

1 AGREEMENT FOR PROVISION OF
2 HIV RESIDENTIAL SUBSTANCE USE DISORDER TREATMENT SERVICES
3 BETWEEN
4 COUNTY OF ORANGE
5 AND
6 «UC_NAME»
7 JULY 1, 2017 THROUGH JUNE 30, 2019

8
9 THIS AGREEMENT entered into this 1st day of July 2017, (effective date), is by and between the
10 COUNTY OF ORANGE, a political subdivision of the State of California (COUNTY) and
11 «UC_NAME», a «CORP_STATUS» (CONTRACTOR). COUNTY and CONTRACTOR may
12 sometimes be referred to herein individually as “Party” or collectively as “Parties.” This Agreement
13 shall be administered by the County of Orange Health Care Agency (ADMINISTRATOR).

14
15 **W I T N E S S E T H:**

16
17 WHEREAS, COUNTY wishes to contract with CONTRACTOR for the provision of
18 HIV Residential Substance Use Disorder Treatment Services described herein to the residents of Orange
19 County; and

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

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

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DocuSigned by:
Eric Divine
C4E3886C1E6D4FD...

3/23/2017

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REFERENCED CONTRACT PROVISIONS

Agreement Term: July 1, 2017 through June 30, 2019

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

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

Maximum Obligation:

Period One Maximum Obligation: \$252,264

Period Two Maximum Obligation: 252,264

TOTAL MAXIMUM OBLIGATION: \$504,528

Basis for Reimbursement: Actual Cost

Payment Method: Monthly in Arrears

CONTRACTOR DUNS Number: «DUNS»

CONTRACTOR TAX ID Number: «TAX_ID»

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: «LCNAME»
«CONTACT»
«ADDRESS»
«CITY_STATE_ZIP»
Contact Name: «CONTACT»
Contact E-Mail: «CONTACT_EMAIL»

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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. AIDS	Acquired Immune Deficiency Syndrome
5	B. ARIES	AIDS Regional Information and Evaluation System
6	C. ARRA	American Recovery and Reinvestment Act
7	D. ASRS	Alcohol and Drug Programs Reporting System
8	E. CalOMS	California Outcomes Measurement System
9	F. CAP	Corrective Action Plan
10	G. CAPER	Consolidated Annual Performance and Evaluation Report
11	H. CCC	California Civil Code
12	I. CCR	California Code of Regulations
13	J. CESI	Client Evaluation of Self at Intake
14	K. CEST	Client Evaluation of Self and Treatment
15	L. CFR	Code of Federal Regulations
16	M. CHPP	COUNTY HIPAA Policies and Procedures
17	N. CHS	Correctional Health Services
18	O. DATAR	Drug Abuse Treatment Access Report
19	P. D/MC	Drug/Medi-Cal
20	Q. DHCS	Department of Health Care Services
21	R. DPFS	Drug Program Fiscal Systems
22	S. DRS	Designated Record Set
23	T. FTE	Full Time Equivalent
24	U. HCA	Health Care Agency
25	V. HHS	Health and Human Services
26	W. HIPAA	Health Insurance Portability and Accountability Act
27	X. HIV	Human Immunodeficiency Virus
28	Y. HMIS	Homeless Management Information System.
29	Z. HUD	Housing and Urban Development
30	AA. HSC	California Health and Safety Code
31	AB. IRIS	Integrated Records and Information System
32	AC. MHP	Mental Health Plan
33	AD. NIATx	Network for Improvement of Addiction Treatment
34	AE. OCJS	Orange County Jail System
35	AF. OCPD	Orange County Probation Department
36	AG. OCR	Office for Civil Rights
37	AH. OCSD	Orange County Sheriff's Department

1	AI. OIG	Office of Inspector General
2	AJ. OMB	Office of Management and Budget
3	AK. OPM	Federal Office of Personnel Management
4	AL. PADSS	Payment Application Data Security Standard
5	AM. PC	State of California Penal Code
6	AN. PCI DSS	Payment Card Industry Data Security Standard
7	AO. PHI	Protected Health Information
8	AP. PII	Personally Identifiable Information
9	AQ. PRA	Public Record Act
10	AR. SSI	Supplemental Security Income
11	AS. SUD	Substance Use Disorder
12	AT. TB	Tuberculosis
13	AU. USC	United States Code
14	AV. VOD	Verification of Disease
15	AW. WIC	State of California Welfare and Institutions Code

II. ALTERATION OF TERMS

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

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

III. ASSIGNMENT OF DEBTS

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

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IV. COMPLIANCE

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

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

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

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

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

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

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1 ADMINISTRATOR's required elements within thirty (30) calendar days after ADMINISTRATOR's
2 Compliance Officer's determination and resubmit the same for review by the ADMINISTRATOR.

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

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

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

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

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

36 4. CONTRACTOR shall screen all current Covered Individuals and subcontractors semi-
37 annually to ensure that they have not become Ineligible Persons. CONTRACTOR shall also request that

1 its subcontractors use their best efforts to verify that they are eligible to participate in all federal and
2 State of California health programs and have not been excluded or debarred from participation in any
3 federal or state health care programs, and to further represent to CONTRACTOR that they do not have
4 any Ineligible Person in their employ or under contract.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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V. CONFIDENTIALITY

A. CONTRACTOR shall maintain the confidentiality of all records, including billings and any audio and/or video recordings, in accordance with all applicable federal, state and county codes and regulations, including 42 USC §290dd-2 (Confidentiality of Records), 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 HIV services system, and therefore it may be necessary for authorized staff of ADMINISTRATOR to audit Client files, or to exchange information regarding specific Clients with COUNTY or other providers of related services contracting with COUNTY.

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

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

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

C. CONTRACTOR shall have in effect a system to protect patient records from inappropriate disclosure in connection with activity funded under this Agreement. This system shall include provisions for employee education on the confidentiality requirements, and the fact that disciplinary action may occur upon inappropriate disclosure. CONTRACTOR agrees to implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of all confidential information that it creates, receives, maintains or transmits. CONTRACTOR shall provide ADMINISTRATOR with information concerning such safeguards.

D. CONTRACTOR agrees to mitigate, to the extent practicable, any harmful effect that is known to CONTRACTOR, or its subcontractors or agents in violation of the applicable state and federal regulations regarding confidentiality.

E. CONTRACTOR shall monitor compliance with the above provisions on confidentiality and security, and shall include them in all subcontracts.

F. CONTRACTOR shall notify ADMINISTRATOR within twenty-four (24) hours during a work week, of any suspected or actual breach of its computer system.

VI. COST REPORT

A. CONTRACTOR shall submit separate Cost Reports for Period One and Period Two, or for a portion thereof, to COUNTY no later than forty-five (45) calendar days following the period for which they are prepared or termination of this Agreement. CONTRACTOR shall prepare the Cost Report in accordance with all applicable federal, state and COUNTY requirements, GAAP and the Special Provisions Paragraph of this Agreement. CONTRACTOR shall allocate direct and indirect costs to and between programs, cost centers, services, and funding sources in accordance with such requirements and consistent with prudent business practice, which costs and allocations shall be supported by source documentation maintained by CONTRACTOR, and available at any time to ADMINISTRATOR upon reasonable notice.

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

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

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

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

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

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

C. Final settlement shall be based upon the actual and reimbursable costs for services hereunder, less applicable revenues and any late penalty, not to exceed COUNTY's Maximum Obligation as set forth in the Referenced Contract Provisions of this Agreement. CONTRACTOR shall not claim

1 expenditures to COUNTY which are not reimbursable pursuant to applicable federal, state and
2 COUNTY laws, regulations and requirements. Any payment made by COUNTY to CONTRACTOR,
3 which is subsequently determined to have been for an unreimbursable expenditure or service, shall be
4 repaid by CONTRACTOR to COUNTY in cash, or other authorized form of payment, within thirty (30)
5 calendar days of submission of the Cost Report or COUNTY may elect to reduce any amount owed
6 CONTRACTOR by an amount not to exceed the reimbursement due COUNTY.

7 D. Costs of Medi-Cal services shall not exceed the D/MC rate caps per Medi-Cal Unit of Service,
8 as determined by the California Department of Health Care Services.

9 E. If the Cost Report indicates the actual and reimbursable costs of services provided pursuant to
10 this Agreement, less applicable revenues and any late penalty, are higher than the aggregate of interim
11 monthly payments to CONTRACTOR, then COUNTY shall pay CONTRACTOR the difference,
12 provided such payment does not exceed the COUNTY's Total Maximum Obligation.

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

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

24
25 Signed _____
26 Name _____
27 Title _____
28 Date _____"

29
30 **VII. DEBARMENT AND SUSPENSION CERTIFICATION**

31 A. CONTRACTOR certifies that it and its principals:

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

34 2. Have not within a three-year period preceding this Agreement been convicted of or had a
35 civil judgment rendered against them for commission of fraud or a criminal offense in connection with
36 obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract
37 under a public transaction; violation of federal or state antitrust statutes or commission of

1 embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or
2 receiving stolen property.

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

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

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

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

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

18
19 **VIII. DELEGATION, ASSIGNMENT AND SUBCONTRACTS**

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

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

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

33 2. If CONTRACTOR is a for-profit organization, any change in the business structure,
34 including but not limited to, the sale or transfer of more than ten percent (10%) of the assets or stocks of
35 CONTRACTOR, change to another corporate structure, including a change to a sole proprietorship, or a
36 change in fifty percent (50%) or more of Board of Directors or any governing body of CONTRACTOR

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1 at one time shall be deemed an assignment pursuant to this paragraph. Any attempted assignment or
2 delegation in derogation of this subparagraph shall be void.

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

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

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

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

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

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

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

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

31
32 **IX. EMPLOYEE ELIGIBILITY VERIFICATION**

33 CONTRACTOR warrants that it shall fully comply with all federal and state statutes and
34 regulations regarding the employment of aliens and others and to ensure that employees, subcontractors,
35 and consultants performing work under this Agreement meet the citizenship or alien status requirements
36 set forth in federal statutes and regulations. CONTRACTOR shall obtain, from all employees,
37 subcontractors, and consultants performing work hereunder, all verification and other documentation of

1 employment eligibility status required by federal or state statutes and regulations including, but not
 2 limited to, the Immigration Reform and Control Act of 1986, 8 USC §1324 et seq., as they currently
 3 exist and as they may be hereafter amended. CONTRACTOR shall retain all such documentation for all
 4 covered employees, subcontractors, and consultants for the period prescribed by the law.

6 **X. EQUIPMENT**

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

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

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

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

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

36 F. CONTRACTOR must report any loss or theft of Equipment in accordance with the procedure
 37 approved by ADMINISTRATOR and the Notices Paragraph of this Agreement. In addition,

1 CONTRACTOR must complete and submit to ADMINISTRATOR a notification form when items of
2 Equipment are moved from one location to another or returned to COUNTY as surplus.

