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REFERENCED CONTRACT PROVISIONS

Term: July 1, 2018 through June 30, 2021

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

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

Period Three means the period from July 1, 2020 through June 30, 2021

Maximum Obligation:

Period One Maximum Obligation: \$ 1,808,589

Period Two Maximum Obligation: 1,808,589

Period Three Maximum Obligation: 1,808,589

TOTAL MAXIMUM OBLIGATION: \$ 5,425,767

Basis for Reimbursement: Actual Cost

Payment Method: Monthly in Arrears

CONTRACTOR DUNS Number: 07-023-1878

CONTRACTOR TAX ID Number: 22-2268070

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: Phoenix House Orange County, Inc.
11600 Eldridge Avenue
Lake View Terrace, CA 91342
Shawna Morris, Senior Vice President and Executive Director
srmorris@phoenixhouse.org

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I. ACRONYMS

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

- 4 A. ARRA American Recovery and Reinvestment Act
- 5 B. CCC California Civil Code
- 6 C. CCR California Code of Regulations
- 7 D. CEO County Executive Office
- 8 E. CFR Code of Federal Regulations
- 9 F. CHPP COUNTY HIPAA Policies and Procedures
- 10 G. COI Certificate of Insurance
- 11 H. CRN Crisis Response Network
- 12 I. DHCS Department of Health Care Services
- 13 J. DRS Designated Record Set
- 14 K. GAAP General Accepted Accounting Principles
- 15 L. HCA Health Care Agency
- 16 M. HHS Health and Human Services
- 17 N. HIPAA Health Insurance Portability and Accountability Act of 1996, Public Law 104-191
- 18 O. HSC California Health and Safety Code
- 19 P. ISO Insurance Services Office
- 20 Q. MHSA Mental Health Services Act
- 21 R. NPP Notice of Privacy Practices
- 22 S. OIG Office of Inspector General
- 23 T. OMB Office of Management and Budget
- 24 U. OPM Federal Office of Personnel Management
- 25 V. PC State of California Penal Code
- 26 W. PEI Prevention and Early Intervention
- 27 X. PHI Protected Health Information
- 28 Y. PII Personally Identifiable Information
- 29 Z. P&P Policy and Procedure
- 30 AA. PRA Public Record Act
- 31 AB. SIR Self-Insured Retention
- 32 AC. SFTS Safe from the Start
- 33 AD. TOT Train the Trainer
- 34 AE. USC United States Code
- 35 AF. VPE Violence Prevention Education
- 36 AG. WIC State of California Welfare and Institutions Code

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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.

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.

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- f. Methodology for detecting and correcting offenses.
- g. Methodology/Procedure for enforcing disciplinary standards.

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

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

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

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

1. For purposes of this Paragraph IV (COMPLIANCE), Covered Individuals includes all employees, interns, volunteers, contractors, subcontractors, agents, and other persons who provide health care items or services or who perform billing or coding functions on behalf of ADMINISTRATOR. Notwithstanding the above, this term does not include part-time or per-diem

1 employees, contractors, subcontractors, agents, and other persons who are not reasonably expected to
2 work more than one hundred sixty (160) hours per year; except that any such individuals shall become
3 Covered Individuals at the point when they work more than one hundred sixty (160) hours during the
4 calendar year. CONTRACTOR shall ensure that all Covered Individuals relative to this Agreement are
5 made aware of ADMINISTRATOR's Compliance Program, Code of Conduct and related policies and
6 procedures (or CONTRACTOR's own compliance program, code of conduct and related policies and
7 procedures if CONTRACTOR has elected to use its own).

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

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

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

14 3. CONTRACTOR shall screen prospective Covered Individuals prior to hire or engagement.
15 CONTRACTOR shall not hire or engage any Ineligible Person to provide services relative to this
16 Agreement.

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

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

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

34 7. CONTRACTOR shall notify ADMINISTRATOR immediately if a Covered Individual or
35 entity is currently excluded, suspended or debarred, or is identified as such after being sanction
36 screened. Such individual or entity shall be immediately removed from participating in any activity
37 associated with this Agreement. ADMINISTRATOR will determine appropriate repayment from, or

1 sanction(s) to CONTRACTOR for services provided by ineligible person or individual.
2 CONTRACTOR shall promptly return any overpayments within forty-five (45) business days after the
3 overpayment is verified by ADMINISTRATOR.

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

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

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

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

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

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

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

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

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

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

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

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

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

33 1. CONTRACTOR shall take reasonable precaution to ensure that the coding of health care
34 claims, billings and/or invoices for same are prepared and submitted in an accurate and timely manner
35 and are consistent with federal, state and county laws and regulations. This includes compliance with
36 federal and state health care program regulations and procedures or instructions otherwise

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1 | communicated by regulatory agencies including the Centers for Medicare and Medicaid Services or
2 | their agents.

