

1 terms and conditions of the original Agreement, as previously amended by the First and Second
2 Amendments;

3 NOW, THEREFORE, IT IS MUTUALLY AGREED AS FOLLOWS:

4 //
5 //
6 //
7 //
8 //
9 //
10 //
11 //
12 //
13 //
14 //
15 //
16 //
17 //
18 //
19 //
20 //

21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37

1	<u>CONTENTS</u>		
2	<u>PARAGRAPH</u>		<u>PAGE</u>
3	Title Page.....		1
4	Contents.....		2
5	Referenced Contract Provisions		4
6	I. Acronyms		65
7	II. Alteration of Terms		87
8	III. Assignment of Debts.....		87
9	IV. Compliance		98
10	V. Confidentiality.....		1110
11	VI. Cost Report.....		1211
12	VII. Delegation, Assignment and Subcontracts.....		1413
13	VIII. Employee Eligibility Verification		1514
14	IX. Equipment		1615
15	X. Facilities, Payments and Services.....		1716
16	XI. Indemnification and Insurance		1716
17	XII. Inspections and Audits.....		2019
18	XIII. Licenses and Laws		2120
19	XIV. Literature, Advertisements, and Social Media.....		2322
20	XV. Maximum Obligation.....		2322
21	XVI. Nondiscrimination.....		23
22	XVII. Notices.....		25
23	XVIII. Notification of Death		2625
24	XIX. Notification Of Public Events And Meetings		2726
25	XX. Records Management and Maintenance		2726
26	XXI. Research and Publication.....		2928
27	XXII. Revenue		2928
28	XXIII. Right to Work and Minimum Wage Laws.....		29
29	XXIV. Severability.....		3029
30	XXV. Special Provisions		3029
31	XXVI. Status of Contractor		3130
32	XXVII. Term		31
33	XXVIII. Termination		3231
34	XXIX. Third Party Beneficiary		3433
35	XXX. Waiver of Default or Breach.....		3433
36	Signature Page.....		3534
37	//		

REFERENCED CONTRACT PROVISIONS

~~Term: July 1, 2014 through June 30, 2015~~

~~Maximum Obligation: \$4,179,598~~

Term: July 1, 2014 through December 31, 2016

Period One means the period from July 1, 2014 through June 30, 2015

Period Two means the period from July 1, 2015 through June 30, 2016

Period Three means the period from July 1, 2016 through December 31, 2016

Maximum Obligation:

Period One Maximum Obligation: \$ 4,284,598

Period Two Maximum Obligation: 4,284,598

Period Three Maximum Obligation: 526,360

TOTAL MAXIMUM OBLIGATION: \$ 9,095,556

Basis for Reimbursement: Actual Cost

Payment Method: Provisional Payment

Notices to COUNTY and CONTRACTOR:

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

CONTRACTOR: Katherine West, COO
Seneca Family of Agencies
6925 Chabot Road
Oakland, CA 94612
katherine_west@senecacenter.org

//

//

//

//

//

I. ACRONYMS

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

1		
2		
3		
4	A. ADAS	Alcohol and Drug Abuse Services
5	B. AES	Advanced Encryption Standard
6	C. ARRA	American Recovery and Reinvestment Act
7	D. ASRS	Alcohol and Drug Programs Reporting System
8	E. BBS	Board of Behavioral Sciences
9	F. BCP	Business Continuity Plan
10	G. CalOPTIMA	California Orange Prevention and Treatment Integrated Medical Assistance
11	H. CCC	California Civil Code
12	I. CCR	California Code of Regulations
13	J. CD/DVD	Compact Disc/Digital Video or Versatile Disc
14	K. CEO	County Executive Office
15	L. CFDA	Catalog of Federal Domestic Assistance
16	M. CFR	Code of Federal Regulations
17	N. CHHS	California Health and Human Services Agency
18	O. CHPP	County HIPAA P&Ps
19	P. CHS	Correctional Health Services
20	Q. CIPA	California Information Practices Act
21	R. CMPPA	Computer Matching and Privacy Protection
22	S. D/MC	Drug/Medi-Cal
23	T. DD	Dual Disorders
24	U. DHCS	Department of Health Care Services
25	V. DoD	Department of Defense
26	W. DPFS	Drug Program Fiscal Systems
27	X. DRP	Disaster Recovery Plan
28	Y. DRS	Designated Record Set
29	Z. DSH	Direct Service Hours
30	AA. DSM	Diagnostic and Statistical Manual of Mental Disorders
31	AB. E-Mail	Electronic Mail
32	AC. EHR	Electronic Health Records
33	AD. ePHI	Electronic Protected Health Information
34	AE. EPSDT	Early and Periodic Screening, Diagnosis, and Treatment
35	AF. FIPS	Federal Information Processing Standards
36	AG. FSP	Full Service Partnership
37	AH. FTE	Full Time Equivalent