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

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

9
10 **XI. FACILITIES, PAYMENTS AND SERVICES**

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

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

22
23 **XII. INDEMNIFICATION AND INSURANCE**

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

34 B. Prior to the provision of services under this Agreement, CONTRACTOR agrees to purchase all
35 required insurance at CONTRACTOR’s expense, including all endorsements required herein, necessary
36 to satisfy COUNTY that the insurance provisions of this Agreement have been complied with.
37 CONTRACTOR agrees to keep such insurance coverage, Certificates of Insurance, and endorsements

1 on deposit with COUNTY during the entire term of this Agreement. In addition, all subcontractors
2 performing work on behalf of CONTRACTOR pursuant to this Agreement shall obtain insurance
3 subject to the same terms and conditions as set forth herein for CONTRACTOR.

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

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

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

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

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

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

32 F. QUALIFIED INSURER

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

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

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

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

H. REQUIRED COVERAGE FORMS

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

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

I. REQUIRED ENDORSEMENTS

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

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

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

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

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

8 b. A primary and non-contributing endorsement evidencing that the Contractor’s
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, officers,
16 agents and employees, or provide blanket coverage, which will state **AS REQUIRED BY WRITTEN**
17 **AGREEMENT.**

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

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

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

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

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

37 //

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

4 R. SUBMISSION OF INSURANCE DOCUMENTS

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

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

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

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

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

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

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

28
29 **XIII. INSPECTIONS AND AUDITS**

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

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

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

7 C. AUDIT RESPONSE

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

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

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

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

30 **XIV. LICENSES AND LAWS**

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

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

3 B. ENFORCEMENT OF CHILD SUPPORT OBLIGATIONS

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

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

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

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

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

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

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

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

- 27 1. ARRA of 2009.
- 28 2. Code of Federal Regulations, Title 42, Public Health.
- 29 3. 42 USC. 12901 et seq., AIDS Housing Opportunity Act.
- 30 4. Title 24, Subtitle B, Chapter 5, Subchapter C, CFR Part 574, Housing Opportunities for
31 Persons with AIDS.
- 32 5. 24 CFR Parts 42 (Displacement, Relocation Assistance, and Real Property Acquisition for
33 HUD and HUD-Assisted Programs) and 570 (Displacement, relocation, acquisition, and
34 replacement of housing).
- 35 6. 24 CFR Part 85, Grants Management Common Rule (State and Local Governments).
- 36 7. Flood Disaster Protection Act of 1973 (P.L. 93-234).

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- 1 8. American National Standards Institute Specifications for Making Buildings and Facilities
- 2 Accessible to, and Usable by, the Physically Handicapped, Number A-117.1-R1998.
- 3 9. 42 USC 7606 The Clean Air Act, as amended (42 USC 1857(h) et seq.).
- 4 10. 33 USC 1368 The Clean Water Act, as amended (33 USC 1368 et seq.), Executive Order
- 5 11738, and Environmental Protection Agency regulations (40 CFR Part 15).
- 6 11. 31 USC 7501 – 7507, as well as its implementing regulations under 2 CFR Part 200,
- 7 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for
- 8 Federal Awards.
- 9 12. HIPAA Privacy Rule, as it may now exist, or be hereafter amended, as applicable.
- 10 13. 42 USC §12101 et seq., Americans with Disabilities Act of 1990.
- 11 14. WIC §15600, et seq., Elder Abuse and Dependent Adult Civil Protection Act.
- 12 15. 45 CFR Part 76, Drug Free Work Place.
- 13 16. CCR, Title 22, Division 6, Community Care Licensing Division.
- 14 17. Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87, October 30,
- 15 2009).
- 16 18. U.S. Department of Health and Human Services, National Institutes of Health (NIH) Grant
- 17 Policy Statement (10/13).
- 18 19. U.S. Department of Health and Human Services, Public Health Service, PHS Grant Policy
- 19 Statement.
- 20 20. 31 USC 7501 – 7507, as well as its implementing regulations under 2 CFR Part 200
- 21 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for
- 22 Federal Awards.
- 23 21. Title XXVI of the Public Health Services Act, as amended by the Ryan White HIV/AIDS
- 24 Treatment Extension Act of 2009 (Public Law 111-87).
- 25 22. State of California, Department of Alcohol and Drug Programs Audit Assistance Guide
- 26 Manual.
- 27 23. State of California, Department of Alcohol and Drug Programs, Alcohol and/or Other Drug
- 28 Program Certification Standards, March 2004.
- 29 24. Trafficking Victims Protection Act of 2000, specifically section 106(g) of the Trafficking
- 30 Victims Protection Act of 2000 (22 U.S.C. 7104(g)) as amended by section 1702.

XV. LITERATURE, ADVERTISEMENTS, AND SOCIAL MEDIA

A. Any written information or literature, including educational or promotional materials, distributed by CONTRACTOR to any person or organization for purposes directly or indirectly related to this Agreement must be approved at least thirty (30) days in advance and in writing by ADMINISTRATOR before distribution. For the purposes of this Agreement, distribution of written

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1 materials shall include, but not be limited to, pamphlets, brochures, flyers, newspaper or magazine ads,
2 and electronic media such as the Internet.

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

6 C. If CONTRACTOR uses social media (such as Facebook, Twitter, YouTube or other publicly
7 available social media sites) in support of the services described within this Agreement,
8 CONTRACTOR shall develop social media policies and procedures and have them available to
9 ADMINISTRATOR upon reasonable notice. CONTRACTOR shall inform ADMINISTRATOR of all
10 forms of social media used to either directly or indirectly support the services described within this
11 Agreement. CONTRACTOR shall comply with COUNTY Social Media Use Policy and Procedures as
12 they pertain to any social media developed in support of the services described within this Agreement.
13 CONTRACTOR shall also include any required funding statement information on social media when
14 required by ADMINISTRATOR.

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

17 E. CONTRACTOR shall also clearly explain through these materials that there shall be no
18 unlawful use of drugs or alcohol associated with the services provided pursuant to this Agreement, as
19 specified in HSC, §11999-11999.3.

20
21 **XVI. MAXIMUM OBLIGATION**

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

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

28
29 **XVII. MINIMUM WAGE LAWS**

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

37 //

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

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

8
9 **XVIII. NONDISCRIMINATION**

10 **A. EMPLOYMENT**

11 1. During the term of this Agreement, CONTRACTOR and its Covered Individuals shall not
12 unlawfully discriminate against any employee or applicant for employment because of his/her race,
13 religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition,
14 genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual
15 orientation, or military and veteran status. Additionally, during the term of this Agreement,
16 CONTRACTOR and its Covered Individuals shall require in its subcontracts that subcontractors shall
17 not unlawfully discriminate against any employee or applicant for employment because of his/her race,
18 religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition,
19 genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual
20 orientation, or military and veteran status.

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

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

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

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

37 //

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

6 B. SERVICES, BENEFITS AND FACILITIES – CONTRACTOR and/or subcontractor shall not
7 discriminate in the provision of services, the allocation of benefits, or in the accommodation in facilities
8 on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental
9 disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender
10 expression, age, sexual orientation, or military and veteran status in accordance with Title IX of the
11 Education Amendments of 1972 as they relate to 20 USC §1681 – §1688; Title VI of the Civil Rights
12 Act of 1964 (42 USC §2000d); the Age Discrimination Act of 1975 (42 USC §6101); Title 9, Division
13 4, Chapter 6, Article 1 (§10800, et seq.) of the California Code of Regulations; and Title II of the
14 Genetic Information Nondiscrimination Act of 2008, 42 USC 2000ff, et seq. as applicable, and all other
15 pertinent rules and regulations promulgated pursuant thereto, and as otherwise provided by state law and
16 regulations, as all may now exist or be hereafter amended or changed. For the purpose of this
17 Nondiscrimination paragraph, Discrimination includes, but is not limited to the following based on one
18 or more of the factors identified above:

- 19 1. Denying a Client or potential Client any service, benefit, or accommodation.
- 20 2. Providing any service or benefit to a Client which is different or is provided in a different
21 manner or at a different time from that provided to other Clients.
- 22 3. Restricting a Client in any way in the enjoyment of any advantage or privilege enjoyed by
23 others receiving any service or benefit.
- 24 4. Treating a Client differently from others in satisfying any admission requirement or
25 condition, or eligibility requirement or condition, which individuals must meet in order to be provided
26 any service or benefit.
- 27 5. Assignment of times or places for the provision of services.

28 C. COMPLAINT PROCESS – CONTRACTOR shall establish procedures for advising all Clients
29 through a written statement that CONTRACTOR’s and/or subcontractor’s Clients may file all
30 complaints alleging discrimination in the delivery of services with CONTRACTOR, subcontractor, and
31 ADMINISTRATOR or the U.S. Department of Health and Human Services’ OCR.

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

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

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

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

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

17 **XIX. NOTICES**

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

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

23 2. When faxed, transmission confirmed;

24 3. When sent by Email; or

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

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

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

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

37 //

XX. 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; provided, however, weekends and holidays shall not be included for purposes of computing the time within which to give telephone notice and, notwithstanding the time limit herein specified, 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, and/or postmarked and sent via U.S. Mail within forty-eight (48) hours of becoming aware of the death due to terminal illness of any person served pursuant to this Agreement.

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

XXI. NOTIFICATION OF PUBLIC EVENTS AND MEETINGS

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

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

XXII. RECORDS MANAGEMENT AND MAINTENANCE

A. CONTRACTOR, its officers, agents, employees and subcontractors shall, throughout the term of this Agreement, prepare, maintain and manage records appropriate to the services provided and in accordance with this Agreement and all applicable requirements, which include but are not limited to:

1 1. California Code of Regulations Title 22, §§70751(c), 71551(c), 73543(a), 74731(d),
2 75055(a), 75343(a), and 77143(a).

3 2. State of California, Department of Health Care Services ASRS Manual.

4 3. State of California, Department of Health Care Services DPFS Manual.

5 4. California Health and Safety Code §123145.

6 5. Title 45 CFR, §164.501; §164.524; §164.526; §164.530(c) and (j).

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

12 C. CONTRACTOR’s Client and/or patient records shall be maintained in a secure manner.
13 CONTRACTOR shall maintain Client and/or patient records and must establish and implement written
14 record management procedures.

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

18 E. CONTRACTOR shall make records pertaining to the costs of services, Client fees, charges,
19 billings, and revenues available at one (1) location within the limits of the County of Orange.

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

24 1. The medical records and billing records about individuals maintained by or for a covered
25 health care provider;

26 2. The enrollment, payment, claims adjudication, and case or medical management record
27 systems maintained by or for a health plan; or

28 3. Used, in whole or in part, by or for the covered entity to make decisions about individuals.