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

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

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

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

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

19 |

20 |

V. CONFIDENTIALITY

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

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

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

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

36 | B. Prior to providing any services pursuant to this Agreement, all members of the Board of
37 | Directors or its designee or authorized agent, employees, consultants, subcontractors, volunteers and

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

6
7 **VI. COST REPORT**

8 A. CONTRACTOR shall submit separate Cost Reports for Period One, Period Two and Period
9 Three, or for a portion thereof, to COUNTY no later than sixty (60) calendar days following the period
10 for which they are prepared or termination of this Agreement. CONTRACTOR shall prepare the
11 individual and/or consolidated Cost Report in accordance with all applicable federal, state and
12 COUNTY requirements, GAAP and the Special Provisions Paragraph of this Agreement.
13 CONTRACTOR shall allocate direct and indirect costs to and between programs, cost centers, services,
14 and funding sources in accordance with such requirements and consistent with prudent business
15 practice, which costs and allocations shall be supported by source documentation maintained by
16 CONTRACTOR, and available at any time to ADMINISTRATOR upon reasonable notice. In the event
17 CONTRACTOR has multiple Agreements for mental health services that are administered by HCA,
18 consolidation of the individual Cost Reports into a single consolidated Cost Report may be required, as
19 stipulated by ADMINISTRATOR. CONTRACTOR shall submit a consolidated Cost Report to
20 COUNTY no later than five (5) business days following approval by ADMINISTRATOR of all
21 individual Cost Reports to be incorporated into a consolidated Cost Report.

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

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

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

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

37 //

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

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

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

22 D. If the Cost Report indicates the actual and reimbursable costs of services provided pursuant to
23 this Agreement, less applicable revenues and late penalty, are lower than the aggregate of interim
24 monthly payments to CONTRACTOR, CONTRACTOR shall remit the difference to COUNTY. Such
25 reimbursement shall be made, in cash, or other authorized form of payment, with the submission of the
26 Cost Report. If such reimbursement is not made by CONTRACTOR within thirty (30) calendar days
27 after submission of the Cost Report, COUNTY may, in addition to any other remedies, reduce any
28 amount owed CONTRACTOR by an amount not to exceed the reimbursement due COUNTY.

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

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

3
4 "I HEREBY CERTIFY that I have executed the accompanying Cost Report and
5 supporting documentation prepared by _____ for the cost report period
6 beginning _____ and ending _____ and that, to the best of my
7 knowledge and belief, costs reimbursed through this Agreement are reasonable and
8 allowable and directly or indirectly related to the services provided and that this Cost
9 Report is a true, correct, and complete statement from the books and records of
10 (provider name) in accordance with applicable instructions, except as noted. I also
11 hereby certify that I have the authority to execute the accompanying Cost Report.

12
13 Signed _____
14 Name _____
15 Title _____
16 Date _____"

17
18 **VII. DELEGATION, ASSIGNMENT AND SUBCONTRACTS**

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

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

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

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

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

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

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

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

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

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

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

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

29
30 **VIII. EMPLOYEE ELIGIBILITY VERIFICATION**

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

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

3 4 **IX. EQUIPMENT**

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

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

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

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

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

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

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

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

8 **X. FACILITIES, PAYMENTS AND SERVICES**

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

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

21 **XI. INDEMNIFICATION AND INSURANCE**

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

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

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

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

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

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

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

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

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

31 F. QUALIFIED INSURER

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

37 //

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 Employers' Liability Insurance	Statutory \$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 **XII. 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 participant records, of CONTRACTOR that are
35 directly pertinent to this Agreement, for the purpose of responding to a beneficiary complaint or
36 conducting an audit, review, evaluation, or examination, or making transcripts during the periods of
37 retention set forth in the Records Management and Maintenance Paragraph of this Agreement. Such

1 persons may at all reasonable times inspect or otherwise evaluate the services provided pursuant to this
2 Agreement, and the 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 and file
21 with ADMINISTRATOR, an annual, independent, organization-wide audit of related expenditures as
22 may be required during the term of this Agreement.

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

27
28 **XIII. LICENSES AND LAWS**

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

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1 B. ENFORCEMENT OF CHILD SUPPORT OBLIGATIONS

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

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

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

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

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

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

- 21 1. ARRA of 2009.
- 22 2. WIC, Division 5, Community Mental Health Services.
- 23 3. WIC, Division 6, Admissions and Judicial Commitments.
- 24 4. WIC, Division 7, Mental Institutions.
- 25 5. HSC, §§1250 et seq., Health Facilities.
- 26 6. PC, §§11164-11174.3, Child Abuse and Neglect Reporting Act.
- 27 7. CCR, Title 9, Rehabilitative and Developmental Services.
- 28 8. CCR, Title 17, Public Health.
- 29 9. CCR, Title 22, Social Security.
- 30 10. CFR, Title 42, Public Health.
- 31 11. CFR, Title 45, Public Welfare.
- 32 12. USC Title 42. Public Health and Welfare.
- 33 13. Federal Social Security Act, Title XVIII and Title XIX Medicare and Medicaid.
- 34 14. 42 USC §12101 et seq., Americans with Disabilities Act of 1990.
- 35 15. 42 USC §1857, et seq., Clean Air Act.
- 36 16. 33 USC 84, §308 and §§1251 et seq., the Federal Water Pollution Control Act.
- 37 17. 31 USC 7501.70, Federal Single Audit Act of 1984.