1	AI. GAAP	Generally Accepted Accounting Principles
2	AJ. HCA	Health Care Agency
3	AK. HHS	Health and Human Services
4	AL. HIPAA	Health Insurance Portability and Accountability Act of 1996, Public
5		Law 104-191
6	AM. HSC	California Health and Safety Code
7	AN. ICC	Intensive Care Coordination
8	AO. ID	Identification
9	AP. IEA	Information Exchange Agreement
10	AQ. IHBS	Intensive Home Based Services
11	AR. IRIS	Integrated Records Information System
12	AS. ISO	Insurance Services Office
13	AT. LCSW	Licensed Clinical Social Worker
14	AU. LPCC	Licensed Professional Clinical Counselor
15	AV. LPT	Licensed Psychiatric Technician
16	AW. LVN	Licensed Vocational Nurse
17	AX. MFT	Marriage and Family Therapist
18	AY. MHP	Mental Health Plan
19	AZ. MHSA	Mental Health Services Act
20	BA. NIST	National Institute of Standards and Technology
21	BB. NOA-A	Notice of Action
22	BC. NP	Nurse Practitioner
23	BD. NPI	National Provider Identifier
24	BE. NPP	Notice of Privacy Practices
25	BF. OCJS	Orange County Jail System
26	BG. OCPD	Orange County Probation Department
27	BH. OCR	Office for Civil Rights
28	BI. OCSD	Orange County Sheriff's Department
29	BJ. OIG	Office of Inspector General
30	BK. OMB	Office of Management and Budget
31	BL. OPM	Federal Office of Personnel Management
32	BM. P&P	Policy and Procedure
33	BN. PADSS	Payment Application Data Security Standard
34	BO. PBM	Pharmaceutical Benefits Management
35	BP. PC	State of California Penal Code
36	BQ. PCI DSS	Payment Card Industry Data Security Standard
37	BR. PHI	Protected Health Information

1	BS. PI	Personal Information
2	BT. PII	Personally Identifiable Information
3	BU. POC	Plan of Care
4	BV. PRA	Public Record Act
5	BW. QIC	Quality Improvement Committee
6	BX. RN	Registered Nurse
7	BY. SAMHSA	Substance Abuse and Mental Health Services Administration
8	BZ. SIR	Self-Insured Retention
9	CA. SSA	Social Services Agency
10	CB. TASP	Therapeutic After School Program
11	CC. TAY	Transitional Age Youth
12	CD. TBS	Therapeutic Behavioral Services
13	CE. TCM	Targeted Case Management
14	CF. The HITECH Act	The Health Information Technology for Economic and Clinical Health
15		Act, Public Law 111-005
16	CG. UMDAP	Universal Method of Determining Ability to Pay
17	CH. USC	United States Code
18	CI. WIC	State of California Welfare and Institutions Code

II. ALTERATION OF TERMS

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

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

III. ASSIGNMENT OF DEBTS

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

37 //

IV. COMPLIANCE

1
2 A. ADMINISTRATOR has established a Compliance Program for the purpose of ensuring
3 adherence to all rules and regulations related to federal and state health care programs.

4 1. ADMINISTRATOR shall provide CONTRACTOR with a copy of the relevant HCA P&Ps
5 relating to HCA's Compliance Program, HCA's Code of Conduct and General Compliance Trainings.

6 2. CONTRACTOR has the option to adhere to HCA's Compliance Program and Code of
7 Conduct or establish its own, provided CONTRACTOR's Compliance Program and Code of Conduct
8 have been verified to include all required elements by ADMINISTRATOR's Compliance Officer as
9 described in Subparagraphs below.