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

32 1. Have documents readily available within forty-eight (48) hour notice of a scheduled audit
33 or site visit.

34 2. Provide auditor or other authorized individuals access to documents via a computer
35 terminal.

36 3. Provide auditor or other authorized individuals a hardcopy printout of documents, if
37 requested.

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

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

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

11
12 **XXIII. RESEARCH AND PUBLICATION**

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

16
17 **XXIV. REVENUE**

18 A. CLIENT FEES – CONTRACTOR shall charge a fee to Clients to whom services are provided
19 pursuant to this Agreement, their estates and responsible relatives, in accordance with the fee system
20 designated by ADMINISTRATOR. This fee shall be based upon the person's ability to pay for services,
21 but it shall not exceed the actual cost of services provided. No person shall be denied services because
22 of an inability to pay.

23 B. THIRD-PARTY REVENUE – CONTRACTOR shall make every reasonable effort to obtain all
24 available third-party reimbursement for which persons served pursuant to this Agreement may be
25 eligible. Charges to insurance carriers shall be on the basis of CONTRACTOR’s usual and customary
26 charges.

27 C. PROCEDURES – CONTRACTOR shall maintain internal financial controls which adequately
28 ensure proper billing and collection procedures. CONTRACTOR’s procedures shall specifically
29 provide for the identification of delinquent accounts and methods for pursuing such accounts.
30 CONTRACTOR shall provide ADMINISTRATOR, monthly, a written report specifying the current
31 status of fees which are billed, collected, transferred to a collection agency, or deemed by
32 CONTRACTOR to be uncollectible.

33
34 **XXV. SEVERABILITY**

35 If a court of competent jurisdiction declares any provision of this Agreement or application thereof
36 to any person or circumstances to be invalid or if any provision of this Agreement contravenes any
37 federal, state or county statute, ordinance, or regulation, the remaining provisions of this Agreement or

1 the application thereof shall remain valid, and the remaining provisions of this Agreement shall remain
2 in full force and effect, and to that extent the provisions of this Agreement are severable.

3
4 **XXVI. SPECIAL PROVISIONS**

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

- 7 1. Making cash payments to intended recipients of services through this Agreement.
- 8 2. Lobbying any governmental agency or official. CONTRACTOR shall file all certifications
9 and reports in compliance with this requirement pursuant to Title 31, USC, §1352 (e.g., limitation on
10 use of appropriated funds to influence certain federal contracting and financial transactions).
- 11 3. Fundraising.
- 12 4. Purchase of gifts, meals, entertainment, awards, or other personal expenses for
13 CONTRACTOR’s staff, volunteers, or members of the Board of Directors or governing body.
- 14 5. Reimbursement of CONTRACTOR’s members of the Board of Directors or governing
15 body for expenses or services.
- 16 6. Making personal loans to CONTRACTOR’s staff, volunteers, interns, consultants,
17 subcontractors, and members of the Board of Directors or governing body, or its designee or authorized
18 agent, or making salary advances or giving bonuses to CONTRACTOR’s staff.
- 19 7. Paying an individual salary or compensation for services at a rate in excess of the current
20 Level I of the Executive Salary Schedule as published by the OPM. The OPM Executive Salary
21 Schedule may be found at www.opm.gov.
- 22 8. Severance pay for separating employees.
- 23 9. Paying rent and/or lease costs for a facility prior to the facility meeting all required building
24 codes and obtaining all necessary building permits for any associated construction.
- 25 10. Purchasing or improving land, including constructing or permanently improving any
26 building or facility, except for tenant improvements.
- 27 11. Satisfying any expenditure of non-federal funds as a condition for the receipt of federal
28 funds (matching).
- 29 12. Contracting or subcontracting with any entity other than an individual or nonprofit entity,
30 unless no nonprofit entity is able and willing to provide such services.
- 31 13. Producing any information that promotes responsible use, if the use is unlawful, of drugs or
32 alcohol.
- 33 14. Promoting the legalization of any drug or other substance included in Schedule 1 of the
34 Controlled Substance Act (21 USC 812).
- 35 15. Distributing or aiding in the distribution of sterile needles or syringes for the hypodermic
36 injection of any illegal drug.
- 37 16. Assisting, promoting, or deterring union organizing.

- 1 17. Providing inpatient hospital services or purchasing major medical equipment.
- 2 18. Supplanting current funding for existing services.
- 3 19. Payment of home mortgages; direct maintenance expense (tires, repairs, etc.) of a privately
- 4 owned vehicle or any other cost associated with a vehicle, such as lease or loan payments, insurance, or
- 5 license and registration fees; payment of local or state personal property taxes (for residential property,
- 6 private automobiles, or any other personal property against which taxes may levied). This restriction
- 7 does not apply to vehicles operated by organizations for program purposes.

8 20. To meet professional licensure or program licensure requirements.

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

- 11 1. Funding travel or training (excluding mileage or parking).
- 12 2. Making phone calls outside of the local area unless documented to be directly for the
- 13 purpose of Client care.
- 14 3. Payment for grant writing, consultants, certified public accounting, or legal services.
- 15 4. Purchase of artwork or other items that are for decorative purposes and do not directly
- 16 contribute to the quality of services to be provided pursuant to this Agreement.
- 17 5. Purchase of gifts, meals, entertainment, awards, or other personal expenses for
- 18 CONTRACTOR's Clients.

19 C. To the greatest extent practicable, all equipment and products purchased with funds made
20 available through this Agreement should be American-made.

21 D. Neither party shall be responsible for delays or failures in performance resulting from acts
22 beyond the control of the affected party. Such acts shall include, but not be limited to, acts of God, fire,
23 flood, earthquake, other natural disaster, nuclear accident, strike, lockout, riot, freight, embargo, public
24 related utility, or governmental statutes or regulations imposed after the fact.

25
26 **XXVII. STATUS OF CONTRACTOR**

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

XXVIII. TERM

A. This specific Agreement with CONTRACTOR is only one of several agreements to which the term of this Agreement applies. This specific Agreement shall commence as specified in the Reference Contract Provisions of this Agreement or the execution date, whichever is later. This specific Agreement shall terminate as specified in the Referenced Contract Provisions of this Agreement, unless otherwise sooner terminated as provided in this Agreement; provided, however, CONTRACTOR shall be obligated to perform such duties as would normally extend beyond this term, including but not limited to, obligations with respect to confidentiality, indemnification, audits, reporting and accounting.

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

XXIX. TERMINATION

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

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

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

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

D. CONTINGENT FUNDING

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

//

1 a. The continued availability of federal, state and county funds for reimbursement of
2 COUNTY's expenditures, and

3 b. Inclusion of sufficient funding for the services hereunder in the applicable budget(s)
4 approved by the Board of Supervisors.

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

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

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

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

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

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

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

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

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

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

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

36 9. Provide written notice of termination of services to each Client being served under this
37 Agreement, within fifteen (15) calendar days of receipt of termination notice. A copy of the notice of

1 termination of services must also be provided to ADMINISTRATOR within the fifteen (15) calendar
2 day period.

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

5
6 **XXX. THIRD PARTY BENEFICIARY**

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

10
11 **XXXI. WAIVER OF DEFAULT OR BREACH**

12 Waiver by COUNTY of any default by CONTRACTOR shall not be considered a waiver of any
13 subsequent default. Waiver by COUNTY of any breach by CONTRACTOR of any provision of this
14 Agreement shall not be considered a waiver of any subsequent breach. Waiver by COUNTY of any
15 default or any breach by CONTRACTOR shall not be considered a modification of the terms of this
16 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 «UC_NAME»

5
6 BY: _____ DATED: _____

7
8 TITLE: _____

9
10
11 BY: _____ DATED: _____

12
13 TITLE: _____

14
15
16
17
18 COUNTY OF ORANGE

19
20
21 BY: _____ DATED: _____

22 HEALTH CARE AGENCY

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

29
30
31 BY:  _____ DATED: 3/23/2017

32
33
34
35
36 If the contracting party is a corporation, two (2) signatures are required: one (1) signature by the Chairman of the Board, the President or any Vice President;
37 and one (1) signature by the Secretary, any Assistant Secretary, the Chief Financial Officer or any Assistant Treasurer. If the contract is signed by one (1) authorized individual only, a copy of the corporate resolution or by-laws whereby the Board of Directors has empowered said authorized individual to act on its behalf by his or her signature alone is required by ADMINISTRATOR.

1 EXHIBIT A
2 TO AGREEMENT FOR PROVISION OF
3 HIV RESIDENTIAL SUBSTANCE USE DISORDER TREATMENT SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 «UC_NAME»
8 JULY 1, 2017 THROUGH JUNE 30, 2019
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 this Agreement.

13 1. ASAM Criteria is a comprehensive set of guidelines for placement, continued stay and
14 transfer/discharge of patients with addiction and co-occurring conditions.

15 2. Bed Day means one (1) calendar day during which CONTRACTOR provides HIV
16 Residential Substance Use Disorder Treatment Services as described in Exhibit A of the Agreement. A
17 Bed Day will include the day of admission but, not the day of discharge. If admission and discharge
18 occur on the same day, one (1) Bed Day will be recorded.

19 3. CalOMS is a statewide Client-based data collection and outcomes measurement system as
20 required by the State to effectively manage and improve the provision of alcohol and drug treatment
21 services at the State, COUNTY, and provider levels.

22 4. CESI/CEST are self-administered survey instruments designed to assess Clients'
23 motivation for change, engagement in treatment, social and peer support, and other psychosocial
24 indicators of progress in recovery.

25 5. Client means a person who has been admitted for services.

26 6. Co-Occurring is when a person has at least one substance use disorder and one mental
27 health disorder that can be diagnosed independently of the other.

28 7. DATAR is the DHCS system used to collect data on SUD treatment capacity and waiting
29 lists.

30 8. Graduation or Client Completion means the completion of the HIV Residential Substance
31 Use Disorder Treatment Services program (recovery) whereby the Client has successfully completed all
32 goals and objectives documented in the Client's treatment plan within the maximum authorized length
33 of stay authorized by ADMINISTRATOR.

34 9. Intake means the initial face-to-face meeting between a Client and CONTRACTOR staff in
35 which specific information about the Client is gathered including the ability to pay and standard
36 admission forms pursuant to this Agreement and the Ryan White Act.

37 //

1 10. IRIS is a collection of applications and databases that serve the needs of programs within
2 HCA and includes functionality such as registration and scheduling, laboratory information system,
3 invoices and reporting capabilities, compliance with regulatory requirements, electronic medical records
4 and other relevant applications.

