

1 AGREEMENT FOR PROVISION OF
2 WARMLINE SERVICES
3 BETWEEN
4 COUNTY OF ORANGE
5 AND

6 NATIONAL ALLIANCE ON MENTAL ILLNESS (NAMI) ORANGE COUNTY
7 JULY 1, 2019 THROUGH JUNE 30, 2020
8

9 THIS AGREEMENT entered into this 1st day of July 2019, is by and between the COUNTY OF
10 ORANGE, a political subdivision of State of California (COUNTY) and NATIONAL ALLIANCE ON
11 MENTAL ILLNESS (NAMI) ORANGE COUNTY, a California nonprofit corporation
12 (CONTRACTOR). COUNTY and CONTRACTOR may sometimes be referred to herein individually
13 as "Party" or collectively as "Parties." This Agreement shall be administered by the Director of the
14 COUNTY's Health Care Agency or an authorized designee ("ADMINISTRATOR").
15

16 **W I T N E S S E T H:**

17 WHEREAS, COUNTY wishes to contract with CONTRACTOR for the provision of Warmline
18 Services described herein to the residents of Orange County; and

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

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

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REFERENCED CONTRACT PROVISIONS

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Term: July 1, 2019 through June 30, 2020

Maximum Obligation: \$536,566

Basis for Reimbursement: Actual Cost

Payment Method: Monthly in Arrears

CONTRACTOR DUNS Number: 02-681-5466

CONTRACTOR TAX ID Number: 95-3726369

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: NAMI Orange County
1810 E. 17th St.
Santa Ana, CA 92705
Steve Pitman, Board President
spitman@namioc.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:

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4	A. AB 109	Assembly Bill 109, 2011 Public Safety Realignment
5	B. AIDS	Acquired Immune Deficiency Syndrome
6	C. ARRA	American Recovery and Reinvestment Act of 2009
7	D. ASAM PPC	American Society of Addiction Medicine Patient Placement Criteria
8	E. ASI	Addiction Severity Index
9	F. ASRS	Alcohol and Drug Programs Reporting System
10	G. BHS	Behavioral Health Services
11	H. CalOMS	California Outcomes Measurement System
12	I. CalWORKs	California Work Opportunity and Responsibility for Kids
13	J. CAP	Corrective Action Plan
14	K. CCC	California Civil Code
15	L. CCR	California Code of Regulations
16	M. CESI	Client Evaluation of Self at Intake
17	N. CEST	Client Evaluation of Self and Treatment
18	O. CFDA	Catalog of Federal Domestic Assistance
19	P. CFR	Code of Federal Regulations
20	Q. CHPP	COUNTY HIPAA Policies and Procedures
21	R. CHS	Correctional Health Services
22	S. COI	Certificate of Insurance
23	T. CPA	Certified Public Accountant
24	U. CSW	Clinical Social Worker
25	V. DHCS	California Department of Health Care Services
26	W. D/MC	Drug/Medi-Cal
27	X. DPFS	Drug Program Fiscal Systems
28	Y. DRS	Designated Record Set
29	Z. EEOC	Equal Employment Opportunity Commission
30	AA. EHR	Electronic Health Records
31	AB. EOC	Equal Opportunity Clause
32	AC. ePHI	Electronic Protected Health Information
33	AD. EPSDT	Early and Periodic Screening, Diagnosis, and Treatment
34	AF. FFS	Fee For Service
35	AG. FSP	Full Service Partnership
36	AH. FTE	Full Time Equivalent
37	AI. GAAP	Generally Accepted Accounting Principles

1	AJ. HCA	County of Orange Health Care Agency
2	AK. HHS	Federal Health and Human Services Agency
3	AL. HIPAA	Health Insurance Portability and Accountability Act of 1996, Public
4		Law 104-191
5	AM. HITECH	Health Information Technology for Economic and Clinical Health
6		Act, Public Law 111-005
7	AN. HIV	Human Immunodeficiency Virus
8	AO. HSC	California Health and Safety Code
9	AP. IRIS	Integrated Records and Information System
10	AQ. ITC	Indigent Trauma Care
11	AR. LCSW	Licensed Clinical Social Worker
12	AS. MAT	Medication Assisted Treatment
13	AT. MFT	Marriage and Family Therapist
14	AU. MH	Mental Health
15	AV. MHP	Mental Health Plan
16	AW. MHS	Mental Health Specialist
17	AX. MHSA	Mental Health Services Act
18	AZ. MSN	Medical Safety Net
19	BA. NIH	National Institutes of Health
20	BB. NPI	National Provider Identifier
21	BC. NPPES	National Plan and Provider Enumeration System
22	BD. OCR	Federal Office for Civil Rights
23	BE. OIG	Federal Office of Inspector General
24	BF. OMB	Federal Office of Management and Budget
25	BG. OPM	Federal Office of Personnel Management
26	BH. P&P	Policy and Procedure
27	BI. PA DSS	Payment Application Data Security Standard
28	BJ. PATH	Projects for Assistance in Transition from Homelessness
29	BK. PC	California Penal Code
30	BL. PCI DSS	Payment Card Industry Data Security Standards
31	BM. PCS	Post-Release Community Supervision
32	BN. PHI	Protected Health Information
33	BO. PII	Personally Identifiable Information
34	BP. PRA	California Public Records Act
35	BQ. PSC	Professional Services Contract System
36	BR. SAPTBG	Substance Abuse Prevention and Treatment Block Grant
37	BS. SIR	Self-Insured Retention

1	BT. SMA	Statewide Maximum Allowable (rate)
2	BU. SOW	Scope of Work
3	BV. SUD	Substance Use Disorder
4	BW. UMDAP	Uniform Method of Determining Ability to Pay
5	BX. UOS	Units of Service
6	BY. USC	United States Code
7	BZ. WIC	Women, Infants and Children

8
9 **II. ALTERATION OF TERMS**

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

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

17
18 **III. ASSIGNMENT OF DEBTS**

19 Unless this Agreement is followed without interruption by another Agreement between the Parties
20 hereto for the same services and substantially the same scope, at the termination of this Agreement,
21 CONTRACTOR shall assign to COUNTY any debts owing to CONTRACTOR by or on behalf of
22 persons receiving services pursuant to this Agreement. CONTRACTOR shall immediately notify by
23 mail each of the respective Parties, specifying the date of assignment, the County of Orange as assignee,
24 and the address to which payments are to be sent. Payments received by CONTRACTOR from or on
25 behalf of said persons, shall be immediately given to COUNTY.

26
27 **IV. COMPLIANCE**

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

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

34 2. CONTRACTOR has the option to provide ADMINISTRATOR with proof of its own
35 compliance program, code of conduct and any compliance related policies and procedures.
36 CONTRACTOR’s compliance program, code of conduct and any related policies and procedures shall
37 be verified by ADMINISTRATOR’s Compliance Department to ensure they include all required

1 elements by ADMINISTRATOR's Compliance Officer as described in this Compliance Paragraph to
2 this Agreement. These elements include:

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

10 3. If CONTRACTOR does not provide proof of its own compliance program to
11 ADMINISTRATOR, CONTRACTOR shall internally comply with ADMINISTRATOR's Compliance
12 Program and Code of Conduct, the CONTRACTOR shall submit to the ADMINISTRATOR within
13 thirty (30) calendar days of execution of this Agreement a signed acknowledgement that
14 CONTRACTOR will internally comply with ADMINISTRATOR's Compliance Program and Code of
15 Conduct. CONTRACTOR shall have as many Covered Individuals it determines necessary complete
16 ADMINISTRATOR's annual compliance training to ensure proper compliance.

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

29 5. Upon written confirmation from ADMINISTRATOR's compliance officer that the
30 CONTRACTOR's compliance program, code of conduct and any compliance related policies and
31 procedures contain all required elements, CONTRACTOR shall ensure that all Covered Individuals
32 relative to this Agreement are made aware of CONTRACTOR's compliance program, code of conduct,
33 related policies and procedures and contact information for the ADMINISTRATOR's Compliance Program.

34 B. SANCTION SCREENING – CONTRACTOR shall screen all Covered Individuals employed or
35 retained to provide services related to this Agreement monthly to ensure that they are not designated as
36 Ineligible Persons, as pursuant to this Agreement. Screening shall be conducted against the General
37 Services Administration's Excluded Parties List System or System for Award Management, the Health

1 and Human Services/Office of Inspector General List of Excluded Individuals/Entities, and the
2 California Medi-Cal Suspended and Ineligible Provider List, the Social Security Administration’s Death
3 Master File, and/or any other list or system as identified by ADMINISTRATOR.