10 3. If CONTRACTOR elects to adhere to HCA's Compliance Program and Code of Conduct;
11 the CONTRACTOR shall submit to the ADMINISTRATOR within thirty (30) calendar days of award of
12 this Agreement a signed acknowledgement that CONTRACTOR shall comply with HCA's Compliance
13 Program and Code of Conduct.

14 4. If CONTRACTOR elects to have its own Compliance Program and Code of Conduct then it
15 shall submit a copy of its Compliance Program, Code of Conduct and relevant P&Ps to
16 ADMINISTRATOR within thirty (30) calendar days of award of this Agreement.
17 ADMINISTRATOR's Compliance Officer shall determine if CONTRACTOR Compliance Program and
18 Code of Conduct contains all required elements. CONTRACTOR shall take necessary action to meet
19 said standards or shall be asked to acknowledge and agree to the HCA's Compliance Program and Code
20 of Conduct if the CONTRACTOR's Compliance Program and Code of Conduct do not contain all
21 required elements.

22 5. Upon written confirmation from ADMINISTRATOR's Compliance Officer that the
23 CONTRACTOR Compliance Program and Code of Conduct contains all required elements,
24 CONTRACTOR shall ensure that all Covered Individuals relative to this Agreement are made aware of
25 CONTRACTOR's Compliance Program, Code of Conduct and related P&Ps.

26 6. Failure of CONTRACTOR to submit its Compliance Program, Code of Conduct and
27 relevant P&Ps shall constitute a material breach of this Agreement. Failure to cure such breach within
28 sixty (60) calendar days of such notice from ADMINISTRATOR shall constitute grounds for
29 termination of this Agreement as to the non-complying party.

30 B. SANCTION SCREENING – CONTRACTOR shall adhere to all screening P&Ps and screen all
31 Covered Individuals employed or retained to provide services related to this Agreement to ensure that
32 they are not designated as Ineligible Persons, as pursuant to this Agreement. Screening shall be
33 conducted against the General Services Administration's Excluded Parties List System or System for
34 Award Management, the HHS/OIG List of Excluded Individuals/Entities, and the California Medi-Cal
35 Suspended and Ineligible Provider List and/or any other as identified by the ADMINISTRATOR.

36 1. Covered Individuals includes all contractors, subcontractors, agents, and other persons who
37 provide health care items or services or who perform billing or coding functions on behalf of

1 ADMINISTRATOR. Notwithstanding the above, this term does not include part-time or per-diem
2 employees, contractors, subcontractors, agents, and other persons who are not reasonably expected to
3 work more than one hundred sixty (160) hours per year; except that any such individuals shall become
4 Covered Individuals at the point when they work more than one hundred sixty (160) hours during the
5 calendar year. CONTRACTOR shall ensure that all Covered Individuals relative to this Agreement are
6 made aware of ADMINISTRATOR's Compliance Program, Code of Conduct and related P&Ps.

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

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

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

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

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

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

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

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

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

3 C. COMPLIANCE TRAINING – ADMINISTRATOR shall make General Compliance Training
4 and Provider Compliance Training, where appropriate, available to Covered Individuals.

5 1. CONTRACTOR shall use its best efforts to encourage completion by Covered Individuals;
6 provided, however, that at a minimum CONTRACTOR shall assign at least one (1) designated
7 representative to complete all Compliance Trainings when offered.

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

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

11 4. Each Covered Individual attending training shall certify, in writing, attendance at
12 compliance training. CONTRACTOR shall retain the certifications. Upon written request by
13 ADMINISTRATOR, CONTRACTOR shall provide copies of the certifications.

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

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

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

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

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

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

30
31 **V. CONFIDENTIALITY**

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

35 1. CONTRACTOR acknowledges and agrees that all persons served pursuant to this
36 Agreement are clients of the Orange County Mental Health services system, and therefore it may be
37 necessary for authorized staff of ADMINISTRATOR to audit client files, or to exchange information

1 regarding specific clients with COUNTY or other providers of related services contracting with
2 COUNTY.