5 11. Linkage means connecting Client to ancillary services such as outpatient and/or residential
6 treatment and supportive services which may include self-help groups, social services, rehabilitation
7 services, vocational services, job training services, or other appropriate services.

8 12. Medication means those medications that are needed to maintain Client’s health, and
9 without which there could be medical or mental health consequences to the Client.

10 13. NIATx is a set of objectives used to measure the effectiveness of the treatment program.

11 14. Program Protocol means the written program description, goals, objectives, and policies
12 established by CONTRACTOR for the HIV Residential Substance Use Disorder Treatment Services
13 program provided pursuant to this Agreement.

14 15. Residential Treatment means alcohol and other drug treatment services that are provided to
15 Clients at a twenty-four (24)-hour residential program. Services are provided in an alcohol and drug
16 free environment and support recovery from alcohol and/or other drug related problems. These services
17 are provided in a non-medical, residential setting that has been licensed and certified by DHCS.

18 16. Resocialization/Re-Entry means applying and continuing treatment activities designed to
19 assist Clients in working on personal issues, cultivate support systems, and seek and/or obtain
20 education/vocational and/or volunteer opportunities.

21 17. Self-Help Meetings means a non-professional, peer participatory meeting formed by people
22 with a common problem or situation offering mutual support to each other towards a goal or healing or
23 recovery.

24 18. Structured Activities means services including Therapeutic Activity and Non-Therapeutic
25 Activity designed to meet treatment goals:

26 a. Therapeutic Activity means activities such as individual counseling, groups and self-
27 help groups, but excludes chores and recreational activities. These activities shall incorporate best
28 practices and evidence-based approaches.

29 b. Non-Therapeutic Activity includes work, school, and volunteer hours outside the
30 facility, chores, and recreation and socialization activities.

31 19. SUD means a condition in which the use of one or more substances leads to a clinically
32 significant impairment or distress per the DSM-5

33 20. Token means the security device which allows an individual user to access IRIS.

34 21. Unit of Service means one (1) calendar day during which services are provided to a Client
35 pursuant to this Agreement. A day in which a Client is absent for a CONTRACTOR-sanctioned
36 overnight pass may also be included as a Unit of Service.

37 //

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

3
4 **II. ASSURANCES**

5 In accordance with funding requirements under Title XXVI of the Public Health Services Act as
6 amended by the Ryan White Act, CONTRACTOR assures that it will, if CONTRACTOR receives Ryan
7 White Funds:

8 A. Provide, to the maximum extent practicable, HIV-related health care and support services
9 without regard to the ability of the individual to pay for such services and without regard to the current
10 or past health condition of the individual with HIV disease.

11 B. Provide services in a setting that is accessible to low-income and racial/ethnic minority
12 individuals with HIV disease and their families. Services shall include cultural and language
13 competency to meet the special needs of CONTRACTOR’s Clients.

14 C. Permit and cooperate with any official federal or state investigations undertaken regarding
15 programs conducted under the Ryan White Act.

16 D. Assure that contract funds are used as payer of last resort. CONTRACTOR shall not use
17 contract funds to make payments for any item or service to the extent that payment for that item or
18 service has already been made, or can reasonably expect to be made:

19 1. Under any State compensation program, under an insurance policy, or under any federal or
20 state health benefits program; or

21 2. By an entity that provides health services on a pre-paid basis; or

22 3. By third party reimbursement.

23 E. Comply with the funding requirements regarding charges for services:

24 1. In the case of individuals with an income less than or equal to one hundred percent (100%)
25 of the official federal poverty line, CONTRACTOR will not impose charges on any such individual for
26 the provision of services under the Agreement.

27 2. In the case of individuals with an income greater than one hundred percent (100%) of the
28 official federal poverty line, CONTRACTOR shall:

29 a. Impose charges on such individuals for the provision of such services; and/or

30 b. Impose charges according to a schedule of charges that is made available to the public.

31 3. In the case of individuals with an income greater than one hundred percent (100%) of the
32 official federal poverty line and not exceeding two hundred percent (200%) of such poverty line,
33 CONTRACTOR shall not, for any calendar year, impose charges in an amount exceeding five percent
34 (5%) of the annual gross income of the individual involved.

35 4. In the case of individuals with an income greater than two hundred percent (200%) of the
36 official federal poverty line and not exceeding three hundred percent (300%) of such poverty line,

37 //

1 CONTRACTOR will not, for any calendar year, impose charges in an amount exceeding seven percent
2 (7%) of the annual gross income of the individual involved.

3 5. In the case of individuals with an income greater than three hundred percent (300%) of the
4 official federal poverty line, CONTRACTOR will not, for any calendar year, impose charges in an
5 amount exceeding ten percent (10%) of the annual gross income of the individual involved.

6 F. Notify COUNTY immediately, in writing, if CONTRACTOR or any of its principals is
7 debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from
8 participation in this transaction by any Federal Department or Agency.

9 G. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
10 Assurances Paragraph of this Exhibit A to the Agreement.

11
12 **III. BUDGET**

13 **A. CFDA INFORMATION**

14 1. The Agreement includes federal funds paid to CONTRACTOR. The CFDA number(s) and
15 associated information for federal funds paid through the Agreement are specified below:

16
17 CFDA Year: 2017
18 CFDA No.: 93.914
19 Program Title: HIV Emergency Relief Project Grants (B)
20 Federal Agency: Department of Health and Human Services
21 Award Name: HIV Emergency Relief Project Grants (B) (Ryan White Part A)

22
23 CFDA Year: 2017
24 CFDA No.: 14.241
25 Program Title: Housing Opportunities for Persons with AIDS
26 Federal Agency: Department of Housing and Urban Development
27 Award Name: Cooperative Agreement between County of Orange and City of Santa Ana

28
29 2. CONTRACTOR may be required to have an audit conducted in accordance with federal
30 OMB Circular Number A-133. CONTRACTOR shall be responsible for complying with any federal
31 audit requirements within the reporting period specified by OMB Circular Number A-133.

32 3. ADMINISTRATOR may revise the CFDA information listed above, and shall notify
33 CONTRACTOR in writing of said revisions.

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

37 //

	PERIOD ONE	PERIOD TWO	TOTAL
1			
2	ADMINISTRATIVE COSTS		
3	Salaries	\$	\$
4	Benefits		
5	Services and Supplies		
6	Subcontracts		
7	Indirect Costs		
8	SUBTOTAL ADMINISTRATIVE		
9	COSTS	\$	\$
10			
11	PROGRAM COSTS		
12	Salaries	\$	\$
13	Benefits		
14	Services and Supplies		
15	Subcontracts		
16	SUBTOTAL PROGRAM COSTS		
17		\$	\$
18	TOTAL GROSS COSTS	\$	\$
19			
20	REVENUE		
21	Client Fees	\$	\$
22	Donations		
23	State Disability Insurance		
24	Food Stamps		
25	SUBTOTAL REVENUE		
26		\$	\$
27	TOTAL MAXIMUM OBLIGATION	\$	\$
28			

29 B. BUDGET/STAFFING MODIFICATIONS – CONTRACTOR may request to shift funds
30 between budgeted line items, for the purpose of meeting specific program needs or for providing
31 continuity of care to its consumers, by utilizing a Budget/Staffing Modification Request form provided
32 by ADMINISTRATOR. CONTRACTOR shall submit a properly completed Budget/Staffing
33 Modification Request to ADMINISTRATOR for consideration, in advance, which will include a
34 justification narrative specifying the purpose of the request, the amount of said funds to be shifted, and
35 the sustaining annual impact of the shift as may be applicable to the current contract period and/or future
36 contract periods. CONTRACTOR shall obtain written approval of any Budget/Staffing Modification
37 Request(s) from ADMINISTRATOR prior to implementation by CONTRACTOR. Failure of

1 CONTRACTOR to obtain written approval from ADMINISTRATOR for any proposed Budget/Staffing
2 Modification Request(s) may result in disallowance of those costs.

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

5
6 **IV. GENERAL REQUIREMENTS**

7 A. MEETINGS – CONTRACTOR’s Executive Director or designee shall participate, when
8 requested, in meetings facilitated by ADMINISTRATOR related to the provision of services pursuant to
9 this Agreement.

10 B. CULTURAL COMPETENCY – CONTRACTOR shall make its best effort to provide services
11 pursuant to this Agreement in a manner that is culturally and linguistically appropriate for the
12 population(s) served. CONTRACTOR shall maintain documentation of such efforts which may
13 include; but not be limited to: records of participation in COUNTY-sponsored or other applicable
14 training; recruitment and hiring policies and procedures; copies of literature in multiple languages and
15 formats, as appropriate; and descriptions of measures taken to enhance accessibility for, and sensitivity
16 to, individuals who are physically challenged.

17 C. POSTINGS – CONTRACTOR shall post the following in a prominent place within the facility:

- 18 1. State Licensure and Certification;
- 19 2. Business License;
- 20 3. Conditional Use Permit (if applicable);
- 21 4. Fire clearance;
- 22 5. Client rights;
- 23 6. Grievance procedure;
- 24 7. Employee Code of Conduct;
- 25 8. Evacuation floor plan;
- 26 9. Equal Employment Opportunity notices;
- 27 10. Name, address, telephone number for fire department, crisis program, local law
28 enforcement, and ambulance service;
- 29 11. List of resources within community which shall include medical, dental, mental health,
30 public health, social services and where to apply for determination of eligibility for State, Federal or
31 county entitlement programs; and
- 32 12. Information on self-help meetings. AA, NA, and non-12 step meetings shall be included.

33 D. NO PROSELYTIZING POLICY – CONTRACTOR shall not conduct any proselytizing
34 activities, regardless of funding sources, with respect to any person who has been referred to
35 CONTRACTOR by COUNTY under the terms of this Agreement. Further, CONTRACTOR agrees that
36 the funds provided hereunder shall not be used to promote, directly or indirectly, any religion, religious
37 creed or cult, denomination or sectarian institution, or religious belief.

1 E. AUTHORITY – CONTRACTOR shall recognize the authority of OCPD as officers of the
2 court, and shall extend cooperation to OCPD within the constraints of CONTRACTOR’s program of
3 substance use disorder residential services.

4 F. NON-SMOKING POLICY – CONTRACTOR shall establish a written non-smoking policy
5 which shall be reviewed and approved by ADMINISTRATOR. At a minimum, the non-smoking policy
6 shall specify that the facility is “smoke free” and that designated smoking areas are outside the visiting
7 areas at the facility.

8 G. CLIENT SIGN IN/OUT LOG AND SCHEDULE – CONTRACTOR shall maintain a resident
9 sign in/out log for all residents, which shall include, but not be limited to, the following:

- 10 1. Client’s schedule for treatment, work, education or other activities;
- 11 2. Location and telephone number where the Client may be reached; and
- 12 3. Requirement for all Clients to notify the program of any change in his/her schedule.