4 1. For purposes of this Compliance Paragraph, Covered Individuals includes all employees,
5 interns, volunteers, contractors, subcontractors, agents, and other persons who provide health care items
6 or services or who perform billing or coding functions on behalf of ADMINISTRATOR.
7 CONTRACTOR shall ensure that all Covered Individuals relative to this Agreement are made aware of
8 ADMINISTRATOR’s Compliance Program, Code of Conduct and related policies and procedures (or
9 CONTRACTOR’s own compliance program, code of conduct and related policies and procedures if
10 CONTRACTOR has elected to use its own).

11 2. An Ineligible Person shall be any individual or entity who:

12 a. is currently excluded, suspended, debarred or otherwise ineligible to participate in
13 federal and state health care programs; or

14 b. has been convicted of a criminal offense related to the provision of health care items or
15 services and has not been reinstated in the federal and state health care programs after a period of
16 exclusion, suspension, debarment, or ineligibility.

17 3. CONTRACTOR shall screen prospective Covered Individuals prior to hire or engagement.
18 CONTRACTOR shall not hire or engage any Ineligible Person to provide services relative to this
19 Agreement.

20 4. CONTRACTOR shall screen all current Covered Individuals and subcontractors monthly to
21 ensure that they have not become Ineligible Persons. CONTRACTOR shall also request that its
22 subcontractors use their best efforts to verify that they are eligible to participate in all federal and State
23 of California health programs and have not been excluded or debarred from participation in any federal
24 or state health care programs, and to further represent to CONTRACTOR that they do not have any
25 Ineligible Person in their employ or under contract.

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

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

37 //

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

8 C. GENERAL COMPLIANCE TRAINING - ADMINISTRATOR shall make General Compliance
9 Training available to Covered Individuals.

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

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

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

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

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

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

25 1. CONTRACTOR shall ensure completion of Specialized Provider Training by all Covered
26 Individuals relative to this Agreement. This includes compliance with federal and state healthcare
27 program regulations and procedures or instructions otherwise communicated by regulatory agencies;
28 including the Centers for Medicare and Medicaid Services or their agents.

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

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

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

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

E. MEDI-CAL BILLING, CODING, AND DOCUMENTATION COMPLIANCE STANDARDS

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

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

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

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

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

6. CONTRACTOR shall meet the HCA MHP Quality Management Program Standards and participate in the quality improvement activities developed in the implementation of the Quality Management Program.

7. CONTRACTOR shall comply with the provisions of the ADMINISTRATOR's Cultural Competency Plan submitted and approved by the state. ADMINISTRATOR shall update the Cultural Competency Plan and submit the updates to the State for review and approval annually. (CCR, Title 9, §1810.410.subds.(c)-(d).

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

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

1 necessary for authorized staff of ADMINISTRATOR to audit Client files, or to exchange information
2 regarding specific Clients with COUNTY or other providers of related services contracting with
3 COUNTY.

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

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

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

18
19 **VI. CONFLICT OF INTEREST**

20 CONTRACTOR shall exercise reasonable care and diligence to prevent any actions or conditions
21 that could result in a conflict with COUNTY interests. In addition to CONTRACTOR, this obligation
22 shall apply to CONTRACTOR's employees, agents, and subcontractors associated with the provision of
23 goods and services provided under this Agreement. CONTRACTOR's efforts shall include, but not be
24 limited to establishing rules and procedures preventing its employees, agents, and subcontractors from
25 providing or offering gifts, entertainment, payments, loans or other considerations which could be
26 deemed to influence or appear to influence COUNTY staff or elected officers in the performance of their
27 duties.

28 **VII. COST REPORT**

29 A. CONTRACTOR shall submit a Cost Report to COUNTY no later than sixty (60) calendar days
30 following termination of this Agreement. CONTRACTOR shall prepare the Cost Report in accordance
31 with all applicable federal, state and COUNTY requirements, GAAP and the Special Provisions
32 Paragraph of this Agreement. CONTRACTOR shall allocate direct and indirect costs to and between
33 programs, cost centers, services, and funding sources in accordance with such requirements and
34 consistent with prudent business practice, which costs and allocations shall be supported by source
35 documentation maintained by CONTRACTOR, and available at any time to ADMINISTRATOR upon
36 reasonable notice.

37 //

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

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

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

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

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

20 B. The Cost Report shall be the final financial and statistical report submitted by CONTRACTOR
21 to COUNTY, and shall serve as the basis for final settlement to CONTRACTOR. CONTRACTOR
22 shall document that costs are reasonable and allowable and directly or indirectly related to the services to
23 be provided hereunder. The Cost Report shall be the final financial record for subsequent audits, if any.

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

33 D. If the Cost Report indicates the actual and reimbursable costs of services provided pursuant to
34 this Agreement, less applicable revenues and late penalty, are lower than the aggregate of interim
35 monthly payments to CONTRACTOR, CONTRACTOR shall remit the difference to COUNTY. Such
36 reimbursement shall be made, in cash, or other authorized form of payment, with the submission of the
37 Cost Report. If such reimbursement is not made by CONTRACTOR within thirty (30) calendar days

1 after submission of the Cost Report, COUNTY may, in addition to any other remedies, reduce any
2 amount owed CONTRACTOR by an amount not to exceed the reimbursement due COUNTY.

3 E. If the Cost Report indicates the actual and reimbursable costs of services provided pursuant to
4 this Agreement, less applicable revenues and late penalty, are higher than the aggregate of interim
5 monthly payments to CONTRACTOR, COUNTY shall pay CONTRACTOR the difference, provided
6 such payment does not exceed the Maximum Obligation of COUNTY.

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

9
10 "I HEREBY CERTIFY that I have executed the accompanying Cost Report and
11 supporting documentation prepared by _____ for the cost report period
12 beginning _____ and ending _____ and that, to the best of my
13 knowledge and belief, costs reimbursed through this Agreement are reasonable and
14 allowable and directly or indirectly related to the services provided and that this Cost
15 Report is a true, correct, and complete statement from the books and records of
16 (provider name) in accordance with applicable instructions, except as noted. I also
17 hereby certify that I have the authority to execute the accompanying Cost Report.

18
19 Signed _____
20 Name _____
21 Title _____
22 Date _____"

23
24 **VIII. DEBARMENT AND SUSPENSION CERTIFICATION**

25 A. CONTRACTOR certifies that it and its principals:

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

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

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

37 //

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

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

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

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

13
14 **IX. DELEGATION ASSIGNMENT, AND SUBCONTRACTS**

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

20 B. CONTRACTOR agrees that if there is a change or transfer in ownership of CONTRACTOR's
21 business prior to completion of this Agreement, and COUNTY agrees to an assignment of the
22 Agreement, the new owners shall be required under the terms of sale or other instruments of transfer to
23 assume CONTRACTOR's duties and obligations contained in this Agreement and complete them to the
24 satisfaction of COUNTY. CONTRACTOR may not assign the rights hereunder, either in whole or in
25 part, without the prior written consent of COUNTY.

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

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

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 6. COUNTY reserves the right to immediately terminate the Agreement in the event
15 COUNTY determines, in its sole discretion, that the assignee is not qualified or is otherwise
16 unacceptable to COUNTY for the provision of services under the Agreement.

17 C. CONTRACTOR’s obligations undertaken pursuant to this Agreement may be carried out by
18 means of subcontracts, provided such subcontractors are approved in advance by ADMINISTRATOR,
19 meet the requirements of this Agreement as they relate to the service or activity under subcontract,
20 include any provisions that ADMINISTRATOR may require, and are authorized in writing by
21 ADMINISTRATOR prior to the beginning of service delivery.

22 1. After approval of the subcontractor, ADMNISTRATOR may revoke the approval of the
23 subcontractor upon five (5) calendar days’ written notice to CONTRACTOR if the subcontractor
24 subsequently fails to meet the requirements of this Agreement or any provisions that
25 ADMINISTRATOR has required. ADMINISTRATOR may disallow subcontractor expenses reported
26 by CONTRACTOR.

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

29 3. ADMINISTRATOR may disallow, from payments otherwise due CONTRACTOR,
30 amounts claimed for subcontracts not approved in accordance with this paragraph.

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

34 D. CONTRACTOR shall notify COUNTY in writing of any change in the CONTRACTOR’s
35 status with respect to name changes that do not require an assignment of the Agreement.
36 CONTRACTOR is also obligated to notify COUNTY in writing if the CONTRACTOR becomes a party
37 to any litigation against COUNTY, or a party to litigation that may reasonably affect the

1 CONTRACTOR's performance under the Contract, as well as any potential conflicts of interest between
2 CONTRACTOR and County that may arise prior to or during the period of Agreement performance.
3 While CONTRACTOR will be required to provide this information without prompting from COUNTY
4 any time there is a change in CONTRACTOR's name, conflict of interest or litigation status,
5 CONTRACTOR must also provide an update to COUNTY of its status in these areas whenever
6 requested by COUNTY.