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

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

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

17 **VI. COST REPORT**

19 A. CONTRACTOR shall submit a Cost Report to COUNTY no later than sixty (60) calendar days
20 following termination of this Agreement. CONTRACTOR shall prepare the Cost Report in accordance
21 with all applicable federal, state and COUNTY requirements, GAAP and the Special Provisions
22 Paragraph of this Agreement. CONTRACTOR shall allocate direct and indirect costs to and between
23 programs, cost centers, services, and funding sources in accordance with such requirements and
24 consistent with prudent business practice, which costs and allocations shall be supported by source
25 documentation maintained by CONTRACTOR, and available at any time to ADMINISTRATOR upon
26 reasonable notice. In the event CONTRACTOR has multiple Agreements for mental health services that
27 are administered by HCA, consolidation of the individual Cost Reports into a single consolidated Cost
28 Report may be required, as stipulated by ADMINISTRATOR. CONTRACTOR shall submit a
29 consolidated Cost Report to COUNTY no later than five (5) business days following approval by
30 ADMINISTRATOR of all individual Cost Reports to be incorporated into a consolidated Cost Report.

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

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

1 and/or consolidated Cost Report due COUNTY by CONTRACTOR.

2 b. ADMINISTRATOR may withhold or delay any or all payments due CONTRACTOR
3 pursuant to any or all agreements between COUNTY and CONTRACTOR until such time that the
4 individual and/or consolidated Cost Report is delivered to ADMINISTRATOR.

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

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

14 B. The individual and/or consolidated Cost Report shall be the final financial and statistical report
15 submitted by CONTRACTOR to COUNTY, and shall serve as the basis for final settlement to
16 CONTRACTOR. CONTRACTOR shall document that costs are reasonable and allowable and directly
17 or indirectly related to the services to be provided hereunder. The individual and/or consolidated Cost
18 Report shall be the final financial record for subsequent audits, if any.

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

28 D. Unless approved by ADMINISTRATOR, costs that exceed the State Maximum Reimbursement
29 Rate per Medi-Cal Unit of Services, as determined by the State DHCS, shall be unreimbursable to
30 CONTRACTOR.

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

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

36
37

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

Signed _____
Name _____
Title _____
Date _____"

VII. DELEGATION, ASSIGNMENT AND SUBCONTRACTS

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

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

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

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

3. If CONTRACTOR is a governmental organization, any change to another structure, including a change in more than fifty percent (50%) of the composition of its governing body (i.e. Board of Supervisors, City Council, School Board) within a two (2) month period of time, shall be deemed an

1 assignment for purposes of this paragraph. Any attempted assignment or delegation in derogation of this
2 Subparagraph shall be void.

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

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

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

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

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

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

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

26 **VIII. EMPLOYEE ELIGIBILITY VERIFICATION**

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

IX. EQUIPMENT

1
2 A. Unless otherwise specified in writing by ADMINISTRATOR, Equipment is defined as all
3 property of a Relatively Permanent nature with significant value, purchased in whole or in part by
4 ADMINISTRATOR to assist in performing the services described in this Agreement. "Relatively
5 Permanent" is defined as having a useful life of one year or longer. Equipment which costs \$5,000 or
6 over, including freight charges, sales taxes, and other taxes, and installation costs are defined as Capital
7 Assets. Equipment which costs between \$600 and \$5,000, including freight charges, sales taxes and
8 other taxes, and installation costs are defined as Controlled Equipment. Controlled Equipment includes,
9 but is not limited to audio/visual equipment, computer equipment, and lab equipment. The cost of
10 Equipment purchased, in whole or in part, with funds paid pursuant to this Agreement shall be
11 depreciated according to GAAP.

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

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

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

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

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

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

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

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

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

11 **XI. INDEMNIFICATION AND INSURANCE**

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

22 B. Prior to the provision of services under this Agreement, CONTRACTOR agrees to purchase all
23 required insurance at CONTRACTOR's expense and to submit to COUNTY the COI, including all
24 endorsements required herein, necessary to satisfy COUNTY that the insurance provisions of this
25 Agreement have been complied with and to maintain such insurance coverage with COUNTY during the
26 entire term of this Agreement. In addition, all subcontractors performing work on behalf of
27 CONTRACTOR pursuant to this Agreement shall obtain insurance subject to the same terms and
28 conditions as set forth herein for CONTRACTOR

29 C. All SIRs and deductibles shall be clearly stated on the COI. If no SIRs or deductibles apply,
30 indicate this on the COI with a 0 by the appropriate line of coverage. Any SIR or deductible in an
31 amount in excess of \$25,000 (\$5,000 for automobile liability), shall specifically be approved by the
32 CEO/Office of Risk Management.

