

**MODEL CONTRACT**

**BETWEEN**

**COUNTY OF ORANGE**

**AND**

**CONTRACTOR**

**FOR**

**SENIOR NON-EMERGENCY MEDICAL TRANSPORTATION SERVICES  
SERVICE AREA \_\_\_\_**

**CFDA#**  
N/A

**FAIN #**  
N/A

**PROGRAM/SERVICE TITLE**  
Senior Non-Emergency Medical  
Transportation Services

**FUNDING AGENCY**  
Measure M2



**MODEL CONTRACT**

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- Attachment A – Scope of Services
- Attachment B – Compensation/Payment
- Attachment C – Budget
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Exhibit 1 – County of Orange Child Support Enforcement Certification

This Agreement #17-27-xxxx-M2, hereinafter referred to as "CONTRACT" is made between the County of Orange, a political subdivision of the State of California; hereinafter referred to as "COUNTY," and CONTRACTOR a California non-profit corporation, with a place of business at ; hereinafter referred to as "CONTRACTOR," with COUNTY and CONTRACTOR sometimes referred to as "PARTY," or collectively as "PARTIES."

### **RECITALS**

**WHEREAS**, the Senior Non-Emergency Medical Transportation Program (SNEMT) is to provide a coordinated community-based system of non-emergency medical transportation for older adults age sixty (60) and older adults who lack other reasonable means of medical-related transportation. The program utilizes appropriate vehicles on a cost per mile basis. The SNEMT funding comes from Tobacco Settlement Revenues (TSR), and Measure M2, among three (3) Service Areas in the COUNTY; and

**WHEREAS**, CONTRACTOR responded to a FY 2017-18 Senior Non-Emergency Medical Transportation Services Request for Proposal ("RFP") for services to older adults in Orange County; and

**WHEREAS**, the CONTRACTOR responded and represented that its proposed services shall meet or exceed the requirements and specifications of the RFP; and

**WHEREAS**, COUNTY Board of Supervisors has authorized the OC Community Resources Director or designee to enter into this CONTRACT for Senior Non-Emergency Medical Transportation Services with CONTRACTOR to carry out certain program services and activities for the Fiscal Year 2017-18;

**NOW, THEREFORE**, the PARTIES mutually agree as follows:

**Terms and Conditions:**

**1. Scope of Contract**

This CONTRACT specifies the Contractual terms and conditions by which the COUNTY will procure services from CONTRACTOR as further detailed in the Scope of Services, identified and incorporated herein by this reference as Attachment A.

**2. Contract Term**

This CONTRACT shall commence on July 1, 2017 and continue through June 30, 2018 for one (1) year, unless otherwise terminated by the COUNTY. This CONTRACT may be renewed for three (3) additional one (1) year terms under the same terms, conditions, and scope of service by mutual written agreement of both PARTIES. The COUNTY does not have to give reason if it elects not to renew. Renewal periods may be subject to approval by the County of Orange Board of Supervisors. At no time may this CONTRACT be renewed past three (3) years from the initial CONTRACT term of the RFP cycle.

**3. Contingency of Funds**

CONTRACTOR acknowledges that funding or portions of funding for this CONTRACT may be contingent upon receipt of funds from, and/or obligation of funds by, Federal, State of California and/or local funds to COUNTY; and inclusion of sufficient funding for the services hereunder in the budget approved by COUNTY's Board of Supervisors for each fiscal year covered by this CONTRACT. If such approval, funding or appropriations are not forthcoming, or are otherwise limited, COUNTY may immediately terminate or modify this CONTRACT without penalty.

**4. Maximum Obligation**

The total Maximum Obligation of COUNTY to the CONTRACTOR for the cost of services provided in accordance with this CONTRACT is \$ ( Dollars), with individual Maximum Obligation budgets for each Fiscal Year as further detailed in the Budget, identified and incorporated herein by this reference as Attachment C.

**5. Amendments - Changes/Extra Work**

The CONTRACTOR shall make no changes to this CONTRACT without the COUNTY's written consent. In the event that there are new or unforeseen requirements, the COUNTY's CONTRACT ADMINISTRATOR has the discretion with the CONTRACTOR's concurrence, to make changes at any time without changing the scope or price of the CONTRACT.

If COUNTY-initiated changes or changes in laws or government regulations affect price, the CONTRACTOR's ability to deliver services, or the project schedule, the CONTRACTOR will give COUNTY written notice no later ten (10) days from the date the law or regulation went into effect or the date the change was proposed and CONTRACTOR was notified of the change. Such changes shall be agreed to in writing and incorporated into a CONTRACT amendment. Said amendment shall be issued by the COUNTY-assigned CONTRACT ADMINISTRATOR, shall require the mutual consent of all PARTIES, and may be subject to approval by the COUNTY Board of Supervisors. Nothing herein shall prohibit the CONTRACTOR from proceeding with the work as original set forth or as previously Amended in this CONTRACT.

All extra work/services are by mutual consent of all PARTIES and may be subject to the approval of the County of Orange Board of Supervisors.

**6. Breach of CONTRACT**

The failure of the CONTRACTOR to comply with any of the provisions, covenants or conditions of this CONTRACT shall be a material breach of this CONTRACT. In such event the COUNTY may, and in addition to any other remedies available at law, in equity, or otherwise specified in this CONTRACT:

- A. COUNTY may terminate the CONTRACT immediately, pursuant to Paragraph K “Termination” and Paragraph 19 “Termination – Orderly” herein; and
- B. Afford the CONTRACTOR written notice of the breach and ten calendar days or such shorter time that may be specified in this CONTRACT within which to cure the breach; and
- C. Discontinue payment to CONTRACTOR for and during the period in which CONTRACTOR is in breach;
- D. Offset against any monies billed by CONTRACTOR but yet unpaid by the COUNTY those monies disallowed pursuant to the above.

**7. Conditions Affecting Work:**

The CONTRACTOR shall be responsible for taking all steps reasonably necessary, to ascertain the nature and location of the work to be performed under this CONTRACT; and to know the general conditions which can affect the work or the cost thereof. Any failure by the CONTRACTOR to do so will not relieve CONTRACTOR from responsibility for successfully performing the work without additional cost to the COUNTY. The COUNTY assumes no responsibility for any understanding or representations concerning the nature, location(s) or general conditions made by any of its officers or agents prior to the execution of this CONTRACT, unless such understanding or representations by the COUNTY are expressly stated in the CONTRACT.

**8. Conflict of Interest:**

- A. COUNTY Personnel: The County of Orange Board of Supervisors policy prohibits its employees from engaging in activities involving a conflict of interest. The CONTRACTOR shall not, during the period of this CONTRACT, employ any COUNTY employee for any purpose.
- B. CONTRACTOR's Personnel: The CONTRACTOR shall exercise reasonable care and diligence to prevent any actions or conditions that could result in a conflict with the best interests of the COUNTY. This obligation shall apply to the CONTRACTOR; the CONTRACTOR's employees, agents, and relatives; sub-tier contractors; and third parties associated with accomplishing work and services hereunder. The CONTRACTOR's efforts shall include, but not be limited to establishing precautions to prevent its employees or agents from making, receiving, providing or offering gifts, entertainment, payments, loans or other considerations which could be deemed to appear to influence individuals to act contrary to the best interests of the COUNTY.

**9. Consulting Contract – Follow-On Work:**

No person or firm or subsidiary thereof who has been awarded a consulting services contract or a contract which includes a consulting component may be awarded a CONTRACT for the provision of, or otherwise deemed appropriate as an end product of the consulting services contract. Therefore, any services, the delivery of goods or supplies, or the provision of any other related action which is required, suggested consultant that contracts with a COUNTY agency/department to develop a feasibility study or to provide formal recommendations is precluded from contracting for any work recommended in the study or included in the recommendations.

**10. COUNTY Program Manager:**

The COUNTY shall appoint a Program Manager to act as liaison between the COUNTY and the CONTRACTOR during the term of this CONTRACT. The COUNTY's Program Manager shall coordinate the activities of the COUNTY staff assigned to work with the CONTRACTOR.

**11. CONTRACTOR Program Manager and Key Personnel:**

CONTRACTOR shall appoint a Program Manager to direct the CONTRACTOR's efforts in fulfilling CONTRACTOR's obligations under this CONTRACT. The name of the Program Manager shall be provided to the COUNTY. If there is a Project Management change the CONTRACTOR will notify the COUNTY in writing prior to the change being made.

The CONTRACTOR's Program Manager and Key Personnel shall be assigned to this CONTRACT for the duration of this CONTRACT and shall diligently pursue all work and services to meet the project timelines. CONTRACTOR's Key Personnel are those individuals who report directly to the CONTRACTOR's Program Manager.

**12. CONTRACTOR Personnel:**

The CONTRACTOR warrants that all persons employed to provide service under this CONTRACT have satisfactory past work records indicating their ability to accept the kind of responsibility anticipated under this CONTRACT.

**13. Title to Data:**

All materials, documents, data or information obtained from the COUNTY data files or any COUNTY medium furnished to the CONTRACTOR in the performance of this CONTRACT will at all times remain the property of the COUNTY. Such data or information may not be used or copied for direct or indirect use by the CONTRACTOR after completion or termination of this CONTRACT without the express written consent of the COUNTY. All materials, documents, data or information, including copies, must be returned to the COUNTY at the end of this CONTRACT.

All PARTIES to the CONTRACT acknowledge that the COUNTY shall maintain ownership and control of all data files and the related indexes and pointers to those data files.



#### **14. EDD Independent Contractor Reporting Requirements:**

The County of Orange is required to file federal Form 1099-Misc for services received from a "service provider" to whom the COUNTY pays \$600 or more or with whom the COUNTY enters into a contract for \$600 or more within a single calendar year. The purpose of this reporting requirement is to increase child support collection by helping to locate parents who are delinquent in their child support obligations.

The term "service provider" is defined in California Unemployment Insurance Code Section 1088.8, subparagraph B.2 as "an individual who is not an employee of the service recipient for California purposes and who received compensation or executes a contract for services performed for that service recipient within or without the state." The term is further defined by the California Employment Development Department to refer specifically to independent contractors. An independent contractor is defined as "an individual who is not an employee of the ... government entity for California purposes and who receives compensation or executes a contract for services performed for that ... government entity either in or outside of California."

The reporting requirement does not apply to corporations, general partnerships, limited liability partnerships, and limited liability companies.

Additional information on this reporting requirement can be found at the California Employment Development Department web site located at [www.edd.ca.gov/txicr.htm](http://www.edd.ca.gov/txicr.htm).

#### **15. County Of Orange Child Support Enforcement:**

In order to comply with the child support enforcement requirements of the County of Orange, within ten (10) days of award of CONTRACT, the selected CONTRACTOR agrees to furnish to the CONTRACT ADMINISTRATOR:

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

Failure of the CONTRACTOR to timely submit the data and/or certifications required may result in the CONTRACT being awarded to another CONTRACTOR. In the event a CONTRACT has been issued, failure of the CONTRACTOR to comply with all federal, state, and local reporting requirements for child support enforcement or to comply with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment shall constitute a material breach of the CONTRACT. Failure to cure such breach within ten (10) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.

**16. Licenses:**

At its own expense, CONTRACTOR and its subcontractors, if any, shall, at all time during the term of this CONTRACT, maintain in full force and effect such licenses or permits as may be required by any other government entity. CONTRACTOR and his subcontractors, if any, shall strictly adhere to, and obey, all governmental rules and regulations now in effect or as subsequently enacted or modified, as promulgated by any local, state, or federal governmental entity.

**17. Disputes – CONTRACT:**

- A. The PARTIES shall deal in good faith and attempt to resolve potential disputes informally. If the dispute concerning a question of fact arising under the terms of this CONTRACT is not disposed of in a reasonable period of time by the CONTRACTOR and the COUNTY, such matter shall be brought to the attention of the CONTRACT ADMINISTRATOR by way of the following process:
  - 1. The CONTRACTOR shall submit to the agency/department assigned COUNTY CONTRACT ADMINISTRATOR a written demand for a final decision regarding the disposition of any dispute between the PARTIES arising under, related to, or involving this CONTRACT, unless the COUNTY, on its own initiative, has already rendered such a final decision.
  - 2. The CONTRACTOR's written demand shall be fully supported by factual information, and, if such demand involves a cost adjustment to the CONTRACT, the CONTRACTOR shall include with the demand a written statement signed by a senior official indicating that the demand is made in good faith, that the supporting data are accurate and complete, and that the amount requested accurately reflects the CONTRACT adjustment for which the CONTRACTOR believes the COUNTY is liable.
- B. Pending the final resolution of any dispute arising under, related to, or involving this CONTRACT, the CONTRACTOR agrees to diligently proceed with the provision of services under this CONTRACT. The CONTRACTOR's failure to diligently proceed shall be considered a material breach of this CONTRACT.

Any final decision of the COUNTY shall be expressly identified as such, shall be in writing, and shall be signed by the COUNTY CONTRACT ADMINISTRATOR or designee. If the COUNTY fails to render a decision within ninety (90) days after receipt of the CONTRACTOR's demand, it shall be deemed a final decision adverse to the CONTRACTOR's contentions. Nothing in this Paragraph 17 shall be construed as affecting the COUNTY's right to terminate the CONTRACT for cause as stated in Paragraph K "Termination," herein.

**18. Gratuities:**

The CONTRACTOR warrants that no gratuities, in the form of entertainment, gifts or otherwise, were offered or given by the CONTRACTOR or any agent or representative of the CONTRACTOR to any officer or employee of the COUNTY with a view toward securing the CONTRACT or securing favorable treatment with respect to any determinations concerning the performance of the CONTRACT. For breach or violation of this warranty, the COUNTY shall have the right to terminate the CONTRACT, either in whole or in part, and any loss or damage sustained by the COUNTY in procuring on the open market any services which the CONTRACTOR agreed to supply shall be borne and paid for by the CONTRACTOR. The rights

and remedies of the COUNTY provided in this Paragraph 18 shall not be exclusive and are in addition to any other rights and remedies provided by law or under the CONTRACT.

**19. Termination – Orderly:**

After receipt of a termination notice from the County of Orange, the CONTRACTOR shall submit to the COUNTY a termination claim, if applicable. Such claim shall be submitted promptly, but in no event later than sixty (60) days from the effective date of the termination, unless one or more extensions in writing are granted by the COUNTY upon written request of the CONTRACTOR. Upon termination COUNTY agrees to pay the CONTRACTOR for all services performed prior to termination which meet the requirements of the CONTRACT, provided, however, that such compensation plus previously paid compensation shall not exceed the total compensation set forth in the CONTRACT. Upon termination or other expiration of this CONTRACT, each PARTY shall promptly return to the other PARTY all papers, materials, and other properties of the other held by each for purposes of execution of the CONTRACT. In addition, each PARTY will assist the other PARTY in orderly termination of this CONTRACT and the transfer of all aspects, tangible and intangible, as may be necessary for the orderly, non-disruptive business continuation of each PARTY.

**20. News/Information Release:**

The CONTRACTOR agrees that it will not issue any news releases in connection with either the award of this CONTRACT or any subsequent amendment of or effort under this CONTRACT without first obtaining review and written approval of said news releases from the COUNTY.

**21. Notices:**

Any and all notices, requests, demands and other communications contemplated, called for, permitted, or required to be given hereunder shall be in writing, except through the course of the PARTIES routine exchange of information and cooperation during the terms of the work and services. Any written communications shall be deemed to have been duly given upon actual in-person delivery, if delivery is by direct hand, or upon delivery on the actual day of receipt or no greater than four calendar days after being mailed by US certified or registered mail, return receipt requested, postage prepaid, whichever occurs first. The date of mailing shall count as the first day. All communications shall be addressed to the appropriate PARTY at the address stated herein or such other address as the PARTIES hereto may designate by written notice from time to time in the manner aforesaid.

For COUNTY:

County of Orange  
OC Community Resources  
OC Community Services  
Office on Aging  
PROGRAM MANAGER  
1300 South Grand Avenue, Building “B” 2<sup>nd</sup> Flr.  
Santa Ana, CA 92705-4407

County of Orange  
OC Community Resources  
Contract Development & Management  
CONTRACT ADMINISTRATOR  
1501 East St. Andrew Place, 1<sup>st</sup> Flr.  
Santa Ana, CA 92705-4930

For CONTRACTOR:

**22. Ownership of Documents:**

The COUNTY has permanent ownership of all directly connected and derivative materials produced under this CONTRACT by the CONTRACTOR. All documents, reports and other incidental or derivative work or materials furnished hereunder shall become and remains the sole property of the COUNTY and may be used by the COUNTY as it may require without additional cost to the COUNTY. None of the documents, reports and other incidental or derivative work or furnished materials shall be used by the CONTRACTOR without the express written consent of the COUNTY.

**23. Precedence:**

The CONTRACT documents consist of this CONTRACT and its attachments and exhibits. In the event of a conflict between or among the CONTRACT documents, the order of precedence shall be the provisions of the main body of this CONTRACT, i.e., those provisions set forth in the Paragraphs of this CONTRACT, and then the attachments and exhibits.

**24. Errors and Omissions:**

All reports, files and other documents prepared and submitted by CONTRACTOR shall be complete and shall be carefully checked by the professional(s) identified by CONTRACTOR as Program Manager and key personnel attached hereto, prior to submission to the COUNTY. CONTRACTOR agrees that COUNTY review is discretionary and CONTRACTOR shall not assume that the COUNTY will discover errors and/or omissions. If the COUNTY discovers any errors or omissions prior to approving CONTRACTOR's reports, files and other written documents, the reports, files or documents will be returned to CONTRACTOR for correction. Should the COUNTY or others discover errors or omissions in the reports, files or other written documents submitted by CONTRACTOR after COUNTY approval thereof, COUNTY approval of CONTRACTOR's reports, files or documents shall not be used as a defense by CONTRACTOR in any action between the COUNTY and CONTRACTOR, and the reports, files or documents will be returned to CONTRACTOR for correction.

**25. Non-Supplantation of Funds:**

CONTRACTOR shall not supplant any federal, State, or COUNTY funds intended for the purposes of this CONTRACT with any funds made available under this CONTRACT. CONTRACTOR shall not claim reimbursement from COUNTY for, or apply sums received from COUNTY with respect to, that portion of its obligations which have been paid by another source of revenue. CONTRACTOR agrees that it shall not use funds received pursuant to this CONTRACT, either directly or indirectly, as a contribution or compensation for the purposes of obtaining federal, State, or COUNTY funds under any federal, State, or COUNTY program without prior written approval from COUNTY.

**26. Satisfactory Work:**

Services rendered hereunder are to be performed to the written satisfaction of COUNTY. COUNTY'S staff will interpret all reports and determine the quality, acceptability and progress of the services rendered.

**27. Access and Records:**

A. Access. COUNTY, federal or State and/or their representatives, shall have access, for purposes of monitoring, auditing, and examining, to CONTRACTOR's activities, books, documents and papers (including computer records and emails) and to records of

CONTRACTOR's subcontractors, consultants, contracted employees, bookkeepers, accountants, employees and participants related to this CONTRACT. CONTRACTOR shall insert this condition in each contract between CONTRACTOR and a subcontractor that is pursuant to this CONTRACT shall require the subcontractor to agree to this condition. Such agencies or representatives shall have the right to make excerpts, transcripts and photocopies of such records and to schedule on site monitoring at their discretion. Monitoring activities also may include, but are not limited to, questioning employees and participants and entering any premises or onto any site in which any of the services or activities funded hereunder are conducted or in which any of the records of CONTRACTOR are kept. CONTRACTOR shall make available its books, documents, papers, financial records, etc., within three (3) days after receipt of written demand by COUNTY which shall be deemed received upon date of sending. In the event CONTRACTOR does not make the above referenced documents available within the County of Orange, California, CONTRACTOR agrees to pay all necessary and reasonable expenses incurred by COUNTY, or COUNTY'S designee, in conducting any audit at the location where said records and books of account are maintained.