- 1 18. Policies and procedures set forth in Mental Health Services Act.
- 2 19. Policies and procedures set forth in DHCS Letters.
- 3 20. HIPAA privacy rule, as it may exist now, or be hereafter amended, and if applicable.
- 4 21. 31USC 7501 – 7507, as well as its implementing regulations under 2 CFR Part 200,
- 5 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for
- 6 Federal Awards.

7
8 **XIV. LITERATURE, ADVERTISEMENTS, AND SOCIAL MEDIA**

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

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

18 C. If CONTRACTOR uses social media (such as Facebook, Twitter, YouTube or other publicly
19 available social media sites) in support of the services described within this Agreement,
20 CONTRACTOR shall develop social media policy and procedures and have them available to
21 ADMINISTRATOR upon reasonable notice. CONTRACTOR shall inform ADMINISTRATOR of all
22 forms of social media used to either directly or indirectly support the services described within this
23 Agreement. CONTRACTOR shall comply with COUNTY Social Media Use Policy and Procedures as
24 they pertain to any social media developed in support of the services described within this Agreement.
25 CONTRACTOR shall also include any required funding statement information on social media when
26 required by ADMINISTRATOR.

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

29
30 **XV. MAXIMUM OBLIGATION**

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

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

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37 //

XVI. MINIMUM WAGE LAWS

1
2 A. Pursuant to the United States of America Fair Labor Standards Act of 1938, as amended, and
3 State of California Labor Code, §1178.5, CONTRACTOR shall pay no less than the greater of the
4 federal or California Minimum Wage to all its employees that directly or indirectly provide services
5 pursuant to this Agreement, in any manner whatsoever. CONTRACTOR shall require and verify that
6 all its contractors or other persons providing services pursuant to this Agreement on behalf of
7 CONTRACTOR also pay their employees no less than the greater of the federal or California Minimum
8 Wage.

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

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

16
17 **XVII. NONDISCRIMINATION**

18 A. EMPLOYMENT

19 1. During the term of this Agreement, CONTRACTOR and its Covered Individuals shall not
20 unlawfully discriminate against any employee or applicant for employment because of his/her race,
21 religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition,
22 genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual
23 orientation, or military and veteran status. Additionally, during the term of this Agreement,
24 CONTRACTOR and its Covered Individuals shall require in its subcontracts that subcontractors shall
25 not unlawfully discriminate against any employee or applicant for employment because of his/her race,
26 religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition,
27 genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual
28 orientation, or military and veteran status.

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

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

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37 //

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

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

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

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

- 28 1. Denying a participant or potential participant any service, benefit, or accommodation.
- 29 2. Providing any service or benefit to a participant which is different or is provided in a
30 different manner or at a different time from that provided to other participants.
- 31 3. Restricting a participant in any way in the enjoyment of any advantage or privilege enjoyed
32 by others receiving any service or benefit.
- 33 4. Treating a participant differently from others in satisfying any admission requirement or
34 condition, or eligibility requirement or condition, which individuals must meet in order to be provided
35 any service or benefit.
- 36 5. Assignment of times or places for the provision of services.

37 //

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

5 1. Whenever possible, problems shall be resolved informally and at the point of service.
6 CONTRACTOR shall establish an internal informal problem resolution process for participants not able
7 to resolve such problems at the point of service. Participants may initiate a grievance or complaint
8 directly with CONTRACTOR either orally or in writing.

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

11 b. Throughout the problem resolution and grievance process, participant rights shall be
12 maintained, including access to the Patients’ Rights Office at any point in the process. Clients shall be
13 informed of their right to access the Patients’ Rights Office at any time.

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

16 D. PERSONS WITH DISABILITIES – CONTRACTOR and/or subcontractor agree to comply
17 with the provisions of §504 of the Rehabilitation Act of 1973, as amended, (29 USC 794 et seq., as
18 implemented in 45 CFR 84.1 et seq.), and the Americans with Disabilities Act of 1990 as amended
19 (42 USC 12101 et seq.; as implemented in 29 CFR 1630), as applicable, pertaining to the prohibition of
20 discrimination against qualified persons with disabilities in all programs or activities; and if applicable,
21 as implemented in Title 45, CFR, §84.1 et seq., as they exist now or may be hereafter amended together
22 with succeeding legislation.

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

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

32
33 **XVIII. NOTICES**

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

36 //
37 //

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

4 2. When faxed, transmission confirmed;

5 3. When sent by Email; or

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

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

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

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

18
19 **XIX. NOTIFICATION OF DEATH**

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

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

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

30 2. WRITTEN NOTIFICATION

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

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

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

5
6 **XX. NOTIFICATION OF PUBLIC EVENTS AND MEETINGS**

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

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

14
15 **XXI. RECORDS MANAGEMENT AND MAINTENANCE**

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

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

24 C. CONTRACTOR's participant, client, and/or patient records shall be maintained in a secure
25 manner. CONTRACTOR shall maintain participant, client, and/or patient records and must establish
26 and implement written record management procedures.

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

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

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

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

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

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

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

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

9 2. Provide auditor or other authorized individuals access to documents via a computer
10 terminal.