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

35 **E. QUALIFIED INSURER**

36 1. The policy or policies of insurance must be issued by an insurer licensed to do business in
37 the state of California (California Admitted Carrier) or have a minimum rating of A- (Secure A.M.

1 Best's Rating) and VIII (Financial Size Category as determined by the most current edition of the Best's
2 Key Rating Guide/Property-Casualty/United States or ambest.com)

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

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

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

24 G. REQUIRED COVERAGE FORMS

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

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

29 H. REQUIRED ENDORSEMENTS – The Commercial General Liability policy shall contain the
30 following endorsements, which shall accompany the COI:

31 1. An Additional Insured endorsement using ISO form CG 2010 or CG 2033 or a form at least
32 as broad naming the County of Orange, its elected and appointed officials, officers, employees, agents as
33 Additional Insureds.

34 2. A primary non-contributing endorsement evidencing that the CONTRACTOR's insurance is
35 primary and any insurance or self-insurance maintained by the County of Orange shall be excess and
36 non-contributing.

37 I. All insurance policies required by this Agreement shall waive all rights of subrogation against

1 the County of Orange and members of the Board of Supervisors, its elected and appointed officials,
2 officers, agents and employees when acting within the scope of their appointment or employment.

3 J. The Workers' Compensation policy shall contain a waiver of subrogation endorsement waiving
4 all rights of subrogation against the County of Orange, and members of the Board of Supervisors, its
5 elected and appointed officials, officers, agents and employees.

6 K. All insurance policies required by this Agreement shall give COUNTY thirty (30) calendar day
7 notice in the event of cancellation and ten (10) calendar day notice for non-payment of premium. This
8 shall be evidenced by policy provisions or an endorsement separate from the COI.

9 L. If CONTRACTOR's Professional Liability policy is a "claims made" policy, CONTRACTOR
10 shall agree to maintain professional liability coverage for two years following completion of Agreement.

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

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

17 O. COUNTY shall notify CONTRACTOR in writing of changes in the insurance requirements. If
18 CONTRACTOR does not deposit copies of acceptable COI's and endorsements with COUNTY
19 incorporating such changes within thirty (30) calendar days of receipt of such notice, this Agreement
20 may be in breach without further notice to CONTRACTOR, and COUNTY shall be entitled to all legal
21 remedies.

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

25 **Q. SUBMISSION OF INSURANCE DOCUMENTS**

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

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

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

29 c. Within thirty (30) calendar days upon receipt of written notice by COUNTY regarding
30 changes to any of the insurance types as set forth in Subparagraph F. of this Agreement.

31 2. The COI and endorsements shall be provided to the COUNTY at the address as referenced
32 in the Referenced Contract Provisions of this Agreement.

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

36 a. ADMINISTRATOR may withhold or delay any or all payments due CONTRACTOR
37 pursuant to any and all Agreements between COUNTY and CONTRACTOR until such time that the

1 required COI and endorsements that meet the insurance provisions stipulated in this Agreement are
2 submitted to ADMINISTRATOR.

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

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

9 4. In no cases shall assurances CONTRACTOR, its employees, agents, including any
10 insurance agent, be construed as adequate evidence of insurance. COUNTY will only accept valid
11 COI's and endorsements, or in the interim, an insurance binder as adequate evidence of insurance.

12 **XII. INSPECTIONS AND AUDITS**

13 A. ADMINISTRATOR, any authorized representative of COUNTY, any authorized representative
14 of the State of California, the Secretary of the United States Department of HHS, the Comptroller
15 General of the United States, or any other of their authorized representatives, shall have access to any
16 books, documents, and records, including but not limited to, financial statements, general ledgers,
17 relevant accounting systems, medical and client records, of CONTRACTOR that are directly pertinent to
18 this Agreement, for the purpose of responding to a beneficiary complaint or conducting an audit, review,
19 evaluation, or examination, or making transcripts during the periods of retention set forth in the Records
20 Management and Maintenance Paragraph of this Agreement. Such persons may at all reasonable times
21 inspect or otherwise evaluate the services provided pursuant to this Agreement, and the premises in
22 which they are provided.