- B. Records Retention. All accounting records and evidence pertaining to all costs of CONTRACTOR and all documents related to this CONTRACT shall be kept available at CONTRACTOR'S office or place of business for the duration of this CONTRACT and thereafter for five (5) years after completion of an audit. Records which relate to: (1) complaints, claims, administrative proceedings or litigation arising out of the performance of this CONTRACT; or (2) costs and expenses of this CONTRACT to which COUNTY or any other governmental agency takes exception, shall be retained beyond the five (5) years until final resolution or disposition of such appeals, litigation, claims, or exceptions.
- C. Liability. CONTRACTOR shall pay to COUNTY the full amount of COUNTY'S liability to the State or federal government or any agency thereof resulting from any disallowance or other audit exceptions to the extent that such liability is attributable to CONTRACTOR'S failure to perform under this CONTRACT.

#### **28. Signature in Counterparts:**

The PARTIES agree that separate copies of this CONTRACT and/or electronic signatures and handwritten signatures may be signed by each of the PARTIES, and this CONTRACT will have the same force and effect as if the Original had been signed by all PARTIES.

#### **29. Reports/Meetings:**

The CONTRACTOR shall develop reports and any other relevant documents necessary to complete the services and requirements as set forth in this CONTRACT. The COUNTY and the CONTRACTOR will meet on reasonable notice to discuss the CONTRACTOR's performance and progress under this CONTRACT. If requested, the CONTRACTOR and other CONTRACT personnel shall attend all meetings. The CONTRACTOR shall provide such information that is requested by the COUNTY for the purpose of monitoring progress under this CONTRACT.

#### **30. Subcontracting:**

No performance of this CONTRACT or any portion thereof may be assigned or subcontracted by the CONTRACTOR without the express written consent of the COUNTY. Any attempt by the CONTRACTOR to assign or subcontract any performance of this CONTRACT without the express written consent of the COUNTY shall be invalid and shall constitute a breach of this CONTRACT.

In the event that the CONTRACTOR is authorized by the COUNTY to subcontract, this CONTRACT shall prevail and the terms of the subcontract shall incorporate by reference and not conflict with the terms of this CONTRACT. In the manner in which the COUNTY expects to receive services, the COUNTY shall look to the CONTRACTOR for performance and not deal directly with any subcontractor. All matters related to this CONTRACT shall be handled by the CONTRACTOR with the COUNTY; the COUNTY will have no direct contact with the subcontractor in matters related to the performance of this CONTRACT. All work must meet the approval of the COUNTY.

THE REMAINDER OF THE PAGE HAS BEEN INTENTIONALLY LEFT BLANK

## **Program Specific Terms and Conditions**

### **31. Debarment:**

- A. CONTRACTOR certifies that it is not debarred or suspended or otherwise excluded from or ineligible for participation in Federal/State assistance programs in accordance with 29 CFR Part 98.
- B. CONTRACTOR shall not make any award or permit any award at any time to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in federal/State assistance programs.
- C. CONTRACTOR shall timely execute any and all amendments to this CONTRACT or certificates or other required documentation relating to its sub CONTRACTORS' debarment/suspension status.
- D. Failure to comply. If CONTRACTOR fails to comply with the requirements of this Paragraph 31, COUNTY PROJECT MANAGER may withhold payment to CONTRACTOR and/or terminate this CONTRACT in accordance with Paragraph K.

### **32. Fiscal Accountability:**

- A. Financial Management System: CONTRACTOR shall establish and maintain a sound financial management system, based upon generally accepted accounting principles. CONTRACTOR's system shall provide fiscal control and accounting procedures that will include the following:
  - i. Information pertaining to tuition rates, payments, and educational assistance payments; and
  - ii. Source documentation to support accounting records;
  - iii. Proper charging of costs and cost allocation.
- B. CONTRACTOR's Record: CONTRACTOR's records shall be sufficient to:
  - i. Permit preparation of required reports; and
  - ii. Permit tracking of funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of such funds; and
  - iii. Permit the tracking of program income, or profits earned, and any costs incurred (such as stand-in costs) that are otherwise allowable except for;
  - iv. Permit tracking and reporting of leveraging as required.
- C. Costs Charged: Cost shall be charged to this CONTRACT only in accordance with the COUNTY and other requirements as required by funding source(s).

### **33. Compliance with Non-Discrimination Laws:**

- A. State laws.
  - i. CONTRACTOR's signature affixed hereon shall constitute a certification, under penalty of perjury under the laws of the State of California, that CONTRACTOR has, Unless exempted, complied with the nondiscrimination program

requirements of Government Code Section 12900 (a-f) and Title 2, California Code of Regulations, Section 8103.

- ii. CONTRACTOR shall include the nondiscrimination and compliance provisions of this Paragraph 33 "A" in all sub-contracts to perform work under this CONTRACT.
- B. Title VI of Civil Rights Act. CONTRACTOR hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 80) issued pursuant to that title, to the end that, in accordance with Title VI of the Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which funds are made available under this CONTRACT. CONTRACTOR hereby gives assurance that it will immediately take any measures necessary to effectuate this CONTRACT.
  - C. Title VII of Civil Rights Act. CONTRACTOR shall comply with Title VII of the Civil Rights Act of 1964 (42 U.S.C. 2000), as amended by the Equal Opportunity Act of March 24, 1972 (Public Law No. 92-261), and with all applicable rules, regulations and orders promulgated pursuant thereto, as now in existence or as hereafter amended.
  - D. Disability discrimination. CONTRACTOR shall comply with Sections 503 and 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), and all requirements imposed by the applicable regulations and guidelines issued pursuant to those statutes, including 45 CFR, Part 84.
  - E. Failure to comply. If CONTRACTOR fails to comply with the requirements of any Sub-Paragraphs of this Paragraph 33, COUNTY may withhold payment to CONTRACTOR and/or terminate this CONTRACT in accordance with Paragraph K.

#### **34. Performance Standards:**

CONTRACTOR shall comply with and adhere to the performance accountability standards as described in this CONTRACT and applicable regulations and the activity levels to be utilized by COUNTY for program evaluation and monitoring included, but not limited to those listed in the Attachment E-Performance Standards attached hereto and incorporated herein by reference.

#### **35. Budget:**

CONTRACTOR agrees that the expenditures of any and all funds under this CONTRACT will be in accordance with the Budget, a copy of which is attached hereto as Attachment C, and which by this reference is incorporated herein and made a part hereof as if fully set forth.

#### **36. Payment Requirements:**

CONTRACT Amount: It is expressly agreed and understood that the total amount to be paid by COUNTY under this CONTRACT shall not exceed the total COUNTY funding as set forth in Attachment B-Compensation/Payment to CONTRACTOR attached hereto and incorporated herein by reference.



### 37. Modification of Budget:

Upon written approval of COUNTY, SUBRECIPIENT shall transfer allocated program funds from one category of the overall program BUDGET to any other category of the overall BUDGET. No such transfer may be made without the express prior written approval of COUNTY. A modification of the BUDGET may include the addition of any new BUDGET category.

### 38. Records and Audit:

- A. Maintenance and retention. CONTRACTOR shall, at all times during the term of this CONTRACT, maintain complete records (which shall include, but not be limited to, accounting records, grants, Contracts, agreements, letters of agreement, insurance documentation, memoranda and/or letters of understanding and client records) of its activities and expenditures hereunder in a form satisfactory to the State and County. All such records must be maintained and kept available by CONTRACTOR as follows:
- i. Until five (5) years after final payment under this CONTRACT or until an audit has occurred and an audit resolution has been reached, whichever is later, unless otherwise authorized in writing by COUNTY; or
  - ii. For such longer period, if any, as is required by applicable statute, by any other Paragraph or Section of this CONTRACT or by Paragraphs "B" or "C" below, or for such longer period as the State or COUNTY deem necessary.
- B. Termination of Contract. If this CONTRACT is completely or partially terminated, the records relating to the work terminated shall be preserved and made available for the same periods as set forth in this Paragraph 38 "A" and "C".
- C. Litigation, claims, etc. In the event of any litigation, claim, negotiation, audit exception, or other action involving the records, all records relative to such action shall be maintained and kept available until five (5) years after every action has been cleared to the satisfaction of COUNTY and so stated in writing to CONTRACTOR.
- D. Accounting records. Unless otherwise agreed in writing by COUNTY, CONTRACTOR shall maintain accounting records to account for all funds received under this CONTRACT. Said records shall be separate from the records for any other funds administered by CONTRACTOR, and shall be kept in accordance with generally accepted accounting principles and procedures. Said records must contain information pertaining to receipt of funds for the program(s) for which this CONTRACT provides, authorization to expend said funds, obligations, unobligated balances, assets, liabilities, outlays or expenditures, program income, contributions, and third-party revenue. Said accounting records must be supported by source documentation (such as cancelled checks, paid bills, payrolls, time and attendance records, CONTRACT and subcontract award documents, etc.), and adequate source documentation of each transaction shall be maintained relative to the allowability of expenditures under this CONTRACT. If the allowability of expenditures cannot be determined because records or documentation of CONTRACTOR are nonexistent or inadequate according to generally accepted accounting principles and procedures, the expenditures will be questioned in the audit and may be disallowed during the audit resolution process.
- E. Financial reporting requirements. Grant funds shall be identified separately. The COUNTY requires CONTRACTOR to discretely identify State, federal and local grant funding in the Statement of Revenues and Expenditures. In addition, the amounts reported on the Schedule of Revenue and Expenditures shall be displayed by award year beginning July 1st and ending June 30th.

F. Sub-contract provisions. CONTRACTOR shall place in all of its sub-contracts, if any, made pursuant to, and/or utilizing funds provided by, this CONTRACT, provisions requiring the sub-contractor: (1) to make available to COUNTY, State and federal officials all of its records with respect to the sub-contract at any time during normal business hours for the purpose of auditing, examining or making excerpts of such records and auditing all invoices, materials, payrolls, records of personnel and other data relating to all matters covered by the sub-contract; and (2) to retain books, documents, papers, records and other evidence pertinent to the sub-contract for the period of time specified in this Paragraph "A", "B", and "C" above.

G. Audit.

- i. If CONTRACTOR expends more than \$750,000 in federal funds during the term of this CONTRACT, CONTRACTOR shall arrange for an audit to be performed, within one hundred fifty (150) days of the end of CONTRACTOR's fiscal year and in accordance with 2 CFR Part 200, Subpart F, "Audit Requirements of States, Local Governments, and Non-Profit Organizations," which is incorporated herein by reference. Furthermore, COUNTY retains the authority to require CONTRACTOR to submit a similarly prepared audit at CONTRACTOR's expense even in instances when CONTRACTOR's expenditure is less than \$750,000.
- ii. CONTRACTOR shall take the following actions in connection with such audit:
  - a. Ensure that appropriate corrective action is taken to correct instances of noncompliance with federal laws and regulations. Corrective action shall be taken within six months after COUNTY receives CONTRACTOR's audit report;
  - b. Adjust its own records as necessitated by the audit;
  - c. Permit independent auditors to have access to its records and financial statements as is necessary for COUNTY or CONTRACTOR to comply with 2 CFR Part 200, Subpart F;
  - d. Submit two copies of its audit reports to COUNTY no later than 30 days after completion of the reports;
  - e. Procure audit services in accordance with OMB Circular A-110 procurement standards and provide maximum opportunity for small and minority audit firms;
  - f. Include in Contract(s) with auditor(s) provisions that the auditor(s) will comply with all applicable audit requirements;
  - g. Include in its Contract with independent auditors a clause permitting representatives of COUNTY or the State to have access to the work papers of the independent auditors;
  - h. Provide to COUNTY, the Bureau of State Audits, and their designated representatives, the right to review and to copy all audit reports and any supporting documentation pertaining to the performance of this CONTRACT, and the option to perform audits and/or additional work as needed;
  - i. Cooperate with and participate in any further audits which may be required by COUNTY or the State;
  - j. Ensure that its audit addresses all issues contained in any federal OMB Compliance Supplement that applies to its program;

- k. Ensure that the audit is performed in accordance with Government Auditing Standards, is performed by an independent auditor, and is organization-wide;
  - l. Ensure that the audit is all-inclusive, i.e., it includes an audit of the financial statements, an assessment of internal controls (including tests of transactions), and a determination of compliance with laws and regulations of all major federal programs and selected non-major program transactions.
- iii. If total funds awarded under this CONTRACT equal or exceed \$10,000, CONTRACTOR shall be subject to examination and audit, including interviews of its staff, by the COUNTY and State of California for a period of five (5) years after final payment under this CONTRACT.
- H. Final financial statement. Within thirty (30) days after termination of this CONTRACT, CONTRACTOR shall submit to COUNTY a final financial statement detailing all program expenditures and all income received during the term of this CONTRACT or include such a final financial statement with CONTRACTOR's final invoice and substantiating reports.

### 39. Program Services:

This CONTRACT specifies the Contractual terms and conditions by which the COUNTY will procure services from CONTRACTOR as further detailed in the Scope of Services, identified and incorporated herein by this reference as Attachment A and the Budget which is attached hereto as Attachment C "Budget."

### 40. Procurement:

- A. Competitive process. CONTRACTOR acknowledges that the procurement of all supplies, services and equipment pursuant to, and utilizing funds provided by, this CONTRACT involves the expenditure of public funds and that the use of a competitive process open to all interested competitors is necessary to maintain the public trust and to allow all interested persons to compete for business resulting from expenditure of said public funds.
- B. Non-profit CONTRACTOR. If CONTRACTOR is a non-profit organization, CONTRACTOR shall comply with standards and guidelines provided in 45 C.F.R., Part 74, in procuring all supplies, equipment, construction and services pursuant to, and/or utilizing funds provided by, this CONTRACT.
- C. Local government CONTRACTOR. If CONTRACTOR is a local government, CONTRACTOR shall comply with the directives applicable to procurement by sub-grantees set forth in 45 C.F.R. Part 92.36 in procuring all supplies, services and equipment pursuant to, and/or utilizing funds provided by, this CONTRACT.
- D. Deviation. Should CONTRACTOR wish to deviate from the requirements of this Paragraph 40, or wish to issue a sub-contract to other than the lowest bidder or competitor, CONTRACTOR shall submit written justification therefore to COUNTY for approval or denial, and shall withhold any further action until receipt of written notice of CONTRACT ADMINISTRATOR's approval of said request. The decision of CONTRACT ADMINISTRATOR shall be final.

### 41. Compliance with Other Laws:

- A. Laws related to Contract. CONTRACTOR and its SUBCONTRACTORS shall administer the program(s) funded by this CONTRACT in accordance with this CONTRACT, and with all applicable local, State and federal laws, regulations, directives, guidelines and/or manuals.

- B. Laws applicable to CONTRACTOR's operations. CONTRACTOR and its SUBCONTRACTORS shall comply with all federal, State and local laws and regulations pertinent to their operations, including, but not limited to all statutes, ordinances, regulations, directives, guidelines and/or manuals pertaining to wages and hours of employment, occupational safety, fire safety, health and sanitation.
- C. Federal environmental laws. If the amount of compensation CONTRACTOR shall receive under this CONTRACT exceeds \$100,000, CONTRACTOR and its SUBCONTRACTORS shall comply with all applicable orders or requirements issued under the following laws:
- i. Clean Air Act as amended (42 U.S.C. 1857)
  - ii. Clean Water Act (33 U.S.C. 1368)
  - iii. Federal Water Pollution Control Act as amended (33 U.S.C. 1251 et seq.)
  - iv. Environmental Protection Agency Regulations (40 CFR, Part 15 and Executive Order 11738).
- D. State Energy Plan. CONTRACTOR shall comply with all mandatory standards and policies relating to energy efficiency which are contained in the State Energy Plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stats. 871).
- E. Withholding. CONTRACTOR shall promptly forward payroll taxes, insurances and contributions, including State Disability Insurance, Unemployment Insurance, Old Age Survivors Disability Insurance, and federal and State income taxes withheld, to designated governmental agencies as required by law.
- F. Elder abuse reporting. CONTRACTOR shall comply with all applicable requirements pertaining to the reporting of elder and dependent adult abuse, including Welfare and Institutions Code Section 15600 et. seq. Before permitting any of its employees, agents, officers, CONTRACTORS, SUBCONTRACTORS or volunteers to provide services supported by this CONTRACT, CONTRACTOR shall deliver to them, and obtain their signatures on, the forms described in Welfare and Institutions Code Section 15659, describing the responsibility to report elder and dependent adult abuse. CONTRACTOR shall retain the originals of all such signed forms.
- G. Licenses, permits, etc. CONTRACTOR and its sub-contractors shall secure, and maintain in full force and effect, any and all licenses, permits, notices, certificates and authorizations, required by statutes, ordinances, rules and regulations of any applicable governmental entities pertaining to CONTRACTOR's or its sub-contractors operations.
- H. State and local environmental and land use laws.
- i. CONTRACTOR shall comply with the California Environmental Quality Act (CEQA) and Section 65402 of the Government Code, as may be required by the land use agency of jurisdiction. CONTRACTOR further agrees to provide COUNTY proof that CONTRACTOR has complied with, and maintains compliance with, all zoning regulations and that CONTRACTOR has obtained, and is maintaining in full force and effect, all necessary licenses, permits, certifications, and authorizations to operate said programs at each location, or as may otherwise be approved by COUNTY.
  - ii. By signing this CONTRACT, CONTRACTOR swears under penalty of perjury that CONTRACTOR is not:

- a. in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district;
  - b. subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or
  - c. finally determined to be in violation of provisions of federal law relating to air or water pollution.
- I. Failure to comply. If CONTRACTOR fails to comply with the requirements of any Sections of this Paragraph 41, COUNTY may withhold payment to CONTRACTOR and/or terminate this CONTRACT in accordance with Paragraph K.

**42. Publication:**

No copies of sketches, schedules, written documents, computer based data, photographs, maps or graphs, including graphic art work, resulting from performance or prepared in connection with this CONTRACT, are to be released by CONTRACTOR and/or anyone acting under the supervision of CONTRACTOR to any person, partnership, company, corporation, or agency, without prior written approval by the COUNTY, except as necessary for the performance of the services of this CONTRACT. All press releases, including graphic display information to be published in newspapers, magazines, etc., are to be administered only by the COUNTY unless otherwise agreed to by both PARTIES.

**43. Legal Status of CONTRACTOR:**

- A. Corporate status.
  - i. CONTRACTOR, if a corporation and not a municipality or Indian Tribal organization, does hereby certify that CONTRACTOR is lawfully incorporated within the State of California and that by its articles of incorporation, corporate charter, or the Statutes of California, is empowered and authorized to conduct and provide the services specified in this CONTRACT. CONTRACTOR further agrees that if it is shown that the corporate status of CONTRACTOR is not valid at the time of the effective date of this CONTRACT or if CONTRACTOR loses its lawful corporate status for any reason during the time of this CONTRACT, then sufficient grounds exist for COUNTY to terminate this CONTRACT pursuant to Paragraph K of this CONTRACT or to suspend payments and operations under this CONTRACT until satisfactory status is restored.
  - ii. CONTRACTOR shall notify COUNTY immediately of any change in its corporate status.
- B. Return of funds. CONTRACTOR agrees that upon expiration or notice of termination of this CONTRACT or dissolution of CONTRACTOR's entity, CONTRACTOR shall, immediately upon written demand, return to COUNTY all funds paid to CONTRACTOR by COUNTY which are not payable for goods or services delivered prior to the termination or expiration of this CONTRACT or the dissolution of CONTRACTOR's entity.
- C. Labor relations. CONTRACTOR, by signing this CONTRACT, does swear under penalty of perjury that no more than one (1) final unappealable finding of contempt of court by a federal court has been issued against CONTRACTOR within the immediately preceding two-year period because of CONTRACTOR's failure to comply with an order of a federal court requiring CONTRACTOR to comply with an order of the National Labor Relations Board.

