, the NPP for the COUNTY, as the MHP, to any individual who received services under the
11 Agreement.

12 G. CONTRACTOR shall not conduct any proselytizing activities, regardless of funding sources,
13 with respect to any individual(s) who have been referred to CONTRACTOR by COUNTY under the
14 terms of the Agreement. Further, CONTRACTOR agrees that the funds provided hereunder will not be
15 used to promote, directly or indirectly, any religion, religious creed or cult, denomination or sectarian
16 institution, or religious belief.

17 H. CONTRACTOR shall not engage in, or permit any of its employees or subcontractors, to
18 conduct research activity on COUNTY Clients without obtaining prior written authorization from
19 ADMINISTRATOR.

20 I. CONTRACTOR shall provide effective Administrative management of the budget, staffing,
21 recording, and reporting portion of the Agreement with the COUNTY. If administrative responsibilities
22 are delegated to subcontractors, CONTRACTOR must ensure that any subcontractor(s) possess the
23 qualifications and capacity to perform all delegated responsibilities. These responsibilities include, but
24 are not limited, to the following:

- 25 1. Designate the responsible position(s) in your organization for managing the funds allocated
- 26 to the program;
- 27 2. Maximize the use of the allocated funds;
- 28 3. Ensure timely and accurate reporting of monthly expenditures;
- 29 4. Maintain appropriate staffing levels;
- 30 5. Request budget and/or staffing modifications to the Agreement;
- 31 6. Effectively communicate and monitor the program for its success;
- 32 7. Track and report expenditures electronically;
- 33 8. Maintain electronic and telephone communication between CONTRACTOR and
- 34 ADMINISTRATOR; and
- 35 9. Act quickly to identify and solve problems.

36 J. CONTRACTOR shall document all adverse incidents affecting the physical and/or emotional
37 welfare of Clients, including but not limited to serious physical harm to self or others, serious

1 destruction of property, developments, etc., and which may raise liability issues with COUNTY.
 2 CONTRACTOR shall notify COUNTY within twenty-four (24) hours of any such serious adverse
 3 incident.

4 K. CONTRACTOR shall advise ADMINISTRATOR of any special incidents, conditions, or issues
 5 that adversely affect the quality or accessibility of Client-related services provided by, or under contract
 6 with, the COUNTY as identified by the ADMINISTRATOR.

7 L. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
 8 Services Paragraph of this Exhibit A to the Agreement.

9
 10 **VI. STAFFING**

11 A. CONTRACTOR shall, at a minimum, provide the following staffing pattern expressed in
 12 Full-Time Equivalents (FTEs) continuously throughout the term of the Agreement. One (1) FTE shall
 13 be equal to an average of forty (40) hours work per week.

14
 15 **DIRECT PROGRAM**

16	Program Director	1.00
17	Case Manager Supervisor	3.00
18	Licensed Clinical Supervisor	1.00
19	Bilingual/Clinician Counselor II	1.00
20	Clinician Counselor II	2.00
21	Transition Coordinator	6.00
22	Service Coordinator	6.00
23	Career and Education Specialist	1.00
24	Director of Youth Development	0.40
25	Facility Supervisor	0.50
26	Information and Referral Specialist	0.50
27	QA Supervisor	1.00
28	Data Analyst	1.00
29	Quality Assurance Specialist I	1.00
30	Office Specialist	<u>0.65</u>
31	SUBTOTAL PROGRAM	26.05
32	Subcontractor	<u>0.15</u>
33	TOTAL FTEs	26.20

34
 35 B. CONTRACTOR shall have as Head of Service; a licensed mental health professional, in
 36 conformance to one of the following staff categories: Psychiatrist, Licensed Psychologist, LCSW,
 37 LPCC, Licensed MFT, RN, LVN, or LPT.

1 C. CONTRACTOR shall include bilingual/bicultural services to meet the needs of threshold
2 languages as determined by ADMINISTRATOR. Whenever possible, bilingual/bicultural staff should
3 be retained. Any clinical vacancies occurring at a time when bilingual and bicultural composition of the
4 clinical staffing does not meet the above requirement must be filled with bilingual and bicultural staff
5 unless ADMINISTRATOR consents, in advance and in writing, to the filling of those positions with
6 non-bilingual staff. Salary savings resulting from such vacant positions may not be used to cover costs
7 other than salaries and employees benefits unless otherwise authorized, in advance and in writing, by
8 ADMINISTRATOR.

9 D. CONTRACTOR shall maintain personnel files for each staff person, including management and
10 other administrative positions, both direct and indirect to the Agreement, which shall include, but not be
11 limited to, an application for employment, qualifications for the position, applicable licenses, Live Scan
12 results, waivers, registrations, documentation of bicultural/bilingual capabilities (if applicable), pay rate
13 and evaluations justifying pay increases.

14 E. CONTRACTOR shall make its best effort to provide services pursuant to the Agreement in a
15 manner that is culturally and linguistically appropriate for the population(s) served. CONTRACTOR
16 shall maintain documents of such efforts which may include; but not be limited to: records of
17 participation in COUNTY-sponsored or other applicable Training; recruitment and hiring P&Ps; copies
18 of literature in multiple languages and formats, as appropriate; and descriptions of measures taken to
19 enhance accessibility for, and sensitivity to, individuals who are physically challenged.

20 F. CONTRACTOR shall recruit, hire, train, and maintain staff that are persons in recovery, and/or
21 family members of persons in recovery. These individuals shall not be currently receiving services
22 directly from CONTRACTOR. Documentation may include, but not be limited to, the following:
23 records attesting to efforts made in recruitment and hiring practices and identification of measures taken
24 to enhance accessibility for potential staff in these categories.

25 G. CONTRACTOR shall notify ADMINISTRATOR, in writing, within seventy-two (72) hours, of
26 any staffing vacancies that occur during the term of the Agreement. CONTRACTOR's notification
27 shall include at a minimum the following information: employee name(s), position title(s), date(s) of
28 resignation, date(s) of hire, and a description of recruitment activity.

29 H. CONTRACTOR shall notify ADMINISTRATOR, in writing, at least seven (7) days in
30 advance, of any new staffing changes; including promotions, temporary FTE changes and internal or
31 external temporary staffing assignment requests that occur during the term of the Agreement.

32 I. CONTRACTOR shall provide training to service staff covering suicide assessment and crisis
33 intervention or indications of suicidal risk (depending on scope of practice), developing safety plans,
34 maintaining healthy boundaries, reporting child abuse, dealing with difficult Clients, meeting facilitation
35 and medication, confidentiality, identification of strengths, promoting life skills, and such other topics
36 identified by the COUNTY. Formal training sessions may also be used to cover these topics but cannot
37 substitute for weekly supervision hours.

1 J. CONTRACTOR shall maintain a current signature list including each supervisor and provider
2 of direct services who signs chart documentation. The list shall include the printed/type staff name and
3 title, followed by the legal signature with title as it appears on all chart documents. For licensed or
4 registered clinical staff, the name must match the name on the license or registration.