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

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

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

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

24
25 **XXII. RESEARCH AND PUBLICATION**

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

28
29 **XXIII. SEVERABILITY**

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

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XXIV. SPECIAL PROVISIONS

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

- 1. Making cash payments to intended recipients of services through this Agreement.
- 2. Lobbying any governmental agency or official. CONTRACTOR shall file all certifications and reports in compliance with this requirement pursuant to Title 31, USC, §1352 (e.g., limitation on use of appropriated funds to influence certain federal contracting and financial transactions).
- 3. Fundraising.
- 4. Purchase of gifts, meals, entertainment, awards, or other personal expenses for CONTRACTOR’s staff, volunteers, or members of the Board of Directors or governing body.
- 5. Reimbursement of CONTRACTOR’s members of the Board of Directors or governing body for expenses or services.
- 6. Making personal loans to CONTRACTOR’s staff, volunteers, interns, consultants, subcontractors, and members of the Board of Directors or governing body, or its designee or authorized agent, or making salary advances or giving bonuses to CONTRACTOR’s staff.
- 7. Paying an individual salary or compensation for services at a rate in excess of the current Level I of the Executive Salary Schedule as published by the OPM. The OPM Executive Salary Schedule may be found at www.opm.gov.
- 8. Severance pay for separating employees.
- 9. Paying rent and/or lease costs for a facility prior to the facility meeting all required building codes and obtaining all necessary building permits for any associated construction.
- 10. Supplanting current funding for existing services.

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

- 1. Funding travel or training (excluding mileage or parking).
- 2. Making phone calls outside of the local area unless documented to be directly for the purpose of participant care.
- 3. Payment for grant writing, consultants, certified public accounting, or legal services.
- 4. Purchase of artwork or other items that are for decorative purposes and do not directly contribute to the quality of services to be provided pursuant to this Agreement.
- 5. Purchasing or improving land, including constructing or permanently improving any building or facility, except for tenant improvements.
- 6. Providing inpatient hospital services or purchasing major medical equipment.
- 7. Satisfying any expenditure of non-federal funds as a condition for the receipt of federal funds (matching).
- 8. Purchase of gifts, meals, entertainment, awards, or other personal expenses for CONTRACTOR’s participants.

XXV. STATUS OF CONTRACTOR

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

XXVI. TERM

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

XXVII. TERMINATION

A. Either party may terminate this Agreement, without cause, upon ninety (90) 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.

//

1 4. The neglect by any physician or licensed person employed by CONTRACTOR of any duty
2 required pursuant to this Agreement.

3 5. The loss of accreditation or any license required by the Licenses and Laws Paragraph of
4 this Agreement.

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

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

11 D. CONTINGENT FUNDING

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

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

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

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

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

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

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

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

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

33 4. If participants are to be transferred to another facility for services, furnish
34 ADMINISTRATOR, upon request, all participant information and records deemed necessary by
35 ADMINISTRATOR to effect an orderly transfer.

36 5. Assist ADMINISTRATOR in effecting the transfer of participants in a manner consistent
37 with participant's best interests.

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

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

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

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

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

17
18 **XXVIII. THIRD PARTY BENEFICIARY**

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

22
23 **XXIX. WAIVER OF DEFAULT OR BREACH**

24 Waiver by COUNTY of any default by CONTRACTOR shall not be considered a waiver of any
25 subsequent default. Waiver by COUNTY of any breach by CONTRACTOR of any provision of this
26 Agreement shall not be considered a waiver of any subsequent breach. Waiver by COUNTY of any
27 default or any breach by CONTRACTOR shall not be considered a modification of the terms of this
28 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 PHOENIX HOUSE ORANGE COUNTY, INC.

5 DocuSigned by:
6 BY: Shawna Morris DATED: 3/30/2018
7 4AAFF22F351D44E...

8
9 TITLE: Executive Director

10
11
12
13
14
15 COUNTY OF ORANGE

16
17
18 BY: _____ DATED: _____
19 HEALTH CARE AGENCY

20
21
22
23
24 APPROVED AS TO FORM
25 OFFICE OF THE COUNTY COUNSEL
26 ORANGE COUNTY, CALIFORNIA

27
28 DocuSigned by:
29 BY: Massoud Shamel DATED: 3/30/2018
30 DEPUTY 1A94F8...

31
32
33
34 If the contracting party is a corporation, two (2) signatures are required: one (1) signature by the Chairman of the Board, the
35 President or any Vice President; and one (1) signature by the Secretary, any Assistant Secretary, the Chief Financial Officer
36 or any Assistant Treasurer. If the contract is signed by one (1) authorized individual only, a copy of the corporate resolution
37 or by-laws whereby the board of directors has empowered said authorized individual to act on its behalf by his or her
signature alone is required by ADMINISTRATOR.

1 EXHIBIT A
2 TO AGREEMENT FOR PROVISION OF
3 SCHOOL-BASED BEHAVIORAL HEALTH INTERVENTION AND SUPPORT SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 PHOENIX HOUSE ORANGE COUNTY, INC.
8 JULY 1, 2018 THROUGH JUNE 30, 2021
9

10 **I. COMMON TERMS AND DEFINITIONS**

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

13 A. Assessment means a professional review and Evaluation of an individual’s behavioral health
14 and conditions in order to determine the most appropriate course of services.