**44. Performance Bond:** All CONTRACTORs must either have a minimum of five (5) years' experience in providing services comparable to that in the scope of work, i.e. transporting older adults; or must provide a performance bond in an amount equal to the estimated amount of the CONTRACT within ten COUNTY working days of notification prior to the CONTRACT award. The COUNTY shall return the bond to the CONTRACTOR after successful completion of all CONTRACTOR's obligations and services required under the CONTRACT.

**45. CONTRACTOR Personnel – Drug-Free Workplace:** CONTRACTOR hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. CONTRACTOR will:

- A. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).
- B. Establish a drug-free awareness program as required by Government Code Section 8355(b) to inform employees about all of the following:
  - i. The dangers of drug abuse in the workplace;
  - ii. The organization's policy of maintaining a drug-free workplace;
  - iii. Any available counseling, rehabilitation and employee assistance programs; and
  - iv. Penalties that may be imposed upon employees for drug abuse violations.
- C. Provide as required by Government Code Section 8355(c) that every employee who works under this CONTRACT:
  - i. Will receive a copy of the company's drug-free policy statement; and
  - ii. Will agree to abide by the terms of the company's statement as a condition of employment under this CONTRACT.
- D. Failure to comply with these requirements may result in suspension of payments under the CONTRACT or termination of the CONTRACT or both, and CONTRACTOR may be ineligible for award of any future COUNTY contracts if the COUNTY determines that any of the following has occurred:
  - i. CONTRACTOR has made false certification, or
  - ii. CONTRACTOR violates the certification by failing to carry out the requirements as noted above.

**46. CONTRACTOR's Records:** CONTRACTOR shall keep true and accurate accounts, records, books and data which shall correctly reflect the business transacted by CONTRACTOR in accordance with generally accepted accounting principles. These records shall be stored in Orange County for a period of three (3) years after final payment is received from the COUNTY. Storage of records in another COUNTY will require written approval from the COUNTY. CONTRACTOR shall reimburse COUNTY for all costs and expenses incurred by COUNTY and /or the State and U. S. government resulting from travel to a location outside of the COUNTY to inspect the records.

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**General Terms and Conditions:**

**A. Governing Law and Venue:**

This CONTRACT has been negotiated and executed in the State of California and shall be governed by and construed under the laws of the State of California. In the event of any legal action to enforce or interpret this CONTRACT, the sole and exclusive venue shall be a court of competent jurisdiction located in Orange COUNTY, California, and the PARTIES hereto agree to and do hereby submit to the jurisdiction of such court, notwithstanding Code of Civil Procedure Section 394. Furthermore, the PARTIES specifically agree to waive any and all rights to request that an action be transferred for trial to another COUNTY.

**B. Entire CONTRACT:**

This CONTRACT, including Attachments and Exhibits which are attached hereto and incorporated herein by this reference, when accepted by the CONTRACTOR either in writing or by the shipment of any article or other commencement of performance hereunder, contains the entire CONTRACT between the PARTIES with respect to the matters herein, and there are no restrictions, promises, warranties or undertakings other than those set forth herein or referred to herein. No exceptions, alternatives, substitutes or revisions are valid or binding on COUNTY unless authorized by COUNTY in writing. Electronic acceptance of any additional terms, conditions or supplemental CONTRACTs by any COUNTY employee or agent, including but not limited to installers of software, shall not be valid or binding on COUNTY unless accepted in writing by CONTRACT ADMINISTRATOR.

**C. Amendments:**

No alteration or variation of the terms of this CONTRACT shall be valid unless made in writing and signed by the PARTIES; no oral understanding or agreement not incorporated herein shall be binding on either of the PARTIES; and no exceptions, alternatives, substitutes or revisions are valid or binding on COUNTY unless authorized by COUNTY in writing.

**D. Taxes: "Intentionally Left Blank"**

**E. Delivery:**

Time of delivery of services is of the essence in this CONTRACT. COUNTY reserves the right to refuse any services and to cancel all or any part of the descriptions or services that do not conform to the prescribed SCOPE OF SERVICES. Delivery shall not be deemed to be complete until all services have actually been received and accepted in writing by COUNTY.

**F. Acceptance/Payment:**

Unless otherwise agreed to in writing by the COUNTY, 1) acceptance shall not be deemed complete unless in writing and until all the services have actually been received to the satisfaction of COUNTY, and 2) payment shall be made in arrears after satisfactory acceptance.

**G. Warranty:**

CONTRACTOR expressly warrants that the services covered by this CONTRACT are fit for the particular purpose for which they are intended. Acceptance of this order shall constitute an agreement upon CONTRACTOR's part to indemnify, defend and hold COUNTY and its INDEMNITEES as identified in Paragraph HH below, and as more fully described in Paragraph HH, harmless from liability, loss, damage and expense, including reasonable counsel fees, incurred or sustained by COUNTY by reason of the failure of the services to conform to such warranties, faulty work performance, negligent or unlawful acts, and non-compliance with any

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

**H. Patent/Copyright Materials/Proprietary Infringement:**

Unless otherwise expressly provided in this CONTRACT, CONTRACTOR shall be solely responsible for clearing the right to use any patented or copyrighted materials in the performance of this CONTRACT. CONTRACTOR warrants that any software as modified through services provided hereunder will not infringe upon or violate any patent, proprietary right, or trade secret right of any third party. CONTRACTOR agrees that, in accordance with the more specific requirement contained in Paragraph HH below, it shall indemnify, defend and hold COUNTY and COUNTY INDEMINITEES harmless from any and all such claims and be responsible for payment of all costs, damages, penalties and expenses related to or arising from such claim(s), including, but not limited to, attorney's fees, costs and expenses.

**I. Assignment or Sub-Contracting:**

The terms, covenants, and conditions contained herein shall apply to and bind the heirs, successors, executors, administrators and assigns of the PARTIES. Furthermore, neither the performance of this CONTRACT nor any portion thereof may be assigned or sub-contracted by CONTRACTOR without the express written consent of COUNTY. Any attempt by CONTRACTOR to assign or sub-contract the performance or any portion thereof of this CONTRACT without the express written consent of COUNTY shall be invalid and shall constitute a breach of this CONTRACT.

**J. Non-Discrimination:**

In the performance of this CONTRACT, CONTRACTOR agrees that it will comply with the requirements of Section 1735 of the California Labor Code and not engage nor permit any sub-CONTRACTORS to engage in discrimination in employment of persons because of the race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, or sex of such persons. CONTRACTOR acknowledges that a violation of this provision shall subject CONTRACTOR to all the penalties imposed for a violation of Section 1720 et seq. of the California Labor Code.

**K. Termination:**

In addition to any other remedies or rights it may have by law, COUNTY has the right to terminate this CONTRACT without penalty immediately with cause or after 30 days' written notice without cause, unless otherwise specified. Cause shall be defined as any breach of CONTRACT, any misrepresentation or fraud on the part of the CONTRACTOR. Exercise by COUNTY of its right to terminate the CONTRACT shall relieve COUNTY of all further obligations.

**L. Consent to Breach Not Waiver:**

No term or provision of this CONTRACT shall be deemed waived and no breach excused, unless such waiver or consent shall be in writing and signed by the party claimed to have waived or consented. Any consent by any party to, or waiver of, a breach by the other, whether express or implied, shall not constitute consent to, waiver of, or excuse for any other different or subsequent breach.



**M. Remedies Not Exclusive:**

The remedies for breach set forth in this CONTRACT are cumulative as to one another and as to any other provided by law, rather than exclusive; and the expression of certain remedies in this CONTRACT does not preclude resort by either party to any other remedies provided by law.

**N. Independent Contractor:**

CONTRACTOR shall be considered an independent contractor and neither CONTRACTOR nor its employees; nor anyone working under CONTRACTOR shall be considered an agent or an employee of COUNTY.

Neither CONTRACTOR nor its employees; nor anyone working under CONTRACTOR shall qualify for workers' compensation or other fringe benefits of any kind through COUNTY.

**O. Performance:**

CONTRACTOR shall perform all work under this CONTRACT, taking necessary steps and precautions to perform the work to COUNTY's satisfaction. CONTRACTOR shall be responsible for the professional quality, technical assurance, timely completion and coordination of all documentation and other services furnished by the CONTRACTOR under this CONTRACT. CONTRACTOR shall perform all work diligently, carefully, and in a good and workman-like manner; shall furnish all labor, supervision, machinery, equipment, materials, and supplies necessary therefore; shall at its sole expense obtain and maintain all permits and licenses required by public authorities, including those of COUNTY required in its governmental capacity, in connection with performance of the work; and, if permitted to sub-contract, shall be fully responsible for all work performed by sub-CONTRACTORS.

**P. Insurance:**

**Insurance Provisions**

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

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

All self-insured retentions (SIRs) and deductibles shall be clearly stated on the Certificate of Insurance. Any self-insured retention (SIR) in an amount in excess of \$50,000 (Fifty Thousand Dollars) shall specifically be approved by the COUNTY's Risk Manager or designee, upon review

of CONTRACTOR'S current audited financial report. If CONTRACTOR's SIR is approved, CONTRACTOR, in addition to, and without limitation of, any other indemnity provision(s) in this CONTRACT, agrees to all of the following:

1. In addition to the duty of indemnify and hold the COUNTY harmless against any and all liability, claim, demand or suite resulting from CONTRACTOR's, its agents, employee's or subcontractor's performance of this CONTRACT, CONTRACTOR shall defend the COUNTY at its sole cost and expense with counsel approved by Board of Supervisors against same; and
2. CONTRACTOR's duty to defend, as stated above, shall be absolute and irrespective of any duty to indemnify or hold harmless; and
3. The provisions of California Civil Code Section 2860 shall apply to any and all actions to which the duty to defend stated above applies, and the CONTRACTOR's SIR provision shall be interpreted as though the CONTRACTOR was an insurer and the COUNTY was the insured.

If the CONTRACTOR fails to maintain insurance acceptable to the COUNTY for the full term of this CONTRACT, the COUNTY may terminate this CONTRACT.

**Qualified Insurer**

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

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

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

<b>Coverage</b>	<b>Minimum Limits</b>
Commercial General Liability	\$1,000,000 per occurrence \$2,000,000 aggregate
Automobile Liability including coverage for owned, non-owned, and hired vehicles	4 passengers or less: \$1,000,000 combined single limit 7 passengers or less: \$2,000,000 combined single limit 8 passengers or more: \$5,000,000 combined single limit
Workers' Compensation	Statutory
Employers' Liability Insurance	\$1,000,000 per occurrence
Network Security & Privacy Liability	\$1,000,000 per claims made
Sexual Misconduct Liability	\$1,000,000 per occurrence

### **Required Coverage Forms**

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

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

### **Required Endorsements**

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

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

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

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

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

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

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

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

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

Insurance certificates should be forwarded to the agency/department addressed for the Program Manager listed in Paragraph 21, "Notices" in this CONTRACT.

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

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

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

**Q. Bills and Liens:** "Intentionally Left Blank"

**R. Changes:** "Intentionally Left Blank"

**S. Change of Ownership:**

CONTRACTOR agrees that if there is a change or transfer in ownership of CONTRACTOR's business prior to completion of this CONTRACT, the new owners shall be required under terms of sale or other transfer to assume CONTRACTOR's duties and obligations contained in this CONTRACT and complete them to the satisfaction of COUNTY.

**T. Force Majeure:**

CONTRACTOR shall not be assessed with liquidated damages or unsatisfactory performance penalties during any delay beyond the time named for the performance of this CONTRACT caused by any act of God, war, civil disorder, employment strike or other cause beyond its reasonable control, provided CONTRACTOR gives written notice of the cause of the delay to COUNTY within thirty-six (36) hours of the start of the delay and CONTRACTOR avails himself of any available remedies.

**U. Confidentiality:**

CONTRACTOR agrees to maintain the confidentiality of all COUNTY and COUNTY-related records and information pursuant to all statutory laws relating to privacy and confidentiality that currently exist or exist at any time during the term of this CONTRACT. All such records and information shall be considered confidential and kept confidential by CONTRACTOR and CONTRACTOR's staff, agents and employees.

**V. Compliance with Laws:**

CONTRACTOR represents and warrants that services to be provided under this CONTRACT shall fully comply, at CONTRACTOR's expense, with all standards, laws, statutes, restrictions, ordinances, requirements, and regulations (collectively "laws"), including, but not limited to those issued by COUNTY in its governmental capacity and all other laws applicable to the services at the time services are provided to and accepted by COUNTY. CONTRACTOR acknowledges that COUNTY is relying on CONTRACTOR to ensure such compliance, and pursuant to the requirements of Paragraph HH below, CONTRACTOR agrees that it shall defend, indemnify and

hold COUNTY and COUNTY INDEMNITEES harmless from all liability, damages, costs, and expenses arising from or related to a violation of such laws.

W. **Freight (F.O.B.):** "Intentionally Left Blank"

X. **Pricing:** "Intentionally Left Blank"

Y. Intentionally left blank.

Z. **Terms and Conditions:** SUBRECIPIENT acknowledges that it has read and agrees to all terms and conditions included in the CONTRACT.

AA. **Headings:**

The various headings and numbers herein, the grouping of provisions of this CONTRACT into separate clauses and Paragraphs, and the organization hereof are for the purpose of convenience only and shall not limit or otherwise affect the meaning hereof.

BB. **Severability:**

If any term, covenant, condition, or provision of this CONTRACT is held by a court of competent jurisdiction to be invalid, void or unenforceable, the remainder of the provisions hereof shall remain in full force and effect and shall in no way be affected, impaired or invalidated thereby.

CC. **Calendar Days:**

Any reference to the word "day" or "days" herein shall mean calendar day or calendar days, respectively, unless otherwise expressly provided.

DD. **Attorney Fees:**

In any action or proceeding to enforce or interpret any provision of this CONTRACT, or where any provision hereof is validly asserted as a defense, each party shall bear its own attorney's fees, costs and expenses.

EE. **Interpretation:**

This CONTRACT has been negotiated at arm's length and between persons sophisticated and knowledgeable in the matters dealt with in this CONTRACT. In addition, each party has been represented by experienced and knowledgeable independent legal counsel of their own choosing or has knowingly declined to seek such counsel despite being encouraged and given the opportunity to do so. Each party further acknowledges that they have not been influenced to any extent whatsoever in executing this CONTRACT by any other party hereto or by any person representing them, or both. Accordingly, any rule or law (including California Civil Code Section 1654) or legal decision that would require interpretation of any ambiguities in this CONTRACT against the party that has drafted it is not applicable and is waived. The provisions of this CONTRACT shall be interpreted in a reasonable manner to affect the purpose of the PARTIES and this CONTRACT.

FF. **Authority:** Intentionally left blank.

GG. **Employee Eligibility Verification:**

The CONTRACTOR warrants that it fully complies with all Federal and State statutes and regulations regarding the employment of aliens and others and that all its employees performing work under this CONTRACT meet the citizenship or alien status requirement set forth in Federal statutes and regulations. The CONTRACTOR shall obtain, from all employees, consultants and sub-CONTRACTORS performing work hereunder, all verification and other documentation of employment eligibility status required by Federal or State statutes and regulations including, but

not limited to, the Immigration Reform and Control Act of 1986, 8 U.S.C. §1324 et seq., as they currently exist and as they may be hereafter amended. The CONTRACTOR shall retain all such documentation for all covered employee, consultants and sub-CONTRACTORS for the period prescribed by the law. The CONTRACTOR shall indemnify, defend with counsel approved in writing by COUNTY, and hold harmless, the COUNTY and its COUNTY INDEMNITEES, its agents, officers, and employees from employer sanctions and any other liability which may be assessed against the CONTRACTOR or the COUNTY or COUNTY INDEMNITEES, or any combination of the three in connection with any alleged violation of any Federal or State statutes or regulations pertaining to the eligibility for employment of any persons performing work under this CONTRACT.

**HH. Indemnification:**

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

**II. Audits/Inspections:**

CONTRACTOR agrees to permit the COUNTY's Auditor-Controller or the Auditor-Controller's authorized representative (including auditors from a private auditing firm hired by the COUNTY) access during normal working hours to all books, accounts, records, reports, files, financial records, supporting documentation, including payroll and accounts payable/receivable records, and other papers or property of CONTRACTOR for the purpose of auditing or inspecting any aspect of performance under this CONTRACT. The inspection and/or audit will be confined to those matters connected to the performance of the CONTRACT including, but not limited to, the costs of administering the CONTRACT. The COUNTY will provide reasonable notice of such an audit or inspection.

The COUNTY reserves the right to audit and verify the CONTRACTOR's records before final payment is made.

CONTRACTOR agrees to maintain such records for possible audit for a minimum of five years after final payment, unless a longer period of records retention is stipulated under this CONTRACT or by law. CONTRACTOR agrees to allow interviews of any employees or others who might reasonably have information related to such records. Further, CONTRACTOR agrees to include a similar right to the COUNTY to audit records and interview staff of any subcontractor related to performance of this CONTRACT.

Should the CONTRACTOR cease to exist as a legal entity, the CONTRACTOR's records pertaining to this CONTRACT shall be forwarded to the surviving entity in a merger or acquisition or, in the event of liquidation, to the COUNTY's Program Manager.

IN WITNESS WHEREOF, the PARTIES hereto certify that they have read and understand all the terms and conditions contained herein and have hereby cause this CONTRACT to be executed.

**\*CONTRACTOR**

By: \_\_\_\_\_ By: \_\_\_\_\_  
Name: \_\_\_\_\_ Name: \_\_\_\_\_  
Title: \_\_\_\_\_ Title: \_\_\_\_\_  
Dated: \_\_\_\_\_ Dated: \_\_\_\_\_

\*For CONTRACTORs that are corporations, signature requirements are as follows: 1) One signature by the Chairman of the Board, the President or any Vice President; and 2) One signature by the Secretary, any Assistant Secretary, the Chief Financial Officer or an Assistant Treasurer.

For CONTRACTORs that are not corporations, the person who has authority to bind the CONTRACTOR to a CONTRACT, must sign on one of the lines above.