5 K. CONTRACTOR shall establish clear policy and procedures pertaining to staff's work location
6 options (i.e. office vs. field/home) and equipment usage (e.g., cell phones, texting devices, and
7 computers). The policy and procedures shall address at the minimum the following:

- 8 1. Eligibility and selection criteria;
- 9 2. Staff's field/home on-duty conduct and responsibilities;
- 10 3. Supervision plan of staff and equipment including emergency procedure; and
- 11 4. Confidentiality and records keeping.

12 L. CONTRACTOR shall ensure that all staff, albeit paid or unpaid, complete necessary training
13 prior to discharging duties associated with their titles and any other training necessary to assist the
14 CONTRACTOR and COUNTY to be in compliance with prevailing standards of practice as well as
15 State and Federal regulatory requirements.

16 M. CONTRACTOR shall provide ongoing supervision throughout all shifts to all staff, albeit paid
17 or unpaid, direct line staff or supervisors/directors, to enhance service quality and program
18 effectiveness. Supervision methods should include debriefings and consultation as needed, individual
19 supervision or one-on-one support, and team meetings. Supervision should be provided by a supervisor
20 who has extensive knowledge regarding mental health issues.

21 N. WORKLOAD STANDARDS - CONTRACTOR understands and agrees that at any given time
22 the standards referenced below are minimum standards, and shall make every effort to exceed these
23 minimums.

- 24 1. One DSH shall be equal to sixty (60) minutes of direct Client service.
- 25 2. CONTRACTOR shall provide a minimum of fifteen thousand six hundred (15,600) of
26 hours of mental health, case management, crisis intervention, and other support services and is inclusive
27 of both billable and non-billable services. including one hundred and twenty (120) medication units.
- 28 3. CONTRACTOR shall, at a minimum, provide the following DSH per month per FTE:
 - 29 a. Clinician/Counselor II shall provide one hundred (100) DSH per month or one
30 thousand two hundred (1,200) DSH annually during the term of the Agreement.
 - 31 b. Case Management Supervisor shall provide sixty (60) DSH per month or seven
32 hundred twenty (720) DSH annually during the term of the Agreement.
 - 33 c. Licensed Clinical Supervisor shall provide forty (40) DSH per month or four hundred
34 eighty (480) DSH annually during the term of the Agreement.
 - 35 d. Transition Coordinator shall provide seventy (70) DSH per month or eight hundred
36 forty (840) DSH annually during the term of the Agreement.

37 //

1 e. Service Coordinator shall provide fifty (50) DSH per month or six hundred (600) DSH
2 annually during the term of the Agreement.

3 f. Career and Education Specialist shall provide fifty (50) DSH per month or six hundred
4 (600) DSH annually during the term of the Agreement.

5 4. CONTRACTOR understands and agrees that this is a minimum standard and shall make
6 every effort to exceed this minimum.

7 5. CONTRACTOR shall maintain an ongoing minimum caseload of one hundred twenty
8 (120) unduplicated Clients/Client families throughout the term of the Agreement, unless otherwise
9 approved by ADMINISTRATOR.

10 6. CONTRACTOR shall provide a minimum of five thousand (5,000) Face-to-Face Contacts
11 with Clients/Client families per year for FSW services.

12 7. CONTRACTOR shall ensure a Face-to-Face Contact weekly for every Client and/or their
13 family admitted to the program, unless written exception is granted by ADMINISTRATOR.

14 8. CONTRACTOR shall provide Face-to-Face Contact within three (3) business days of
15 Client's Referral for services.

16 9. CONTRACTOR shall not refuse Client referrals if any of CONTRACTOR's staff are
17 below workload standards, as defined in the Staffing Paragraph, of this Exhibit A to the Agreement,
18 unless otherwise approved by ADMINISTRATOR.

19 O. STUDENT INTERNS

20 1. CONTRACTOR may augment the above paid staff with volunteers or interns upon written
21 approval of ADMINISTRATOR.

22 a. CONTRACTOR shall meet minimum requirements for supervision of each Student
23 Intern as required by the State Licensing Board and/or school program descriptions or work contracts.

24 b. Student Intern services shall not comprise more than twenty percent (20%) of total
25 services provided.

26 2. CONTRACTOR shall provide a minimum of two (2) hours per week supervision to each
27 Student Intern providing Mental Health Services and one (1) hour of supervision for each ten (10) hours
28 of treatment for Student Interns providing substance abuse services. CONTRACTOR shall provide
29 supervision to volunteers as specified in the respective job descriptions or work contracts.

30 P. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
31 Staffing Paragraph of this Exhibit A to the Agreement.

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1 EXHIBIT B
 2 TO AGREEMENT FOR PROVISION OF
 3 COLLABORATIVE COURTS FULL SERVICE PARTNERSHIP/WRAPAROUND SERVICES
 4 BETWEEN
 5 COUNTY OF ORANGE
 6 AND
 7 COMMUNITY SERVICE PROGRAMS, INC.
 8 JULY 1, 2017 THROUGH JUNE 30, 2020
 9

10 **I. BUSINESS ASSOCIATE CONTRACT**

11 **A. GENERAL PROVISIONS AND RECITALS**

12 1. The parties agree that the terms used, but not otherwise defined in the Common Terms and
 13 Definitions Paragraph of Exhibit A, B, and C to the Agreement or in subparagraph B below, shall have
 14 the same meaning given to such terms under HIPAA, the HITECH Act, and their implementing
 15 regulations at 45 CFR Parts 160 and 164 HIPAA regulations as they may exist now or be hereafter
 16 amended.

17 2. The parties agree that a business associate relationship under HIPAA, the HITECH Act,
 18 and the HIPAA regulations between the CONTRACTOR and COUNTY arises to the extent that
 19 CONTRACTOR performs, or delegates to subcontractors to perform, functions or activities on behalf of
 20 COUNTY pursuant to, and as set forth in, the Agreement that are described in the definition of
 21 "Business Associate" in 45 CFR § 160.103.

22 3. The COUNTY wishes to disclose to CONTRACTOR certain information pursuant to the
 23 terms of the Agreement, some of which may constitute PHI, as defined below in Subparagraph B.10, to
 24 be used or disclosed in the course of providing services and activities pursuant to, and as set forth, in the
 25 Agreement.

26 4. The parties intend to protect the privacy and provide for the security of PHI that may be
 27 created, received, maintained, transmitted, used, or disclosed pursuant to the Agreement in compliance
 28 with the applicable standards, implementation specifications, and requirements of HIPAA, the HITECH
 29 Act, and the HIPAA regulations as they may exist now or be hereafter amended.

30 5. The parties understand and acknowledge that HIPAA, the HITECH Act, and the HIPAA
 31 regulations do not pre-empt any state statutes, rules, or regulations that are not otherwise pre-empted by
 32 other Federal law(s) and impose more stringent requirements with respect to privacy of PHI.