15 B. At Risk means a state of high stressor and low protective factor that would increase likelihood
16 of development of a behavioral health condition.

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

19 D. Educational Activities means school activities and support that provides wrap-around coverage
20 to create a prevention-prepared school environment that fosters student development and decreases the
21 incidence of Behavioral Health Conditions. Activities include, but are not limited to: student/peer
22 support, parent education, and school-wide fairs/projects.

23 E. Engagement means the process by which a trusting relationship between a worker and
24 participant is established with the goal to link the participant to appropriate services.

25 F. Enrollment means the data entry of a Participant’s program information into CONTRACTOR’s
26 database for purposes of recording and tracking a Participant’s involvement in the program.

27 G. Evaluation means the systematic investigation of the value and impact of an intervention or
28 program.

29 H. Evidence-Based Practice means the range of prevention and intervention services of well
30 documented effectiveness. An evidence-based practice has quantitative and qualitative data showing
31 positive outcomes and has been subject to expert/peer review that has determined that a particular
32 approach or strategy has a significant level of evidence of effectiveness.

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

35 J. Follow-up means ensuring that the Participant has linked to the referred service and/or
36 successfully transitioned from one service to another.

37 K. Group Intervention means the delivery of services to more than one individual or family.

1 L. Intake means the initial meeting between a Participant and a worker to evaluate a Participant's
2 issue of concern and determine how a program could best meet his/her needs.

3 M. Linkage means when an individual is connected to programs or services through warm hand-off
4 or Follow-up to ensure connection is made.

5 N. MHSA means the law that provides funding for expanded community mental health services,
6 also known as "Proposition 63.

7 O. NPP means a document that notifies individuals of uses and disclosures of PHI that may be
8 made by or on behalf of the health plan or health care provider as set forth in the Health Insurance
9 Portability and Accountability Act of 1996 (HIPAA).

10 P. Outreach means contact with potential Participants to link them to appropriate behavioral health
11 and supportive services; which may include media-based activities that educate the community about
12 services offered and requirements for participation in the program.

13 Q. Positive Action means an evidence-based curriculum that uses a cognitive-behavioral approach,
14 to teach positive development for the physical, intellectual, social, and emotional areas of the individual.

15 R. Participant means an individual enrolled in a program who engages in activities aimed at
16 preventing and/or eliminating the development of Behavioral Health Conditions.

17 S. PHI means individually identifiable health information usually transmitted by electronic media
18 maintained in any medium as defined in the regulations or for an entity, such as a health plan,
19 transmitted or maintained in any other medium. It is created or received by a covered entity and related
20 to the past, present, or future physical or behavioral health condition of an individual, provision of
21 health care to an individual, or the past, present, or future payment for health care provided to an
22 individual.

23 T. PII means any information that could be readily used to identify a specific person, including but
24 not limited to: name, address, telephone number, email address, driver's license number, Social Security
25 number, bank account information, credit card information, or any combination of data that could be
26 used to identify a specific person, such as a birth date, zip code, mother's maiden name and gender.

27 U. Prevention means the group or individual interventions that occur before the initial onset of a
28 behavioral health condition. Prevention promotes positive cognitive, social and emotional development
29 and encourages a state of well-being that allows the individuals to function well in the face of changing
30 and sometimes challenging circumstances.

31 V. Referral means the process of sending an individual from one service to another for health care,
32 mental health, and/or other support services, or an unsuccessful linkage attempt.

33 W. Strengthening Families Program (SFP) means an evidence-based curriculum that provides
34 family skills training which includes, but is not limited to: appropriate developmental expectations,
35 parent/children communication skills, and skill practice sessions.

36 X. Training means the action or method used to transfer skills and/or knowledge to a target
37 audience.

1 Y. Unduplicated Participant means an individual who is counted only once, despite how many
 2 services the individual is enrolled during the term of the Agreement.

3 Z. Units of Service means the number and/or type of activities the CONTRACTOR will fulfill
 4 during the term of the Agreement.

5
 6 **II. BUDGET**

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

	<u>PERIOD ONE</u>	<u>PERIOD TWO</u>	<u>PERIOD THREE</u>	<u>TOTAL</u>
11				
12				
13	ADMINISTRATIVE COSTS			
14	Indirect Costs	\$ 235,903	\$ 235,903	\$ 235,903
15	SUBTOTAL	\$ 235,903	\$ 235,903	\$ 235,903
16	ADMINISTRATIVE COSTS			
17				
18	PROGRAM COSTS			
19	Salaries	\$ 975,858	\$ 975,858	\$ 975,858
20	Benefits	268,361	268,361	268,361
21	Services and Supplies	292,967	292,967	292,967
22	Subcontractor	<u>35,500</u>	<u>35,500</u>	<u>35,500</u>
23	SUBTOTAL	\$1,572,686	\$1,572,686	\$1,572,686
24	PROGRAM COSTS			
25				
26	TOTAL GROSS COSTS	\$1,808,589	\$1,808,589	\$1,808,589
27				
28	REVENUE			
29	MHSA	<u>\$1,808,589</u>	<u>\$1,808,589</u>	<u>\$1,808,589</u>
30	TOTAL REVENUE	\$1,808,589	\$1,808,589	\$1,808,589
31				
32				
33	MAXIMUM OBLIGATION	\$1,808,589	\$1,808,589	\$1,808,589
34				