\*\*\*\*\*

**COUNTY OF ORANGE**  
A Political Subdivision of the State of California

By: \_\_\_\_\_ Dated: \_\_\_\_\_  
Dylan Wright, Director  
OC Community Resources

**APPROVED AS TO FORM**  
**DEPUTY COUNTY COUNSEL**

By: Carolyn S. Frost Dated: 04/14/17  
DEPUTY COUNTY COUNSEL



**MODEL SCOPE OF SERVICES**  
**SNEMT – \_\_\_\_\_**  
**SERVICE AREA \_\_\_\_\_**

**1. CONTRACTOR'S SCOPE OF SERVICES**

- A. Description: the Senior Non-Emergency Medical Transportation Program (SNEMT) is to provide a coordinated community-based system of non-emergency medical transportation for older adults age sixty (60) and older adults who lack other reasonable means of medical-related transportation. The program utilizes appropriate vehicles on a cost per mile basis. The SNEMT funding comes from Tobacco Settlement Revenues (TSR), and Measure M2, among three (3) Service Areas in the COUNTY.
- B. Services pursuant to Attachments A and B. CONTRACTOR agrees to provide services as described in this SNEMT Scope of Services in Paragraphs 1 – 17, and SNEMT Policies and Procedures in Paragraph 18, below.
- C. These services shall be provided at the firm fixed price fully detailed in the Contractor's Budget. CONTRACTOR shall operate continuously throughout the term of this CONTRACT with at least the minimum number and type of staff and volunteers required for provision of the services described. Such staff and volunteers shall be qualified in accordance with all applicable statutes and regulations. CONTRACTOR agrees to submit to COUNTY PROJECT MANAGER, upon request, a list of persons, including employees, sub-contractors and volunteers, who are to provide such services, and any changes to said list, by name, title, professional degree, and experience.
- D. Additional services. CONTRACTOR also shall provide the following services to older adults to whom it provides the services described in 1.A.above: With the consent of the older adult, or his or her representative, CONTRACTOR shall bring to the attention of appropriate officials for follow-up, conditions or circumstances which place the older adult, or the household of the older adult, in imminent danger. Nothing in this Attachment A shall be construed to limit CONTRACTOR's responsibilities for elder abuse reporting as set forth in Paragraph 41 "F" of this CONTRACT.
- E. Coordination of services. CONTRACTOR shall assure that all services funded under this CONTRACT are coordinated with other appropriate services in the community and that services funded under this CONTRACT do not constitute unnecessary duplications of services provided by other sources.



- F. Coordination of resources. CONTRACTOR shall work collaboratively with OoA, particularly the Information and Assistance Program (I&A), to ensure that SNEMT clients who may need any services available through Older Americans Act or Older Californians Act Programs are referred to I&A for assistance in accessing these services.

## 2. PERFORMANCE BOND

All CONTRACTORS must either have a minimum of five (5) years' experience in providing services comparable to that in the scope of work, i.e. transporting older adults; or must provide a performance bond in an amount equal to the estimated amount of the CONTRACT within ten COUNTY working days of notification prior to the CONTRACT award. The COUNTY shall return the bond to the CONTRACTOR after successful completion of all CONTRACTOR's obligations and services required under the CONTRACT.

## 3. Confidentiality of Service Recipients

- A. Protection from unauthorized disclosure. CONTRACTOR shall protect from unauthorized disclosure the names and other identifying information of service recipients receiving services pursuant to this CONTRACT, and information about, or obtained from said service recipients, except for statistical information not identifying any service recipient.
- B. Use of information. CONTRACTOR shall not use such information for any purpose other than carrying out CONTRACTOR's obligations under this CONTRACT.
- C. Transmittal of requests for disclosure. CONTRACTOR shall promptly transmit to COUNTY all requests for disclosure of identifying information not authorized by the subject of such information.
- D. Nondisclosure by CONTRACTOR. CONTRACTOR shall not disclose, except as otherwise specifically permitted by this CONTRACT or authorized by the service recipient, any such identifying information to anyone other than COUNTY or the State of California without prior written authorization from COUNTY or the State, except when subpoenaed by a court.
- E. Blanket authorizations or blank releases. CONTRACTOR may allow clients to authorize the release of information to specific entities, but shall not request or encourage any service recipient to give a blanket authorization or sign a blank release, nor shall the CONTRACTOR accept such from any service recipient.
- F. Identity. For purposes of this section, identity shall include, but not be limited to, name, identifying number, symbol or other identifying characteristic assigned to the service recipient, such as finger or voice print or a photograph.
- G. Furnishing information as required by government CONTRACTs. The provisions of this Section shall not restrict CONTRACTOR's obligation to provide information required under this or any of its other COUNTY, State or federal contracts.

## 4. Evaluation and Monitoring:

- A. Site inspection. Authorized County, State and federal representatives shall have the right to inspect work, program and service sites of CONTRACTOR during the term of this CONTRACT at any time during normal business hours.

- B. Access to books and records. During normal business hours, CONTRACTOR shall provide access to COUNTY, the federal and State grantor agencies, the Controller General of the United States, and any duly authorized COUNTY, federal or State representatives to any books, documents, papers, and records of CONTRACTOR which are pertinent to this CONTRACT, for the purpose of making audits, examinations, excerpts, copies and transcriptions. CONTRACTOR shall include this requirement in any subcontracts to be funded in whole or in part by funds provided pursuant to this CONTRACT.
- C. Evaluating, monitoring and assessing CONTRACTOR's performance. Authorized County, State and/or federal representatives shall have the right to monitor, assess and evaluate CONTRACTOR's performance pursuant to this CONTRACT. Said monitoring, assessment and evaluation may include, but is not limited to, audits, inspections of project premises, visits to participant worksites, and interviews of project staff and participants.
- D. CONTRACTOR cooperation. CONTRACTOR shall actively participate and cooperate with County, State and/or federal representatives in the monitoring, assessment and evaluation processes, including making any program and any administrative staff (fiscal, etc.) available at the request of such representatives.
- E. Failure to comply. Failure by CONTRACTOR to meet the conditions necessary for an evaluation will be sufficient grounds for COUNTY to withhold and/or delay reimbursement or to terminate this CONTRACT.

5. Definitions:

- A. Orange County Office on Aging (OoA), the designated Area Agency on Aging for Orange County.
- B. "Information & Assistance [I&A]" means the function of the Office on Aging that refers older adults to appropriate service and assistance agencies in Orange County.
- C. "Subcontractor" means any entity that furnishes to CONTRACTOR services or supplies relative to this CONTRACT.  
Additional definitions pertaining to M2 funds are contained in the Cooperative Agreement C-1-2583 between the Orange County Transportation Authority (OCTA) and the County of Orange, attached hereto as Exhibit B, and incorporated herein by reference.
- D. "COUNTY PROJECT MANAGER" means the COUNTY shall appoint a PROJECT MANAGER to act as a liaison between the COUNTY and the CONTRACTOR during the term of this CONTRACT. The COUNTY's PROJECT MANAGER shall coordinate the activities of the COUNTY staff assigned to work with CONTRACTOR.
- E. "COUNTY's CONTRACT ADMINISTRATOR" means the "CONTRACT ADMINISTRATOR" who shall administer this CONTRACT as is necessary or reasonable to comply with COUNTY policies.

## **6. Overview of Service Delivery Expectations**

The purpose of the Senior Non-Emergency Medical Transportation Program (SNEMT) is to provide a coordinated community-based system of non-emergency medical transportation for older adults age 60 and older adults who lack other reasonable means of medical-related transportation. The program utilizes cars, vans, mini-buses, or other appropriate vehicles on a cost per mile basis.

CONTRACTOR(s) will offer at a minimum both door-to-door and curb-to-curb services and ensure that non-ambulatory accessible vehicles are available upon request. Service delivery is based upon the needs of the individuals served. Each CONTRACTOR, depending upon their geographic service area, will provide the greatest number of annual trips possible by utilizing a community-based vehicle dispatch model with a fixed price per mile reimbursement.

CONTRACTOR(s) will implement trip prioritization procedures if it is deemed necessary by the Office on Aging in order to ensure that the program operates within the authorized funding amount, utilizing the trip priority categories stipulated in the Senior Non-Emergency Medical Transportation Program Policies and Procedures.

In the event that quarterly actual expenditures exceed or are within 25% of the amount of funding dedicated to the program, the Office on Aging will have authorization to prioritize trips.

Trip prioritization will include the flexibility to leverage trips with other transportation resources to maximize program services and ensure that SNEMT serves as many seniors as possible. An example of leveraging trips with other resources is as follows: a client requiring trip services to chemotherapy may utilize other specialized transportation services to the medical appointment destination and utilize SNEMT transportation services for the return trip.

Once trip prioritization has been activated, it will remain in effect for 12 months. At the end of 12 months, the need for prioritization will be reevaluated by the Office on Aging to determine if deactivation of prioritization is appropriate. If sufficient funding is available, all eligible older adults will be served, even if trip prioritization is still activated.

CONTRACTOR (s) will provide all management, personnel, client intakes, marketing and outreach, scheduling, dispatching, driving responsibilities, telecommunications equipment, road supervision, computer software and hardware, and back-up vehicles necessary for the operation of the Senior Non-Emergency Medical Transportation Program.

## **7. SNEMT Performance Outcomes**

The following Performance Outcomes have been identified for this transportation program:

- To provide older adults with non-emergency medical transportation on a daily, weekly, and/or monthly basis;
- To provide wheelchair accessible services which are safe and reliable;
- To enable older adults to access preventive medical services to maintain and/or improve their overall health;
- To help older adults decrease hospitalizations and delay premature

- institutionalization;
- To increase the availability of transportation services to older adults in Orange County; and
- To seek out matching funds through funding streams, donations and or other means of fund leveraging to support ongoing SNEMT services.

## 8. Service Areas

Geographic service areas represent the North, South and Central/West parts of the County.

- **Area 1, North County**, includes the following cities, communities, and County unincorporated areas: Anaheim, Brea, Buena Park, El Modena, Fullerton, La Habra, La Palma, Olinda, Olive, Orange, Orange Hills, Orange Park Acres, Placentia, Villa Park and Yorba Linda.
- **Area 2, South County**, includes the following cities, communities, and County unincorporated areas: Aliso Viejo, Coto de Caza, Dana Point, Dove Canyon, Irvine, Ladera Ranch, Laguna Beach, Laguna Hills, Laguna Niguel, Laguna Woods, Lake Forest, Los Flores, Mission Viejo, Modjeska Canyon, Newport Beach, Rancho Santa Margarita, San Clemente, San Juan Capistrano, Santa Ana Heights, Santiago Canyon, Silverado Canyon, and Trabuco Canyon.
- **Area 3, Central/West County**, includes the following cities, communities, and County unincorporated areas: Costa Mesa, Cowan Heights, Cypress, Fountain Valley, Garden Grove, Huntington Beach, Lemon Heights, Los Alamitos, Midway City, North Tustin, Rossmoor, Santa Ana, Seal Beach, Stanton, Sunset Beach, Surfside, Tustin, and Westminster.

## 9. Marketing and Outreach

CONTRACTOR shall identify culturally and linguistically appropriate measures for reaching older adults in need of transportation and determine procedures for implementation of outreach, which may include, but is not limited to, brochures, flyers, and public presentations.

In order to ensure effective collaboration and coordination of services, a CONTRACTOR shall be required to submit drafts of all printed materials related to outreach and marketing of OoA Senior Non-Emergency Medical Transportation Fixed-Price Per Mile Program services to OoA for approval before publication and dissemination.

## 10. Program Policies and Procedures

CONTRACTOR's SNEMT program shall be operated in conformity with the mandatory policies and procedures developed for the program.

## 11. Program Requirements

### A. Trip Purpose:

CONTRACTOR will only transport Clients for approved trips for non-emergency medical purposes. Such purposes may include but are not limited to: appointments with medical practitioners, outpatient services, lab testing, dental, vision, rehabilitation and therapy, health education, mental health counseling and the securing of prescription drugs and devices. The purpose of the SNEMT Program is to assist the

Client to live independently through access to appropriate medical care. All trips that are not medically related are ineligible.

B. Client Fares or User Fees

CONTRACTOR will either charge a \$2.00 user fee per one-way trip or obtain donations or contributions equal to \$2.00 per one-way trip. A Low Income Waiver may be granted to clients experiencing extenuating financial circumstances.

C. Non-ambulatory Accessible Vehicles

CONTRACTOR shall provide non-ambulatory accessible vehicles as required by the individual needs of the enrolled clients.

D. Trip Length

CONTRACTOR shall provide a maximum trip length not to exceed 15 miles. Trip time will be limited to forty-five minutes maximum. Exceptions to the 15 mile limit include the following destinations:

- Long Beach Veterans Administration Hospital
- Kaiser Lakeview in Anaheim
- Kaiser Anaheim Medical Center in Anaheim
- UCI Medical Center in Orange
- Hoag Hospital Newport Beach
- Hoag Hospital Irvine
- St. Joseph's Hospital in Orange
- Kaiser in Irvine
- Newport Beach Dialysis Center
- Whitaker Wellness Institute in Newport Beach
- Other medical destinations as deemed appropriate by the Office on Aging

Out of COUNTY trips must be within a 10 mile radius of the client's residence, or as approved by the Office on Aging.

E. Trip Limits

Client trips will be limited to 16 one-way trips per client, per month with the ability to exceed trip limit, however the CONTRACTOR may waive the trip limit based on client need. Contractor will provide methodology proposed to track individual client monthly trips to ensure the 16 trip maximum is enforced and to maintain documentation to support trip limit waivers. At the request of the Office on Aging, the CONTRACTOR will implement Client Priority Criteria as outlined in SNEMT Policies and Procedures.

F. Client Satisfaction Surveys

The OoA will conduct an annual multi-language customer satisfaction survey as needed. Results of the survey will be distributed in a report as deemed appropriate by the Office on Aging.

G. Personal Care Attendants

CONTRACTOR shall not count personal care attendants as individual trips but may count them as a passenger transported. Personal care attendants will not be charged a user fee.

H. Trip Sheets or Route Manifest

CONTRACTOR shall identify methods used to document designated trips, addresses of pick-up and drop off points, clients, miles and times for pick up and drop off, no-shows, and cancellations. CONTRACTOR will maintain trip sheets and route manifests at a program office or facility within Orange County. Trip sheets and route manifests will be subject to review by the OoA.

I. Shared Rides

In the event that multiple passengers can be carried at the same time without any passenger riding for more than 45 minutes, mileage for the shared rides will be determined in the following manner: The shortest possible route distance for each passenger will be determined using scheduling software or a mapping system such as Mapquest® or Google Maps®. The shortest possible route distance for each passenger utilizing the shared ride will be reported on the trip sheet summary included with the monthly invoice.

J. One-Time-Only Funds

One-Time Only funds may be expended solely to provide non-emergency medical transportation baseline services for the SNEMT program.

**12. Service Data Collection, Recording and Reporting Requirements**

CONTRACTOR shall be required to collect, record, and report data necessary to meet OoA requirements in a manner consistent with the OoA requirements concerning the confidentiality of client names and addresses. Such reports shall be submitted to the OoA on a monthly basis no later than fifteen days following the end of the month for which the report is due. Such reports shall be provided on forms or in a format deemed necessary by the OoA. Other program reports will be due within fifteen days of a written request from the OoA.

CONTRACTOR shall establish procedures to ensure the accuracy and authenticity of the number of eligible clients participating in the program. Such procedures shall be kept on file at the CONTRACTOR's site within Orange County. OoA Senior Non-Emergency Medical Transportation Program records and reports shall be made available for audit, assessment, or inspection by authorized representatives of OoA. Information obtained from a participant's records shall be maintained in a confidential manner.

A. CONTRACTOR SNEMT Database

CONTRACTOR shall be responsible for implementing and maintaining a COUNTY-approved database which shall be used to record and maintain data pertaining to this program, including, but not limited to: client contact information, application data, and travel records for each client approved for participation in the SNEMT Program; operating statistics, such as numbers of passengers per hour and miles per trip; financial data and records of grievances and the investigation and resolution thereof. The COUNTY may, at its discretion, modify or add to these data requirements.

B. Program Monthly Performance Report

1. Content

On a monthly basis, a report documenting the services provided, performance and fund expenditure of each contracted transportation program shall be due to the Program Manager.

Monthly Performance Report data will be submitted on the form provided by the Office on Aging, and submitted in electronic form. A separate Monthly Performance Report shall be submitted for each funding source (TSR and M2).

2. Timing & Submission

The Program Monthly Performance Report shall be submitted by email to the designated contract analyst prior to 5:00 p.m. local time on the fifteenth calendar day of the month following the end of the month for which the report is due.

C. Monthly Invoices

1. Content

The monthly invoices shall include a trip sheet summary that tabulates the total client mileage by tenths of a mile for each of the four types of transportation in the Service Area(s) for the month. Each mileage total shall be multiplied by the corresponding mileage rate to determine that month's billing for each transportation type. The four amounts in each Service Area will be added together to determine the total billing for each Service Area for the month. If a CONTRACTOR is providing transportation in more than one Service Area, the CONTRACTOR will provide an individual trip sheet summary and invoice for each Service Area. A separate trip sheet summary and invoice shall be submitted for each funding source (TSR and M2).

The monthly back-up documentation for the invoice, CONTRACTOR will provide 100% back-up of trip verified billed mileage by submitting a PDF file for each one-way trip from MapQuest®, Google Maps®, or similar software that contains the following: Participant ID Number; address of the "to" and "from" destination as displayed on the trip sheet; number of miles recorded by the software that matches the billed mileage. Back-up documentation will be scanned in order as the trips are displayed on the trip sheets and uploaded into a secured folder as provided by the Office on Aging.

2. Timing & Submission

The Monthly Invoice shall be submitted prior to 5:00 p.m. on the fifteenth calendar day of each month as a printed-paper copy signed in blue ink by an authorized signer and delivered to:

OC Community Resources

1770 N. Broadway

Santa Ana, CA 92706

Attn: Accounts Payable, 4<sup>th</sup> Floor

### **13. Fiscal Requirements**

CONTRACTOR shall maintain and submit records, statistical information, and financial reports, including invoices, in a form and format required by the County of Orange or OoA. The format may specify paper or electronic transfer. Monthly reports and invoices shall be submitted no later than fifteen calendar days following the end of the month for which the expenditures were incurred. Other fiscal reports will be due within fifteen calendar days of a written request from the OoA.

CONTRACTOR shall maintain separate accounting records for this program.

### **14. Service Delivery Requirements.**

The following sections describe in detail the work activity required by this program. All CONTRACTORS will be expected to fulfill the work activity requirements in these areas.

#### **A. Staff Requirements & Policies**

CONTRACTOR shall provide the necessary management and administrative personnel whose expertise will ensure efficient operation of SNEMT services. OoA recognizes that a high quality operation begins with key personnel. Therefore, a minimum level of required staffing is described for the positions and functions described below.

##### **1. Program Manager/Director**

The program manager/director will be in charge of all management and day-to-day operations of the CONTRACTOR's SNEMT program. The position will maintain consistent and sufficient contact and communication with the OoA and be responsible for all CONTRACT obligations.

##### **2. Transportation Coordinator**

The transportation coordinator will be responsible for interactions with the community in programs related to senior transportation, assessing older adult clients for program enrollment, referring seniors to alternative transportation services, coordinating SNEMT trips for eligible clients, tracking required statistical data, marketing the program services and record keeping for the program.

##### **3. Drivers**

Drivers must meet the following minimum standards:

- Must be legally licensed and certified, as appropriate, for the vehicle being operated.
- Drivers operating buses shall have a valid Class B license with a P endorsement as well as maintain a valid medical certificate and any other licenses or certificates required by applicable federal, State, or local regulations.
- Drivers operating taxicabs must be certified through OCTAP.
- Must be in good standing with the DMV and not have more than two (2) moving violations within the thirty-six (36) month period preceding



operation of the SNEMT service.

- Drivers cannot have a Motor Vehicle Record that contains any two point violation; or has outstanding failure to appear or failure to pay violations.
- Must be able to speak, understand, and read English.
- Drivers are required to treat all passengers with respect and courtesy.

4. Reservations, Scheduling, Dispatch and Routing

a. Reservations and Scheduling

CONTRACTOR shall provide qualified and trained personnel to answer and properly respond to all telephone, facsimile and TDD calls for SNEMT trip reservations, cancellations, ride check status, service inquiries, and general information requests.