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

27 C. AUDIT RESPONSE

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

33 2. If the audit reveals that money is payable from one party to the other, that is, reimbursement
34 by CONTRACTOR to COUNTY, or payment of sums due from COUNTY to CONTRACTOR, said
35 funds shall be due and payable from one party to the other within sixty (60) calendar days of receipt of
36 the audit results. If reimbursement is due from CONTRACTOR to COUNTY, and such reimbursement
37

1 is not received within said sixty (60) calendar days, COUNTY may, in addition to any other remedies
 2 provided by law, reduce any amount owed CONTRACTOR by an amount not to exceed the
 3 reimbursement due COUNTY.

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

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

11 **XIII. LICENSES AND LAWS**

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

20 **B. ENFORCEMENT OF CHILD SUPPORT OBLIGATIONS**

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

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

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

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

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

32 2. Failure of CONTRACTOR to timely submit the data and/or certifications required by
 33 Subparagraphs 1.a., 1.b., 1.c., or 1.d. above, or to comply with all federal and state employee reporting
 34 requirements for child support enforcement, or to comply with all lawfully served Wage and Earnings
 35 Assignment Orders and Notices of Assignment, shall constitute a material breach of this Agreement; and
 36 failure to cure such breach within sixty (60) calendar days of notice from COUNTY shall constitute
 37

1 grounds for termination of this Agreement.

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

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

- 8 1. ARRA of 2009.
- 9 2. Title 22, CCR, §51009.
- 10 3. California Welfare and Institutions Code, §14100.2.
- 11 4. WIC, Divisions 5, 6 and 9.
- 12 5. State of HSC, §§1250 et seq.
- 13 6. PC, Part 4, Title 1, Chapter 2, Article 2.5 relating to Child Abuse Reporting.
- 14 7. CCR, Title 9, Title 17, and Title 22.
- 15 8. CFR, Title 42 and Title 45.
- 16 9. USC Title 42.
- 17 10. Federal Social Security Act, Title XVIII and Title XIX.
- 18 11. 42 USC, Chapter 126, 12101, et seq., the Americans with Disabilities Act of 1990.
- 19 12. 42 USC, §114 and §§1857, et seq., the Clean Air Act.
- 20 13. 33 USC 84, §308 and §§1251 et seq., the Federal Water Pollution Control Act.
- 21 14. 31 USC 7501.70, Federal Single Audit Act of 1984.
- 22 15. P&Ps set forth in Mental Health Services Act.
- 23 16. P&Ps set forth in DHCS Letters.
- 24 17. HIPAA privacy rule, as it may exist now, or be hereafter amended, and if applicable.
- 25 18. OMB Circulars A-87, A-89, A-110, A-122.
- 26 19. D/MC Certification Standards for Substance Abuse Clinics, July 2004.
- 27 20. D/MC Billing Manual (March 23, 2010).
- 28 21. Federal Medicare Cost reimbursement principles and cost reporting standards.
- 29 22. Orange County Medi-Cal Mental Health Managed Care Plan.
- 30 23. Short Doyle/Medi-Cal Manual for the Rehabilitation Option and TCM.

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

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

37

1 **XIV. LITERATURE, ADVERTISEMENTS, AND SOCIAL MEDIA**

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

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

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

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

21
22 **XV. MAXIMUM OBLIGATION**

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

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

27
28 **XVI. NONDISCRIMINATION**

29 A. EMPLOYMENT

30 1. During the term of this Agreement, CONTRACTOR and its Covered Individuals shall not
31 unlawfully discriminate against any employee or applicant for employment because of his/her ethnic
32 group identification, race, religion, ancestry, color, creed, sex, marital status, national origin, age (40 and
33 over), sexual orientation, medical condition, or physical or mental disability. Additionally, during the
34 term of this Agreement, CONTRACTOR and its Covered Individuals shall require in its subcontracts
35 that subcontractors shall not unlawfully discriminate against any employee or applicant for employment
36 because of his/her ethnic group identification, race, religion, ancestry, color, creed, sex, marital status,
37 national origin, age (40 and over), sexual orientation, medical condition, or physical or mental disability.

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

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

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

11 5. All solicitations or advertisements for employees placed by or on behalf of CONTRACTOR
12 and/or subcontractor shall state that all qualified applicants will receive consideration for employment
13 without regard to ethnic group identification, race, religion, ancestry, color, creed, sex, marital status,
14 national origin, age (40 and over), sexual orientation, medical condition, or physical or mental disability.
15 Such requirements shall be deemed fulfilled by use of the term EOE.