7
8 **X. DISPUTE RESOLUTION**

9 A. The Parties shall deal in good faith and attempt to resolve potential disputes informally. If the
10 dispute concerning a question of fact arising under the terms of this Agreement is not disposed of in a
11 reasonable period of time by the CONTRACTOR and the ADMINISTRATOR, such matter shall be
12 brought to the attention of the COUNTY Purchasing Agency by way of the following process:

13 1. CONTRACTOR shall submit to the COUNTY Purchasing Agency a written demand for a
14 final decision regarding the disposition of any dispute between the Parties arising under, related to, or
15 involving this Agreement, unless COUNTY, on its own initiative, has already rendered such a final
16 decision.

17 2. CONTRACTOR's written demand shall be fully supported by factual information, and, if
18 such demand involves a cost adjustment to the Agreement, CONTRACTOR shall include with the
19 demand a written statement signed by an authorized representative indicating that the demand is made in
20 good faith, that the supporting data are accurate and complete, and that the amount requested accurately
21 reflects the Agreement adjustment for which CONTRACTOR believes COUNTY is liable.

22 B. Pending the final resolution of any dispute arising under, related to, or involving this
23 Agreement, CONTRACTOR agrees to proceed diligently with the performance of services secured via
24 this Agreement, including the delivery of goods and/or provision of services. CONTRACTOR's failure
25 to proceed diligently shall be considered a material breach of this Agreement.

26 C. Any final decision of COUNTY shall be expressly identified as such, shall be in writing, and
27 shall be signed by a COUNTY Deputy Purchasing Agent or designee. If COUNTY fails to render a
28 decision within ninety (90) calendar days after receipt of CONTRACTOR's demand, it shall be deemed
29 a final decision adverse to CONTRACTOR's contentions.

30 D. This Agreement has been negotiated and executed in the State of California and shall be
31 governed by and construed under the laws of the State of California. In the event of any legal action to
32 enforce or interpret this Agreement, the sole and exclusive venue shall be a court of competent
33 jurisdiction located in Orange County, California, and the Parties hereto agree to and do hereby submit
34 to the jurisdiction of such court, notwithstanding Code of Civil Procedure Section 394. Furthermore, the
35 Parties specifically agree to waive any and all rights to request that an action be transferred for
36 adjudication to another county.

37 //

XI. EMPLOYEE ELIGIBILITY VERIFICATION

CONTRACTOR attests that it shall fully comply with all federal and state statutes and regulations regarding the employment of aliens and others and to ensure that employees, subcontractors, and consultants performing work under this Agreement meet the citizenship or alien status requirements set forth in federal statutes and regulations. CONTRACTOR shall obtain, from all employees, subcontractors, and consultants performing work hereunder, all verification and other documentation of employment eligibility status required by federal or state statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, 8 USC §1324 et seq., as they currently exist and as they may be hereafter amended. CONTRACTOR shall retain all such documentation for all covered employees, subcontractors, and consultants for the period prescribed by the law.

XII. EQUIPMENT

A. Unless otherwise specified in writing by ADMINISTRATOR, Equipment is defined as all property of a Relatively Permanent nature with significant value, purchased in whole or in part by ADMINISTRATOR to assist in performing the services described in this Agreement. “Relatively Permanent” is defined as having a useful life of one (1) year or longer. Equipment which costs \$5,000 or over, including freight charges, sales taxes, and other taxes, and installation costs are defined as Capital Assets. Equipment which costs between \$600 and \$5,000, including freight charges, sales taxes and other taxes, and installation costs, or electronic equipment that costs less than \$600 but may contained PHI or PII, are defined as Controlled Equipment. Controlled Equipment includes, but is not limited to phones, tablets, audio/visual equipment, computer equipment, and lab equipment. The cost of Equipment purchased, in whole or in part, with funds paid pursuant to this Agreement shall be depreciated according to GAAP.

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

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

D. CONTRACTOR shall maintain an inventory of all Equipment purchased in whole or in part with funds paid through this Agreement, including date of purchase, purchase price, serial number, model and type of Equipment. Such inventory shall be available for review by ADMINISTRATOR, and

//

1 shall include the original purchase date and price, useful life, and balance of depreciated Equipment
2 cost, if any.

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

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

10 G. Unless this Agreement is followed without interruption by another agreement between the
11 Parties for substantially the same type and scope of services, at the termination of this Agreement for any
12 cause, CONTRACTOR shall return to COUNTY all Equipment purchased with funds paid through this
13 Agreement.

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

16
17 **XIII. FACILITIES, PAYMENTS AND SERVICES**

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

23 B. In the event that CONTRACTOR is unable to provide the services, staffing, facilities, or
24 supplies as required, ADMINISTRATOR may, at its sole discretion, reduce the Total Maximum
25 Obligation. The reduction to the Maximum Obligation shall be in an amount proportionate to the
26 number of days in which CONTRACTOR was determined to be unable to provide services, staffing,
27 facilities or supplies.

28
29 **XIV. INDEMNIFICATION AND INSURANCE**

30 A. CONTRACTOR agrees to indemnify, defend with counsel approved in writing by COUNTY,
31 and hold COUNTY, its elected and appointed officials, officers, employees, agents and those special
32 districts and agencies for which COUNTY's Board of Supervisors acts as the governing Board
33 ("COUNTY INDEMNITEES") harmless from any claims, demands or liability of any kind or nature,
34 including but not limited to personal injury or property damage, arising from or related to the services,
35 products or other performance provided by CONTRACTOR pursuant to this Agreement. If judgment is
36 entered against CONTRACTOR and COUNTY by a court of competent jurisdiction because of the
37 concurrent active negligence of COUNTY or COUNTY INDEMNITEES, CONTRACTOR and

1 COUNTY agree that liability will be apportioned as determined by the court. Neither Party shall request
2 a jury apportionment.

3 B. Prior to the provision of services under this Agreement, CONTRACTOR agrees to purchase all
4 required insurance at CONTRACTOR's expense, including all endorsements required herein, necessary
5 to satisfy COUNTY that the insurance provisions of this Agreement have been complied with.
6 CONTRACTOR agrees to keep such insurance coverage, Certificates of Insurance, and endorsements on
7 deposit with COUNTY during the entire term of this Agreement. In addition, all subcontractors
8 performing work on behalf of CONTRACTOR pursuant to this Agreement shall obtain insurance
9 subject to the same terms and conditions as set forth herein for CONTRACTOR.

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

19 D. All SIRs shall be clearly stated on the COI. Any SIR in an amount in excess of fifty thousand
20 dollars (\$50,000) shall specifically be approved by the CEO/Office of Risk Management upon review of
21 CONTRACTOR's current audited financial report. If CONTRACTOR's SIR is approved,
22 CONTRACTOR, in addition to, and without limitation of, any other indemnity provision(s) in this
23 Agreement, agrees to all of the following:

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

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

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

33 E. If CONTRACTOR fails to maintain insurance acceptable to the COUNTY for the full term of
34 this Agreement, the COUNTY may terminate this Agreement.

35 F. QUALIFIED INSURER

36 1. The policy or policies of insurance must be issued by an insurer with a minimum rating of
37 A- (Secure A.M. Best's Rating) and VIII (Financial Size Category as determined by the most current

1 | edition of the **Best's Key Rating Guide/Property-Casualty/United States or ambest.com**). It is
 2 | preferred, but not mandatory, that the insurer be licensed to do business in the state of California
 3 | (California Admitted Carrier).

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

7 | G. The policy or policies of insurance maintained by CONTRACTOR shall provide the minimum
 8 | 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 (4 passengers or less)	\$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

24 | H. REQUIRED COVERAGE FORMS

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

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

29 | I. REQUIRED ENDORSEMENTS

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

32 | a. An Additional Insured endorsement using ISO form CG 20 26 04 13 or a form at least
 33 | as broad naming the *County of Orange, its elected and appointed officials, officers, agents and*
 34 | *employees* as Additional Insureds, or provide blanket coverage, which will state **AS REQUIRED BY**
 35 | **WRITTEN AGREEMENT.**

36 | //

37 | //

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 COI:

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
 9 insurance is primary and any insurance or self-insurance maintained by the County of Orange shall be
 10 excess and 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,*
 16 *officers, agents and employees*, or provide blanket coverage, which will state **AS REQUIRED BY**
 17 **WRITTEN AGREEMENT.**

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

21 M. CONTRACTOR shall notify COUNTY in writing within thirty (30) days of any policy
 22 cancellation and within ten (10) days for non-payment of premium and provide a copy of the
 23 cancellation notice to COUNTY. Failure to provide written notice of cancellation shall constitute a
 24 breach of CONTRACTOR's obligation hereunder and ground for COUNTY to suspend or terminate this
 25 Agreement.