When calls are received from non-English speaking clients, bilingual staff or an appropriate translation service (such as the ATT Language Line) shall be used.

The assigned scheduling staff will also review, coordinate and adjust all vehicle itineraries prior to the service day, initiate call-backs of SNEMT passengers as needed to adjust scheduled services, monitor and coordinate service resources to maximize system efficiency and performance, track cancellations and no-shows.

CONTRACTOR staff responsible to take reservations shall be on duty during the hours of 8:00 A.M. to 5:00 P.M. on weekdays. Contractor shall assign staff to be on-duty to handle cancellations and ride check status calls during the hours of 7:00 A.M. to 6:00 P.M. on weekdays. During periods when reservations staff are busy and during non-office hours, cancellations may also be taken by voice mail or other telephone message device.

b. Dispatching

CONTRACTOR shall provide qualified and trained personnel to:

- Schedule and assign drivers and vehicles in accordance with the service hour schedules and scheduled trips for each day;
- Assist drivers while they are in service to carry out the assigned trips on-time, providing address assistance and telephoning passengers as needed;
- Monitor the performance of scheduled trips, reassigning trips and/or adjusting the number of vehicles in service as needed to ensure on-time performance in the most efficient manner; and,
- Ensure that unanticipated service demands, passenger and vehicle accidents, other events and general service delivery are handled and performed in accordance with OoA policies and procedures.

Dispatching staff are to be on-duty from the time the first SNEMT vehicle is in service until the last SNEMT vehicle is out of service.

Dispatch staff will also ensure that:

- All voice radio communications that pertain to SNEMT comply with FCC rules and regulations, and that regulations are enforced;
- Average hold times on ride check calls are maintained at no more than two (2) minutes; and

The OoA “no stranded passengers” policy is enforced.

#### B. Telephone and Radio Systems

Voice telephone services are to be provided for trip requests, customer information and other service inquiries. The system shall also have voicemail available to cancel trips made during hours when staff is not available.

CONTRACTOR shall maintain all communications equipment in good working order.

The CONTRACTOR shall operate and maintain a telecommunications system that endeavors to ensure that riders, and agencies calling on behalf of riders, are not on hold for more than two minutes.

Sufficient telephone lines will be provided to support the volume of calls necessary to provide a range of 3 to 5 thousand rides per month. The telephone lines shall be toll free from all locations within 15 miles of CONTRACTOR’s Service Area.

CONTRACTOR is responsible for the installation and maintenance of sufficient telephone lines and equipment to support the CONTRACTOR’s administrative requirements so that designated customer service and scheduling/dispatch telephone lines are not utilized for administrative purposes.

CONTRACTOR is required to provide a facsimile machine installed on a dedicated telephone line. This facsimile does not have to be dedicated to the SNEMT program.

#### C. Computer System

CONTRACTORS are required to transmit performance and outcomes data electronically during the course of the CONTRACT period. CONTRACTOR shall have e-mail service to allow the transmission and receipt of e-mail messages with data attachments.

CONTRACTOR shall provide all software necessary to support the operation of the SNEMT program. CONTRACTOR is responsible for providing data in a format compatible with the OoA operating environment.

CONTRACTOR shall provide all computer hardware, and network servers to support computing and local network services at CONTRACTOR site. CONTRACTOR shall be responsible for the installation, administration, and maintenance of all computer equipment, computer network, computer software, operating systems, and peripherals at CONTRACTOR’s site.

#### D. Routing

Dispatch will provide drivers with the most cost-efficient route possible from the passenger’s residence to their scheduled destination while maintaining trip time considerations of no more than 45 minutes for a 15 mile trip length. OoA will verify trip routes as needed to confirm that the terms and conditions of the Senior Non-

Emergency Medical Transportation Program are being met and it will be CONTRACTOR's responsibility to provide the actual route information per trip when requested.

## 15. Vehicle Operations

### A. Driver Trip Sheets and Mileage

OoA will approve the trip sheet format for the SNEMT program which will be developed by CONTRACTOR. Mileage readings on the Driver's Trip Sheet will indicate the actual per trip miles from pick-up point to drop-off point. Starting odometer readings shall be recorded in the appropriate places when the vehicle leaves and at the first scheduled pick-up. The ending odometer readings will be recorded at the time of the last drop off and upon returning to the yard or vehicle resting location.

Driver Trip Sheets will at a minimum also include:

- Passenger name, scheduled time and address of pick-up
- Actual time driver arrived at location of pick-up
- Address of passenger drop-off
- Actual time driver dropped off passenger
- No Shows and trip cancellations, should they apply
- Any unscheduled trips or stops that may occur

CONTRACTOR shall organize and file trip sheets by date. All original trip sheets will be maintained by the CONTRACTOR and kept within an Orange County location for review by OoA during normal working hours of 8:00 A.M. to 5:00 P.M., Monday through Friday. A Trip Sheet Summary will be sent to the OoA with the Monthly Report and invoice by the 15th calendar day of the following month.

### B. Vehicles

CONTRACTOR will provide a sufficient number of vehicles and drivers to deliver services and meet the requirements of the program. This number will be determined by the scheduling of trips and the capacity of the vehicles proposed for this service. Determination of the number of vehicles required to provide these services is the responsibility of the CONTRACTOR.

CONTRACTOR shall provide sufficient vehicles for back-up due to breakdowns or accidents and on-street driver relief as needed.

CONTRACTORS proposing to use taxis must comply with OCTAP regulations and must provide accessible services to passengers upon request. (OCTAP regulations can be found at: <http://www.octap.net/regulations.pdf>).

Taxi vehicles must be certified through OCTAP.

### C. Facilities, Vehicles & Vehicle Maintenance Services

#### I. Vehicle Inspection

CONTRACTOR shall establish an inspection procedure that ensures that each vehicle that is in service is inspected before first pick-up and at the end of each service day. CONTRACT shall maintain records of the inspections at the program office for review at the discretion of the OoA.

II. Facilities and Vehicle Maintenance

SNEMT services shall be operated from a facility provided by CONTRACTOR. Vehicle maintenance shall be provided by CONTRACTOR staff or CONTRACTOR's vendor. CONTRACTOR shall conduct vehicle maintenance and repair operations so that a sufficient number of vehicles are available during operating hours to meet the client demand for transportation.

III. Administrative and Clerical Office Space

CONTRACTOR shall provide administrative and clerical office space suitable to accommodate the personnel necessary to operate the SNEMT service and to maintain and keep all necessary data and records. CONTRACTOR shall provide all furnishings and equipment, including telephones and telephone service, necessary for operating the SNEMT service.

IV. Reservations, Scheduling and Dispatch Office Space

CONTRACTOR shall provide reservations, scheduling and dispatch office space suitable to accommodate the personnel necessary to operate the reservations, scheduling and dispatch functions of the SNEMT service. CONTRACTOR shall provide all furnishings and equipment, including telephones and telephone service, necessary for operating the reservations, scheduling and dispatch functions of the SNEMT service.

V. Transportation Coordinator Office Space

Suitable office space shall be dedicated and functionally organized to accommodate the Transportation Coordinator, allowing for confidential conversations to take place with potential clients and security of client applications or data containing personal client information.

VI. Maintenance Facilities

CONTRACTOR shall comply with OSHA regulations. CONTRACTOR will be responsible for disposal of any hazardous waste generated by its operation in compliance with all E.P.A. and California Department of Health Services regulations. Contractor shall comply with all State Water Resources Control Board Nonpoint Source (NPS) Pollution Control Plan requirements under the Federal Clean Water Act.

CONTRACTOR is required to provide adequate and appropriate shop equipment and special tools as necessary to perform the necessary maintenance tasks required. CONTRACTOR is required to provide all necessary fuels, lubricants, materials, parts and labor for the maintenance of SNEMT vehicles.

If vehicles with a capacity of ten or more passengers are used to provide SNEMT services, the CONTRACTOR shall ensure that the ten-or-more passenger vehicles meet all standards required to pass a CHP Terminal Inspection. Ten-or-more passenger vehicles shall receive and pass a yearly CHP Terminal Inspection.

CONTRACTORS may use a third party for maintenance.

At the CONTRACTOR's expense, the Office on Aging will randomly select vehicles from the CONTRACTOR's and subcontractor's fleet to receive an annual vehicle inspection at a maintenance facility that is Automotive Service Excellence (ASE) recognized (displaying the following blue seal).



## VII. Red Tagged Vehicles

The OoA may, during normally scheduled monitoring visits, or, as a follow-up to a client complaint, inspect any vehicles used by CONTRACTOR to transport clients. If, in the opinion of the OoA, a vehicle does not meet OoA safety standards, it may be "red tagged." A vehicle that has been "red tagged" shall be immediately removed from service. A "red tagged" vehicle may not be released for service until such time as the problems associated with it have been rectified by CONTRACTOR and verified by OoA.

A vehicle may be "red tagged" by OoA if any of the following occurs:

- Safety equipment missing (per Vehicle Code requirements)
- Wheelchair lift inoperative
- Wheelchair lift brake interlock inoperative
- Wheelchair lift restraints missing or inoperative
- Tires: Flat, worn, embedded objects, bald
- Passenger door interlock inoperative
- Headlights out
- Taillights out
- Turn signals out or inoperative
- Horn not working
- Windshield wipers not working
- Engine smoking excessively
- Brake lining too thin
- Fluid leaks
- Coolant leaks
- Exhaust system leaking or damaged
- Steering with excessive play
- Loose or missing lug nuts
- Any noncompliance with Federal Motor Vehicle Safety Standards and other governing agency safety, vehicle operations regulations
- Any other safety or maintenance item which may endanger the safety of SNEMT clients

VIII. Vehicle Cleanliness

To facilitate customer service, it is imperative vehicles remain clean and free from body damage (other than minor scratches).

Daily Vehicle Cleanliness Standards:

Interior vehicle cleaning will be done on a daily basis with the exterior being washed at a minimum weekly or as needed. Daily cleaning will include:

- Clean inside of all windows, remove fingerprints and head prints
- Remove dust from seats and dashboards
- Sweep or vacuum all floor areas, mop up any spills
- Ensure vehicle is free from all paper, gum, and debris, etc.
- Repair any damaged seats
- Remove any graffiti
- Ensure wheelchair securements and passenger restraints are clean and serviceable

IX. Road Calls

In the event of a vehicle failure while in service, CONTRACTOR shall deploy a vehicle immediately upon notification to replace the failed vehicle to ensure continuity of service.

**16. Office on Aging Oversight and Management.**

Oversight of the SNEMTCONTRACTOR's operations and program performance and processing of monthly invoices will be administered by OoA. CONTRACTOR will be monitored and evaluated by the OoA contracts staff and Auditor/Controller staff annually or at any time the OoA staff determines it is required to ensure quality and safety of the program.

**17. Client Transfers to Subsequent Contractor.**

In the event that an existing service provider of SNEMT services will not be receiving a CONTRACT award as a result of this solicitation, that provider shall be required to transfer its clients to the new CONTRACTORS(s) in its respective Service Area.

Any new CONTRACTORS(s) must cooperatively participate in the transition of clients currently enrolled in the SNEMT programs. The transition of clients will occur in the 30 to 45 day period of time prior to the current SNEMT CONTRACT expiration date of June 30, 2018. New CONTRACTOR(s) shall participate in the seamless transition of SNEMT services to existing clients currently in SNEMT programs.

During a transition of clients, OoA staff will conduct several meetings with the ending and new CONTRACTORS to discuss specific operations, transfer of client records, client notification procedures, and the time frame in which these must occur.

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**18. SNEMT Policy and Procedures**

**Senior Non-Emergency Medical Transportation Program**

**Policies and Procedures**

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## **A. SNEMT CLIENT ELIGIBILITY CRITERIA**

### **I. CLIENT ELIGIBILITY**

The Senior Non-Emergency Medical Transportation Program has been developed to provide non-emergency medical transportation to medical services for older adults who have no other reasonable means of transportation.

- a. Client Eligibility Requirements:
  - i. Must be at least 60 years of age and reside in Orange County
  - ii. Must reside in a designated Service Area served by Contractor
  - iii. Client must have completed the application process prior to receiving services
- b. Clients shall be notified by mail when the application is approved.

### **II. CLIENT PRIORITY CRITERIA**

Starting in April 2011, the Senior Non-Emergency Medical Transportation Program (SNEMT) will benefit from increased funding provided by Renewed Measure M (M2). As such, the Office on Aging will expand the program to include all persons age 60 and older. However, with the combination of a rapidly growing 60+ population and long-term uncertainties related to the funding sources for this program, it is necessary to develop procedures to prioritize trips to ensure the program stays within available revenue sources.

M2 funding for the SNEMT program will be made available on a bi-monthly basis. Total funding allocations will be based on actual sales tax receipts. The Office on Aging will be required to submit quarterly reporting with trip data and budget-to-actual program expenditures. If quarterly actual expenditures submitted on the quarterly report exceed or are within 25% of the amount of funding dedicated to the program (MOE + M2 revenues), then the Office on Aging will have authorization to prioritize trips.

If the Office on Aging believes it is necessary to begin trip prioritization prior to the end of a quarter, it can provide OCTA with a Notice of Intent for Trip Prioritization, which shall explain the reasoning to initiate trip prioritization immediately. Trip prioritization will include the flexibility to leverage trips with other transportation resources to maximize program services and ensure that SNEMT serves as many seniors as possible. An example of leveraging trips with other resources is as follows: a client requiring trip services to chemotherapy may utilize other specialized transportation services to the medical appointment destination and utilize SNEMT transportation services for the return trip.

Once trip prioritization has been activated, it will remain in effect for 12 months. At the end of 12 months, the need for prioritization will be reevaluated by the Office on Aging to determine if deactivation of prioritization is appropriate. It is important to note that if sufficient funding is available, all eligible older adults will be served, even if trip prioritization is still activated. The following criteria will be utilized for SNEMT trip prioritization:

### III. CLIENT PRIORITY CATEGORIES

a. Priority 1: Individuals who are:

Age 60 and over, at or below 50% of the Area Median Income, have no other access to specialized transportation services and in need of the following medically related trips:

- Need for life sustaining medical care such as dialysis, chemotherapy, radiation treatment
- Multi-system failure or conditions requiring immediate medical supervision/care, e.g. diabetes, heart disease, Chronic Obstructive Pulmonary Disease (COPD)
- Surgery or non-elective (immediate need) procedure

b. Priority 2: Individuals who are:

Age 60 and over in need of the following medically related trips:

- Need for life sustaining medical care such as dialysis, chemotherapy, radiation treatment
- Multi-system failure or conditions requiring immediate medical supervision/care, e.g. diabetes, heart disease, Chronic Obstructive Pulmonary Disease (COPD)
- Surgery or non-elective (immediate need) procedure

c. Priority 3: Individuals who are:

Age 60 and over, at or below 50% of the Area Median Income, have no other access to specialized transportation services and are in need of the following medically related trips:

- Rehab/Physical Therapy with a physical therapist
- Dental
- Elective procedures
- Vision
- All other non-urgent medical appointments

d. Priority 4: Individuals who are:

Age 60 and over in need of the following medically related trips:

- Rehab/Physical Therapy with a physical therapist
- Dental
- Elective procedures
- Vision
- All other non-urgent medical appointments

e. Priority 5: Individuals who are:

Age 60 and over in need of the following medically related trips:

- Health education
- Disease management

## **B. APPLICATION, ENROLLMENT AND REFERRAL PROCEDURES**

### **I. APPLICATION PROCESS**

- a. Upon receipt of referral, the Transportation Coordinator (TC) will contact the applicant and inform the applicant of the application process and the program services.
- b. Applicant will be asked how much his annual income is to determine income status. A low income waiver for trip fares may be offered to clients experiencing extenuating financial circumstances.
- c. SNEMT Application form will be mailed to applicant. User Fee Waiver form will also be mailed as needed. Forms may be faxed or e-mailed to applicant if he has access to fax or e-mail.  
A sample of the User Fee Waiver Form is included in Section XI.C.

### **II. When completed application form is received, the application will be reviewed for:**

- a. Geographic limitations or service area restrictions
- b. Eligibility of service request as a medically related trip
- c. Ambulatory/non-ambulatory requirements
- d. Existing transportation resources

### **III. Applicant will be informed of eligibility status within 5 days of return of application.**

### **IV. Eligible applicants will be assigned a SNEMT client ID number. Confirmation letter, program guidelines and program fact sheet will be mailed to approved applicants.**

### **V. Referred applicants not meeting eligibility criteria will be referred to OoA Information and Assistance (800) 510-2020, if the SNEMT program cannot assist the client in finding other transportation options.**

A sample SNEMT Application Form is included in Section XI.A.

## **B. RIDER INSTRUCTIONS AND CLIENT GUIDELINES**

1. The Rider Instructions and Client Guidelines shall be sent, with the confirmation letter, to each client. The Rider Instructions and Client Guidelines are included in Section XI.D.

## **C. TRANSPORTATION PROGRAM SERVICE HOURS**

1. The Transportation Coordinator services and program office hours will be available Monday through Friday from 8:00 am to 5:00 pm.
2. Transportation services will be available Monday through Friday from 7:00 am to 6:00 pm.
3. Transportation is not available on the following official holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day. The Contractor shall notify the Office on Aging in writing regarding any additional holidays to be observed by the Contractor's SNEMT program.

4. Transportation is not available on weekends, unless the SNEMT program Provider is willing to provide trips under exceptional circumstances, at their own discretion.

#### **D. USE OF WAITING LISTS**

1. Once maximum trip capacity has been reached, it will be necessary to create a list of new clients waiting for an opening in the program.
2. A waiting list is only for older adults who have completed the SNEMT application process and are eligible to use the transportation program. Those who are not eligible to use the program will not be placed on a waiting list.
3. A waiting list will be formed only when program trip capacity has been reached. Participants on the waiting list will be reviewed monthly by the TC to determine status and potential timeline for being removed from the list.
4. Participants will be transferred from the Waiting List to the Active Client List in the following order:
  - First: Those individuals who require priority trips due to medical conditions;
  - Second: Those individuals with multiple illnesses; and,
  - Third: Remaining individuals.
5. On a quarterly basis, the TC will monitor trip histories of enrolled individuals and contact those individuals who have not used the program in the previous six month period. TC will determine continuation or termination of the individual to control program capacity and reduce use of a waiting list.

#### **E. OoA INFORMATION & ASSISTANCE (I&A) DEPARTMENT RESOURCES**

1. Developing a partnering relationship with Information and Assistance (I&A) is critical as it is the central clearinghouse for information on all services and programs for older adults in Orange County. Contractor must develop an understanding of I&A's referring mechanism, both to SNEMT and other services.
2. Instruct staff to refer clients to the (800) 510-2020 number if it appears that they may need information on other services, including, but not limited to, caregiving assistance; congregate and home delivered meals; case management; non-SNEMT transportation; in-home services; health services; housing; legal assistance; health insurance; financial assistance; ethnic services; products and services for the disabled population; social activities and exercise venues.
3. To encourage and maintain an open dialogue, contact the I&A Manager for any issues having to do with I&A.

#### **F. CLIENT TERMINATION OR SUSPENSION POLICY**

1. Program must notify Office on Aging, in writing and in advance, when terminating or suspending a client from the SNEMT programs.

2. Clients will be notified in writing of the reason for the termination or suspension and when it is effective. A copy of the notice shall be maintained in the client file.
3. Client termination or suspension from the program is at the discretion of the SNEMT program provider, and may be necessary should any of the following situations occur:
  - a. Abuse of the No-Show policy (3 no-shows within a 30 day period)
  - b. Utilizing SNEMT for purposes other than medically related
4. Providers shall retain client files for all clients who have been removed from the program, so that in the event that they should re-apply at a later date, their previous eligibility can be verified before beginning the process of re-applying for SNEMT services. These files are subject to the same storage requirements pertaining to the Provider's records specified in the Contract.