13 H. GOOD NEIGHBOR POLICY – CONTRACTOR shall establish a Good Neighbor Policy,
14 which shall be reviewed and approved by ADMINISTRATOR. The policy shall include, but not be
15 limited to, staff training to deal with neighbor complaints, staff contact information available to
16 neighboring residents and complaint procedures.

17 I. VISITATION POLICY – CONTRACTOR shall establish a written Visitation Policy, which
18 shall be reviewed and approved by ADMINISTRATOR, which shall include, but not be limited to, the
19 following:

- 20 1. Sign in logs;
- 21 2. Visitation hours; and
- 22 3. Designated visiting areas at the Facility.

23 J. TRANSGENDER POLICY – CONTRACTOR shall establish a written Transgender Policy,
24 which shall be reviewed and approved by ADMINISTRATOR. The policy shall include, but not limited
25 to, the following:

- 26 1. Admission;
- 27 2. Housing arrangement;
- 28 3. Bathroom privacy; and
- 29 4. Drug testing.

30 K. MEDICATION POLICY – CONTRACTOR shall establish a written Medication Policy, which
31 shall be reviewed and approved by ADMINISTRATOR. The policy shall include but not be limited to
32 the securing, handling, and administration of medication(s) prescribed to the Client. The policy shall
33 address Medications that are prescribed for substance and mental health disorders and medications
34 disallowed by CONTRACTOR. Clients shall be allowed to have Medications during their stay with the
35 program, and/or to have the ability to get refill(s).

36 L. OPIOID OVERDOSE EMERGENCY TREATMENT – CONTRACTOR shall have available
37 at each program site at minimum one (1) Naloxone Nasal Spray for the treatment of known or suspected

1 opioid overdose. At least one (1) staff per shift shall be trained in administering the Naloxone Nasal
2 Spray. Naloxone Nasal Spray is not a substitute for emergency medical care. CONTRACTOR shall
3 always seek emergency medical assistance in the event of a suspected, potentially life-threatening opioid
4 emergency.

5 M. TOKENS – ADMINISTRATOR will provide CONTRACTOR the necessary number of Tokens
6 for appropriate individual staff to access IRIS at no cost to the CONTRACTOR.

7 1. CONTRACTOR recognizes that a Token is assigned to a specific individual staff member
8 with a unique password. Tokens and passwords shall not be shared with anyone.

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

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

13 4. CONTRACTOR shall return to ADMINISTRATOR all Tokens under the following
14 conditions:

- 15 a. Token of each staff member who no longer supports this Agreement;
- 16 b. Token of each staff member who no longer requires access to IRIS;
- 17 c. Token of each staff member who leaves employment of CONTRACTOR; and
- 18 d. Tokens malfunctioning.

19 5. ADMINISTRATOR will issue Tokens for CONTRACTOR’s staff members who require
20 access to the IRIS upon initial training or as a replacement for malfunctioning Tokens. CONTRACTOR
21 shall reimburse the COUNTY for Tokens lost, stolen, or damaged through acts of negligence.

22 N. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
23 General Requirements Paragraph of this Exhibit A to the Agreement.

24
25 **V. PAYMENTS**

26 A. BASIS FOR REIMBURSEMENT – COUNTY shall pay CONTRACTOR for the actual costs
27 of providing the services described hereunder, less revenues which are actually received by
28 CONTRACTOR; provided, however, that CONTRACTOR’s costs are allowable pursuant to county,
29 state, and federal regulations. Non-compliance will require the completion of CAPs by
30 CONTRACTOR. If CAPs are not completed within timeframes as determined by ADMINISTRATOR,
31 payments may be reduced accordingly. Furthermore, if CONTRACTOR is ineligible to provide
32 services due to non-compliance with licensure and/or certification standards of the State, COUNTY or
33 OCPD, ADMINISTRATOR may elect to reduce COUNTY’s maximum obligation proportionate to the
34 length of time that CONTRACTOR is ineligible to provide services.

35 B. PAYMENT METHOD – COUNTY shall pay CONTRACTOR monthly in arrears the actual
36 cost of the services, less revenues that are actually received by CONTRACTOR provided, however, that
37 the total of such payments shall not exceed the COUNTY’s Aggregate Maximum Obligation.

1 CONTRACTOR’s invoices shall be on a form approved or provided by ADMINISTRATOR and shall
2 provide such information as is required by ADMINISTRATOR. Invoices are due by the twentieth
3 (20th) calendar day of each month, and payments to CONTRACTOR should be released by COUNTY
4 no later than thirty (30) calendar days after receipt of the correctly completed invoice form.

5 C. Monthly payments are interim payments only, and subject to Final Settlement in accordance
6 with the Cost Report Paragraph of this Agreement. Invoices received after the due date may not be paid
7 in accordance with Subparagraph II.B of this Exhibit A to the Agreement.

8 D. All invoices to COUNTY shall be supported, at CONTRACTOR’s facility, by source
9 documentation including, but not limited to, ledgers, books, vouchers, journals, time sheets, payrolls,
10 appointment schedules, schedules for allocating costs, invoices, bank statements, canceled checks,
11 receipts, receiving records, and records of services provided.

12 E. ADMINISTRATOR may withhold or delay any payment if CONTRACTOR fails to comply
13 with any provision of this Agreement.

14 F. COUNTY shall not reimburse CONTRACTOR for services provided beyond the expiration
15 and/or termination of this Agreement.

16 G. In conjunction with Subparagraph II.A above, CONTRACTOR shall not enter Units of Service
17 into the COUNTY IRIS system for services not rendered. If such information has been entered,
18 CONTRACTOR shall make corrections within ten (10) calendar days from notification by
19 ADMINISTRATOR.

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

22
23 **VII. RECORDS**

24 A. FINANCIAL RECORDS – CONTRACTOR shall prepare and maintain accurate and complete
25 financial records of its costs and operating expenses. Such records shall reflect the actual costs of the
26 type of service for which payment is claimed in accordance with generally accepted accounting
27 principles.

28 1. Any apportionment of or distribution of costs, including indirect costs, to or between
29 programs or cost centers of CONTRACTOR shall be documented, and shall be made in accordance with
30 generally accepted accounting principles.

31 2. CONTRACTOR shall account for funds provided through this Agreement separately from
32 other funds, and maintain a clear audit trail for the expenditure of funds.

33 B. CLIENT FEES – Clients with incomes between 20%-50% of area median income will pay 30%
34 of their adjusted gross income toward services. The Client’s proof of income, eligibility determination
35 and fee charged to and collected from Client, according to the COUNTY approved sliding scale fee
36 schedule, together with a record of all invoices rendered and revenues received from any source on
37 //

1 | behalf of Client treated pursuant to this Agreement, must be reflected in CONTRACTOR’s financial
2 | records.

3 | C. COUNTY SLIDING FEE SCALE – CONTRACTOR shall utilize the sliding fee scale provided
4 | by ADMINISTRATOR. CONTRACTOR must have a policy describing the collection of Client fees.
5 | No Client shall be denied access to services due to an inability to pay; however, Clients are responsible
6 | for paying their fees according to the provided fee scale once an ability to pay is secured. The Client’s
7 | failure to make a reasonable effort to pay the assessed fee is cause for termination of services.

8 | D. CLIENT RECORDS – CONTRACTOR shall maintain adequate records on each individual
9 | Client in sufficient detail to permit an evaluation of services, which shall include, but not be limited to:

10 | 1. ADMINISTRATOR’s Treatment Referral and Authorization Form for Residential
11 | Treatment Services;

12 | 2. Treatment plans which shall be documented in the Client’s record within fourteen (14)
13 | calendar days from the date of admission;

14 | 3. An admission record which shall include documentation that HIV Residential Substance
15 | Use Disorder Treatment Services for substance use disorders are appropriate for the Client. Such
16 | documentation shall include a completed ASAM criteria indicating appropriate level of care for Client,
17 | and a comprehensive psychosocial assessment;

18 | 4. Documentation of HIV diagnosis;

19 | 5. Description of Client's residential situation prior to admission to the facility;

20 | 6. Substance use history;

21 | 7. Case Manager's name and telephone number;

22 | 8. TB clearance;

23 | 9. Written agreements, signed by the Client, describing terms and conditions of
24 | HIV Residential Substance Use Disorder Treatment Program participation;

25 | 10. Dates of admittance and discharge;

26 | 11. Emergency notification information; and

27 | 12. Record of any funds collected from, or on behalf of, the Client

28 | E. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
29 | Records Paragraph of this Exhibit A to the Agreement.

30 |
31 | **VII. REPORTS**

32 | A. MONTHLY PROGRAMMATIC

33 | 1. CONTRACTOR shall submit a monthly programmatic report to ADMINISTRATOR,
34 | including information required and on a form approved or provided by ADMINISTRATOR. These
35 | monthly programmatic reports should be submitted to ADMINISTRATOR no later than the tenth (10th)
36 | calendar day of the month following the report month.

37 | //

1 2. CONTRACTOR shall be responsible for including in the monthly programmatic report any
2 problems in implementing the provisions of this Agreement, pertinent facts or interim findings, staff
3 changes, status of license(s) and/or certification(s), changes in population served, and reasons for any
4 changes. Additionally, a statement that the CONTRACTOR is or is not progressing satisfactorily in
5 achieving all the terms of the Agreement shall be included.

6 B. FISCAL

7 1. In support of the monthly invoice, CONTRACTOR shall submit monthly Expenditure and
8 Revenue Reports to ADMINISTRATOR. These reports shall be on a form acceptable to, or provided by
9 ADMINISTRATOR and shall report actual costs and revenues for each of the CONTRACTOR's
10 program(s) or cost center(s) described in the Services Paragraph of Exhibit A to the Agreement.
11 CONTRACTOR shall submit these reports by no later than twenty (20) calendar days following the end
12 of the month reported.

13 2. CONTRACTOR shall submit Year-End Projection Reports to ADMINISTRATOR. These
14 reports shall be on a form acceptable to, or provided by, ADMINISTRATOR and shall report
15 anticipated year-end actual costs and revenues for CONTRACTOR's program(s) or cost center(s)
16 described in the Services Paragraph of Exhibit A to the Agreement. Such reports shall include actual
17 monthly costs and revenue to date and anticipated monthly costs and revenue to the end of the fiscal
18 year. Year-End Projection Reports shall be submitted at the same time as the monthly Expenditure and
19 Revenue Reports.

20 C. MONTHLY IRIS – CONTRACTOR shall input all Units of Service provided in COUNTY's
21 IRIS database for the preceding month no later than the fifth (5th) calendar day of the month following
22 the report month.