33 6. The parties understand that the HIPAA Privacy and Security rules, as defined below in
 34 Subparagraphs B.9 and B.14, apply to the CONTRACTOR in the same manner as they apply to the
 35 covered entity (COUNTY). CONTRACTOR agrees therefore to be in compliance at all times with the
 36 terms of this Business Associate Contract and the applicable standards, implementation specifications,
 37 and requirements of the Privacy and the Security rules, as they may exist now or be hereafter amended,

1 with respect to PHI and electronic PHI created, received, maintained, transmitted, used, or disclosed
2 pursuant to the Agreement.

3 B. DEFINITIONS

4 1. "Administrative Safeguards" are administrative actions, and policies and procedures, to
5 manage the selection, development, implementation, and maintenance of security measures to protect
6 electronic PHI and to manage the conduct of CONTRACTOR's workforce in relation to the protection
7 of that information.

8 2. "Breach" means the acquisition, access, use, or disclosure of PHI in a manner not permitted
9 under the HIPAA Privacy Rule which compromises the security or privacy of the PHI.

10 a. Breach excludes:

11 1) Any unintentional acquisition, access, or use of PHI by a workforce member or
12 person acting under the authority of CONTRACTOR or COUNTY, if such acquisition, access, or use
13 was made in good faith and within the scope of authority and does not result in further use or disclosure
14 in a manner not permitted under the Privacy Rule.

15 2) Any inadvertent disclosure by a person who is authorized to access PHI at
16 CONTRACTOR to another person authorized to access PHI at the CONTRACTOR, or organized health
17 care arrangement in which COUNTY participates, and the information received as a result of such
18 disclosure is not further used or disclosed in a manner not permitted under the HIPAA Privacy Rule.

19 3) A disclosure of PHI where CONTRACTOR or COUNTY has a good faith belief
20 that an unauthorized person to whom the disclosure was made would not reasonably have been able to
21 retain such information.

22 b. Except as provided in paragraph (a) of this definition, an acquisition, access, use, or
23 disclosure of PHI in a manner not permitted under the HIPAA Privacy Rule is presumed to be a breach
24 unless CONTRACTOR demonstrates that there is a low probability that the PHI has been compromised
25 based on a risk assessment of at least the following factors:

26 1) The nature and extent of the PHI involved, including the types of identifiers and the
27 likelihood of re-identification;

28 2) The unauthorized person who used the PHI or to whom the disclosure was made;

29 3) Whether the PHI was actually acquired or viewed; and

30 4) The extent to which the risk to the PHI has been mitigated.

31 3. "Data Aggregation" shall have the meaning given to such term under the HIPAA Privacy
32 Rule in 45 CFR § 164.501.

33 4. "DRS" shall have the meaning given to such term under the HIPAA Privacy Rule in 45
34 CFR § 164.501.

35 5. "Disclosure" shall have the meaning given to such term under the HIPAA regulations in 45
36 CFR § 160.103.

37 //

1 6. "Health Care Operations" shall have the meaning given to such term under the HIPAA
2 Privacy Rule in 45 CFR § 164.501.

3 7. "Individual" shall have the meaning given to such term under the HIPAA Privacy Rule in
4 45 CFR § 160.103 and shall include a person who qualifies as a personal representative in accordance
5 with 45 CFR § 164.502(g).

6 8. "Physical Safeguards" are physical measures, policies, and procedures to protect
7 CONTRACTOR's electronic information systems and related buildings and equipment, from natural
8 and environmental hazards, and unauthorized intrusion.

9 9. "The HIPAA Privacy Rule" shall mean the Standards for Privacy of Individually
10 Identifiable Health Information at 45 CFR Part 160 and Part 164, Subparts A and E.

11 10. "PHI" shall have the meaning given to such term under the HIPAA regulations in 45 CFR §
12 160.103.

13 11. "Required by Law" shall have the meaning given to such term under the HIPAA Privacy
14 Rule in 45 CFR § 164.103.

15 12. "Secretary" shall mean the Secretary of the Department of Health and Human Services or
16 his or her designee.

17 13. "Security Incident" means attempted or successful unauthorized access, use, disclosure,
18 modification, or destruction of information or interference with system operations in an information
19 system. "Security incident" does not include trivial incidents that occur on a daily basis, such as scans,
20 "pings", or unsuccessful attempts to penetrate computer networks or servers maintained by
21 CONTRACTOR.

22 14. "The HIPAA Security Rule" shall mean the Security Standards for the Protection of
23 electronic PHI at 45 CFR Part 160, Part 162, and Part 164, Subparts A and C.

24 15. "Subcontractor" shall have the meaning given to such term under the HIPAA regulations in
25 45 CFR § 160.103.

26 16. "Technical safeguards" means the technology and the policy and procedures for its use that
27 protect electronic PHI and control access to it.

28 17. "Unsecured PHI" or "PHI that is unsecured" means PHI that is not rendered unusable,
29 unreadable, or indecipherable to unauthorized individuals through the use of a technology or
30 methodology specified by the Secretary of Health and Human Services in the guidance issued on the
31 HHS Web site.

32 18. "Use" shall have the meaning given to such term under the HIPAA regulations in 45 CFR §
33 160.103.

34 C. OBLIGATIONS AND ACTIVITIES OF CONTRACTOR AS BUSINESS ASSOCIATE:

35 1. CONTRACTOR agrees not to use or further disclose PHI COUNTY discloses to
36 CONTRACTOR other than as permitted or required by this Business Associate Contract or as required
37 by law.

1 2. CONTRACTOR agrees to use appropriate safeguards, as provided for in this Business
2 Associate Contract and the Agreement, to prevent use or disclosure of PHI COUNTY discloses to
3 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
4 other than as provided for by this Business Associate Contract.

5 3. CONTRACTOR agrees to comply with the HIPAA Security Rule at Subpart C of 45 CFR
6 Part 164 with respect to electronic PHI COUNTY discloses to CONTRACTOR or CONTRACTOR
7 creates, receives, maintains, or transmits on behalf of COUNTY.

8 4. CONTRACTOR agrees to mitigate, to the extent practicable, any harmful effect that is
9 known to CONTRACTOR of a Use or Disclosure of PHI by CONTRACTOR in violation of the
10 requirements of this Business Associate Contract.

11 5. CONTRACTOR agrees to report to COUNTY immediately any Use or Disclosure of PHI
12 not provided for by this Business Associate Contract of which CONTRACTOR becomes aware.
13 CONTRACTOR must report Breaches of Unsecured PHI in accordance with subparagraph E below and
14 as required by 45 CFR § 164.410.

15 6. CONTRACTOR agrees to ensure that any Subcontractors that create, receive, maintain, or
16 transmit PHI on behalf of CONTRACTOR agree to the same restrictions and conditions that apply
17 through this Business Associate Contract to CONTRACTOR with respect to such information.