#### **G. CLIENT RELEASES**

1. The SNEMT Provider may require a Client Release Form prior to providing transportation services. If Provider decides to require Client Release form, the form shall contain all the data indicated in the sample SNEMT Client Release Form that is included in Section XI.B.

### **III. TRIP SCHEDULING INSTRUCTIONS**

#### **A. DEMAND RESPONSIVE RESERVATIONS**

1. The following client information is required to schedule rides:
  - a. Name & SNEMT I.D. number
  - b. Phone Number
  - c. City of residence
  - d. Date and time of appointment and return ride
  - e. Name, address and phone of where client needs to go
2. Handle telephone requests and inquiries so as to maximize customer service, giving timely, accurate and courteous service.
3. Carry out trip reservation activities in a manner which will maximize SNEMT productivity.
4. Remind client of pick-up window time and determine if client requires door-to-door service.

#### **B. SCHEDULING**

1. Receive, approve and process requests for service. Review and refine daily trip itineraries. Assess distances and routing to ensure efficient travel patterns. Initiate client call backs regarding any trip discrepancies and or schedule changes.
2. Define, monitor and analyze fleet performance and adjust resource allocations or service schedules to meet changing time and travel patterns.
3. Track cancellations and no-shows, summarizing activity each month.

#### **C. DISPATCHING**

1. Dispatchers will schedule and assign drivers and vehicles in accordance with the trips scheduled for each day;

2. Dispatchers will assist drivers while they are in service to carry out the assigned trips on time by providing address assistance and telephoning passengers as needed.
3. Dispatchers will monitor the performance of scheduled trips, reassigning trips and/or adjusting the number of vehicles in service as needed to ensure on-time performance in the most efficient manner.
4. Dispatchers will provide continuous monitoring of assigned radio frequencies during all hours that vehicles are in service, answer and respond to telephone calls on the Ride Status line, and respond to calls from drivers and OoA staff.

**D. SNEMT NO SHOW POLICY**

1. SNEMT values the ride of every customer, and in order to meet the growing demand for transportation among older adults and to provide quality service, a No-Show policy will be enforced. No Shows and excessive cancellations must be monitored and managed to ensure that the service is provided in the most efficient and effective manner possible.
2. Clients who have a pattern of missed trips adversely impact other users. If these scheduled rides are canceled in a timely manner, the route can be rescheduled to pick up other clients. To protect the interests of the older adult riders, OoA has developed a no show policy to identify clients who abuse the system by establishing a practice of not using the rides they have scheduled.
3. A No Show is defined as:
  - a. When a client fails to appear for a scheduled trip within 10 minutes after the scheduled pick-up time (Driver must immediately notify dispatch of the no-show); or,
  - b. When a client cancellation is received less than 2 hours prior to the scheduled pick up time.
4. Notification and Management of Client No Shows:
  - a. Dispatcher attempts notification of client via telephone and informs driver of status.
  - b. Client is charged one No-Show and will receive a telephone call from the TC after the first No-Show.
  - c. Client will receive a written letter explaining termination policy after second No-Show.
  - d. Three No-Shows in a 30 day period may result in a suspension or termination of services.Each client's No-Shows will be tracked monthly and recorded in client file.

**E. CANCELLATION NOTICE**

1. Clients must cancel at least two hours prior to the pick-up time of their scheduled ride in order to avoid being charged a No-Show. Cancellations received during non-business hours and weekends must be processed promptly the next business day to avoid dispatching to canceled pick-ups.
2. Under no circumstances will an SNEMT provider cancel a scheduled trip unless a State of Emergency has been called by the authorities. Trips may be denied if any passenger becomes combative, disruptive, or abusive, or if any passenger is under the influence of alcohol or drugs.

**F. NO PASSENGER STRANDED POLICY**

1. Under no circumstances will an SNEMT client be stranded at a drop off point. At the time of the ride reservation the scheduler/dispatcher will confirm the need for a round trip and schedule

accordingly. In the event a driver does not respond to the scheduled trip and a call is received from the passenger, immediate use of back-up systems will ensure the trip is provided.

#### **G. INELIGIBLE TRIPS**

1. The primary purpose of SNEMT is to provide medically related trips to older adults who have no other means of transportation available.
2. Medically related trips include, but are not limited to: appointments to doctors, medical practitioners, dentists, vision specialists, outpatient services, lab testing, radiation, chemotherapy, dialysis, rehabilitation services, mental health counseling, and the securing of prescription drugs and devices.
3. **All Trips** that are **not** medically related are ineligible.

#### **IV. EMERGENCY PROCEDURES**

##### **A. ACCIDENT/INCIDENT REPORTING AND FOLLOW UP**

1. SNEMT provider shall notify OoA by telephone immediately, as is feasible, and provide written notification within 24 hours of any of the following accident/incidents:
  - a. Collisions between an SNEMT vehicle and another vehicle, person or object;
  - b. Passenger accidents, including falls to vehicle passengers who are entering, occupying or exiting the vehicle;
  - c. Passenger complaints of injury or other circumstances likely to result in the filing of claims against the Contractor or County;
  - d. Any passenger, driver or service complaint that arises from an accident or incident;
  - e. Accidents the driver witnesses;
  - f. Inappropriate behavior on-board the vehicle;
  - g. Disturbances, assaults fainting, sickness, or deaths; and
  - h. Vandalism to the vehicle while in service.
2. The SNEMT provider will ensure proper follow up on any accidents or incidents, where appropriate, to ensure that any unresolved safety hazards or liability issues are addressed. Copies of reports prepared for any of the above must go to the OoA Program Administrator. If loss of service occurs or a major incident occurs that will likely receive media coverage, Contractor shall notify OoA immediately.

A sample of the Incident Report Form is included in Section XI.F.

##### **B. PROCEDURES FOR EMERGENCIES**

All possible measures will be taken to protect clients and staff in the event of vehicle mechanical failure, fire, earthquake, client emergency and/or other circumstances that may occur while the vehicle is providing transportation services in the community.

1. Flat-tire(s) or Engine breakdown:
  - a. Driver must bring vehicle to a safe stop and location.

- b. Driver must call Dispatch to send another vehicle to pick up client(s) in order to drive them to their destination(s).
  - c. Driver should stay with client(s) and the vehicle until help arrives.
  - d. If unable to fix/repair, call towing service.
2. Fire:
- a. Driver to park vehicle in safe location and turn off engine.
  - b. Driver to remove client(s) to closest safe area.
  - c. Driver to call 911.
  - d. Driver to call the Dispatcher.
  - e. Driver to attempt to contain fire (If safe to do so) using fire extinguisher located in the vehicle.
  - f. TC to notify OoA of incident and file written report.
3. Earthquake:
- a. Driver to park vehicle in safe location and turn off engine.
  - b. Driver to assess situation and contact Dispatcher.
  - c. Dispatcher to provide driver with instructions.
  - d. Keep client(s) in vehicle unless vehicle is in jeopardy.
  - e. Remain calm and reassure client.
  - f. If necessary, move client out of the vehicle and to the closest safe area.
  - g. Do not touch fallen or damaged electrical wires.
  - h. Dispatcher to contact/inform the manager of SNEMT program.
  - i. Dispatcher to file formal report to the OoA within 24 hours of incident.
4. Client Emergency Situations:
- a. Driver to observe client's medical status/needs.
  - b. Driver to stop vehicle and park vehicle in safe location and turn off engine.
  - c. Driver to call 911 for emergency assistance with falls, breathing and heart problems or choking.
  - d. Driver to call Dispatcher to inform and/or request assistance and guidance.
  - e. Emergency treatment (including CPR) may be initiated by certified and trained drivers only, until arrival of paramedics or other qualified healthcare provider.
  - f. Paramedics or other emergency personnel will be responsible for transfer of patient to appropriate facility.
  - g. Driver to complete incident form and give to Dispatcher within 24 hours.
  - h. Dispatcher to report incident to manager.
  - i. Manager will notify OoA Program Administrator.

## **V. CLIENT COMPLAINT PROCEDURES**

Actions to ensure that client complaints are addressed and resolved in a timely matter and to ensure client's needs are met.



1. Client calls SNEMT provider with complaint or provider receives complaint from third party and contacts client.
2. TC will document client's issues on the complaint form (sample in Section XI.E) and notify appropriate parties.
3. TC will follow up with client's concerns and establish a plan of action within 2 business days.
4. TC will document resolution of issue on the complaint form.
5. TC will inform client of corrective steps taken within 3 business days and ensure client is satisfied.
6. TC and manager will review and sign complaint form.
7. Completed complaint form is placed in locked client file.
8. TC will report unresolved client complaints to manager for guidance and resolution.
9. TC will notify OoA Program Administrator of client's complaint and plan of action within five working days of receipt of complaint.

## **VI. DATABASE PROCEDURES**

SNEMT Program will maintain accurate and complete client and service information through the use of the Driver's Trip Sheets, client folder(s), and client database.

### **A. DRIVER'S TRIP SHEETS**

1. Each SNEMT driver will maintain a Driver's Trip Sheet that includes information for each SNEMT trip provided. The SNEMT driver will enter the pick-up time, odometer mileage reading at place of pick-up, drop-off time, and odometer mileage reading at place of drop-off on the trip sheet. The SNEMT driver shall obtain the client's signature confirming receipt of the transportation services. The Driver shall also note whether a Client User Fee was collected.
2. Mileage readings on the Driver's Trip Sheet will indicate the vehicle (or trip) odometer Mileage readings at both the place of client pick-up and the place of client drop-off for each SNEMT Trip. If the vehicle odometer mileage does not register tenths of a mile, the trip odometer mileage may be used.
3. As an alternate to recording odometer mileage readings, Contractor may utilize the mileage for individual trips as determined by the online trip mapping program, MapQuest®, Google Maps®, with the Advanced Options "Shortest Distance" \ enabled.
4. The Driver's Trip Sheet shall include the following information:
  - a. Driver's Name
  - b. Vehicle I.D. #
  - c. Date
  - d. Client's Name
  - e. Client's SNEMT I.D.#
  - f. Type of appointment
  - g. Pick-up address
  - h. Pick-up time
  - i. Odometer mileage reading at place of pick-up
  - j. Destination address

- k. Drop-off time
  - l. Odometer mileage reading at place of drop-off
  - m. Client's signature
  - n. User Fee Collected/Not Collected
5. This information, except for client's signature, will be entered into the client database.

**B. CLIENT FOLDERS**

1. Transportation Coordinator (TC) shall maintain file folders for each SNEMT client in a manner to ensure client confidentiality. Each Client Folder shall contain:
- a. The client's signed application form with approval date and TC's initials
  - b. User Fee Waiver Form (if used)
  - c. Copy of client's confirmation letter
  - d. Copy of any client complaints and resolution of complaint
  - e. Copies of all correspondence to and from client
  - f. Notes pertaining to client, such as, but not limited to: client's transportation requirements; client's transportation preferences; names and addresses and phone numbers of client's doctors, dentist, optometrist, pharmacy, and labs; other OoA administered programs in which the client is enrolled; and, any additional information that could assist the TC and drivers when serving the client.

**C. CLIENT DATABASE**

- 1. The TC shall ensure that all clients' data is stored in a secure computer database for easy access. Client trip histories may be kept in a separate, secure computer database.
- 2. Back-up of database(s) shall be performed weekly at a minimum. Database back-up may be performed more often, as needed.
- 3. Database shall be designed so that all the data required for Contractor's SNEMT Reports will be recorded.
- 4. Only authorized staff will have access to database to ensure confidentiality of client records.

**VII. REPORTING PROCEDURES**

**A. DAILY OPERATIONS REPORTING**

- 1. Information from vehicle operations shall be recorded daily on the driver's trip sheets. Cash fares will be totaled and reconciled on the driver's trip sheet.
- 2. The information recorded on the trip sheets shall be reviewed by Contractor staff for errors and completeness and entered in the Contractor's SNEMT database.

**B. MONTHLY REPORTING**

On a monthly basis, Contractor shall prepare an invoice, trip sheet and Monthly Performance Report which shall be submitted to OoA on or before the 15<sup>th</sup> working day of the following month. Monthly Performance Report data will be submitted on the form provided by the Office on Aging, and submitted in electronic form.

A sample of the Monthly Performance Report Form is included in Section XI.J.

Data elements will be included on the monthly invoice and the trip sheets, including:

1. The number of trips of each type provided and mileage for each trip type will be totaled from the SNEMT database. The total number of trips for each of the four trip types and the total mileage for each of the four trip types will be entered into a Microsoft Excel spreadsheet invoice form supplied by the OoA.
2. Cash fares collected shall be totaled, retained by the Contractor, and entered on the Contractor's monthly invoice.
3. The monthly trip history data shall be uploaded to a secured server to OoA in Microsoft Excel format within fifteen working days of month of service. Original trip sheets/trip tickets shall be retained by the Contractor.
4. The monthly back-up documentation for the invoice, Contractor will provide 100% back-up of trip verified billed mileage by submitting a PDF file for each one-way trip from MapQuest®, Google Maps®, or similar software that contains the following: Participant ID Number; address of the "to" and "from" destination as displayed on the trip sheet; number of miles recorded by the software that matches the billed mileage. Back-up documentation will be scanned in order as the trips are displayed on the trip sheets and uploaded into a secured folder as provided by the Office on Aging.
5. Additional performance indicators may be requested by OoA. The Monthly Performance Report and Demographic Report Form will be accompanied by an electronic copy of the recorded Trip Sheet data for the month just completed. All data collected by the Contractor shall be available upon request for audit and inspection by OoA.

A sample of the Monthly Performance Report Form is included in Section XI.J.

A sample of the Demographic Report Form is included in Section XI.K.

## **VIII. DRIVER AND STAFFING POLICIES**

### **A. BACK-UP SYSTEMS**

1. Contractor shall maintain substitute or back-up staff and drivers to support daily SNEMT services and scheduled trips. Back-up systems will be in place to handle road assistance calls from drivers, to relieve drivers if they become sick, to relieve drivers for family emergencies, and relieve drivers who are deemed inappropriate or unsafe by either the SNEMT provider or OoA. Back-up systems will be in place to support the dispatcher and the TC in their absence.

### **B. DRIVER DRESS AND APPEARANCE STANDARD**

1. Appropriate attire that conveys a professional image will be worn by all drivers when operating a vehicle in SNEMT service. Clothing must remain in good repair, and not appear damaged or worn out.
2. Drivers will be required to adhere to grooming and appearance standards, such as but not limited to the following:
  - a. Clothing must be neat, clean and pressed, and in good condition and proper fitting. All shirts/blouses must be tucked in and only the top button may be left unbuttoned;
  - b. Beards must be clean and neatly trimmed;
  - c. Shoes or boots must cover the foot completely and be in good repair, polished and cleaned.

### **C. DRIVER TOOLS**

1. The SNEMT drivers shall have all tools and equipment necessary to perform all the duties of an SNEMT driver. Driver equipment will include, but not be limited to, a current Thomas Guide or equivalent map book of the operating area, manifests (trip sheets), clipboards, pens, and

pencils. Drivers are also required to be equipped with an operable and accurate time piece at all times.

#### **D. PERSONNEL POLICIES**

1. The Contractor shall have in effect personnel policies that conform to all State and federal laws including, but not limited to, all regulations concerning Equal Employment Opportunities, Cal OSHA, Worker's Compensation, and other regulations as appropriate.
2. The Contractor shall maintain at all times a current list of personnel assigned to the SNEMT Contract and provide the OoA Program Administrator with an updated roster of all drivers each month.
3. Employees may not have weapons in their possession or in SNEMT vehicles.
4. Contractor shall maintain a smoke free work environment. There is no smoking allowed in SNEMT vehicles or anywhere in SNEMT facilities.
5. SNEMT Contractors shall maintain a Zero Tolerance Policy for inappropriate behavior between passengers or between passenger and driver. Allegations of sexual misconduct, lewd behavior, or sexual harassment made by any client must be reported to the OoA staff immediately. Should the Contractor receive notification from other than OoA that an employee is allegedly involved in a criminal activity including, but not limited to, sexual misconduct, lewd behavior, or sexual harassment, the Contractor shall notify OoA's Program Administrator immediately as well as local police or Orange County Sheriff's Department.
6. The Contractor must have established standards for recruitment and hiring of drivers.
7. OoA retains the right to review Contractor's personnel policies and the list of personnel assigned to the SNEMT Contract. Proposed changes in key personnel or job duties shall be subject to review and approval by OoA.

#### **E. REMOVAL OF DRIVERS**

1. OoA may require that any driver be removed from transporting SNEMT clients for excessive complaints, rudeness, or other inappropriate behavior or appearance. OoA has a Zero Tolerance Policy with regard to misconduct or inappropriate contact between vehicle operators and passengers, and if an allegation of this nature is received, Contractor shall remove the driver from service immediately pending resolution of the allegation to OoA's satisfaction.
2. Any driver receiving three or more valid customer complaints within a rolling 30-day period will be subject to a thirty (30) day probation period. During this period, OoA will evaluate whether a driver is suitable for service.
3. OoA will notify the Contractor, in writing, if any driver is determined unsuitable. Within ten days of receipt of such notice, Contractor shall, at its sole discretion, either propose to replace the driver or present to OoA a plan for correcting the driver's performance deficiencies within a 30-day period thereafter. If either OoA rejects the plan or the driver's performance deficiencies are not corrected to OoA's satisfaction within the 30-day plan period, the Contractor shall immediately replace the driver.

#### **F. DRIVER FEEDBACK**

1. Since drivers are the first line out in the field, driver feedback about schedules, customer needs, vehicle maintenance and working conditions is imperative. The Contractor must have on-going mechanisms, including monthly driver meetings to capitalize on driver feedback.

#### **G. LOST AND FOUND**

1. Policies for handling of lost and found personal effects shall be as follows:

- a. Drivers shall check their vehicles after each trip for items left on board. If lost items are found, the driver is to contact their dispatch and inform them of the lost item. At the end of the shift, the driver will fill out a Lost and Found report and turn in the lost item to the dispatcher.
- b. Dispatcher will receive the item along with the Lost and Found report from the driver and contact the passengers from that day's schedule to determine if item belongs to them.
- c. All lost and found items with a value of greater than \$10.00 must be secured at the SNEMT provider's facility for a period of not less than 90 days.
- d. Disposal of unclaimed items other than cash after the 90 days will be reported to OoA with copies of the lost and found reports.

## **H. DRIVER TRAINING AND SAFETY PROGRAMS**

### 1. Vehicle Operator Training

- a. Contractor shall be responsible for all training of vehicle drivers on service policies, passenger needs and overview of SNEMT services.
- b. Contractor shall be responsible for the provision of qualified training staff to conduct behind-the-wheel driver training and other training as determined by the Contractor.