26 N. If CONTRACTOR's Professional Liability, Technology Errors & Omissions and/or Network
 27 Security & Privacy Liability are "Claims -Made" policies, CONTRACTOR shall agree to maintain
 28 coverage for two (2) years following the completion of the Agreement.

29 O. The Commercial General Liability policy shall contain a "severability of interests" clause also
 30 known as a "separation of insureds" clause (standard in the ISO CG 0001 policy).

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

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

36 R. COUNTY expressly retains the right to require CONTRACTOR to increase or decrease
 37 insurance of any of the above insurance types throughout the term of this Agreement. Any increase or

1 decrease in insurance will be as deemed by County of Orange Risk Manager as appropriate to adequately
2 protect COUNTY.

3 S. COUNTY shall notify CONTRACTOR in writing of changes in the insurance requirements. If
4 CONTRACTOR does not deposit copies of acceptable Certificate of Insurance and endorsements with
5 COUNTY incorporating such changes within thirty (30) calendar days of receipt of such notice, this
6 Agreement may be in breach without further notice to CONTRACTOR, and COUNTY shall be entitled
7 to all legal remedies.

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

11 U. SUBMISSION OF INSURANCE DOCUMENTS

12 1. The COI and endorsements shall be provided to COUNTY as follows:

13 a. Prior to the start date of this Agreement.

14 b. No later than the expiration date for each policy.

15 c. Within thirty (30) calendar days upon receipt of written notice by COUNTY regarding
16 changes to any of the insurance requirements as set forth in the Coverage Subparagraph above.

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

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

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

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

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

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

35 //

36 //

37 //

XV. INSPECTIONS AND AUDITS

1
2 A. ADMINISTRATOR, any authorized representative of COUNTY, any authorized representative
3 of the State of California, the Secretary of the United States Department of Health and Human Services,
4 the Comptroller General of the United States, or any other of their authorized representatives, shall to
5 the extent permissible under applicable law have access to any books, documents, and records, including
6 but not limited to, financial statements, general ledgers, relevant accounting systems, medical and Client
7 records, of CONTRACTOR that are directly pertinent to this Agreement, for the purpose of responding
8 to a beneficiary complaint or conducting an audit, review, evaluation, or examination, or making
9 transcripts during the periods of retention set forth in the Records Management and Maintenance
10 Paragraph of this Agreement. Such persons may at all reasonable times inspect or otherwise evaluate
11 the services provided pursuant to this Agreement, and the premises in which they are provided.

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

16 C. AUDIT RESPONSE

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

22 2. If the audit reveals that money is payable from one Party to the other, that is, reimbursement
23 by CONTRACTOR to COUNTY, or payment of sums due from COUNTY to CONTRACTOR, said
24 funds shall be due and payable from one Party to the other within sixty (60) calendar days of receipt of
25 the audit results. If reimbursement is due from CONTRACTOR to COUNTY, and such reimbursement
26 is not received within said sixty (60) calendar days, COUNTY may, in addition to any other remedies
27 provided by law, reduce any amount owed CONTRACTOR by an amount not to exceed the
28 reimbursement due COUNTY.

29 D. CONTRACTOR shall retain a licensed certified public accountant, who will prepare and file
30 with ADMINISTRATOR, an annual, independent, organization-wide audit of related expenditures as
31 may be required during the term of this Agreement.

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

36 //

37 //

XVI. LICENSES AND LAWS

1
2 A. CONTRACTOR, its officers, agents, employees, affiliates, and subcontractors shall, throughout
3 the term of this Agreement, maintain all necessary licenses, permits, approvals, certificates,
4 accreditations, waivers, and exemptions necessary for the provision of the services hereunder and
5 required by the laws, regulations and requirements of the United States, the State of California,
6 COUNTY, and all other applicable governmental agencies. CONTRACTOR shall notify
7 ADMINISTRATOR immediately and in writing of its inability to obtain or maintain, irrespective of the
8 pendency of any hearings or appeals, permits, licenses, approvals, certificates, accreditations, waivers
9 and exemptions. Said inability shall be cause for termination of this Agreement.

10 B. ENFORCEMENT OF CHILD SUPPORT OBLIGATIONS

11 1. CONTRACTOR certifies it is in full compliance with all applicable federal and State
12 reporting requirements regarding its employees and with all lawfully served Wage and Earnings
13 Assignment Orders and Notices of Assignments and will continue to be in compliance throughout the
14 term of the Agreement with the County of Orange. Failure to comply shall constitute a material breach
15 of the Agreement and failure to cure such breach within sixty (60) calendar days of notice from the
16 COUNTY shall constitute grounds for termination of the Agreement.

17 2. CONTRACTOR agrees to furnish to ADMINISTRATOR within thirty (30) calendar days
18 of the award of this Agreement:

19 a. In the case of an individual CONTRACTOR, his/her name, date of birth, social security
20 number, and residence address;

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

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

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

- 30 1. ARRA of 2009.
- 31 2. Trafficking Victims Protection Act of 2000.
- 32 3. WIC, Division 5, Community Mental Health Services.
- 33 4. WIC, Division 6, Admissions and Judicial Commitments.
- 34 5. WIC, Division 7, Mental Institutions.
- 35 6. HSC, §§1250 et seq., Health Facilities.
- 36 7. PC, §§11164-11174.3, Child Abuse and Neglect Reporting Act.
- 37 8. CCR, Title 9, Rehabilitative and Developmental Services.

- 1 9. CCR, Title 17, Public Health.
- 2 10. CCR, Title 22, Social Security.
- 3 11. CFR, Title 42, Public Health.
- 4 12. CFR, Title 45, Public Welfare.
- 5 13. USC Title 42. Public Health and Welfare.
- 6 14. Federal Social Security Act, Title XVIII and Title XIX Medicare and Medicaid.
- 7 15. 42 USC §12101 et seq., Americans with Disabilities Act of 1990.
- 8 16. 42 USC §1857, et seq., Clean Air Act.
- 9 17. 33 USC 84, §308 and §§1251 et seq., the Federal Water Pollution Control Act.
- 10 18. 31 USC 7501.70, Federal Single Audit Act of 1984.
- 11 19. Policies and procedures set forth in Mental Health Services Act.
- 12 20. Policies and procedures set forth in DHCS Letters.
- 13 21. HIPAA privacy rule, as it may exist now, or be hereafter amended, and if applicable.
- 14 22. 31 USC 7501 – 7507, as well as its implementing regulations under 2 CFR Part 200,
- 15 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

16
 17 **XVII. LITERATURE, ADVERTISEMENTS, AND SOCIAL MEDIA**

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

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

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

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

XVIII. MAXIMUM OBLIGATION

A. The Maximum Obligation of COUNTY for services provided in accordance with this Agreement is as specified in the Referenced Contract Provisions of this Agreement.

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

XIX. MINIMUM WAGE LAWS

A. Pursuant to the United States of America Fair Labor Standards Act of 1938, as amended, and State of California Labor Code, §1178.5, CONTRACTOR shall pay no less than the greater of the federal or California Minimum Wage to all its Covered Individuals (as defined within the “Compliance” paragraph of this Agreement) that directly or indirectly provide services pursuant to this Agreement, in any manner whatsoever. CONTRACTOR shall require and verify that all of its Covered Individuals providing services pursuant to this Agreement be paid no less than the greater of the federal or California Minimum Wage.

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

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

XX. NONDISCRIMINATION

A. EMPLOYMENT

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

2. CONTRACTOR and its Covered Individuals shall not discriminate against employees or applicants for employment in the areas of employment, promotion, demotion or transfer; recruitment or

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1 recruitment advertising, layoff or termination; rate of pay or other forms of compensation; and selection
2 for training, including apprenticeship.

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

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

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

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

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

- 33 1. Denying a Client or potential Client any service, benefit, or accommodation.
- 34 2. Providing any service or benefit to a Client which is different or is provided in a different
35 manner or at a different time from that provided to other Clients.
- 36 3. Restricting a Client in any way in the enjoyment of any advantage or privilege enjoyed by
37 others receiving any service and/or benefit.