18 7. CONTRACTOR agrees to provide access, within fifteen (15) calendar days of receipt of a
19 written request by COUNTY, to PHI in a DRS, to COUNTY or, as directed by COUNTY, to an
20 Individual in order to meet the requirements under 45 CFR § 164.524. If CONTRACTOR maintains an
21 EHR with PHI, and an individual requests a copy of such information in an electronic format,
22 CONTRACTOR shall provide such information in an electronic format.

23 8. CONTRACTOR agrees to make any amendment(s) to PHI in a DRS that COUNTY directs
24 or agrees to pursuant to 45 CFR § 164.526 at the request of COUNTY or an Individual, within thirty
25 (30) calendar days of receipt of said request by COUNTY. CONTRACTOR agrees to notify COUNTY
26 in writing no later than ten (10) calendar days after said amendment is completed.

27 9. CONTRACTOR agrees to make internal practices, books, and records, including P&Ps,
28 relating to the use and disclosure of PHI received from, or created or received by CONTRACTOR on
29 behalf of, COUNTY available to COUNTY and the Secretary in a time and manner as determined by
30 COUNTY or as designated by the Secretary for purposes of the Secretary determining COUNTY's
31 compliance with the HIPAA Privacy Rule.

32 10. CONTRACTOR agrees to document any Disclosures of PHI COUNTY discloses to
33 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY,
34 and to make information related to such Disclosures available as would be required for COUNTY to
35 respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with
36 45 CFR § 164.528.

37 //

1 11. CONTRACTOR agrees to provide COUNTY or an Individual, as directed by COUNTY, in
2 a time and manner to be determined by COUNTY, that information collected in accordance with the
3 Agreement, in order to permit COUNTY to respond to a request by an Individual for an accounting of
4 Disclosures of PHI in accordance with 45 CFR § 164.528.

5 12. CONTRACTOR agrees that to the extent CONTRACTOR carries out COUNTY's
6 obligation under the HIPAA Privacy and/or Security rules CONTRACTOR will comply with the
7 requirements of 45 CFR Part 164 that apply to COUNTY in the performance of such obligation.

8 13. If CONTRACTOR receives Social Security data from COUNTY provided to COUNTY by
9 a state agency, upon request by COUNTY, CONTRACTOR shall provide COUNTY with a list of all
10 employees, subcontractors, and agents who have access to the Social Security data, including
11 employees, agents, subcontractors, and agents of its subcontractors.

12 14. CONTRACTOR will notify COUNTY if CONTRACTOR is named as a defendant in a
13 criminal proceeding for a violation of HIPAA. COUNTY may terminate the Agreement, if
14 CONTRACTOR is found guilty of a criminal violation in connection with HIPAA. COUNTY may
15 terminate the Agreement, if a finding or stipulation that CONTRACTOR has violated any standard or
16 requirement of the privacy or security provisions of HIPAA, or other security or privacy laws are made
17 in any administrative or civil proceeding in which CONTRACTOR is a party or has been joined.
18 COUNTY will consider the nature and seriousness of the violation in deciding whether or not to
19 terminate the Agreement.

20 15. CONTRACTOR shall make itself and any subcontractors, employees or agents assisting
21 CONTRACTOR in the performance of its obligations under the Agreement, available to COUNTY at
22 no cost to COUNTY to testify as witnesses, or otherwise, in the event of litigation or administrative
23 proceedings being commenced against COUNTY, its directors, officers or employees based upon
24 claimed violation of HIPAA, the HIPAA regulations or other laws relating to security and privacy,
25 which involves inactions or actions by CONTRACTOR, except where CONTRACTOR or its
26 subcontractor, employee, or agent is a named adverse party.

27 16. The Parties acknowledge that federal and state laws relating to electronic data security and
28 privacy are rapidly evolving and that amendment of this Business Associate Contract may be required to
29 provide for procedures to ensure compliance with such developments. The Parties specifically agree to
30 take such action as is necessary to implement the standards and requirements of HIPAA, the HITECH
31 Act, the HIPAA regulations and other applicable laws relating to the security or privacy of PHI. Upon
32 COUNTY's request, CONTRACTOR agrees to promptly enter into negotiations with COUNTY
33 concerning an amendment to this Business Associate Contract embodying written assurances consistent
34 with the standards and requirements of HIPAA, the HITECH Act, the HIPAA regulations or other
35 applicable laws. COUNTY may terminate the Agreement upon thirty (30) days written notice in the
36 event:

37 //

1 a. CONTRACTOR does not promptly enter into negotiations to amend this Business
2 Associate Contract when requested by COUNTY pursuant to this subparagraph C; or

3 b. CONTRACTOR does not enter into an amendment providing assurances regarding the
4 safeguarding of PHI that COUNTY deems are necessary to satisfy the standards and requirements of
5 HIPAA, the HITECH Act, and the HIPAA regulations.

6 17. CONTRACTOR shall work with COUNTY upon notification by CONTRACTOR to
7 COUNTY of a Breach to properly determine if any Breach exclusions exist as defined in Subparagraph
8 B.2.a above.

9 D. SECURITY RULE

10 1. CONTRACTOR shall comply with the requirements of 45 CFR § 164.306 and establish
11 and maintain appropriate Administrative, Physical and Technical Safeguards in accordance with
12 45 CFR § 164.308, § 164.310, and § 164.312, with respect to electronic PHI COUNTY discloses to
13 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY.
14 CONTRACTOR shall develop and maintain a written information privacy and security program that
15 includes Administrative, Physical, and Technical Safeguards appropriate to the size and complexity of
16 CONTRACTOR's operations and the nature and scope of its activities.

17 2. CONTRACTOR shall implement reasonable and appropriate policies and procedures to
18 comply with the standards, implementation specifications and other requirements of 45 CFR Part 164,
19 Subpart C, in compliance with 45 CFR § 164.316. CONTRACTOR will provide COUNTY with its
20 current and updated policies upon request.

21 3. CONTRACTOR shall ensure the continuous security of all computerized data systems
22 containing electronic PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives,
23 maintains, or transmits on behalf of COUNTY. CONTRACTOR shall protect paper documents
24 containing PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives,
25 maintains, or transmits on behalf of COUNTY. These steps shall include, at a minimum:

26 a. Complying with all of the data system security precautions listed under subparagraphs
27 E, below;

28 b. Achieving and maintaining compliance with the HIPAA Security Rule, as necessary in
29 conducting operations on behalf of COUNTY;

30 c. Providing a level and scope of security that is at least comparable to the level and scope
31 of security established by the OMB in OMB Circular No. A-130, Appendix III - Security of Federal
32 Automated Information Systems, which sets forth guidelines for automated information systems in
33 Federal agencies;

34 4. CONTRACTOR shall ensure that any subcontractors that create, receive, maintain, or
35 transmit ePHI on behalf of CONTRACTOR agree through a contract with CONTRACTOR to the same
36 restrictions and requirements contained in this subparagraph D of this Business Associate Contract.