35 B. BUDGET/STAFFING MODIFICATIONS – CONTRACTOR may request to shift funds
 36 between budgeted line items for the purpose of meeting specific program needs or for providing
 37 continuity of care to its Participants, by utilizing a Budget/Staffing Modification Request form provided

1 by ADMINISTRATOR. CONTRACTOR shall submit a properly completed Budget/Staffing
 2 Modification Request to ADMINISTRATOR for consideration, in advance, which shall include a
 3 justification narrative specifying the purpose of the request, the amount of said funds to be shifted, and
 4 the sustaining annual impact of the shift as may be applicable to the current contract period and/or future
 5 contract periods. CONTRACTOR shall obtain written approval of any Budget/Staffing Modification
 6 Request(s) from ADMINISTRATOR prior to implementation by CONTRACTOR. Failure of
 7 CONTRACTOR to obtain written approval from ADMINISTRATOR for any proposed Budget/Staffing
 8 Modification Request(s) may result in disallowance of those costs.

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

14 D. CONTRACTOR shall provide effective Administrative management of the budget, staffing,
 15 recording, and reporting portion of the Agreement with the COUNTY. If administrative responsibilities
 16 are delegated to subcontractors, CONTRACTOR must ensure that any subcontractor(s) possess the
 17 qualifications and capacity to perform all delegated responsibilities. These responsibilities include, but
 18 are not limited, to the following:

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

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

32 **III. PAYMENTS**

34 A. COUNTY shall pay CONTRACTOR monthly, in arrears, the provisional amounts of \$150,716
 35 per month for each period as specified in the Referenced Contract Provisions of the Agreement. All
 36 payments are interim payments only, and subject to Final Settlement in accordance with the Cost Report
 37 Paragraph of the Agreement for which CONTRACTOR shall be reimbursed for the actual cost of

1 providing the services hereunder; provided, however, the total of such payments does not exceed
2 COUNTY's Maximum Obligation as specified in the Referenced Contract Provisions of the Agreement
3 and, provided further, CONTRACTOR's costs are reimbursable pursuant to COUNTY, state, and
4 federal regulations. ADMINISTRATOR may, at its discretion, pay supplemental invoices for any
5 month for which the provisional amount specified above has not been fully paid.

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

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

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

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

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

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

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

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

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IV. REPORTS

A. FISCAL

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

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

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

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

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

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

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V. SERVICES

A. FACILITIES

1. CONTRACTOR shall maintain facility/(ies) for the provision of School-Based Behavioral Health Intervention and Support services described herein at the following location(s), or any other location approved, in advance, in writing, by ADMINISTRATOR. The facility shall include space to support the services identified within the Agreement.

1615 E. 17th Street, Suite #150
Santa Ana, CA 92705

2. CONTRACTOR shall maintain regularly scheduled service hours, Monday through Friday 8:00 a.m. – 5:00 p.m. throughout the year, and maintain the capability to provide services in the evening hours and on weekends in order to accommodate Participants unable to participate during regular business hours. CONTRACTOR’s holiday schedule shall be consistent with COUNTY’s holiday schedule unless otherwise approved in advance and in writing by ADMINISTRATOR.

3. CONTRACTOR shall promote Participants’ access and Engagement with services by providing services throughout the community in locations beyond the designated facility. The majority of services will be facilitated at school sites as well as CONTRACTOR facilities. Other locations may include, but not be limited to: school district locations, local community organizations, and other sites, as appropriate for the provision of services provided under the Agreement.

B. SCHOOL-BASED BEHAVIORAL HEALTH INTERVENTION AND SUPPORT SERVICES

1. CONTRACTOR shall provide Behavioral Health Intervention and Support services to residents of Orange County for the purpose of increasing character attributes and decreasing negative behaviors among students. The service will offer a multi-tiered approach to the early identification and support of students with behavior health needs. Services shall be delivered to elementary, middle and high schools in school districts that have the highest indicators of behavioral issues, including dropout rates, expulsion, and suspensions. The areas selected include, but are not limited to: Santa Ana, Huntington Beach, Orange, and Saddleback School Districts. The program shall identify thirty –four (34) schools during the term of the Agreement.

2. CONTRACTOR’s program shall include, but is not limited to, provision of the following service components:

a. Classroom Prevention shall be implemented at all thirty-four (34) selected school sites to provide a comprehensive classroom-based prevention approach for all students using the Positive Action evidence-based curriculum. Curriculum will include topics such as, but are not limited to: self-concept, life skills, positive decision making, empathy, and respect.

b. Student-Based Interventions shall be implemented to select students referred by teachers, parents, and school counselors. Prevention staff shall be available at the school sites to

1 provide students with more individualized referrals as appropriate. Prevention staff shall screen all
2 referred students to confirm individual risk factors and rule out more severe need for intervention.
3 Positive Action curriculum shall be used for all students at this level of intervention. Student Based
4 Intervention services will provide small skill based groups that address topics such as bullying, anger
5 management, conflict resolution and self-esteem.