### 2. Training Standards

- a. Contractor will design, schedule and conduct ongoing training procedures which will train and prepare all drivers assigned to the SNEMT contract in a manner that conforms to all State and local laws and assures OoA's operational objectives below are met.
  - Provide SNEMT services which are safe and reliable
  - Provide SNEMT services which will maximize customer service
  - Provide SNEMT services in a manner which will maximize productivity
- b. The driver training course must occur prior to drivers providing SNEMT trips and consists of each driver receiving, at a minimum, instruction which includes but is not limited to:
  - A review of applicable laws and regulations
  - Defensive and safe driving
  - Behind-the-wheel training in all types of vehicles to be operated under this Contract
  - Safe vehicle operations
  - OoA's policies and procedures for SNEMT services
  - Empathy training - for the proper interaction and transport of older adult passengers
  - Procedures for the provision of curb-to-curb and door-to-door services, including training on passenger assistance
  - Lift/wheelchair tie-down techniques and procedures for the transport of passengers with wheelchairs and other mobility devices
  - Operation of radio equipment (voice and data) in accordance with federal, State and local regulations
  - Hands-on training using the radio and/or other communication devices, and if applicable, mobile data terminals
  - Customer service training

- Fare collection and trip counting
  - Thomas Brothers guide map reading
  - Mandatory refresher training for drivers with repeated and accumulated minor infractions
  - Monitoring and inspection of drivers' Motor Vehicle records at least every six (6) months through participation in the California Department of Motor Vehicles Pull Notice Program
  - Promotion and reinforcement of driving and safety principles by Contractor management and supervisory staffs, policies and programs
3. OoA reserves the right to revise the Contractor's training program(s) in order to comply with federal, State, or local laws regarding driver certification or level of training requirements.

**IX. VEHICLE MAINTENANCE SCHEDULE AND STANDARDS**

**A. PREVENTIVE MAINTENANCE SCHEDULE**

1. Preventive maintenance will be performed on each vehicle at the levels and intervals recommended by the vehicle manufacturer. Reports of preventive maintenance shall be maintained in a vehicle maintenance log.
2. All maintenance and repairs of vehicles shall be in accordance with vehicle manufacturer's recommendations and shall meet state of California Vehicle Code requirements, whether performed by the Contractor or authorized subcontractors. Maintenance of equipment shall be performed so as to ensure maximum availability of vehicles for service. It is not the intent of this requirement to preclude necessary maintenance during normal hours; it is only to ensure that the necessary number of vehicles will be available for service during the service day.
3. At the Contractor's expense, the Office on Aging will randomly select vehicles from the Contractor's and subcontractor's fleet to receive an annual vehicle inspection (Attachment F) at a maintenance facility that is Automotive Service Excellence (ASE) recognized (displaying the following blue seal).



**B. SNEMT VEHICLE STANDARDS**

1. The minimum SNEMT Vehicle standards are those of the California Vehicle Code. All SNEMT Vehicles shall meet all applicable standards of the California Vehicle Code. Certain equipment must be present and fully functional as OEM (original equipment manufacture), as specified in this section. SNEMT Vehicles must be maintained to these standards at all times.
2. Body Condition
  - a. No body damage, frame damage, tears or rust holes in the SNEMT vehicle body and/or loose pieces hanging from the SNEMT vehicle body are permitted. Front and rear fenders, bumpers, hood, trunk, and trim shall be securely fixed and shall be in correct alignment to the SNEMT vehicle as OEM. Body damage shall include any un-repaired dents, distortions, depressions, bulges, tears, holes, or disfigurements.
  - b. The exterior of the SNEMT vehicle shall be maintained in a clean condition and shall be free of unsightly dirt, tar, oil, and rust.

- c. The SNEMT vehicle paint shall not be mismatched, faded, blistered, cracked, chipped, peeled, or scratched.
3. Climate Control
  - a. The air conditioning/heating units shall be functional at all times.
  - b. The air discharged from the air conditioner interior vent system shall be continuously cool.
  - c. All air conditioning temperature controls and functions shall operate as originally designed and manufactured with no knobs or components broken or missing.
  - d. Systems shall operate on all OEM speeds with no excessive noise.
4. Hubcaps or Wheel covers
  - a. Hubcaps or wheel covers shall be of like style and shall be on all wheels for which hubcaps are standard equipment.
5. Interior Condition
  - a. Passenger compartment, driver compartment, and trunk or luggage area shall be clean and free of foreign matter, offensive odors, and litter.
  - b. Seat upholstery shall be clean. Interior walls, carpet and/or flooring, and ceiling shall be kept reasonably clean. No rips or tears are permitted. All repairs shall be done to provide a reasonable match with the existing interior.
  - c. Door handles and doors shall be intact, clean, and operational. Each door shall be capable of being unlocked and opened from the interior of the SNEMT Vehicle.
  - d. Dashboards shall be maintained in a manner that is clean and free of loose articles. Dashboards shall be free of cracks, holes, and tears.
6. Lights and Lenses
  - a. Interior lights shall be operational.
  - b. Light lenses must be OEM, intact and contain no holes or large cracks.
7. Radio

SNEMT vehicles shall be equipped with a two-way radio or cellular phone in working order.
8. Seat Belts

SNEMT vehicle restraint system shall be maintained to OEM specifications and shall be in good working order.
9. Tires

SNEMT vehicles shall be equipped with a jack, tire changing tool, and an inflated spare tire. A Company may be exempted from this requirement upon proof that the Permittee has a contract with a towing company and a policy in place to send another SNEMT Vehicle for the stranded passengers.
10. Windows
  - a. Front and rear windshield per California Vehicle Code § 26710.
  - b. Safety glass shall be in all windows.
  - c. Windows shall be operational as originally designed.

- d. No window tinting on windshield or front side windows per California Vehicle Code § 26708. Any tinting applied to the rear side or rear windows must be light enough to allow any passengers to be viewed from the outside.

11. Foot Pedal Pads

OEM rubber pads on all foot controls. Pads shall not be worn or deteriorated to the point that metal is showing.

12. Vehicle Age

An SNEMT vehicle may not be older than ten (10) model years measured from the current calendar year (example: during calendar year 2000 vehicle must be model year 1990 or later). Vehicles older than ten (10) model years shall not be eligible to operate as an SNEMT vehicle under any condition.

**C. RED TAGGED VEHICLES**

- 1. During routine program monitoring or if client complaints warrant inspection of specific vehicles, it may be necessary to "Red Tag" vehicles that do not meet health and safety requirements. If, in the opinion of OoA, the vehicle does not meet SNEMT vehicle standards as outlined above, it may be "red tagged."
- 2. A vehicle that has been "red tagged" shall not be used for SNEMT service until such time as the "Red Tag" problems have been corrected by the Contractor.

**X. PRE-SHIFT AND POST-SHIFT VEHICLE INSPECTIONS**

**A. VEHICLE DAILY VEHICLE INSPECTION:**

- 1. No SNEMT assigned vehicle will be allowed to carry passengers unless the driver has determined that the vehicle is in good working order. Each driver will perform a pre-shift inspection of the vehicle at the beginning of the shift and a post-shift inspection at the end of the shift.

A sample of the Vehicle Daily Vehicle Inspection Form is included in Section XI.G

**XI. SAMPLE FORMS**

- A. SNEMT APPLICATION FORM
- B. SNEMT CLIENT RELEASE FORM/SNEMT PROGRAM WAIVER FORM
- C. USER FEE WAIVER FORM
- D. RIDER INSTRUCTIONS AND CLIENT GUIDELINES
- E. CLIENT COMPLAINT FORM
- F. INCIDENT REPORT FORM
- G. VEHICLE DAILY INSPECTION FORM
- H. VEHICLE INSPECTION FORM
- I. INVOICE TEMPLATE
- J. MONTHLY PERFORMANCE REPORT
- K. SAMPLE DEMOGRAPHIC REPORT



**A. SAMPLE CLIENT APPLICATION**

{CONTRACTOR LETTERHEAD}

SAMPLE  
Application for Senior Non-Emergency Medical Transportation Program

PLEASE PRINT CLEARLY. ALL FIELDS MUST BE FILLED OUT COMPLETELY. YOU MUST SIGN AND DATE APPLICATION PRIOR TO SUBMITTING FORMS BACK TO {CONTRACTOR NAME} FOR PROCESSING.

INCOMPLETE APPLICATIONS WILL BE RETURNED TO SENDER.

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ Date: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Age: \_\_\_\_\_ Male: \_\_\_\_\_ Female: \_\_\_\_\_

Address: \_\_\_\_\_ Apartment/Unit #: \_\_\_\_\_

City: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Home Phone: (\_\_\_\_) \_\_\_\_\_ Cell: (\_\_\_\_) \_\_\_\_\_

1. Have you ever utilized OCTA ACCESS or any other specialized transportation  
Yes No

2. Do you have any physical or functional limitations? Yes No  
If yes, please describe:

3. Do you require a mobility device or special equipment for transport?  
Yes No

Please check all that apply:

Cane \_\_\_\_ Walker \_\_\_\_ Wheelchair \_\_\_\_ Scooter \_\_\_\_ Oxygen \_\_\_\_ Other \_\_\_\_

If yes, are you able to enter/exit the vehicle without your mobility device?

Yes No

Are you able to transfer from a wheelchair to seat with/without assistance?

Yes No

4. Will a personal care attendant or assistant be traveling with you?  
Yes No

5. Do you require door-to-door assistance?  
Yes No

If yes, please describe reasons why:

6. Please list your primary doctor(s) name & address:

7. How often do you anticipate needing to use the transportation service?  
Weekly \_\_\_\_\_ Monthly \_\_\_\_\_ Other \_\_\_\_\_

8. Emergency Contact Name: \_\_\_\_\_  
 Emergency Contact Relationship: \_\_\_\_\_  
 Phone #: \_\_\_\_\_

9. How do you get to your medical appointments now?

10. Do you own a vehicle and are you able to drive?  Yes  No

**My signature verifies all information in this application to be true.**

\_\_\_\_\_  
**Applicant signature**

\_\_\_\_\_  
**Date**

\*\*\*\*\*

**The following information is gathered for statistical data only and does not affect your eligibility:**

How did you hear about the program?

Ethnic background:  Asian  Black  Hispanic  White  
 Native American  Other

Annual Income per individual: \_\_\_\_\_

**PROGRAM USE ONLY**

<ul style="list-style-type: none"> <li>• _____</li> <li>• _____</li> </ul> <p>Referrals to alternative transportation provided:</p> <p>_____</p> <ul style="list-style-type: none"> <li>• Reason referred to OoA I&amp;A:</li> </ul> <p>_____</p> <ul style="list-style-type: none"> <li>• Need for follow-up contact:</li> </ul> <p>_____</p> <ul style="list-style-type: none"> <li>• Annual Income: <input type="checkbox"/> At or below AMI <input type="checkbox"/> Above AMI</li> </ul> <p>_____</p> <ul style="list-style-type: none"> <li>• Financial Hardship waiver issued:</li> </ul> <p>_____</p>
---

**B. SAMPLE CLIENT WAIVER**

**SNEMT PROGRAM WAIVER**

I hereby acknowledge that the transportation is a service provided by \_\_\_\_\_ and funded by the County of Orange, Office on Aging. I hereby waive the right to make any claims against \_\_\_\_\_ and the County of Orange, Office on Aging or their officials, employees and volunteers, for any injuries, damages, charges or expenses, including attorney's fees which might be sustained as a result of my participation in the SNEMT Program. I also acknowledge that \_\_\_\_\_ reserves the right to refuse transportation service.

**Please print:**

**Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **Zip Code:** \_\_\_\_\_

**Phone:** (\_\_\_\_) \_\_\_\_\_

**Client signature:** \_\_\_\_\_

**Caregiver signature (if applicable):** \_\_\_\_\_

**Emergency Contact:** \_\_\_\_\_

**Relationship:** \_\_\_\_\_ **Phone:** (\_\_\_\_) \_\_\_\_\_

Please return this form to the Transportation Coordinator, \_\_\_\_\_ in the enclosed envelope. Services can be scheduled after all forms have been submitted and approved. Confirmation of approval will be mailed within five business days after receipt of completed forms.

\*\*To be filed with documented approval in applicant's file

**C. SAMPLE USER FEE WAIVER**

{PROVIDER NAME}

{LOGO}

SENIOR NON-EMERGENCY MEDICAL TRANSPORTATION PROGRAM  
LOW-INCOME FEE WAIVER

DATE: \_\_\_\_\_

I, \_\_\_\_\_, hereby certify that my income is insufficient to allow payment for the \$2.00 per trip fee for the {Provider's Name} Senior Non-Emergency Medical Transportation Program without placing a financial hardship on my current financial situation. I understand that the approval for a low-income waiver to be granted is based upon review of my current income and other determining factors as deemed appropriate by {Provider's Name}.

Printed Participant Name: \_\_\_\_\_

Participant Signature: \_\_\_\_\_

*Authorization (Office Use Only)*

Approved

Disapproved

Justification: \_\_\_\_\_

\_\_\_\_\_

Printed Name and Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## D. SAMPLE OF RIDER INSTRUCTIONS AND CLIENT GUIDELINES

### SNEMT TRANSPORTATION PROGRAM RIDER INSTRUCTIONS & CLIENT GUIDELINES

- Once you have received your letter of approval for transportation services and your SNEMT identification number, please call (\_\_\_\_) \_\_\_\_\_ to schedule your medical appointment ride.
- Please write down the transportation service line phone number and carry that number with you at all times. Call the number if you miss your scheduled pick-up time.
- Please call 2-3 days prior to your appointment to allow enough time to schedule the ride. Same day or next services are available on a very limited basis. Please call for additional information.
- Please notify the dispatcher of any changes or cancellations as soon as they occur.
- Please have exact change available for the user fee of \$2.00 per each one-way trip.
- Please make arrangements for your return trip home when you schedule transportation services. Please allow enough time for weather conditions, disability concerns, traffic patterns and delayed appointments.
- At the time of scheduling a ride, please notify the dispatcher of any special circumstances, disabilities, or caregivers accompanying you on your ride.
- Pick-ups and drop offs will be door-to-door and/or curb-to-curb as requested and preference must be made known at the time of scheduling your ride.
- Personal care attendants may ride free of charge.
- If you have address or phone number changes, please call the Transportation Coordinator at (\_\_\_\_) \_\_\_\_\_ to report your changes.
- If you have a problem with your transportation services please call the Transportation Coordinator to report the problem.

- For questions or concerns regarding eligibility or exceptions for service, please call the Transportation Coordinator.
- SNEMT Transportation will not be able to respond to emergency calls. Please call 911 in the event of an emergency.
- Please be ready to board promptly at your scheduled time and please follow driver instructions when boarding or exiting the vehicle.
- Smoking is not permitted in the vehicle.
- The transporting of alcohol is not permitted in the vehicle.
- Appointments will be made on a first-come, first-served basis.
- All transportation services must originate within the Orange County designated service area.
- In order for the SNEMT Program to transport your wheelchair, it must be able to be secured, have brakes in working condition and weigh 600 pounds or less.
- If you need to go to the same place each week on a routine basis, please inform the dispatcher and we can set up a “standing order” for your rides.
- Please keep the dispatch phone number with you when using the transportation service. Call the dispatch phone number if you miss your pick-up or return scheduled time.

**E. SAMPLE CLIENT COMPLAINT FORM**

Client's Name: \_\_\_\_\_ Client I.D.# \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Phone: Home: \_\_\_\_\_ Message \_\_\_\_\_

What is the complaint?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date Report Taken: \_\_\_\_\_ Time Report Taken: \_\_\_\_\_

By Phone \_\_\_\_\_ By Mail \_\_\_\_\_ In Person \_\_\_\_\_ By Fax \_\_\_\_\_ By Other \_\_\_\_\_

Report Taken By: \_\_\_\_\_

What is the Action Plan?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What was the Resolution?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date Client was notified: \_\_\_\_\_ Was Client Satisfied? \_\_\_ Yes \_\_\_ No

How was client notified? Phone \_\_\_ Mail \_\_\_ In Person \_\_\_ Fax \_\_\_ Other \_\_\_

Staff's Signature: \_\_\_\_\_ Date \_\_\_\_\_

Staff's Signature: \_\_\_\_\_ Date \_\_\_\_\_

Sent to OoA: \_\_\_\_\_ Date: \_\_\_\_\_

**F. SAMPLE INCIDENT REPORT FORM**

Date of Incident: \_\_\_\_\_ Time of Incident: \_\_\_\_\_

Name of Driver: \_\_\_\_\_ Vehicle I.D. No: \_\_\_\_\_

Location of Incident: \_\_\_\_\_

\_\_\_\_\_

Nature of Incident: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Client Name: \_\_\_\_\_ Client I.D.# \_\_\_\_\_

Client Address: \_\_\_\_\_

City: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Phone: Home \_\_\_\_\_ Message \_\_\_\_\_

What action was taken?: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Does client wish further action?: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Report By: \_\_\_\_\_ Title: \_\_\_\_\_

Date of Report: \_\_\_\_\_

**Submit report to OoA within 24 hours of incident.**



**G. SAMPLE VEHICLE DAILY INSPECTION FORM**

Vehicle #: \_\_\_\_\_

Date: \_\_\_\_\_

Driver's Name: \_\_\_\_\_

Mileage: \_\_\_\_\_ Time of Inspection \_\_\_\_\_ am/pm

Driver: Please take your time and inspect this vehicle thoroughly. Safety is OUR priority. Thank you.