37 //

1 5. CONTRACTOR shall report to COUNTY immediately any Security Incident of which it
2 becomes aware. CONTRACTOR shall report Breaches of Unsecured PHI in accordance with
3 subparagraph E below and as required by 45 CFR § 164.410.

4 6. CONTRACTOR shall designate a Security Officer to oversee its data security program who
5 shall be responsible for carrying out the requirements of this paragraph and for communicating on
6 security matters with COUNTY.

7 E. DATA SECURITY REQUIREMENTS

8 1. Personal Controls

9 a. Employee Training. All workforce members who assist in the performance of
10 functions or activities on behalf of COUNTY in connection with Agreement, or access or disclose PHI
11 COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on
12 behalf of COUNTY, must complete information privacy and security training, at least annually, at
13 CONTRACTOR's expense. Each workforce member who receives information privacy and security
14 training must sign a certification, indicating the member's name and the date on which the training was
15 completed. These certifications must be retained for a period of six (6) years following the termination
16 of Agreement.

17 b. Employee Discipline. Appropriate sanctions must be applied against workforce
18 members who fail to comply with any provisions of CONTRACTOR's privacy P&Ps, including
19 termination of employment where appropriate.

20 c. Confidentiality Statement. All persons that will be working with PHI COUNTY
21 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
22 COUNTY must sign a confidentiality statement that includes, at a minimum, General Use, Security and
23 Privacy Safeguards, Unacceptable Use, and Enforcement Policies. The statement must be signed by the
24 workforce member prior to access to such PHI. The statement must be renewed annually. The
25 CONTRACTOR shall retain each person's written confidentiality statement for COUNTY inspection
26 for a period of six (6) years following the termination of the Agreement.

27 d. Background Check. Before a member of the workforce may access PHI COUNTY
28 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
29 COUNTY, a background screening of that worker must be conducted. The screening should be
30 commensurate with the risk and magnitude of harm the employee could cause, with more thorough
31 screening being done for those employees who are authorized to bypass significant technical and
32 operational security controls. The CONTRACTOR shall retain each workforce member's background
33 check documentation for a period of three (3) years.

34 2. Technical Security Controls

35 a. Workstation/Laptop encryption. All workstations and laptops that store PHI COUNTY
36 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
37 COUNTY either directly or temporarily must be encrypted using a FIPS 140-2 certified algorithm which

1 is 128bit or higher, such as AES. The encryption solution must be full disk unless approved by the
2 COUNTY.

3 b. Server Security. Servers containing unencrypted PHI COUNTY discloses to
4 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
5 must have sufficient administrative, physical, and technical controls in place to protect that data, based
6 upon a risk assessment/system security review.

7 c. Minimum Necessary. Only the minimum necessary amount of PHI COUNTY discloses
8 to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
9 required to perform necessary business functions may be copied, downloaded, or exported.

10 d. Removable media devices. All electronic files that contain PHI COUNTY discloses to
11 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
12 must be encrypted when stored on any removable media or portable device (i.e. USB thumb drives,
13 floppies, CD/DVD, Blackberry, backup tapes etc.). Encryption must be a FIPS 140-2 certified
14 algorithm which is 128bit or higher, such as AES. Such PHI shall not be considered “removed from the
15 premises” if it is only being transported from one of CONTRACTOR’s locations to another of
16 CONTRACTOR’s locations.

17 e. Antivirus software. All workstations, laptops and other systems that process and/or
18 store PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or
19 transmits on behalf of COUNTY must have installed and actively use comprehensive anti-virus software
20 solution with automatic updates scheduled at least daily.

21 f. Patch Management. All workstations, laptops and other systems that process and/or
22 store PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or
23 transmits on behalf of COUNTY must have critical security patches applied, with system reboot if
24 necessary. There must be a documented patch management process which determines installation
25 timeframe based on risk assessment and vendor recommendations. At a maximum, all applicable
26 patches must be installed within thirty (30) calendar or business days of vendor release. Applications
27 and systems that cannot be patched due to operational reasons must have compensatory controls
28 implemented to minimize risk, where possible.

29 g. User IDs and Password Controls. All users must be issued a unique user name for
30 accessing PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains,
31 or transmits on behalf of COUNTY. Username must be promptly disabled, deleted, or the password
32 changed upon the transfer or termination of an employee with knowledge of the password, at maximum
33 within twenty-four (24) hours. Passwords are not to be shared. Passwords must be at least eight
34 characters and must be a non-dictionary word. Passwords must not be stored in readable format on the
35 computer. Passwords must be changed every ninety (90) days, preferably every sixty (60) days.
36 Passwords must be changed if revealed or compromised. Passwords must be composed of characters
37 from at least three (3) of the following four (4) groups from the standard keyboard:

- 1) Upper case letters (A-Z)
- 2) Lower case letters (a-z)
- 3) Arabic numerals (0-9)
- 4) Non-alphanumeric characters (punctuation symbols)

h. Data Destruction. When no longer needed, all PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY must be wiped using the Gutmann or DoD 5220.22-M (7 Pass) standard, or by degaussing. Media may also be physically destroyed in accordance with NIST Special Publication 800-88. Other methods require prior written permission by COUNTY.

i. System Timeout. The system providing access to PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY must provide an automatic timeout, requiring re-authentication of the user session after no more than twenty (20) minutes of inactivity.

j. Warning Banners. All systems providing access to PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY must display a warning banner stating that data is confidential, systems are logged, and system use is for business purposes only by authorized users. User must be directed to log off the system if they do not agree with these requirements.

k. System Logging. The system must maintain an automated audit trail which can identify the user or system process which initiates a request for PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY, or which alters such PHI. The audit trail must be date and time stamped, must log both successful and failed accesses, must be read only, and must be restricted to authorized users. If such PHI is stored in a database, database logging functionality must be enabled. Audit trail data must be archived for at least 3 years after occurrence.

l. Access Controls. The system providing access to PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY must use role based access controls for all user authentications, enforcing the principle of least privilege.

m. Transmission encryption. All data transmissions of PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY outside the secure internal network must be encrypted using a FIPS 140-2 certified algorithm which is 128bit or higher, such as AES. Encryption can be end to end at the network level, or the data files containing PHI can be encrypted. This requirement pertains to any type of PHI in motion such as website access, file transfer, and E-Mail.

n. Intrusion Detection. All systems involved in accessing, holding, transporting, and protecting PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains,

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1 or transmits on behalf of COUNTY that are accessible via the Internet must be protected by a
2 comprehensive intrusion detection and prevention solution.