6 c. Family Interventions shall be implemented for students who display minimal but
7 detectable signs or symptoms of behavioral health needs, or for students that do not respond to Student-
8 Based Interventions. Students shall receive an assessment that evaluates risk for behavioral health
9 issues. Referrals will be provided as appropriate. Group sessions shall be provided to students and
10 families utilizing the SFP evidence-based curriculum. The family skills-building program is intended to
11 improve family communication, relationship, bonding and connectedness.

12 d. Educational Activities shall be implemented at all school sites to allow for an efficient
13 wraparound in providing needed encouragement and support for implementation of the programs. This
14 shall include student assemblies as well as parent and staff activities.

15 3. CONTRACTOR shall incorporate applicable Evidence-Based Practices, or promising
16 practices, in development of curriculums and interventions for the purpose of meeting goals and
17 objectives.

18 4. CONTRACTOR shall make every reasonable effort to accommodate Participants'
19 developmental, cultural and linguistic needs. In the event that such needs cannot be immediately met,
20 CONTRACTOR shall seek assistance from other community resources. CONTRACTOR shall obtain
21 Participants' consent prior to linking or transferring Participants to another service provider or
22 community resources.

23 5. CONTRACTOR shall clearly establish written standards/guidelines on how inter- and intra-
24 agency Referrals shall be managed. These standards/guidelines shall be approved by the
25 ADMINISTRATOR prior to implementation.

26 6. CONTRACTOR shall develop a comprehensive and consistent methodology for tracking,
27 projecting, and reporting all UOS. CONTRACTOR shall be responsible for ensuring that methodology
28 is in place to ensure that students receive all training per the curriculum and create appropriate and
29 consistent methodologies to track UOS as contracted. Methodologies may include but are not limited
30 to: sign in sheets, teacher or school site confirmation letters/emails, sessions of curriculum completed
31 and documented visits. Program quality, methodology, and implementation is to be monitored and
32 ensured by the Program Director.

33 7. CONTRACTOR shall actively collaborate, coordinate, and integrate the services provided
34 under the Agreement with any of the various COUNTY or community-based programs as requested.
35 This includes establishing and maintaining mutually agreed upon communication deemed appropriate
36 by ADMINISTRATOR, to discuss standards/guidelines and planning of distribution or sites of services
37 provided under the Agreement.

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

9. CONTRACTOR shall document all adverse incidents affecting the physical and/or emotional welfare of Clients, including but not limited to serious physical harm to self or others, serious destruction of property, developments, etc., and which may raise liability issues with COUNTY. CONTRACTOR shall notify COUNTY within twenty-four (24) hours of any such serious adverse incident.

10. CONTRACTOR shall advise ADMINISTRATOR of any special incidents, conditions, or issues that adversely affect the quality or accessibility of Client-related services provided by, or under contract with, the COUNTY as identified in the ADMINISTRATOR’s P&Ps.

C. UNITS OF SERVICE

CONTRACTOR shall achieve, track, and report, at a minimum, the following units of service:

UNIT CATEGORIES	ANNUAL UNITS OF SERVICE
School Sites	22 Elementary Schools 8 Middle Schools 4 High Schools
Classroom Prevention	20,000 Elementary Students 6,000 Middle School Students 2,000 High School Students
Student-Based Interventions	2,400 Elementary Students 600 Middle School Students 200 High School Students
Family Interventions	48 SFP Group Sessions 290 Students Served 200 Family Members Served
Educational Activities	60 Educational Activities 990 School Staff Served 2,000 Parents/Caregivers Served

D. OUTCOME MEASURES

1. CONTRACTOR shall track and implement ADMINISTRATOR approved outcome measures across all services. Outcome measures shall measure program impact on individuals and system levels in respect to targeted populations. Outcomes to be measured shall include, but are not

1 limited to: academic performance, global health, family functioning, and may include other student
2 level/parent level changes.

3 2. CONTRACTOR shall be responsible for measuring and reporting outcome data on which
4 priority populations are being reached, how the program is contributing to Participants' Behavioral
5 Health Conditions and Referrals and Linkages to other programs as appropriate.

6 3. CONTRACTOR shall complete all surveys, tools, and pre and post tests for measurement
7 of outcomes of services, as requested by ADMINISTRATOR. Said measurements shall include, but are
8 not limited to, outcome tools, customized surveys, school level attendance data and other measures as
9 requested and deemed appropriate. CONTRACTOR shall measure and report on the outcomes of
10 services in accordance with the following:

11 a. On average, students in Classroom Prevention will demonstrate a maintenance in
12 global health.

13 b. On average, students involved in Student Based Interventions will demonstrate an
14 improvement in coping skills to build resiliency.

15 c. On average, students involved in Student Based Interventions will demonstrate an
16 improvement in global health.

17 d. On average, students involved in Family Interventions will show a reduction in
18 aggression and disruptive behaviors.