23 D. CalOMS – CONTRACTOR shall complete a CalOMS encounter and a CalOMS admission
24 record in IRIS within seven (7) calendar days of Client admission. CONTRACTOR shall complete a
25 CalOMS discharge record in IRIS within seven (7) calendar days of Client discharge. CONTRACTOR
26 shall run a CalOMS error report and correct any errors within two (2) business days of submitting the
27 CalOMS admission or discharge, and continue to recheck until error free.

28 E. MONTHLY DATAR – CONTRACTOR shall provide reports under the DATAR, and/or any
29 other State reporting system in a manner prescribed by ADMINISTRATOR, no later than the fifth (5th)
30 calendar day of the month following the report month.

31 F. HMIS – CONTRACTOR shall input data on services provided to individuals that meet the
32 criteria for homelessness into HMIS to meet all HUD requirements, and shall provide data for the
33 CAPER. Data shall be entered into HMIS within two (2) business days of providing services, unless
34 otherwise agreed upon in writing with ADMINISTRATOR.

35 G. ARIES – CONTRACTOR shall input data into ARIES within two (2) business days of
36 providing services, unless otherwise agreed upon in writing with ADMINISTRATOR.

37 H. ADDITIONAL REPORTS – CONTRACTOR shall make additional reports as required by

1 ADMINISTRATOR concerning CONTRACTOR’s activities as they affect the services hereunder.
2 ADMINISTRATOR will be specific as to the nature of the information requested and the timeframe the
3 information is needed.

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

6
7 **VIII. SERVICES**

8 A. FACILITY – CONTRACTOR shall operate licensed and certified substance use disorder
9 residential programs in accordance with the standards established by COUNTY and the State within the
10 specifications stated below, unless otherwise authorized by the ADMINISTRATOR. CONTRACTOR
11 shall provide HIV Residential Substance Use Disorder Treatment Services within a licensed and
12 certified «RES_BED_MAX» bed residential substance use disorder treatment Facility. Facility must
13 acquire ASAM designation from DHCS. Unless otherwise authorized in writing by
14 ADMINISTRATOR, CONTRACTOR shall maintain regularly scheduled service hours, seven (7) days
15 a week, twenty-four (24) hours per day throughout the year. Services shall be provided at the following
16 locations, or at any other location approved in advance, in writing, by ADMINISTRATOR:

17
18 «RES_FAC1_STREET» «RES_FAC2_STREET»
19 «RES_FAC1_CITY_ST_ZIP» «RES_FAC2_CITY_ST_ZIP»
20

21 B. PERSONS TO BE SERVED – CONTRACTOR shall serve adults ages (18) eighteen years and
22 older living with HIV who have a diagnosis of a substance use disorder, and demonstrate a need for a
23 SUD residential treatment setting based on ASAM criteria. Clients shall have abstained from substance
24 use for at least twenty-four (24) hours. All persons must be certified in writing by a physician, or other
25 duly authorized health care professional, as being free from infectious TB as defined in the Guidelines
26 for TB Surveillance in Residential AIDS Shelters, issued by the Department of Health Services, Office
27 of AIDS.

28 C. UNITS OF SERVICE

29 1. CONTRACTOR shall provide a minimum of «RES_UOS» Residential Treatment Units of
30 Service for Clients.

31 2. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to adjust the
32 Units of Service set forth in Subparagraph VI.C.1. of this Exhibit A to the Agreement

33 D. ADMISSIONS

34 1. CONTRACTOR shall accept any person who is physically and mentally able to comply
35 with the program's rules and regulations. Said persons shall include persons with a concurrent diagnosis
36 of mental illness, i.e., those identified as having a co-occurring diagnosis. Persons with co-occurring
37 //

1 disorders who require prescribed Medication shall not be precluded from acceptance or admission solely
2 based on their licit use of prescribed Medications.

3 2. CONTRACTOR shall have a policy that requires a Client who shows signs of any
4 communicable disease or through medical disclosure during the intake process admits to a health related
5 problem that would put others at risk, to be cleared medically before services are provided.

6 3. CONTRACTOR’s Admission Policy shall reflect all applicable federal, state, and county
7 regulations.

8 4. Prior to admission, CONTRACTOR shall fax or send in secured email a request for
9 treatment authorization to ADMINISTRATOR, for an individual who fulfills the criteria in accordance
10 to Subparagraph VI.B. above. ADMINISTRATOR will authorize the individual’s admission to
11 treatment by sending the treatment authorization to the CONTRACTOR. CONTRACTOR shall not
12 admit any individual into program without prior approval by ADMINISTRATOR. Within one business
13 day of Client’s admission, CONTRACTOR shall fax a completed treatment authorization containing
14 date of admission and CONTRACTOR signature to ADMINISTRATOR.

15 5. CONTRACTOR shall maintain a list of individuals who have requested HIV Residential
16 Substance Use Disorder Treatment Services and for whom a treatment authorization request has been
17 submitted to the county residential placement coordinator.

18 6. CONTRACTOR shall have the right to refuse admission of a person only in accordance
19 with its written Admission Policy; provided, however, CONTRACTOR complies with the
20 Nondiscrimination provisions of this Agreement.

21 7. INTERIM SERVICES – All persons who are not admitted into HIV Residential Substance
22 Use Disorder Treatment Services shall be provided or referred to Interim Services by CONTRACTOR.
23 Interim Services shall be provided until an individual is admitted to a substance abuse treatment
24 program. The purposes of the services are to reduce the adverse health effects of such abuse, promote
25 the health of the individual, and reduce the risk of transmission of disease. At a minimum, Interim
26 Services include counseling and education about HIV and TB, about the risks of needle-sharing, the
27 risks of transmission to sexual partners and infants, and about steps that can be taken to ensure that HIV
28 and TB transmission does not occur, as well as referral for HIV or TB treatment services if necessary.
29 CONTRACTOR shall provide Clients, especially opiate users, with drug overdose
30 education/information. For pregnant women, Interim Services also includes counseling on the effects of
31 alcohol and drug use on the fetus, as well as referral for prenatal care. Provision of Interim Services
32 shall be documented on the DATAR and reported monthly to the State.

33 E. SERVICES

34 1. CONTRACTOR shall provide to Clients a «RES_FAC_BED_CAP» bed alcohol and drug-
35 free residential treatment program of no more than ninety (90) calendar days without prior approval in
36 writing by ADMINISTRATOR.

37 //

1 2. Co-Occurring Disorders: CONTRACTOR shall provide rehabilitative and recovery
2 services to Clients with co-occurring disorders and ensure that such services address the relationship
3 between the two diagnoses throughout treatment.

4 3. Each Client shall be restricted to the premises of the facilities listed within the Agreement
5 for a minimum of fourteen (14) calendar days of the program, and CONTRACTOR shall not encourage
6 Clients to seek employment opportunities during this time. Exceptions for restriction to the premises
7 shall be allowed for medical, outside meetings, mental health/substance use appointments and/or
8 emergencies. Uninsured Clients shall be provided assistance in securing Affordable Health Care
9 benefits. CONTRACTOR shall discharge Clients who are away from the facility for more than three (3)
10 calendar days, unless authorized by ADMINISTRATOR.

11 4. Residential Treatment program shall consist of the following:

12 a. Screening – Contractor shall verify appropriateness of services through ASAM patient
13 placement criteria, VOD, and participant’s income. Participant’s income may not exceed fifty percent
14 (50%) of the area median income. A copy of the ASAM criteria, VOD and Participant’s verification of
15 income shall be kept in the file. CONTRACTOR shall not admit any participant with outstanding
16 warrants. Staff shall review OC Sheriff Department website for any warrants in Orange County, prior to
17 admission.

18 b. Program Orientation – During the first seventy-two (72) hours of a Client’s admission
19 into the Program, CONTRACTOR shall provide an overview of the program. The Program Orientation
20 shall include, but not be limited to:

- 21 1) Overview of Program structure and schedules;
- 22 2) Program rules and regulations;
- 23 3) Policies regarding Client fees;
- 24 4) Client rights;
- 25 5) Assignment of a counselor;
- 26 6) Staff Code of Conduct; and
- 27 7) Continuing Care services.

28 c. Assessment – Within seven (7) calendar days of admission, CONTRACTOR shall
29 provide a standardized, comprehensive risk and needs assessment on each Client which assesses both
30 alcohol/drug abuse history, family history, mental and emotional status, legal status, educational and
31 vocational background as well as daily living skills, stress management, literacy, employment,
32 education, and money management. Assessment tools shall meet best practice standards and may
33 include Addiction Severity Index or other assessment tools that are approved by ADMINISTRATOR
34 and completed and signed by staff.

35 d. CESI/CEST – CONTRACTOR shall have all Clients complete the CESI at the time of
36 intake. The CEST shall be completed at mid-point and at completion, and information incorporated in
37 the formulation of treatment plan.

1) CONTRACTOR shall ensure that surveys are completed timely and accurately by designated Clients. This includes, but is not limited to, ensuring surveys contain provider number, Client ID number, responses to all psychosocial questions, along with other important Client and CONTRACTOR information, and fields filled and/or marked appropriately.

2) CONTRACTOR shall photocopy the CESI and CEST surveys, place them in Client files, and submit the originals to ADMINISTRATOR once a month, by the tenth (10th) calendar day of each month.

3) CONTRACTOR shall adhere to all COUNTY CESI and CEST, reporting, and any other guidelines, as stipulated by ADMINISTRATOR, as they may now exist or as they may be revised and/or amended in the future, for the review, use and analysis of the CESI and CEST.

e. Treatment Plan – CONTRACTOR shall develop an individualized treatment plan with each Client within fourteen (14) calendar days of admission. The client-centered treatment plan shall be based upon the Client’s needs identified in the assessment process and shall include goals and objectives with specific measurable tasks outlining what the Client is to complete. CONTRACTOR and Client shall collaborate on a treatment plan that shall include identification of a minimum of three (3) problem areas, including a drug and/or alcohol problem, long and short term individualized goals for addressing the identified needs with action steps, target dates and dates of resolution for each. As a part of their treatment plan, Clients will be actively involved in outside activities. Clients’ treatment plan shall clearly outline the expectations, responsibilities and steps taken to successfully earn Resocialization/Re-Entry privileges. Every fourteen (14) calendar days, CONTRACTOR shall review with the Client, and document in the progress notes, the Client’s progress on the treatment plan. CONTRACTOR shall update the treatment plan no later than ninety (90) calendar days after signing the initial treatment plan, and when there is a change in problem identification or focus of treatment.

f. Structured Therapeutic Activities – HIV Residential Substance Use Disorder Treatment Services shall consist of a minimum of twenty (20) hours of structured activity per week. Of this, Clients must engage in a minimum of fourteen (14) hours of Therapeutic Activity per week, which shall include, at a minimum the following:

1) Individual Counseling – CONTRACTOR shall provide individual counseling to Clients.