3 3. Audit Controls

4 a. System Security Review. CONTRACTOR must ensure audit control mechanisms that
5 record and examine system activity are in place. All systems processing and/or storing PHI COUNTY
6 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
7 COUNTY must have at least an annual system risk assessment/security review which provides
8 assurance that administrative, physical, and technical controls are functioning effectively and providing
9 adequate levels of protection. Reviews should include vulnerability scanning tools.

10 b. Log Reviews. All systems processing and/or storing PHI COUNTY discloses to
11 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
12 must have a routine procedure in place to review system logs for unauthorized access.

13 c. Change Control. All systems processing and/or storing PHI COUNTY discloses to
14 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
15 must have a documented change control procedure that ensures separation of duties and protects the
16 confidentiality, integrity and availability of data.

17 4. Business Continuity/Disaster Recovery Control

18 a. Emergency Mode Operation Plan. CONTRACTOR must establish a documented plan
19 to enable continuation of critical business processes and protection of the security of PHI COUNTY
20 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
21 COUNTY kept in an electronic format in the event of an emergency. Emergency means any
22 circumstance or situation that causes normal computer operations to become unavailable for use in
23 performing the work required under this Agreement for more than 24 hours.

24 b. Data Backup Plan. CONTRACTOR must have established documented procedures to
25 backup such PHI to maintain retrievable exact copies of the PHI. The plan must include a regular
26 schedule for making backups, storing backup offsite, an inventory of backup media, and an estimate of
27 the amount of time needed to restore DHCS PHI or PI should it be lost. At a minimum, the schedule
28 must be a weekly full backup and monthly offsite storage of DHCS data. BCP for contractor and
29 COUNTY (e.g. the application owner) must merge with the DRP.

30 5. Paper Document Controls

31 a. Supervision of Data. PHI COUNTY discloses to CONTRACTOR or CONTRACTOR
32 creates, receives, maintains, or transmits on behalf of COUNTY in paper form shall not be left
33 unattended at any time, unless it is locked in a file cabinet, file room, desk or office. Unattended means
34 that information is not being observed by an employee authorized to access the information. Such PHI
35 in paper form shall not be left unattended at any time in vehicles or planes and shall not be checked in
36 baggage on commercial airplanes.

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1 b. Escorting Visitors. Visitors to areas where PHI COUNTY discloses to
2 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY is
3 contained shall be escorted and such PHI shall be kept out of sight while visitors are in the area.

4 c. Confidential Destruction. PHI COUNTY discloses to CONTRACTOR or
5 CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY must be disposed of
6 through confidential means, such as cross cut shredding and pulverizing.

7 d. Removal of Data. PHI COUNTY discloses to CONTRACTOR or CONTRACTOR
8 creates, receives, maintains, or transmits on behalf of COUNTY must not be removed from the premises
9 of the CONTRACTOR except with express written permission of COUNTY.

10 e. Faxing. Faxes containing PHI COUNTY discloses to CONTRACTOR or
11 CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY shall not be left
12 unattended and fax machines shall be in secure areas. Faxes shall contain a confidentiality statement
13 notifying persons receiving faxes in error to destroy them. Fax numbers shall be verified with the
14 intended recipient before sending the fax.

15 f. Mailing. Mailings containing PHI COUNTY discloses to CONTRACTOR or
16 CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY shall be sealed and
17 secured from damage or inappropriate viewing of PHI to the extent possible. Mailings which include
18 five hundred (500) or more individually identifiable records containing PHI COUNTY discloses to
19 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY in
20 a single package shall be sent using a tracked mailing method which includes verification of delivery
21 and receipt, unless the prior written permission of COUNTY to use another method is obtained.

22 F. BREACH DISCOVERY AND NOTIFICATION

23 1. Following the discovery of a Breach of Unsecured PHI, CONTRACTOR shall notify
24 COUNTY of such Breach, however both parties agree to a delay in the notification if so advised by a
25 law enforcement official pursuant to 45 CFR § 164.412.

26 a. A Breach shall be treated as discovered by CONTRACTOR as of the first day on which
27 such Breach is known to CONTRACTOR or, by exercising reasonable diligence, would have been
28 known to CONTRACTOR.

29 b. CONTRACTOR shall be deemed to have knowledge of a Breach, if the Breach is
30 known, or by exercising reasonable diligence would have known, to any person who is an employee,
31 officer, or other agent of CONTRACTOR, as determined by federal common law of agency.

32 2. CONTRACTOR shall provide the notification of the Breach immediately to the COUNTY
33 Privacy Officer. CONTRACTOR's notification may be oral, but shall be followed by written
34 notification within 24 hours of the oral notification.

35 3. CONTRACTOR's notification shall include, to the extent possible:

36 a. The identification of each Individual whose Unsecured PHI has been, or is reasonably
37 believed by CONTRACTOR to have been, accessed, acquired, used, or disclosed during the Breach;

1 b. Any other information that COUNTY is required to include in the notification to
2 Individual under 45 CFR §164.404 (c) at the time CONTRACTOR is required to notify COUNTY or
3 promptly thereafter as this information becomes available, even after the regulatory sixty (60) day
4 period set forth in 45 CFR § 164.410 (b) has elapsed, including:

5 1) A brief description of what happened, including the date of the Breach and the date
6 of the discovery of the Breach, if known;

7 2) A description of the types of Unsecured PHI that were involved in the Breach (such
8 as whether full name, social security number, date of birth, home address, account number, diagnosis,
9 disability code, or other types of information were involved);

10 3) Any steps Individuals should take to protect themselves from potential harm
11 resulting from the Breach;

12 4) A brief description of what CONTRACTOR is doing to investigate the Breach, to
13 mitigate harm to Individuals, and to protect against any future Breaches; and

14 5) Contact procedures for Individuals to ask questions or learn additional information,
15 which shall include a toll-free telephone number, an e-mail address, Web site, or postal address.

16 4. COUNTY may require CONTRACTOR to provide notice to the Individual as required in
17 45 CFR § 164.404, if it is reasonable to do so under the circumstances, at the sole discretion of the
18 COUNTY.

19 5. In the event that CONTRACTOR is responsible for a Breach of Unsecured PHI in violation
20 of the HIPAA Privacy Rule, CONTRACTOR shall have the burden of demonstrating that
21 CONTRACTOR made all notifications to COUNTY consistent with this subparagraph F and as required
22 by the Breach notification regulations, or, in the alternative, that the acquisition, access, use, or
23 disclosure of PHI did not constitute a Breach.

24 6. CONTRACTOR shall maintain documentation of all required notifications of a Breach or
25 its risk assessment under 45 CFR § 164.402 to demonstrate that a Breach did not occur.

26 7. CONTRACTOR shall provide to COUNTY all specific and pertinent information about the
27 Breach, including the information listed in Section E.3.b.(1)-(5) above, if not yet provided, to permit
28 COUNTY to meet its notification obligations under Subpart D of 45 CFR Part 164 as soon as
29 practicable, but in no event later than fifteen (15) calendar days after CONTRACTOR's initial report of
30 the Breach to COUNTY pursuant to Subparagraph F.2 above.