1 4. Treating a Client differently from others in satisfying any admission requirement or
2 condition, or eligibility requirement or condition, which individuals must meet in order to be provided
3 any service and/or benefit.

4 5. Assignment of times or places for the provision of services.

5 C. COMPLAINT PROCESS – CONTRACTOR shall establish procedures for advising all Clients
6 through a written statement that CONTRACTOR’s and/or subcontractor’s Clients may file all
7 complaints alleging discrimination in the delivery of services with CONTRACTOR, subcontractor, and
8 ADMINISTRATOR.

9 1. Whenever possible, problems shall be resolved at the point of service. CONTRACTOR
10 shall establish an internal informal problem resolution process for Clients not able to resolve such
11 problems at the point of service. Clients may initiate a grievance or complaint directly with
12 CONTRACTOR either orally or in writing.

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

15 b. Throughout the problem resolution and grievance process, Client rights shall be
16 maintained, including access to the COUNTY’s Patients’ Rights Office at any point in the process.
17 Clients shall be informed of their right to access the COUNTY’s Patients’ Rights Office at any time.

18 2. Within the time limits procedurally imposed, the complainant shall be notified in writing as
19 to the findings regarding the alleged complaint and, if not satisfied with the decision, has the right to
20 request a State Fair Hearing.

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

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

33 F. In the event of non-compliance with this paragraph or as otherwise provided by federal and state
34 law, this Agreement may be canceled, terminated or suspended in whole or in part and CONTRACTOR
35 or subcontractor may be declared ineligible for further contracts involving federal, state or COUNTY
36 funds.

37 //

XXI. NOTICES

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

1. When written and deposited in the United States mail, first class postage prepaid and addressed as specified in the Referenced Contract Provisions of this Agreement or as otherwise directed by ADMINISTRATOR;

2. When faxed, transmission confirmed;

3. When sent by Email; or

4. When accepted by U.S. Postal Service Express Mail, Federal Express, United Parcel Service, or any other expedited delivery service.

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

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

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

XXII. NOTIFICATION OF DEATH

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

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

1. TELEPHONE NOTIFICATION – CONTRACTOR shall notify ADMINISTRATOR by telephone immediately upon becoming aware of the death due to non-terminal illness of any person served pursuant to this Agreement; notice need only be given during normal business hours.

2. WRITTEN NOTIFICATION

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

b. TERMINAL ILLNESS – CONTRACTOR shall notify ADMINISTRATOR by written report hand delivered, faxed, sent via encrypted email, within forty-eight (48) hours of becoming aware of the death due to terminal illness of any person served pursuant to this Agreement.

1 c. When notification via encrypted email is not possible or practical CONTRACTOR may
2 hand deliver or fax to a known number said notification.

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

7
8 **XXIII. NOTIFICATION OF PUBLIC EVENTS AND MEETINGS**

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

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

16
17 **XXIV. RECORDS MANAGEMENT AND MAINTENANCE**

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

21 1. CONTRACTOR shall maintain records that are adequate to substantiate the services for
22 which claims are submitted for reimbursement under this Agreement and the charges thereto. Such
23 records shall include, but not be limited to, individual patient charts and utilization review records.

24 2. CONTRACTOR shall keep and maintain records of each service rendered to each MSN
25 Patient, the identity of the MSN Patient to whom the service was rendered, the date the service was
26 rendered, and such additional information as ADMINISTRATOR or DHCS may require.

27 3. CONTRACTOR shall maintain books, records, documents, accounting procedures and
28 practices, and other evidence sufficient to reflect properly all direct and indirect cost of whatever nature
29 claimed to have been incurred in the performance of this Agreement and in accordance with Medicare
30 principles of reimbursement and GAAP.

31 4. CONTRACTOR shall ensure the maintenance of medical records required by §70747
32 through and including §70751 of the CCR, as they exist now or may hereafter be amended, the medical
33 necessity of the service, and the quality of care provided. Records shall be maintained in accordance
34 with §51476 of Title 22 of the CCR, as it exists now or may hereafter be amended.

35 B. CONTRACTOR shall implement and maintain administrative, technical and physical
36 safeguards to ensure the privacy of PHI and prevent the intentional or unintentional use or disclosure of
37 PHI in violation of the HIPAA, federal and state regulations. CONTRACTOR shall mitigate to the

1 extent practicable, the known harmful effect of any use or disclosure of PHI made in violation of federal
2 or state regulations and/or COUNTY policies.

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

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

9 E. CONTRACTOR shall retain all client and/or patient medical records for seven (7) years
10 following discharge of the participant, client and/or patient.

11 F. CONTRACTOR shall make records pertaining to the costs of services, participant fees, charges,
12 billings, and revenues available at one (1) location within the limits of the County of Orange. If
13 CONTRACTOR is unable to meet the record location criteria above, ADMINISTRATOR may provide
14 written approval to CONTRACTOR to maintain records in a single location, identified by
15 CONTRACTOR.

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

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

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

28 I. CONTRACTOR may retain client, and/or patient documentation electronically in accordance
29 with the terms of this Agreement and common business practices. If documentation is retained
30 electronically, CONTRACTOR shall, in the event of an audit or site visit:

- 31 1. Have documents readily available within twenty-four (24) hour notice of a scheduled audit
- 32 or site visit.
- 33 2. Provide auditor or other authorized individuals access to documents via a computer
- 34 terminal.
- 35 3. Provide auditor or other authorized individuals a hardcopy printout of documents, if
- 36 requested.

37 //

1 J. CONTRACTOR shall ensure compliance with requirements pertaining to the privacy and
2 security of PII and/or PHI. CONTRACTOR shall, upon discovery of a Breach of privacy and/or security
3 of PII and/or PHI by CONTRACTOR, notify federal and/or state authorities as required by law or
4 regulation, and copy ADMINISTRATOR on such notifications.

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

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

10
11 **XXV. RESEARCH AND PUBLICATION**

12 CONTRACTOR shall not utilize information and/or data received from COUNTY, or arising out of,
13 or developed, as a result of this Agreement for the purpose of personal or professional research, or for
14 publication.

15
16 **XXVI. SEVERABILITY**

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

22
23 **XXVII. SPECIAL PROVISIONS**

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

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

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1 6. Making personal loans to CONTRACTOR’s staff, volunteers, interns, consultants,
2 subcontractors, and members of the Board of Directors or governing body, or its designee or authorized
3 agent, or making salary advances or giving bonuses to CONTRACTOR’s staff.

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

7 8. Severance pay for separating employees.

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

10 10. Supplanting current funding for existing services.

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

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

14 2. Making phone calls outside of the local area unless documented to be directly for the
15 purpose of Client care.

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

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

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

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

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

24 8. Purchase of gifts, meals, entertainment, awards, or other personal expenses for
25 CONTRACTOR’s Clients.

26
27 **XXVIII. STATUS OF CONTRACTOR**

28 CONTRACTOR is, and shall at all times be deemed to be, an independent contractor and shall be
29 wholly responsible for the manner in which it performs the services required of it by the terms of this
30 Agreement. CONTRACTOR is entirely responsible for compensating staff, subcontractors, and
31 consultants employed by CONTRACTOR. This Agreement shall not be construed as creating the
32 relationship of employer and employee, or principal and agent, between COUNTY and CONTRACTOR
33 or any of CONTRACTOR’s employees, agents, consultants, volunteers, interns, or subcontractors.
34 CONTRACTOR assumes exclusively the responsibility for the acts of its employees, agents,
35 consultants, volunteers, interns, or subcontractors as they relate to the services to be provided during the
36 course and scope of their employment. CONTRACTOR, its agents, employees, consultants, volunteers,
37 //

1 interns, or subcontractors, shall not be entitled to any rights or privileges of COUNTY's employees and
2 shall not be considered in any manner to be COUNTY's employees.

3
4 **XXIX. TERM**

5 A. The term of this Agreement shall commence as specified in the Referenced Contract Provisions
6 of this Agreement or the execution date, whichever is later. This Agreement shall terminate as specified
7 in the Referenced Contract Provisions of this Agreement unless otherwise sooner terminated as provided
8 in this Agreement. CONTRACTOR shall be obligated to perform such duties as would normally extend
9 beyond this term, including but not limited to, obligations with respect to confidentiality,
10 indemnification, audits, reporting, and accounting.

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

13
14 **XXX. TERMINATION**

15 A. Either Party may terminate this Agreement, without cause, upon ninety (90) calendar days'
16 written notice given the other Party.