2) Group Counseling – CONTRACTOR shall provide counseling and intervention within a group setting to Clients. Group interventions and activities may include, but are not limited to process groups, seminars and educational groups, house and community group meetings, and practical life and social skills. CONTRACTOR shall provide health education services which provide knowledge and skills to prevent the transmission of HIV.

3) Self Help Meetings – CONTRACTOR shall provide access and exposure to on-site and off-site self-help support meetings, non-spiritual and spiritual, such as Alcohol Anonymous, Narcotics Anonymous, and Smart Recovery. For example, if a Big Book (AA) study is offered, then a

1 Basic Text (NA) study must also be offered. If NA or AA meetings are primarily offered on-site, clients
2 should also be given the opportunity, if possible, to attend NA or AA meetings off-site on those days.
3 CONTRACTOR shall ensure that various self-help reading materials are provided on-site and easily
4 accessible to Clients.

5 g. Structured Non-Therapeutic Activities – CONTRACTOR shall provide a minimum of
6 six (6) hours of structured Non-Therapeutic Activity per week that includes work, school, and volunteer
7 hours outside the Facility, chores, and recreation and socialization activities. Activities may include, but
8 not be limited to:

- 9 1) Teaching the concepts of rules, teamwork and sportsmanship; and
- 10 2) Providing guidance on use of recreational or leisure time.

11 h. Treatment Activities

12 1) CONTRACTOR shall design Treatment Activities to interrupt negative alcohol or
13 other drug abuse factors, address denial and personal/behavioral issues, and assist the Client’s
14 adjustment to a sober environment.

15 2) CONTRACTOR shall include within the Client’s Treatment Plan client-centered
16 goals and objectives with specific measurable tasks outlining what the Client is to complete prior to
17 advancing to Resocialization/Re-Entry phase of treatment.

18 i. Resocialization/Re-Entry

19 1) During Resocialization/Re-Entry, CONTRACTOR shall obtain documentation
20 from Clients regarding efforts to obtain employment.

21 2) As part of the Resocialization/Re-Entry process, CONTRACTOR staff shall
22 finalize exit plans with the Client.

23 3) If Client is not in the resocialization process by forty-five (45) calendar days after
24 the date of admission, CONTRACTOR shall document reason why not and specify objective(s) needed
25 to be accomplished to be involved in the resocialization process.

26 j. Successful Completion – CONTRACTOR shall consider all Clients to be graduated
27 upon completion of all their treatment plan goals.

28 k. Transition/Exit Planning – CONTRACTOR shall begin discharge planning
29 immediately after enrollment. CONTRACTOR shall develop a formal exit plan with the Client no later
30 than fourteen (14) calendar days prior to Client’s successful completion of the program. The exit plan
31 shall be completed and signed by CONTRACTOR staff and Client. The exit plan shall be documented
32 in the Client’s chart and shall:

- 33 1) Include a plan to assist the Client in maintaining a continued alcohol and drug free
34 lifestyle;
- 35 2) Address goals on the treatment plan; and

36 //
37 //

1 3) Include referrals to appropriate resources such as outpatient treatment, self-help
2 groups, alumni groups, recovery maintenance services, social services, vocational rehabilitation, job
3 training, and /or other services as needed.

4 l. Discharge Summary – CONTRACTOR shall develop written procedures regarding
5 Client discharge. Written criteria for the discharge summary shall be completed within seven (7)
6 calendar days of discharge and shall include:

- 7 1) Reason for discharge;
- 8 2) Description of treatment episodes or recovery services;
- 9 3) Current alcohol and/or drug usage at discharge;
- 10 4) Vocational and educational achievements;
- 11 5) Legal status;
- 12 6) Linkages and referrals made;
- 13 7) Clients comments; and
- 14 8) A description of the Client’s goals and achievement towards those goals as
15 described in the Client’s treatment plan.

16 m. Follow-ups – CONTRACTOR shall conduct follow-ups with Clients after discharge at
17 intervals designated by ADMINISTRATOR. ADMINISTRATOR shall provide information/questions
18 to CONTRACTOR for follow up. CONTRACTOR shall track data on client functioning which at
19 minimum shall include current substance use.

20 n. Food and Other Services – CONTRACTOR shall provide a clean, safe environment,
21 toiletries, clean linen, and food service.

22 o. Support Services – CONTRACTOR shall provide housekeeping, which may be done
23 by Clients; laundry access; and maintenance.

24 p. Collateral Services – CONTRACTOR shall provide as appropriate, individual and
25 group sessions for Client’s family members or significant others, excluding professionals such as
26 employers or doctors, to address varied systems dynamics which could contribute to the Client’s
27 relapse, and potential or actual use. Collateral Service shall include the Client unless determined
28 inappropriate by the Counselor.

29 q. Information and Referral Services – Information referrals for Client, regarding
30 community resources for substance use disorder prevention, treatment and HIV services.

31 r. Network and Support Building – Alumni support and networking which includes
32 activities and social events to keep alumni linked to ongoing support.

33 s. Health, Medical, Psychiatric and Emergency Services – CONTRACTOR shall ensure
34 that all persons admitted for HIV Residential Substance Use Disorder Treatment Services have a health
35 questionnaire completed using form DHCS 5103 form, or may develop their own form provided it
36 contains, at a minimum, the information requested in the DHCS 5103 form.

37 //

1) The health questionnaire is a Client's self-assessment of his/her current health status and shall be completed by Client.

a) CONTRACTOR shall review and approve the health questionnaire form prior to Client's admission to the program. The completed health questionnaire shall be signed and dated by CONTRACTOR and Client.

b) A copy of the questionnaire shall be filed in the Client's record.

2) CONTRACTOR shall, based on information provided by Client on the health questionnaire form, refer Client to licensed medical professionals for physical and laboratory examinations as appropriate.

a) CONTRACTOR shall obtain a copy of Client's medical clearance or release prior to Client's admission to the program when applicable.

b) A copy of the referral and clearance shall be filed in the Client's file.

c) CONTRACTOR shall provide directly or by referral: HIV education, voluntary, HIV antibody testing and risk assessment and disclosure counseling.

d) The programs shall have written procedures for obtaining medical or psychiatric evaluation and emergency and non-emergency services.

e) The programs shall post the name, address, and telephone number for the fire department, a crisis program, local law enforcement, and ambulance service.

f) CONTRACTOR shall provide TB services to the Clients by referral to the COUNTY or another appropriate provider. TB services shall be provided within seven (7) calendar days of admission. These TB services shall consist of the following:

(1) Counseling with respect to TB;

(2) Testing to determine whether the individual has been infected and to determine the appropriate form of treatment;

(3) Provision for, or referral of, infected Clients for medical evaluation, treatment and clearance. CONTRACTOR shall ensure that a TB-infected Client is medically cleared prior to commencing treatment.

t. Transportation Services

1) Emergency Medical Transportation – COUNTY shall only pay for medical ambulance or medical van transportation to and from designated residential substance use disorder treatment programs or health facilities through the COUNTY's Medical Transportation Agreement under the following conditions:

a) Ambulance transportation shall be used for services requiring immediate attention for a Client due to any sudden or serious illness or injury requiring immediate medical attention, where delay in providing such services may aggravate the medical condition or cause the loss of life.

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1 b) When any Client needs non-emergency transportation as identified in
2 Subparagraph r.2) below, and CONTRACTOR cannot transport Client due to unforeseen circumstances
3 including, but not limited to, staffing constraints, CONTRACTOR vehicle access within a timely
4 manner or Client's physical condition and/or limitations.

5 c) CONTRACTOR shall utilize the COUNTY's Ambulance Monthly Rotation
6 Call Log to request transportation services from Ambulance Providers designated for transportation
7 within the city of the CONTRACTOR's facility for each said month as identified on the log.

8 d) CONTRACTOR shall use its best efforts to contact Ambulance Providers
9 identified on the Monthly Rotation Call Log as those providers who offer van transportation services if
10 and when an ambulance is not required.

11 e) CONTRACTOR shall be held liable and may be billed by the Ambulance
12 Provider for services requested by CONTRACTOR that are deemed inappropriate for use and not a
13 covered service under this section by the COUNTY.

14 2) Non-Emergency Transportation – CONTRACTOR shall transport Client, either in
15 CONTRACTOR's own, or COUNTY loaned, vehicle to locations that are considered necessary and/or
16 important to the Client's recovery plan including, but not limited to, Social Security Administration
17 offices for Supplemental Security Income benefits and for non-emergency medical or mental health
18 services not identified in Subparagraph r.1). above, that require treatment at a physician office, urgent
19 care, or emergency room when an ambulance provider is not necessary or required for transportation
20 based on the level of severity and/or services required by the Client. CONTRACTOR shall be
21 responsible for providing transportation to and from COUNTY contracted methadone programs, and to
22 other sources of medical or dental care not requiring use of COUNTY's emergency transportation
23 program.

24 F. ALCOHOL AND/OR DRUG SCREENING

25 1. CONTRACTOR shall have a written policy and procedure statement regarding drug
26 screening that includes random drug and/or alcohol screen at a minimum of one (1) time per month for
27 the first thirty (30) calendar days and two (2) times per month for the remaining term of the agreement
28 for all Clients. All urine specimen collections shall be observed by same sex staff. This policy shall be
29 approved by ADMINISTRATOR. CONTRACTOR shall:

30 a. Establish procedures that protect against the falsification and/or contamination of any
31 body specimen sample collected for drug screening; and

32 b. Document results of the drug screening in the Client's record.

33 2. In the event CONTRACTOR wishes to utilize a COUNTY-contracted laboratory for drug
34 screening purposes, CONTRACTOR shall collect and label samples from Clients. Such testing shall be
35 provided at COUNTY's expense. **Testing for substances not included in the County laboratory
36 contract must be approved in advance by ADMINISTRATOR.

37 //

1 3. In the event that any Client of CONTRACTOR receives a drug test result indicating any
2 substance abuse, CONTRACTOR shall formulate and implement a plan of corrective action which shall
3 be documented in the Client record. CONTRACTOR shall notify ADMINISTRATOR within two (2)
4 business days of receipt of such test results via incident report and the corrective action to be taken by
5 the Resident or Client if the Client is allowed to remain in the program.

6 G. PERFORMANCE OUTCOMES

7 1. CONTRACTOR shall achieve performance objectives, tracking and reporting Performance
8 Outcome Objective statistics in monthly programmatic reports, as appropriate. ADMINISTRATOR
9 recognizes that alterations may be necessary to the following services to meet the objectives, and,
10 therefore, revisions to objectives and services may be implemented by mutual agreement between
11 CONTRACTOR and ADMINISTRATOR.

12 2. Performance Outcome Objectives

13 a. Objective 1: CONTRACTOR shall provide effective residential substance abuse
14 assessment, treatment, and counseling to Clients with identified alcohol and/or drug problems as
15 measured by Retention and Completion Rates.