31 8. CONTRACTOR shall continue to provide all additional pertinent information about the
32 Breach to COUNTY as it may become available, in reporting increments of five (5) business days after
33 the last report to COUNTY. CONTRACTOR shall also respond in good faith to any reasonable
34 requests for further information, or follow-up information after report to COUNTY, when such request
35 is made by COUNTY.

36 9. If the Breach is the fault of CONTRACTOR, CONTRACTOR shall bear all expense or
37 other costs associated with the Breach and shall reimburse COUNTY for all expenses COUNTY incurs

1 in addressing the Breach and consequences thereof, including costs of investigation, notification,
2 remediation, documentation or other costs associated with addressing the Breach.

3 G. PERMITTED USES AND DISCLOSURES BY CONTRACTOR

4 1. CONTRACTOR may use or further disclose PHI COUNTY discloses to CONTRACTOR
5 as necessary to perform functions, activities, or services for, or on behalf of, COUNTY as specified in
6 the Agreement, provided that such use or Disclosure would not violate the HIPAA Privacy Rule if done
7 by COUNTY except for the specific Uses and Disclosures set forth below.

8 a. CONTRACTOR may use PHI COUNTY discloses to CONTRACTOR, if necessary,
9 for the proper management and administration of CONTRACTOR.

10 b. CONTRACTOR may disclose PHI COUNTY discloses to CONTRACTOR for the
11 proper management and administration of CONTRACTOR or to carry out the legal responsibilities of
12 CONTRACTOR, if:

13 1) The Disclosure is required by law; or

14 2) CONTRACTOR obtains reasonable assurances from the person to whom the PHI
15 is disclosed that it will be held confidentially and used or further disclosed only as required by law or for
16 the purposes for which it was disclosed to the person and the person immediately notifies
17 CONTRACTOR of any instance of which it is aware in which the confidentiality of the information has
18 been breached.

19 c. CONTRACTOR may use or further disclose PHI COUNTY discloses to
20 CONTRACTOR to provide Data Aggregation services relating to the Health Care Operations of
21 CONTRACTOR.

22 2. CONTRACTOR may use PHI COUNTY discloses to CONTRACTOR, if necessary, to
23 carry out legal responsibilities of CONTRACTOR.

24 3. CONTRACTOR may use and disclose PHI COUNTY discloses to CONTRACTOR
25 consistent with the minimum necessary policies and procedures of COUNTY.

26 4. CONTRACTOR may use or disclose PHI COUNTY discloses to CONTRACTOR as
27 required by law.

28 H. PROHIBITED USES AND DISCLOSURES

29 1. CONTRACTOR shall not disclose PHI COUNTY discloses to CONTRACTOR or
30 CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY about an individual to
31 a health plan for payment or health care operations purposes if the PHI pertains solely to a health care
32 item or service for which the health care provider involved has been paid out of pocket in full and the
33 individual requests such restriction, in accordance with 42 USC § 17935(a) and 45 CFR § 164.522(a).

34 2. CONTRACTOR shall not directly or indirectly receive remuneration in exchange for PHI
35 COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on
36 behalf of COUNTY, except with the prior written consent of COUNTY and as permitted by 42 USC §
37 17935(d)(2).

1 I. OBLIGATIONS OF COUNTY

2 1. COUNTY shall notify CONTRACTOR of any limitation(s) in COUNTY's notice of
3 privacy practices in accordance with 45 CFR § 164.520, to the extent that such limitation may affect
4 CONTRACTOR's Use or Disclosure of PHI.

5 2. COUNTY shall notify CONTRACTOR of any changes in, or revocation of, the permission
6 by an Individual to use or disclose his or her PHI, to the extent that such changes may affect
7 CONTRACTOR's Use or Disclosure of PHI.

8 3. COUNTY shall notify CONTRACTOR of any restriction to the Use or Disclosure of PHI
9 that COUNTY has agreed to in accordance with 45 CFR § 164.522, to the extent that such restriction
10 may affect CONTRACTOR's Use or Disclosure of PHI.

11 4. COUNTY shall not request CONTRACTOR to use or disclose PHI in any manner that
12 would not be permissible under the HIPAA Privacy Rule if done by COUNTY.

13 J. BUSINESS ASSOCIATE TERMINATION

14 1. Upon COUNTY's knowledge of a material Breach or violation by CONTRACTOR of the
15 requirements of this Business Associate Contract, COUNTY shall:

16 a. Provide an opportunity for CONTRACTOR to cure the material Breach or end the
17 violation within thirty (30) business days; or

18 b. Immediately terminate the Agreement, if CONTRACTOR is unwilling or unable to
19 cure the material Breach or end the violation within (30) days, provided termination of the Agreement is
20 feasible.

21 2. Upon termination of the Agreement, CONTRACTOR shall either destroy or return to
22 COUNTY all PHI CONTRACTOR received from COUNTY or CONTRACTOR created, maintained,
23 or received on behalf of COUNTY in conformity with the HIPAA Privacy Rule.

24 a. This provision shall apply to all PHI that is in the possession of Subcontractors or
25 agents of CONTRACTOR.

26 b. CONTRACTOR shall retain no copies of the PHI.

27 c. In the event that CONTRACTOR determines that returning or destroying the PHI is not
28 feasible, CONTRACTOR shall provide to COUNTY notification of the conditions that make return or
29 destruction infeasible. Upon determination by COUNTY that return or destruction of PHI is infeasible,
30 CONTRACTOR shall extend the protections of this Business Associate Contract to such PHI and limit
31 further Uses and Disclosures of such PHI to those purposes that make the return or destruction
32 infeasible, for as long as CONTRACTOR maintains such PHI.

33 3. The obligations of this Business Associate Contract shall survive the termination of the
34 Agreement.

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1 EXHIBIT C
2 TO AGREEMENT FOR PROVISION OF
3 COLLABORATIVE COURTS FULL SERVICE PARTNERSHIP/WRAPAROUND SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 COMMUNITY SERVICE PROGRAMS, INC.
8 JULY 1, 2017 THROUGH JUNE 30, 2020
9

10 **I. PERSONAL INFORMATION PRIVACY AND SECURITY CONTRACT**

11 Any reference to statutory, regulatory, or contractual language herein shall be to such language as in
12 effect or as amended.

13 A. DEFINITIONS

14 1. "Breach" shall have the meaning given to such term under the IEA and CMPPA. It shall
15 include a "PII loss" as that term is defined in the CMPPA.

16 2. "Breach of the security of the system" shall have the meaning given to such term under the
17 CIPA, Civil Code § 1798.29(d).

18 3. "CMPPA Agreement" means the CMPPA Agreement between the SSA and CHHS.