17 B. CONTRACTOR shall be responsible for meeting all programmatic and administrative
18 contracted objectives and requirements as indicated in this Agreement. CONTRACTOR shall be subject
19 to the issuance of a CAP for the failure to perform to the level of contracted objectives, continuing to not
20 meet goals and expectations, and/or for non-compliance. If CAPs are not completed within timeframe
21 as determined by ADMINISTRATOR notice, payments may be reduced or withheld until CAP is
22 resolved and/or the Agreement could be terminated.

23 C. Unless otherwise specified in this Agreement, COUNTY may terminate this Agreement upon
24 five (5) calendar days' written notice if CONTRACTOR fails to perform any of the terms of this
25 Agreement. At ADMINISTRATOR's sole discretion, CONTRACTOR may be allowed up to thirty (30)
26 calendar days for corrective action.

27 D. COUNTY may terminate this Agreement immediately, upon written notice, on the occurrence
28 of any of the following events:

- 29 1. The loss by CONTRACTOR of legal capacity.
- 30 2. Cessation of services.
- 31 3. The delegation or assignment of CONTRACTOR's services, operation or administration to
32 another entity without the prior written consent of COUNTY.
- 33 4. The neglect by any physician or licensed person employed by CONTRACTOR of any duty
34 required pursuant to this Agreement.
- 35 5. The loss of accreditation or any license required by the Licenses and Laws Paragraph of this
36 Agreement.

37 //

1 6. The continued incapacity of any physician or licensed person to perform duties required
2 pursuant to this Agreement.

3 7. Unethical conduct or malpractice by any physician or licensed person providing services
4 pursuant to this Agreement; provided, however, COUNTY may waive this option if CONTRACTOR
5 removes such physician or licensed person from serving persons treated or assisted pursuant to this
6 Agreement.

7 E. CONTINGENT FUNDING

8 1. Any obligation of COUNTY under this Agreement is contingent upon the following:

- 9 a. The continued availability of federal, state and county funds for reimbursement of
- 10 COUNTY's expenditures, and
- 11 b. Inclusion of sufficient funding for the services hereunder in the applicable budget(s)
- 12 approved by the Board of Supervisors.

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

17 F. In the event this Agreement is suspended or terminated prior to the completion of the term as
18 specified in the Referenced Contract Provisions of this Agreement, ADMINISTRATOR may, at its
19 sole discretion, reduce the Maximum Obligation of this Agreement in an amount consistent with the
20 reduced term of the Agreement.

21 G. In the event this Agreement is terminated by either Party pursuant to Subparagraphs B., C., or
22 D. above, CONTRACTOR shall do the following:

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

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

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

29 4. If Clients are to be transferred to another facility for services, furnish ADMINISTRATOR,
30 upon request, all Client information and records deemed necessary by ADMINISTRATOR to effect an
31 orderly transfer.

32 5. Assist ADMINISTRATOR in effecting the transfer of Clients in a manner consistent with
33 Client's best interests.

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

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

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

7 9. Provide written notice of termination of services to each Client being served under this
8 Agreement, within fifteen (15) calendar days of receipt of termination notice. A copy of the notice of
9 termination of services must also be provided to ADMINISTRATOR within the fifteen (15) calendars
10 day period.

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

13
14 **XXXI. THIRD PARTY BENEFICIARY**

15 Neither Party hereto intends that this Agreement shall create rights hereunder in third parties
16 including, but not limited to, any subcontractors or any Clients provided services pursuant to this
17 Agreement.

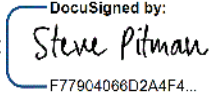
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19 **XXXII. WAIVER OF DEFAULT OR BREACH**

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

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

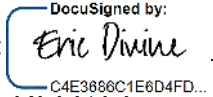
3
4 NAMI ORANGE COUNTY

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6 BY:  _____ DATED: 3/14/2019
7 F77904066D2A4F4...
8 TITLE: President
9 _____

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11
12 COUNTY OF ORANGE

13
14
15 BY: _____ DATED: _____
16 HEALTH CARE AGENCY

17
18
19 APPROVED AS TO FORM
20 OFFICE OF THE COUNTY COUNSEL
21 ORANGE COUNTY, CALIFORNIA

22
23 BY:  _____ DATED: 3/18/2019
24 C4E3888C1E6D4FD...
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34 If the contracting party is a corporation, two (2) signatures are required: one (1) signature by the Chairman of the Board, the
35 President or any Vice President; and one (1) signature by the Secretary, any Assistant Secretary, the Chief Financial Officer
36 or any Assistant Treasurer. If the contract is signed by one (1) authorized individual only, a copy of the corporate resolution
37 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 WARMLINE SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 NATIONAL ALLIANCE ON MENTAL ILLNESS (NAMI) ORANGE COUNTY
8 JULY 1, 2019 THROUGH JUNE 30, 2020
9

10 **I. COMMON TERMS AND DEFINITIONS**

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

13 1. Assessment means an evaluation of an individual’s behavioral health needs and conditions
14 in order to determine the most appropriate course of services.

15 2. At Risk means a state of high stressor and low protective factor that would increase
16 likelihood of development of a mental illness.

17 3. Behavioral Health Condition means diminished cognitive, emotional, or social abilities, but
18 not to the extent that the criteria for a mental disorder are met.

19 4. CAT means a program within the Behavioral Health Services branch of the Orange County
20 Health Care Agency comprised of licensed clinical social workers, marriage and family therapists, and
21 behavioral health specialists, whose functions include:

22 a. Crisis intervention for hospital diversions;

23 b. Evaluation for involuntary hospitalization (5150 WIC); assistance to police, fire, and
24 social service agencies in response to psychiatric emergencies;

25 5. Crisis Prevention Hotline provides toll-free, 24-hour, immediate, confidential, culturally
26 and linguistically appropriate, over-the-phone suicide prevention services to anyone who is in crisis or
27 experiencing suicidal thoughts.

28 6. Early Intervention means the act of intervening, interfering or interceding at the
29 manifestation of a Behavioral Health Condition, with the intent of measurably improving the condition
30 or to prevent a Behavioral Health Condition from getting worse.

31 7. Evaluation means the systematic investigation of the value and impact of an intervention or
32 program.

33 8. Family Member means any traditional and/or non-traditional support system, significant
34 other, or natural support designated by the Participant.

35 9. Live Chat means a web service that allows Participants of mental health services and their
36 families to communicate with mentors in real time, via a provider’s website, to receive support, share
37 concerns, and connect to resources available in the community.

1 10. MHSA means the law that provides funding for expanded community mental health
2 services, also known as Proposition 63.

3 11. Outreach means contact with potential Participants to link them to appropriate mental health
4 and supportive services; which may include activities that educate the community about services offered
5 and requirements for participation in the program.

6 12. Participant means an individual enrolled in a program who engages in activities aimed at
7 preventing and/or eliminating the development of Behavioral Health Condition.

8 13. PEI Plan means the most recent County of Orange MHSA Prevention and Early
9 Intervention Plan approved by the Orange County MHSA Steering Committee and Board of
10 Supervisors.

11 14. PHI means individually identifiable health information usually transmitted by electronic
12 media maintained in any medium as defined in the regulations or for an entity, such as a health plan,
13 transmitted or maintained in any other medium. It is created or received by a covered entity and relates
14 to the past, present, or future physical or Behavioral Health Condition of an individual, provision of
15 health care to an individual, or the past, present, or future payment for health care provided to an
16 individual.

17 15. PII means any information that could be readily used to identify a specific person, including
18 but not limited to: name, address, telephone number, E-Mail address, driver's license number, Social
19 Security number, bank account information, credit card information, or any combination of data that
20 could be used to identify a specific person, such as birth date, zip code, mother's maiden name and
21 gender.

22 16. POMS means a questionnaire designed to measure a person's affective states – e.g. tension,
23 depression, fatigue, vigor, confusion, anger, and esteem-related affect.

24 17. Prevention means the group or individual interventions that occur before the initial onset of
25 a Behavioral Health Condition. Prevention promotes positive cognitive, social, and emotional
26 development and encourages a state of well-being that allows the individuals to function well in the face
27 of changing and sometimes challenging circumstances.

28 18. Referral means an individual receives information or contacts for services or programs.

29 19. Unduplicated Participant means an individual who is counted only once, despite how many
30 programs the individual is enrolled in during a contractual agreement period. For example; if a
31 Participant receives individual and group services, they can only be counted once.

32 20. Units of Service means the number and/or type of activities the CONTRACTOR will fulfill
33 during a contractual agreement period.

34 B. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
35 Common Terms and Definitions Paragraph of this Exhibit A to the Agreement.

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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 budget, which is set forth for informational purposes only and may be adjusted by mutual agreement, in advance and in writing, by ADMINISTRATOR and CONTRACTOR.