Items to Check	Problem?	Repaired?	Item OK (Please initial)
Tire(s) Pressure			
Engine Oil Level			
Transmission Oil Level			
Coolant Level			
Brake Fluid Level			
Emergency Brake			
Head Light			
Turn Signals			
Brake Lights			
Back-up Lights			
Door Locks			
Mirrors			
Safety Belts			
Heater/A.C.			
Cell Phone/radio			
First Aid Kit			
Thomas Bros. Map			
Transportation Log			

**H. VEHICLE INSPECTION FORM**



*Advocacy. Action. Answers on Aging.*

Date: \_\_\_\_\_ Maintenance Facility: \_\_\_\_\_  
 Vehicle Type/Year \_\_\_\_\_ License Plate Number \_\_\_\_\_  
 Vehicle Identification Number \_\_\_\_\_ Mileage \_\_\_\_\_  
 Vehicle Capacity: #Passengers: \_\_\_\_ #Wheelchair(s)\_\_\_\_

Inspection Item	Satisfactory		
	Yes	No	N/A
1. Tires, pressure, tread wear	<input type="checkbox"/>	<input type="checkbox"/>	
2. Headlights – functional (high/low) and clean	<input type="checkbox"/>	<input type="checkbox"/>	
3. Turn Signals – functional	<input type="checkbox"/>	<input type="checkbox"/>	
4. Horn – functional	<input type="checkbox"/>	<input type="checkbox"/>	
5. Tail/Parking lights – functional and clean		<input type="checkbox"/>	<input type="checkbox"/>
6. Brakes – functional, brake pedal not low		<input type="checkbox"/>	<input type="checkbox"/>
7. Lift or ramp functional	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Windshield/Wipers/Fluid – functional, clear, full		<input type="checkbox"/>	<input type="checkbox"/>
9. Mirrors – clean, position, clear	<input type="checkbox"/>	<input type="checkbox"/>	
10. Exhaust System – no leaking	<input type="checkbox"/>	<input type="checkbox"/>	
11. Oil/Antifreeze – full	<input type="checkbox"/>	<input type="checkbox"/>	
12. Hoses – good condition		<input type="checkbox"/>	<input type="checkbox"/>
13. Safety Equipment – good condition			
-Fire Extinguisher	<input type="checkbox"/>	<input type="checkbox"/>	
-Flashlight	<input type="checkbox"/>	<input type="checkbox"/>	
-First Aid Kit	<input type="checkbox"/>	<input type="checkbox"/>	

- |  |                          |                          |                          |
|--|--------------------------|--------------------------|--------------------------|
| -Jumper Cables                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| -Flares/Triangles                            | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| -Cellular Phone                              | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| -Maps  | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| -Securements/tie downs (bungees for walkers) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. Accident Pack – in place, current        |                          |                          |                          |
| -Registration Card                           | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| -Insurance Card                              | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| -Accident & Incident Report Forms            |                          | <input type="checkbox"/> | <input type="checkbox"/> |
| -Emergency Procedure Plan                    |                          | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. Trip Sheets – in place, current          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. OCTAP sticker current                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Recommended Corrective Actions:

Corrective Action Follow-up:

**I. SAMPLE INVOICE TEMPLATE**  
**Senior Non-Emergency Medical Transportation Program**

To: County of Orange, OC Community Resources  
 1770 N. Broadway, 4th Floor  
 Santa Ana, CA 92706  
 Attn: Accounts Payable

Check Request For:

Service Area:  
 Contract #

<b>INVOICE:</b>		Month	Year	<b>BUDGET:</b>			<b>Amounts Invoiced</b>	
		Invoice Number		<b>REM. BAL:</b>			Previous Contract To Date	Contract To Date
Mileage Type	Number of Trips	Total Miles	Rate Per Mile	Month Subtotal				
A. Non-Ambulatory Transportation Services Curb-to-Curb								
B. Non-Ambulatory Transportation Services Door-to-Door								
C. Transportation Services Curb-to-Curb								
D. Transportation Services Door-to-Door								
	0	0.00	N/A					
Less Project Income Balance:								
<b>TOTAL REIMBURSEMENT:</b>								

**Allowable 1/12th billing per month = \$ -**

<b>Program Income:</b>	Month Subtotal	Previous To Date	Contract To Date
Client Collections			
Fundraising			
Donations			
<b>Total Cash</b>			
In-Kind Contributions			
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

Unreimbursed mileage subsidized with contributed funding:					
	Rate	Mileage	Month Subtotal	Previous To Date	Contract To Date
<b>Trip A</b>					
<b>Trip B</b>					
<b>Trip C</b>					
<b>Trip D</b>					
<b>Total</b>	<b>0.0</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
Contributed funding for unreimbursed mileage remaining balance =					<b>\$0.00</b>

Authorized Signature \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

	FOR COUNTY USE ONLY:			ACCOUNTING CODE				JOB NUMBER	AMOUNT
	FUND	DEPT	BUDGET CONTROL	UNIT	OBJ REV BSA	SUB-OBJ SUB-REV SUB-BSA	DEPT OBJ DEPT REV DEPT BSA		
Reimbursable									
Advance/Reversal									
<b>TOTAL PAYMENT</b>									

Overexpenditure is \_\_\_\_\_ for the month

OVEREXPENDITURE AND EXPENDITURES  
 AUTHORIZED AND APPROVED BY:

APPROVED Auditor-Controller

Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_ Deputy \_\_\_\_\_

**J. SAMPLE MONTHLY PERFORMANCE REPORT**

**SENIOR NON-EMERGENCY MEDICAL TRANSPORTATION PROGRAM  
MONTHLY PERFORMANCE REPORT**

Provider:

Month:

SAMPLE

Line No.		July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Performance FY To Date
<b>ENTIRE SNETM PROGRAM</b>														
1	New Unduplicated Clients													
2	Total Enrolled Clients													
3	Total Clients terminated													
4	Total Clients Served													
5	Number of Prospective Clients on Wait list													
6	Applicants Denied Eligibility													
7	Applications Pending													
<b>MEASURE M2 TRIPS</b>														
1	Non Amb. Curb to Curb Number of Multi-passenger Trips													
2	Non Amb Door to Door Number of Multi-passenger Trips													
3	Amb Curb to Curb Number of Multi-passenger Trips													
4	Amb Door to Door Number of Multi-passenger Trips													
5	Total Trips Request Denied*													
6	Total Passengers Transported (clients + caregivers)													
7	Total Client Cancelled Trips													
<b>TOBACCO SETTLEMENT REVENUE TRIPS</b>														
1	Non Amb. Curb to Curb Number of Multi-passenger Trips													
2	Non Amb Door to Door Number of Multi-passenger Trips													
3	Amb Curb to Curb Number of Multi-passenger Trips													
4	Amb Door to Door Number of Multi-passenger Trips													
5	Total Trips Request Denied*													
6	Total Passengers Transported (clients + caregivers)													
7	Total Client Cancelled Trips													

- No. 1 New unduplicated clients approved for program
- No. 4 Number of unduplicated clients served for the month.
- No. 15 Denials based upon funding capacity.

# K. SAMPLE DEMOGRAPHIC REPORT

## SENIOR NON-EMERGENCY MEDICAL TRANSPORTATION PROGRAM DEMOGRAPHIC REPORT (M2/TSR Combined)

Provider:

Month:

Line No.	Statistic	JUL	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	Total Unduplicated Clients YTD
A	<b>Total Unduplicated Clients Served*</b>													
<b>CLIENTS:</b>														
1	Age 60-64			-	-									
2	Age 65-74			-	-									
3	Age 75-84			-	-									
4	Age 85+			-	-									
5	<b>Total Unduplicated Clients Served*</b>			-	-									
<b>ETHNICITY</b>														
6	White			-	-									
7	Hispanic			-	-									
8	Asian/Pacific Islander			-	-									
9	Black/African American			-	-									
10	Other			-	-									
11	<b>Total Unduplicated Clients Served*</b>			-	-									
<b>INCOME</b>														
12	At or below 50% Area Median Income			-	-									
13	Above 50% Area Median Income			-	-									
14	Declined to State*			-	-									
15	<b>Total Unduplicated Clients Served*</b>			-	-									

\*Number of unduplicated clients served during the month = clients that have used the services within this fiscal year (not previously reported during the fiscal year).

\*Must advise client if not reported than no ability to prioritize trips

Lines 5, 11, and 15 must reflect same number on line A

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COMPENSATION/PAYMENT

SNEMT \_\_\_

AREA \_\_\_

**1. COMPENSATION:**

This is a CONTRACT between the COUNTY and the SUBRECIPIENT for \$ \_\_\_\_\_ as set forth in Attachment A. Scope of Services attached hereto and incorporated herein by reference. The SUBRECIPIENT agrees to accept the specified compensation as set forth in this CONTRACT as full remuneration for performing all services and furnishing all staffing and materials required, for any reasonably unforeseen difficulties which may arise or be encountered in the execution of the services until acceptance, for risks connected with the services, and for performance by the SUBRECIPIENT of all its duties and obligations hereunder. The COUNTY shall have no obligation to pay any sum in excess of the total CONTRACT amount specified unless authorized by an amendment in accordance with paragraphs C and R of the COUNTY's General Terms and Conditions.

**2. FIRM DISCOUNT AND PRICING STRUCTURE:**

SUBRECIPIENT guarantees that prices quoted are equal to or less than prices quoted to any other local, State or Federal government entity for services of equal or lesser scope. SUBRECIPIENT agrees that no price increases shall be passed along to the COUNTY during the term of this CONTRACT not otherwise specified and provided for within this CONTRACT.

**3. PAYMENT TERMS:**

An invoice for the cost of services/activities shall be submitted to the address specified below upon the completion of the services/activities and approval of the COUNTY Project Manager. SUBRECIPIENT shall reference CONTRACT number on invoice. Payment will be net 30 days after receipt of an invoice in a format acceptable to the COUNTY of Orange and verified and approved by OC Community Services and subject to routine processing requirements of the COUNTY. The responsibility for providing an acceptable invoice rests with the SUBRECIPIENT.

Billing shall cover services not previously invoiced. The SUBRECIPIENT shall reimburse the COUNTY of Orange for any monies paid to the SUBRECIPIENT for services not provided or when services do not meet the CONTRACT requirements.

Payments made by the COUNTY shall not preclude the right of the COUNTY from thereafter disputing any items or services involved or billed under this CONTRACT and shall not be construed as acceptance of any part of the services.

Invoice(s) are to be sent to:

OC Community Resources Accounting

1770 North Broadway, 4<sup>th</sup> Floor

Santa Ana, CA 92706-2642

4. **INVOICING INSTRUCTIONS:**

The CONTRACTOR will provide an invoice on CONTRACTOR's letterhead for services rendered. Each invoice will have a number and will include the following information:

The Demand Letter/Invoice must include Delivery Order (DO) Number, Contract Number, Service date(s) – Month of Service along with other required documentation.

5. Payment (Electronic Funds Transfer (EFT))

The County of Orange offers CONTRACTORS the option of receiving payment directly to their bank account via an Electronic Fund Transfer (EFT) process in lieu of a check payment. Payment made via EFT will also receive and Electronic Remittance Advice with the payment details via email. An e-mail address will need to be provided to the County of Orange via an EFT Authorization Form. To request a form, please contact the PROGRAM MANAGER. Upon completion of the form, please mail, fax or email to the address or phone listed on the form.





**BUDGET**  
**SNEMT – \_\_\_\_**  
**AREA \_\_\_\_**

**1. CONTRACTOR’S BUDGET**

A. Program Budget

Program Budget Chart Contractor	
Service Area ____: South County	Fixed Price per Mile
Non-Ambulatory Transportation Services Curb-to-Curb	\$
Non-Ambulatory Transportation Services Door-to-Door	\$
Transportation Services Curb-to-Curb	\$
Transportation Services Door-to-Door	\$
<b>Total Average Price per Mile (Total/4)</b>	<b>\$</b>

**2. Monthly operating costs:** Payments for monthly work completed shall be made as follows:

- A. CONTRACTOR shall timely transmit to COUNTY all data required pursuant to this CONTRACT. CONTRACTOR also shall submit an invoice(s) and such other substantiating reports as COUNTY may require, including the Program Monthly Performance Report, all in a form satisfactory to COUNTY’s Program Manager, by the fifteenth (15th) day of each month, showing the prior month’s actual services provided. If CONTRACTOR receives funds pursuant to this CONTRACT for more than one service area, each such service area shall be invoiced separately from all other service areas, and separate substantiating reports shall be submitted for each service area. COUNTY shall make monthly payments based on CONTRACTOR’s data, invoice(s), and substantiating reports, unless otherwise approved by COUNTY’s Program Manager.
  
- B. No payments will be made if any preceding months’ data, reports, or invoices are outstanding, unless otherwise approved by the COUNTY’s Program Manager.

- C. Whenever CONTRACTOR is not in compliance with any provision of this CONTRACT, COUNTY's Program Manager may withhold payment until such time as CONTRACTOR comes into compliance.
- D. County's Program Manager also reserves the right to refuse payment to CONTRACTOR or to later disallow costs for any expenditure determined by COUNTY's Program Manager not to be in compliance with this CONTRACT, or unrelated to activities for which this CONTRACT provides, or inappropriate to such activities; or for which there is inadequate supporting documentation presented; or for which prior approval was required but was either not requested or not granted. Payment to CONTRACTOR may be refused until COUNTY receives reimbursement for any CONTRACTOR outstanding disallowed costs.
- E. Total Monthly Costs may exceed one-twelfth of the maximum obligation of COUNTY. Upon receipt of sufficient written justification from the CONTRACTOR, as determined in the sole discretion of the COUNTY's Program Manager, or designee, the Administrator has the discretion, in any given month, to pay over the monthly one-twelfth of the maximum obligation of COUNTY as stated in Paragraph 4. Maximum Obligation of CONTRACT. Notwithstanding the above, the total amount of compensation approved during the term of the CONTRACT shall not exceed the maximum obligation of COUNTY described.
3. Full Compensation. CONTRACTOR agrees to accept the specified compensation as set forth in this CONTRACT as full remuneration for performing all services and furnishing all staffing and materials required, for any reasonably unforeseen difficulties which may arise or be encountered in the execution of the services until acceptance, for risks connected with the services, and for performance by the CONTRACTOR of all its duties and obligations hereunder.
4. Reallocation of Funds. COUNTY reserves the right to reallocate the available program funds to other service areas based on CONTRACTOR performance or client demand.

5. Program Income. This is defined as gross income received by CONTRACTOR directly generated from client user fees and cash contributions from donations and/or fundraising under the SNEMT Program.
  - A. CONTRACTOR shall comply with all regulations concerning reporting and payment procedures for Program Income.
  - B. All Program Income accrued on a monthly basis will be utilized to enhance program services under the SNEMT Program.
  - C. Prior to CONTRACTOR receiving monthly reimbursement from COUNTY, remaining balance of Program Income will reduce monthly reimbursement by said amount.
  
6. **Payment Terms – Payment in Arrears**
  - A. Invoices are to be submitted in arrears to the user agency/department to the ship-to address, unless otherwise directed in this CONTRACT. Payment will be net 30 days after receipt of an invoice in a format acceptable to the County of Orange and verified and approved by the agency/department and subject to routine processing requirements. The responsibility for providing an acceptable invoice rests with the CONTRACTOR.
  - B. Invoices shall cover services and/or goods not previously invoiced. CONTRACTOR shall reimburse the County of Orange for any monies paid to CONTRACTOR for goods or services not provided or when goods or services do not meet CONTRACT requirements.
  - C. Payments made by the COUNTY shall not preclude the right of the COUNTY from thereafter disputing any items or services involved or billed under this CONTRACT and shall not be construed as acceptance of any part of the goods or services.
  
7. **Price Increase/Decrease:** No price increases will be permitted during the first year of the CONTRACT. The COUNTY requires bona fide proof of cost increases on CONTRACTS prior to any price adjustment. The percentage of any price increase cannot exceed the percentage of increase in the Consumer Price Index for the corresponding time period.

On an annual basis or when deemed necessary due to changes in the cost of transportation, the COUNTY will evaluate the Bureau of Labor Statistics Los Angeles-Riverside-Orange County Private Transportation Consumer Price Index (CPI) to determine if a cost increase is necessary and warranted. No retroactive price adjustments will be considered. The COUNTY may enforce, adjust, negotiate, or cancel escalating price CONTRACTs or take any other action it deems appropriate, as it sees fit. The net dollar amount of profit will remain firm during the period of the CONTRACT. Adjustments increasing the CONTRACTOR's profit will not be allowed.



STAFFING PLAN  
 SNEMT – \_\_\_\_  
 AREA \_\_\_\_

**1. Staffing Plan**

**Project Title: SNEMT – \_\_\_\_\_**

Complete and Submit – Initial Report due on or before July 1.

(Include name and classification).

	<b>Name/Staff</b>	<b>Classification/Title</b>
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

The substitution or addition of other key individuals in any given category or classification shall be allowed only with prior written approval of the COUNTY Project Manager.

The SUBRECIPIENT may reserve the right to involve other personnel, as their services are required. The specific individuals will be assigned based on the need and time of the service/class required. Assignment of additional key personnel shall be subject to COUNTY approval.



PERFORMANCE STANDARDS  
SNEMT – \_\_\_

**1. Performance Standards**

CONTRACTOR must maintain performance standards set for quality and quantity of service. Quantitative and qualitative evaluations of CONTRACTOR may be completed on a monthly basis by Office on Aging Program Manager. CONTRACTOR may be subject to termination of the CONTRACT or sanctions, including CONTRACT suspension and/or withholding of funds, if performance falls below a specified level each month or each quarter.

Prior to the start of each CONTRACT period under this CONTRACT, OoA may review the standards established for the SNEMT program to ensure that those standards remain appropriate. In consultation with CONTRACTOR, OoA may, at its discretion, adjust the standards to ensure and encourage increased efficiency and improve performance of services. Failure to maintain Minimum Performance Levels will result in monitoring findings or CONTRACT termination. Monitoring findings may result in a decrease in CONTRACT funding.

<b>STANDARD</b>	<b>MINIMUM PERFORMANCE LEVEL</b>
Customer Complaints	No more than 10 valid complaints per 3,000 passengers per month
On-Time Performance	Arrive for 95% of scheduled trips within 15 minutes before to 15 minutes after promised time.
Ride Time	No passenger rides longer than 45 minutes for a 15 mile trip
Missed Trips	Maximum 3 per 3,000 trips per month
Vehicle Accident Reporting	All vehicle accidents must be reported within 24 hours to OoA
Special Incident Reporting	All special incidents must be reported within 24 hours to OoA
Driver Qualifications	No SNEMT vehicle may be operated by an unqualified driver
Trip & Client Exceptions	Each client eligibility exception must meet the requirements noted in policies and procedures and must be noted in the client's folder.
Door-to-Door Service	Will be maintained per individual request or predetermined need
Reports (other than accident reports)	Must be submitted according to specified due dates
Ineligible Trips	No clients will receive ineligible trips.

**County of Orange Child Support Enforcement  
Certification Requirements**

In order to comply with child support enforcement requirements of the County of Orange, within ten (10) days of award of CONTRACT, the successful CONTRACTOR must furnish to the CONTRACT ADMINISTRATOR:

1. In the case of an individual CONTRACTOR, his/her name, date of birth, Social Security number, and residence address;
2. In the case of a CONTRACTOR doing business in a form other than as an individual, the name, date of birth, Social Security number, and residence address of each individual who owns an interest of 10 percent or more in the contracting entity; A certification that the CONTRACTOR has fully complied with all applicable federal and state reporting requirements regarding its employees; and
3. A certification that the CONTRACTOR has fully complied with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment and will continue to so comply.

The certifications will be stated as follows:

*"I certify that \_\_\_\_\_ is in full compliance with all applicable federal and state reporting requirements regarding its employees and with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignments and will continue to be in compliance throughout the term of CONTRACT \_\_\_\_\_ with the County of Orange. I understand that failure to comply shall constitute a material breach of the CONTRACT and that failure to cure such breach within ten (10) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.*

It is expressly understood that this data will be transmitted to governmental agencies charged with the establishment and enforcement of child support orders and for no other purposes and will be held confidential by those agencies.

Failure of the CONTRACTOR to timely submit the data and/or certifications required above or to comply with all federal and state reporting requirements for child support enforcement or to comply with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment shall constitute a material breach of the CONTRACT. Failure to cure such breach within ten (10) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.

The successful CONTRACTOR may use the forms supplied herein, to furnish required information listed above.

**County of Orange Child Support Enforcement**  
**Certification Requirements**  
**(blank form)**

- A. In the case of an individual CONTRACTOR, his/her name, date of birth, Social Security number, and residence address:

Name: \_\_\_\_\_

D.O.B: \_\_\_\_\_

Social Security No: \_\_\_\_\_

Residence Address: \_\_\_\_\_

\_\_\_\_\_

- B. In the case of a CONTRACTOR doing business in a form other than as an individual, the name, date of birth, Social Security number, and residence address of each individual who owns an interest of ten (10) percent or more in the contracting entity:

Name: \_\_\_\_\_

D.O.B: \_\_\_\_\_

Social Security No: \_\_\_\_\_

Residence Address: \_\_\_\_\_

\_\_\_\_\_

Name: \_\_\_\_\_

D.O.B: \_\_\_\_\_

Social Security No: \_\_\_\_\_

Residence Address: \_\_\_\_\_

\_\_\_\_\_

Name: \_\_\_\_\_

D.O.B: \_\_\_\_\_

Social Security No: \_\_\_\_\_

Residence Address: \_\_\_\_\_

\_\_\_\_\_

(Additional sheets may be used if necessary)



- C. A certification that the CONTRACTOR has fully complied with all applicable federal and state reporting requirements regarding its employees; and
- D. A certification that the CONTRACTOR has fully complied with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment and will continue to so comply.

*"I certify that \_\_\_\_\_ is in full compliance with all applicable federal and state reporting requirements regarding its employees and with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignments and will continue to be in compliance throughout the term of CONTRACT # \_\_\_\_\_ with the County of Orange. I understand that failure to comply shall constitute a material breach of the CONTRACT and that failure to cure such breach within ten (10) calendar days of notice from the COUNTY shall constitute grounds for termination of the CONTRACT.*

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Authorized Signature

Print Name

Title