19 4. "DHCS PI" shall mean Personal Information, as defined below, accessed in a database
20 maintained by the COUNTY or DHCS, received by CONTRACTOR from the COUNTY or DHCS or
21 acquired or created by CONTRACTOR in connection with performing the functions, activities and
22 services specified in the Agreement on behalf of the COUNTY.

23 5. "IEA" shall mean the Information Exchange Agreement currently in effect between the
24 SSA and DHCS.

25 6. "Notice-triggering Personal Information" shall mean the personal information identified in
26 California Civil Code § 1798.29(e) whose unauthorized access may trigger notification requirements
27 under California Civil Code § 1709.29. For purposes of this provision, identity shall include, but not be
28 limited to, name, identifying number, symbol, or other identifying particular assigned to the individual,
29 such as a finger or voice print, a photograph or a biometric identifier. Notice-triggering PI includes PI in
30 electronic, paper or any other medium.

31 7. "PII" shall have the meaning given to such term in the IEA and CMPPA.

32 8. "PI" shall have the meaning given to such term in California Civil Code § 1798.3(a).

33 9. "Required by law" means a mandate contained in law that compels an entity to make a use
34 or disclosure of PI or PII that is enforceable in a court of law. This includes, but is not limited to, court
35 orders and court-ordered warrants, subpoenas or summons issued by a court, grand jury, a governmental
36 or tribal inspector general, or an administrative body authorized to require the production of
37 information, and a civil or an authorized investigative demand. It also includes Medicare conditions of

1 participation with respect to health care providers participating in the program, and statutes or
2 regulations that require the production of information, including statutes or regulations that require such
3 information if payment is sought under a government program providing public benefits.

4 10. "Security Incident" means the attempted or successful unauthorized access, use, disclosure,
5 modification, or destruction of PI, or confidential data utilized in complying with this Agreement; or
6 interference with system operations in an information system that processes, maintains or stores PI.

7 B. TERMS OF AGREEMENT

8 1. Permitted Uses and Disclosures of DHCS PI and PII by CONTRACTOR. Except as
9 otherwise indicated in this Exhibit, CONTRACTOR may use or disclose DHCS PI only to perform
10 functions, activities, or services for or on behalf of the COUNTY pursuant to the terms of the
11 Agreement provided that such use or disclosure would not violate the CIPA if done by the COUNTY.

12 2. Responsibilities of CONTRACTOR

13 CONTRACTOR agrees:

14 a. Nondisclosure. Not to use or disclose DHCS PI or PII other than as permitted or
15 required by this Personal Information Privacy and Security Contract or as required by applicable state
16 and federal law.

17 b. Safeguards. To implement appropriate and reasonable administrative, technical, and
18 physical safeguards to protect the security, confidentiality and integrity of DHCS PI and PII, to protect
19 against anticipated threats or hazards to the security or integrity of DHCS PI and PII, and to prevent use
20 or disclosure of DHCS PI or PII other than as provided for by this Personal Information Privacy and
21 Security Contract. CONTRACTOR shall develop and maintain a written information privacy and
22 security program that include administrative, technical and physical safeguards appropriate to the size
23 and complexity of CONTRACTOR's operations and the nature and scope of its activities, which
24 incorporate the requirements of subparagraph (c), below. CONTRACTOR will provide COUNTY with
25 its current policies upon request.

26 c. Security. CONTRACTOR shall ensure the continuous security of all computerized
27 data systems containing DHCS PI and PII. CONTRACTOR shall protect paper documents containing
28 DHCS PI and PII. These steps shall include, at a minimum:

29 1) Complying with all of the data system security precautions listed in subparagraph E
30 of the Business Associate Contract, Exhibit B to the Agreement; and

31 2) Providing a level and scope of security that is at least comparable to the level and
32 scope of security established by the Office of Management and Budget in OMB Circular No. A-130,
33 Appendix III-Security of Federal Automated Information Systems, which sets forth guidelines for
34 automated information systems in Federal agencies.

35 3) If the data obtained by CONTRACTOR from COUNTY includes PII,
36 CONTRACTOR shall also comply with the substantive privacy and security requirements in the
37 CMPPA Agreement between the SSA and the CHHS and in the Agreement between the SSA and

1 DHCS, known as the IEA. The specific sections of the IEA with substantive privacy and security
2 requirements to be complied with are sections E, F, and G, and in Attachment 4 to the IEA, Electronic
3 Information Exchange Security Requirements, Guidelines and Procedures for Federal, State and Local
4 Agencies Exchanging Electronic Information with the SSA. CONTRACTOR also agrees to ensure that
5 any of CONTRACTOR's agents or subcontractors, to whom CONTRACTOR provides DHCS PII agree
6 to the same requirements for privacy and security safeguards for confidential data that apply to
7 CONTRACTOR with respect to such information.

8 d. Mitigation of Harmful Effects. To mitigate, to the extent practicable, any harmful
9 effect that is known to CONTRACTOR of a use or disclosure of DHCS PI or PII by CONTRACTOR or
10 its subcontractors in violation of this Personal Information Privacy and Security Contract.

11 e. CONTRACTOR's Agents and Subcontractors. To impose the same restrictions and
12 conditions set forth in this Personal Information and Security Contract on any subcontractors or other
13 agents with whom CONTRACTOR subcontracts any activities under the Agreement that involve the
14 disclosure of DHCS PI or PII to such subcontractors or other agents.

15 f. Availability of Information. To make DHCS PI and PII available to the DHCS and/or
16 COUNTY for purposes of oversight, inspection, amendment, and response to requests for records,
17 injunctions, judgments, and orders for production of DHCS PI and PII. If CONTRACTOR receives
18 DHCS PII, upon request by COUNTY and/or DHCS, CONTRACTOR shall provide COUNTY and/or
19 DHCS with a list of all employees, contractors and agents who have access to DHCS PII, including
20 employees, contractors and agents of its subcontractors and agents.

21 g. Cooperation with COUNTY. With respect to DHCS PI, to cooperate with and assist
22 the COUNTY to the extent necessary to ensure the DHCS's compliance with the applicable terms of the
23 CIPA including, but not limited to, accounting of disclosures of DHCS PI, correction of errors in DHCS
24 PI, production of DHCS PI, disclosure of a security Breach involving DHCS PI and notice of such
25 Breach to the affected individual(s).

26 h. Breaches and Security Incidents. During the term of the Agreement, CONTRACTOR
27 agrees to implement reasonable systems for the discovery of any Breach of unsecured DHCS PI and PII
28 or security incident. CONTRACTOR agrees to give notification of any beach of unsecured DHCS PI
29 and PII or security incident in accordance with subparagraph F, of the Business Associate Contract,
30 Exhibit B to the Agreement.

31 i. Designation of Individual Responsible for Security. CONTRACTOR shall designate
32 an individual, (e.g., Security Officer), to oversee its data security program who shall be responsible for
33 carrying out the requirements of this Personal Information Privacy and Security Contract and for
34 communicating on security matters with the COUNTY.

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37 //