16 1) Retention Rates shall be calculated by using the number of Clients currently
17 enrolled in or successfully completing the treatment program divided by the total number of Clients
18 served during the evaluation period.

19 2) Completion Rate of fifty percent (50%) or greater. This shall be calculated by
20 using the number of Clients successfully completing an individualized SUD treatment plan in the
21 evaluation period year divided by Number of Clients engaged in SUD treatment and care services in the
22 evaluation period.

23 b. Objective 2: HIV Viral Load Suppression rate of sixty percent (60%) or greater. This
24 shall be calculated by the number of Clients with diagnosis of HIV, at least one (1) medical visit in the
25 evaluation period, and an HIV viral load less than two hundred (200) copies/mL at last HIV viral load
26 test during the evaluation period, divided by the number of Clients with diagnosis of HIV and at least
27 one (1) medical visit in the evaluation period.

28 c. Objective 3: An Aftercare Plan completion rate of 85% or higher. This shall be
29 calculated by the number of Clients who have developed an individualized after care plan including but
30 not limited to relapse prevention, life skills and vocational support, and continuing care support, divided
31 by the number of Clients who have successfully completed an SUD treatment plan in the evaluation
32 period.

33 d. Objective 4: CONTRACTOR shall implement a process improvement project as
34 outlined in the NIATx model, targeting at least one of the following four (4) NIATx aims:

- 35 1) Reduce waiting times
- 36 2) Reduce no-shows
- 37 3) Increase admissions

4) Increase continuation in treatment

H. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the Services paragraph of this Exhibit A to the Agreement.

IX. STAFFING

A. CONTRACTOR shall, at a minimum, provide the following paid staff expressed in FTEs, for period one and two, which shall be equal to an average of forty (40) hours worked per week:

STAFF	<u>FTEs</u>
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TOTAL FTEs

1. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the staffing set forth above.

2. CONTRACTOR shall provide twenty-four (24) hour supervision with at least one (1) staff member on-site at all times. Co-ed residential programs shall require twenty-four (24)-hour awake supervision.

B. CONTRACTOR shall include bilingual/bicultural services to meet the needs of the population to be served under this Agreement. Whenever possible, bilingual/bicultural staff should be retained.

C. STAFF CERTIFICATION – SUD treatment staff shall meet the requirements of the DHCS Counselor Certification Standards for California. All staff providing treatment services shall be registered, licensed and/or certified in accordance with state requirements and professional guidelines as applicable. At minimum, one (1) licensed clinician must be hired full time to provide counseling services. Dual diagnosed Clients must be part of licensed staff caseload. The licensed clinician shall provide group counseling services, and provide supervision to non-licensed counseling staff.

1 D. VOLUNTEERS/INTERNS – CONTRACTOR may augment the above paid staff with
 2 volunteers or part-time student interns. Unless waived by ADMINISTRATOR, prior to providing
 3 services pursuant to this Agreement, interns shall be Master's Candidates in Counseling or Social Work
 4 or have a Bachelor's Degree in a related field or be participating in any state recognized counselor
 5 certification program. CONTRACTOR shall provide a minimum of one (1) hour supervision for each
 6 ten (10) hours of work by interns or consistent with school or licensing Board requirements.
 7 CONTRACTOR shall provide supervision to volunteers as specified in the respective job descriptions
 8 or work contracts. Volunteer or student intern services may not comprise more than twenty percent
 9 (20%) of the services provided, unless approved in advance by ADMINISTRATOR

10 E. STAFF CONDUCT – CONTRACTOR shall establish written Policies and Procedures for
 11 employees, volunteers, interns, and members of the Board of Directors which shall include, but not be
 12 limited to, standards related to the use of drugs and/or alcohol; staff-Client relationships; prohibition of
 13 sexual conduct with Clients; prohibition of forging or falsifying documents or drug tests; and real or
 14 perceived conflict of interest. Situations that may be perceived as a conflict of interest shall be brought
 15 to the ADMINISTRATOR's attention prior to the occurrence. Prior to providing any services pursuant
 16 to this Agreement all employees, volunteers, and interns shall agree in writing to maintain the standards
 17 set forth in the said Policies and Procedures. A copy of the said Policies and Procedures shall be posted
 18 in writing in a prominent place in the treatment facility and updated annually by the Board of Directors.

19 F. STAFF/VOLUNTEER/INTERN SCREENING – CONTRACTOR shall provide pre-
 20 employment "live scan" screening of any staff person providing services pursuant to this Agreement.
 21 All new staff, volunteers, and interns shall pass a one-time "live scan" finger printing background check
 22 prior to employment. All staff shall be subject to sanction screening as referenced in the Compliance
 23 paragraph on a bi-annual basis. All staff shall also be screened by Megan's Law, OC Courts and OC
 24 Sheriff's Department on an annual basis. The results of the fingerprint checks will be sent directly from
 25 the Department of Justice to CONTRACTOR. Results must remain in staff file.

- 26 1. All staff/volunteers/interns, prior to starting services, shall meet the following requirements:
 27 a. No person shall have been convicted of a sex offense for which the person is required
 28 to register as a sex offender under PC section 290;
 29 b. No person shall have been convicted of an arson offense – Violation of PC sections
 30 451, 451.1, 451.5, 452, 45231, 453, 454, or 455;
 31 c. No person shall have been convicted of any violent felony as defined in PC section
 32 667.5, which involves doing bodily harm to another person, for which the staff member was convicted
 33 within five (5) years prior to employment;
 34 d. No person shall be on parole or probation;
 35 e. No person shall participate in the criminal activities of a criminal street gang and/or
 36 prison gang; and

37 //

1 f. No person shall have prior employment history of improper conduct, including but not
2 limited to, forging or falsifying documents or drug tests, sexual assault or sexual harassment, or
3 inappropriate behavior with staff or residents at another treatment Facility.

4 2. Exceptions to staffing requirements set forth above, may be requested if CONTRACTOR
5 deems the decision will benefit the program. Requests for exceptions shall be submitted in writing and
6 approved in advance by ADMINISTRATOR.

7 G. STAFF TRAINING – CONTRACTOR shall develop a written plan for staff training. All Staff
8 training shall be documented and maintained as part of the training plan.

9 1. CONTRACTOR shall ensure that within the first (1st) year of employment, all program
10 staff, including administrator, volunteers and interns having direct contact with Clients shall complete
11 training on:

- 12 a. infectious disease recognition,
- 13 b. crisis intervention,
- 14 c. recognizing physical and psychiatric symptoms that require appropriate referrals to other
15 agencies.

16 2. CONTRACTOR shall ensure that on an annual basis, all program staff including
17 administrator, volunteers and interns having direct contact with Clients shall complete:

- 18 a. County Annual Provider Training;
- 19 b. County Annual Compliance Training;
- 20 c. Training on topics related to alcohol and drug use; and
- 21 d. Minimum one hour training in cultural competence.

22 H. All personnel files shall be complete and made readily accessible to ADMINISTRATOR for
23 purposes of audits and investigations or any other reason deemed necessary by ADMINISTRATOR.

24 I. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
25 Staffing Paragraph of this Exhibit A to the Agreement.

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1 EXHIBIT B
2 TO AGREEMENT FOR PROVISION OF
3 HIV RESIDENTIAL SUBSTANCE USE DISORDER TREATMENT SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 «UC_NAME» «UC_DBA»
8 JULY 1, 2017 THROUGH JUNE 30, 2019
9

10 **I. BUSINESS ASSOCIATE CONTRACT**

11 **A. GENERAL PROVISIONS AND RECITALS**

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

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

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

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

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

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

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

3 B. DEFINITIONS

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

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

10 a. Breach excludes:

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

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

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

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

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

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

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

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

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

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

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

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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 ePHI at
23 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 ePHI 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 HHS in the guidance issued on the HHS Web site.

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

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

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

37 //

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 45
36 CFR § 164.528.

37 //

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

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

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

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

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

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

37 //

1 a. CONTRACTOR does not promptly enter into negotiations to amend this Business
2 Associate Contract when requested by COUNTY pursuant to this Subparagraph F; 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,
25 maintains, or transmits on behalf of COUNTY. These steps shall include, at a minimum:

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

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

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

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

37 //

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

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

7 E. DATA SECURITY REQUIREMENTS

8 1. Personal Controls

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

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

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

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

34 2. Technical Security Controls

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

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

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

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

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

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

21 f. Patch Management. All workstations, laptops and other systems that process and/or
22 store PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or
23 transmits on behalf of COUNTY must have critical security patches applied, with system reboot if
24 necessary. There must be a documented patch management process which determines installation
25 timeframe based on risk assessment and vendor recommendations. At a maximum, all applicable
26 patches must be installed within thirty (30) days of vendor release. Applications and systems that
27 cannot be patched due to operational reasons must have compensatory controls implemented to
28 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 US 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 three (3) years after occurrence.

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

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

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

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

3 3. Audit Controls

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

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

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

17 4. Business Continuity/Disaster Recovery Control

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

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

30 5. Paper Document Controls

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

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

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

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

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

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

22 F. BREACH DISCOVERY AND NOTIFICATION

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

3 G. PERMITTED USES AND DISCLOSURES BY CONTRACTOR

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

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

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

13 1) The Disclosure is required by law; or

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

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

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

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

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

28 H. PROHIBITED USES AND DISCLOSURES

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

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

1 I. OBLIGATIONS OF COUNTY

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

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

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

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

13 J. BUSINESS ASSOCIATE TERMINATION

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

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

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

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

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

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

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

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

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1 EXHIBIT C
2 TO AGREEMENT FOR PROVISION OF
3 HIV RESIDENTIAL SUBSTANCE USE DISORDER TREATMENT SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 «UC_NAME» «UC_DBA»
8 JULY 1, 2017 THROUGH JUNE 30, 2019
9

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

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

13 A. DEFINITIONS

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

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

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

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

23 5. "IEA" shall mean the IEA currently in effect between the SSA and DHCS.

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

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

30 8. "PI" shall have the meaning given to such term in CCC § 1798.3(a).

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

1 regulations that require the production of information, including statutes or regulations that require such
2 information if payment is sought under a government program providing public benefits.

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

6 B. TERMS OF AGREEMENT

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

11 2. Responsibilities of CONTRACTOR

12 CONTRACTOR agrees:

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

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

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

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

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

34 3) If the data obtained by CONTRACTOR from COUNTY includes PII,
35 CONTRACTOR shall also comply with the substantive privacy and security requirements in the
36 CMPPA Agreement between the SSA and the CHHS and in the Agreement between the SSA and
37 DHCS, known as the IEA. The specific sections of the IEA with substantive privacy and security

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

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

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

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

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

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

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

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