	<u>TOTAL</u>
ADMINISTRATIVE COST	
Indirect Costs	\$ 36,000
SUBTOTAL ADMINISTRATIVE COST	\$ 36,000
 PROGRAM COST	
Salaries	\$376,882
Benefits	67,839
Services and Supplies	<u>55,846</u>
SUBTOTAL PROGRAM COST	\$500,566
 TOTAL GROSS COST	 \$536,566
 REVENUE	
MHTA	\$536,566
TOTAL REVENUE	
 TOTAL MAXIMUM OBLIGATION	 \$536,566

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

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1 C. FINANCIAL RECORDS – CONTRACTOR shall prepare and maintain accurate and complete
2 financial records of its cost and operating expenses. Such records will reflect the actual cost of the type
3 of service for which payment is claimed. Any apportionment of or distribution of costs, including
4 indirect costs, to or between programs or cost centers of CONTRACTOR shall be documented, and will
5 be made in accordance with GAAP.

6 D. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the Budget
7 Paragraph of this Exhibit A to the Agreement.

8
9 **III. PAYMENTS**

10 A. BASIS FOR REIMBURSEMENT – COUNTY shall pay CONTRACTOR for the actual costs
11 of providing the services described hereunder, less revenues which are actually received by
12 CONTRACTOR; provided, however, that CONTRACTOR’s costs are allowable pursuant to county,
13 state, and federal regulations. Non-compliance will require the completion of a CAP by
14 CONTRACTOR. If CAPs are not completed within timeframes as determined by ADMINISTRATOR,
15 payments may be reduced accordingly. Furthermore, if CONTRACTOR is ineligible to provide services
16 due to non-compliance with licensure and/or certification standards of the State, County or OCPD,
17 ADMINISTRATOR may elect to reduce County’s maximum obligation proportionate to the length of
18 time that CONTRACTOR is ineligible to provide services.

19 B. PAYMENT METHOD – COUNTY shall pay CONTRACTOR monthly in arrears the actual
20 cost of the services, less revenues that are actually received by CONTRACTOR provided, however, that
21 the total of such payments shall not exceed the COUNTY’s Maximum Obligation. CONTRACTOR’s
22 invoices shall be on a form approved or provided by ADMINISTRATOR and shall provide such
23 information as is required by ADMINISTRATOR. Invoices are due by the tenth (10th) calendar day of
24 each month, and payments to CONTRACTOR should be released by COUNTY no later than twenty-one
25 (21) calendar days after receipt of the correctly completed invoice form.

26 C. Monthly payments are interim payments only, and subject to Final Settlement in accordance
27 with the Cost Report paragraph of this Agreement. Invoices received after the due date may not be paid
28 in accordance with Subparagraph III.B. of this Exhibit A to the Agreement.

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

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

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

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

6 H. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
7 Payments Paragraph of this Exhibit A to the Agreement.

8
9 **IV. REPORTS**

10 **A. FISCAL**

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

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

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

30 C. PROGRAMMATIC – CONTRACTOR shall submit monthly Programmatic reports to
31 ADMINISTRATOR. These reports shall be in a format approved by ADMINISTRATOR and shall
32 include but not limited to, descriptions of any performance objectives, outcomes, and or interim findings
33 as directed by ADMINISTRATOR. CONTRACTOR shall be prepared to present and discuss the
34 programmatic reports at the monthly meetings with ADMINISTRATOR, to include whether or not
35 CONTRACTOR is progressing satisfactorily and if not, specify what steps are being taken to achieve
36 satisfactory progress. Such reports shall be received by ADMINISTRATOR no later than twentieth
37 (20th) calendar day following the end of the month being reported.

1 D. ADDITIONAL REPORTS – Upon ADMINISTRATOR’s request, CONTRACTOR shall make
2 such additional reports as required by ADMINISTRATOR concerning CONTRACTOR's activities as
3 they affect the services hereunder. ADMINISTRATOR shall be specific as to the nature of information
4 requested and allow thirty (30) calendar days for CONTRACTOR to respond.

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

7
8 **V. SERVICES**

9 A. FACILITY - CONTRACTOR shall maintain facility for the provision of services described
10 herein at the following location(s), or any other location approved, in advance, in writing, by
11 ADMINISTRATOR. The facility shall include space to support the services identified within the
12 Agreement.

13
14 1633 East 4th Street, Suite 218
15 Santa Ana, CA 92705
16

17 B. CONTRACTOR shall provide culturally and linguistically appropriate non-crisis services to all
18 COUNTY residents via telephone in the language of their choice, via TTY, or via Internet Live Chat.
19 The services shall include, but not limited to, the following:

20 1. CONTRACTOR shall, through trained staff who are Participants of mental health and/or
21 substance use disorders services and/or the Family Members of mental health or substance use disorders
22 Participants, provide county-wide, non-crisis services between the hours of 9:00 a.m. and 3:00 p.m.
23 Monday through Friday, and from 10:00 a.m. to 3:00 p.m. on Saturday and Sunday, three hundred and
24 sixty-five (365) days a year.

25 2. CONTRACTOR shall have a trained supervisor or senior mentor who will screen all
26 incoming calls/TTY/Internet Live Chat for program eligibility. Supervisor or senior mentor shall listen
27 or observe for warning signs that indicate that the caller should be connected with the Crisis Prevention
28 Hotline immediately for a more detailed Assessment.

29 3. When it is determined by CONTRACTOR staff that the caller’s/texter’s needs are best met
30 by the Crisis Prevention Hotline, the supervisor or senior mentor shall obtain as much information as
31 possible, contact the Crisis Prevention Hotline; and stay on the phone/TTY/chat until connection
32 between caller/texter and a live Crisis Prevention Hotline counselor is successfully established. If the
33 supervisor or senior mentor is unable to connect a caller/texter to the Crisis Prevention Hotline, they
34 shall contact the Centralized Assessment Team or the appropriate police department and request
35 services/interventions for the caller.

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1 4. When CONTRACTOR staff is speaking to callers/texters about their loved ones who are in
2 crisis, the supervisor or senior mentor shall gather as much information as possible and offer to
3 link/refer callers/texters to Crisis Prevention Hotline counselors for immediate attention.

4 5. When the supervisor or senior mentor has determined through a thorough screening that
5 there is no evidence of safety concern and that the caller's/texter's needs can be satisfactorily met by
6 trained mentors, the supervisor or senior counselor shall immediately link callers/texters with trained
7 mentors.

8 6. CONTRACTOR shall support callers/texters who are struggling with their Behavioral
9 Health Conditions and are looking for a respectful, caring, and understanding person who has been
10 through a similar journey to listen to their concerns and assist them with meaningful and practical
11 strategies to cope with their situations and be more optimistic about their recovery and future.

12 7. CONTRACTOR shall have trained mentors educate callers/texters about Behavioral Health
13 Conditions based on factual information and the availability of appropriate services and resources in the
14 community to prevent or ameliorate Behavioral Health Conditions.

15 8. CONTRACTOR shall meet the diverse language needs of non-English speaking
16 callers/texters for language-specific mentor services by retaining over-the-phone
17 interpretation/translation services offered by a language line service provider as approved by
18 ADMINISTRATOR.

19 9. CONTRACTOR shall conduct Outreach to inform the community about Warmline Services
20 using a variety of means, including but not limited to advertisement on CONTRACTOR's own and
21 community partners' websites, internet search engines, community newspapers, radio and television ads,
22 public service announcements, and community presentations. It is expected that the Warmline will
23 coordinate with existing Outreach and Engagement Services staff from partner agencies to increase
24 visibility and relationships between programs. All print, internet, television and other media-related
25 Outreach should be developed in multiple languages to engage as many underserved and isolated
26 cultural groups as possible. These groups may include, but are not limited to, non-English speakers,
27 deaf and hard of hearing persons, veterans, youth, adults, older adults, and LGBTQI persons.

28 10. CONTRACTOR shall furnish up-to-date and relevant information to callers/texters about
29 how to navigate through and access the behavioral health services system as well as any other needed
30 resources in the community. Referrals might include, but not be limited to behavioral health counseling,
31 prescription assistance programs, legal support and advocacy, basic needs and social services, as well as
32 suicide Prevention programs such as the Crisis Prevention Hotline.

33 11. CONTRACTOR shall provide Warmline Services as a broad range of personalized social
34 development services that are culturally and linguistically appropriate and consistent with the PEI Plan.

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C. CONTRACTOR shall at a minimum achieve the following Units of Service.