19 e. On average, students involved in Family Interventions will demonstrate an
20 improvement in global health.

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

23 5. CONTRACTOR shall, on an ongoing basis and in partnership with ADMINISTRATOR,
24 develop, modify, and incorporate different and/or additional outcome measurements, as approved by
25 ADMINISTRATOR.

26 6. CONTRACTOR shall conduct on-going evaluations of the program and provide analysis to
27 ADMINISTRATOR on a regular basis and in a format approved by ADMINISTRATOR.

28 7. CONTRACTOR shall collect data including demographics such as age groups, race and
29 ethnicity, and culture/community (e.g., veterans, deaf and hard of hearing; Lesbian, Gay, Bisexual,
30 Transgender, Questioning, and Intersex).

31 8. CONTRACTOR shall when applicable, actively engage and promote interested Participants
32 in becoming volunteers and provide them with necessary support and opportunities to apply knowledge
33 and skills learned for the benefits of the Participants and the community.

34 9. CONTRACTOR and ADMINISTRATOR may mutually agree, in writing, to modify the
35 Services Paragraph of this Exhibit A to the Agreement.

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VI. STAFFING

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

PROGRAM	<u>FTEs</u>
Program Director	1.00
Project Administrator/Data Analyst	2.00
Prevention Coordinator	5.00
Prevention Specialist	10.00
Early Intervention Specialist	1.00
Lead Early Intervention Specialist	<u>1.00</u>
TOTAL FTEs	20.00

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

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

D. CONTRACTOR is highly encouraged to augment the above paid staff with qualified and trained volunteers and/or interns upon written approval of ADMINISTRATOR. CONTRACTOR shall provide ongoing supervision to volunteers and/or interns consistent with the prevailing educational and practice standards or as specified by ADMINISTRATOR.

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

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

- 4 1. Eligibility and selection criteria;
- 5 2. Staff’s field/home on-duty conduct and responsibilities;
- 6 3. Supervision plan of staff and equipment including emergency procedure; and
- 7 4. Confidentiality and records keeping.

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

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

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

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

24 K. CONTRACTOR shall ensure that all staff are trained and have a clear understanding of
25 CONTRACTOR’s administrative and program P&Ps. CONTRACTOR shall provide signature
26 confirmation of its P&P training for each staff member and place in their personnel files.

27 L. CONTRACTOR shall not engage in, or permit any of its employees or subcontractors, to
28 conduct research activity on COUNTY Participants without obtaining prior written authorization from
29 ADMINISTRATOR.

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

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EXHIBIT B
 TO AGREEMENT FOR PROVISION OF
 SCHOOL-BASED BEHAVIORAL HEALTH INTERVENTION AND SUPPORT SERVICES
 BETWEEN
 COUNTY OF ORANGE
 AND
 PHOENIX HOUSE ORANGE COUNTY, INC.
 JULY 1, 2018 THROUGH JUNE 30, 2021

I. BUSINESS ASSOCIATE CONTRACT

A. GENERAL PROVISIONS AND RECITALS

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

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

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

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

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

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

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

3 B. DEFINITIONS

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

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

10 a. Breach excludes:

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

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

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

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

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

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

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

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

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

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

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

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1 6. "Health Care Operations" shall have the meaning given to such term under the
2 HIPAA 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
12 45 CFR § 160.103.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

37 //

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

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

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

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

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

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

37 //

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

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

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

9 D. SECURITY RULE

10 1. CONTRACTOR shall comply with the requirements of 45 CFR § 164.306 and establish
11 and maintain appropriate Administrative, Physical and Technical Safeguards in accordance with 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
8 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
9 COUNTY required to perform necessary business functions may be copied, downloaded, or exported.

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

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

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

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

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

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

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

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

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

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

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

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

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

3 3. Audit Controls

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

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

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

17 4. Business Continuity/Disaster Recovery Control

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

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

30 5. Paper Document Controls

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

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

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

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

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

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

22 **F. BREACH DISCOVERY AND NOTIFICATION**

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

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

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

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

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

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

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

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

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

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

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

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

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

19 5. In the event that CONTRACTOR is responsible for a Breach of Unsecured PHI in violation
20 of the HIPAA Privacy Rule, CONTRACTOR shall have the burden of demonstrating that
21 CONTRACTOR made all notifications to COUNTY consistent with this Subparagraph F and as
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 (30) days, provided termination of the Agreement is
20 feasible.

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

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

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

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

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

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1 EXHIBIT C
2 TO AGREEMENT FOR PROVISION OF
3 SCHOOL-BASED BEHAVIORAL HEALTH INTERVENTION AND SUPPORT SERVICES
4 BETWEEN
5 COUNTY OF ORANGE
6 AND
7 PHOENIX HOUSE ORANGE COUNTY, INC.
8 JULY 1, 2018 THROUGH JUNE 30, 2021
9

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

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

13 A. DEFINITIONS

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

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

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

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

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

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

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

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

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

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

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

7 B. TERMS OF AGREEMENT

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

12 2. Responsibilities of CONTRACTOR

13 CONTRACTOR agrees:

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

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

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

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

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

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

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

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

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

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

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

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

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

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