Warmline Network Services	Units of Service
Total Calls	36,000
Unduplicated Callers	13,500
Average length of time per call	20-30 minutes
Presentations or Outreach activities	
1. Number of face-to-face presentations	65
2. Total Number of people served in Outreach activities	3,500

D. CONTRACTOR shall track and implement the following Outcome Measures.

1. CONTRACTOR shall utilize the Changes in Caller Mood Survey instrument, as reviewed and approved by ADMINISTRATOR to collect pertinent data, which will be entered and analyzed for Participant’s level of satisfaction, program management, and quality improvement purposes.

2. CONTRACTOR shall utilize a data collection system for tracking Participants’ Enrollment and demographics when identified, as callers are anonymous, and track service utilization including frequency and level of satisfaction. CONTRACTOR shall also continuously track the number of Participants reached through Outreach, volume of calls/TTYs/chats, contacts address or zip codes of where the callers/texters are calling/texting from, what percentages of callers/texters are priority populations and preferred languages, and total Referrals provided.

3. CONTRACTOR shall strive to meet the following goals for their program:

a. On average, Participants will demonstrate an improvement in mood as measured and reflected by the positive change from the Modified POMS Scale. This will occur as a result of mentors providing unconditional, empathic support to Participants via telephone, TTY, and Internet Live Chat; educating them about Mental Health Conditions and available resources in the community; collaborating with them in finding ways to cope better with their situations; and instilling hope in their recovery and future; and

b. Increase community members’ awareness, help-seeking behavior, and access to both crisis and non-crisis services by screening all Participants for safety concerns using prevailing suicide risk Assessment standards; educating them about mental health disorders when deemed appropriate; and referring them with at least one (1) to three (3) appropriate community resources to meet their mental health needs.

4. CONTRACTOR shall provide the COUNTY with monthly data reports, or as needed upon request of ADMINISTRATOR.

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1 E. CONTRACTOR shall, on an ongoing basis and in partnership with ADMINISTRATOR,
 2 develop, modify, and incorporate different and/or additional outcome measurements, as approved by
 3 ADMINISTRATOR.

4 F. CONTRACTOR shall conduct on-going evaluations of the program and provide analysis to
 5 ADMINISTRATOR on a regular basis and in a format approved by ADMINISTRATOR.

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

8
 9 **VI. STAFFING**

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

PROGRAM	<u>FTEs</u>
Clinical Director	1.00
Warmline Manager	1.00
Resource Specialist	1.00
Data Analyst	0.03
Senior Mentors	1.60
Mentors	<u>5.90</u>
TOTAL FTEs	10.53

23 B. CONTRACTOR shall make best effort to include bilingual/bicultural services to meet the
 24 diverse needs of the community threshold languages as determined by COUNTY. Whenever possible,
 25 bilingual/bicultural staff should be recruited and retained. Any staffing vacancies occurring at a time
 26 when bilingual and bicultural composition of the staffing does not meet the above requirement must be
 27 filled with bilingual and bicultural staff unless ADMINISTRATOR consents, in writing, to the filling of
 28 those positions with non-bilingual staff. Salary savings resulting from such vacant positions may not be
 29 used to cover costs other than salaries and employees benefits unless otherwise authorized in writing, in
 30 advance, by ADMINISTRATOR.

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

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1 D. CONTRACTOR shall actively recruit and maintain a large pool of qualified volunteers,
2 especially those who speak other languages and those whose lives were impacted by Behavioral Health
3 Conditions, substance use disorders, and suicide and train them to be Warmline mentors. Further,
4 CONTRACTOR shall encourage volunteers/interns who have demonstrated exceptional skills on the
5 Warmline to apply for available paid positions with CONTRACTOR upon written approval of
6 ADMINISTRATOR.

7 E. CONTRACTOR is highly encouraged to augment the above paid staff with qualified and
8 trained volunteers and/or interns upon written approval of ADMINISTRATOR.

9 F. CONTRACTOR shall maintain personnel files for each staff member, both administrative and
10 programmatic, both direct and indirect, which shall include, but not be limited to, an application for
11 employment, qualifications for the position, documentation of bicultural/bilingual capabilities (if
12 applicable), pay rate and evaluations justifying pay increases.

13 G. CONTRACTOR shall establish clear P&Ps pertaining to staff's work location options (i.e.
14 office vs. field/home) and equipment usage (e.g., cell phones, texting devices, and computers). The
15 P&Ps shall address at the minimum the following:

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

20 H. CONTRACTOR shall notify ADMINISTRATOR, in writing, within seventy-two (72) hours, of
21 any staffing vacancies that occur during the term of the Agreement.

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

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

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

34 L. ADMINISTRATOR shall provide, or cause to be provided, training and ongoing consultation to
35 CONTRACTOR's staff to assist CONTRACTOR in ensuring compliance with ADMINISTRATOR
36 Standards of Care practices, P&Ps, documentation standards and any State regulatory requirements.

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

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EXHIBIT B
TO AGREEMENT FOR PROVISION OF
WARMLINE SERVICES
BETWEEN
COUNTY OF ORANGE
AND
NATIONAL ALLIANCE ON MENTAL ILLNESS DBA NAMI ORANGE COUNTY
JULY 1, 2019 THROUGH JUNE 30, 2020

I. BUSINESS ASSOCIATE CONTRACT

A. GENERAL PROVISIONS AND RECITALS

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

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

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

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

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

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

1 Privacy and the Security rules, as they may exist now or be hereafter amended, with respect to PHI and
2 electronic PHI created, received, maintained, transmitted, used, or disclosed 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.

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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
33 45 CFR § 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 employees,
11 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 45 CFR
12 § 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, maintains,
25 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 functions
10 or activities on behalf of COUNTY in connection with Agreement, or access or disclose PHI COUNTY
11 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
12 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 for
26 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 algorithm
14 which is 128bit or higher, such as AES. Such PHI shall not be considered "removed from the premises"
15 if it is only being transported from one of CONTRACTOR's locations to another of CONTRACTOR's
16 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 period
4 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 requests
34 for further information, or follow-up information after report to COUNTY, when such request is made
35 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 is
15 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
37 42 USC § 17935(d)(2).

I. OBLIGATIONS OF COUNTY

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

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

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

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

J. BUSINESS ASSOCIATE TERMINATION

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

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

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

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

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

b. CONTRACTOR shall retain no copies of the PHI.

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

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

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EXHIBIT C
TO AGREEMENT FOR PROVISION OF
WARMLINE SERVICES
BETWEEN
COUNTY OF ORANGE
AND
NATIONAL ALLIANCE ON MENTAL ILLNESS DBA NAMI ORANGE COUNTY
JULY 1, 2019 THROUGH JUNE 30, 2020

I. PERSONAL INFORMATION PRIVACY AND SECURITY CONTRACT

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

A. DEFINITIONS

1. "Breach" shall have the meaning given to such term under the IEA and CMPPA. It shall include a "PII loss" as that term is defined in the CMPPA.
2. "Breach of the security of the system" shall have the meaning given to such term under the CIPA, Civil Code § 1798.29(d).
3. "CMPPA Agreement" means the CMPPA Agreement between the SSA and CHHS.
4. "DHCS PI" shall mean Personal Information, as defined below, accessed in a database maintained by the COUNTY or DHCS, received by CONTRACTOR from the COUNTY or DHCS or acquired or created by CONTRACTOR in connection with performing the functions, activities and services specified in the Agreement on behalf of the COUNTY.
5. "IEA" shall mean the Information Exchange Agreement currently in effect between the SSA and DHCS.
6. "Notice-triggering Personal Information" shall mean the personal information identified in California Civil Code § 1798.29(e) whose unauthorized access may trigger notification requirements under California Civil Code § 1709.29. For purposes of this provision, identity shall include, but not be limited to, name, identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print, a photograph or a biometric identifier. Notice-triggering PI includes PI in electronic, paper or any other medium.
7. "PII" shall have the meaning given to such term in the IEA and CMPPA.
8. "PI" shall have the meaning given to such term in California Civil Code § 1798.3(a).
9. "Required by law" means a mandate contained in law that compels an entity to make a use or disclosure of PI or PII that is enforceable in a court of law. This includes, but is not limited to, court orders and court-ordered warrants, subpoenas or summons issued by a court, grand jury, a governmental or tribal inspector general, or an administrative body authorized to require the production of information, and a civil or an authorized investigative demand. It also includes Medicare conditions of participation

1 with respect to health care providers participating in the program, and statutes or regulations that require
2 the production of information, including statutes or regulations that require such information if payment
3 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 Agreement
11 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 data
27 systems containing DHCS PI and PII. CONTRACTOR shall protect paper documents containing DHCS
28 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 an
32 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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