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

21 B. SERVICES, BENEFITS AND FACILITIES – CONTRACTOR and/or subcontractor shall not
22 discriminate in the provision of services, the allocation of benefits, or in the accommodation in facilities
23 on the basis of ethnic group identification, race, religion, ancestry, color, creed, sex, marital status,
24 national origin, age (40 and over), sexual orientation, medical condition, or physical or mental disability
25 in accordance with Title IX of the Education Amendments of 1972 as they relate to 20 USC §1681 -
26 §1688; Title VI of the Civil Rights Act of 1964 (42 USC §2000d); the Age Discrimination Act of 1975
27 (42 USC §6101); and Title 9, Division 4, Chapter 6, Article 1 (§10800, et seq.) of the CCR,) as
28 applicable, and all other pertinent rules and regulations promulgated pursuant thereto, and as otherwise
29 provided by state law and regulations, as all may now exist or be hereafter amended or changed. For the
30 purpose of this Nondiscrimination Paragraph, Discrimination includes, but is not limited to the following
31 based on one or more of the factors identified above:

- 32 1. Denying a client or potential client any service, benefit, or accommodation.
- 33 2. Providing any service or benefit to a client which is different or is provided in a different
34 manner or at a different time from that provided to other clients.
- 35 3. Restricting a client in any way in the enjoyment of any advantage or privilege enjoyed by
36 others receiving any service or benefit.
- 37 4. Treating a client differently from others in satisfying any admission requirement or

1 condition, or eligibility requirement or condition, which individuals must meet in order to be provided
2 any service or benefit.

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

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

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

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

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

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

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

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

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

34 **XVII. NOTICES**

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

37 1. When written and deposited in the United States mail, first class postage prepaid and

1 addressed as specified in the Referenced Contract Provisions of this Agreement or as otherwise directed
2 by ADMINISTRATOR;

3 2. When faxed, transmission confirmed;

4 3. When sent by Email; or

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

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

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

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

17 18 **XVIII. NOTIFICATION OF DEATH**

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

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

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

29 2. WRITTEN NOTIFICATION

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

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

37 C. If there are any questions regarding the cause of death of any person served pursuant to this

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

4 5 **XIX. NOTIFICATION OF PUBLIC EVENTS AND MEETINGS**

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

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

13 14 **XX. RECORDS MANAGEMENT AND MAINTENANCE**

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

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

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

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

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

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

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

37 2. The enrollment, payment, claims adjudication, and case or medical management record

1 systems maintained by or for a health plan; or

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

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

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

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

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

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

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

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

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

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

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

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

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

35

36

37

1 CONTRACTOR also pay their employees no less than the greater of the federal or California Minimum
2 Wage.

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

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

10 **XXIV. SEVERABILITY**

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

16 **XXV. SPECIAL PROVISIONS**

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

- 19 1. Making cash payments to intended recipients of services through this Agreement.
- 20 2. Lobbying any governmental agency or official. CONTRACTOR shall file all certifications
21 and reports in compliance with this requirement pursuant to Title 31, USC, §1352 (e.g., limitation on use
22 of appropriated funds to influence certain federal contracting and financial transactions).
- 23 3. Fundraising.
- 24 4. Purchase of gifts, meals, entertainment, awards, or other personal expenses for
25 CONTRACTOR's staff, volunteers, or members of the Board of Directors.
- 26 5. Reimbursement of CONTRACTOR's members of the Board of Directors for expenses or
27 services.
- 28 6. Making personal loans to CONTRACTOR's staff, volunteers, interns, consultants,
29 subcontractors, and members of the Board of Directors or its designee or authorized agent, or making
30 salary advances or giving bonuses to CONTRACTOR's staff.
- 31 7. Paying an individual salary or compensation for services at a rate in excess of the current
32 Level I of the Executive Salary Schedule as published by the OPM. The OPM Executive Salary
33 Schedule may be found at www.opm.gov.
- 34 8. Severance pay for separating employees.
- 35 9. Paying rent and/or lease costs for a facility prior to the facility meeting all required building
36
- 37

1 codes and obtaining all necessary building permits for any associated construction.

2 10. Supplanting current funding for existing services.

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

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

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

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

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

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

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

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

16 8. Purchase of gifts, meals, entertainment, awards, or other personal expenses for
17 CONTRACTOR's clients.

18 **XXVI. STATUS OF CONTRACTOR**

19
20 CONTRACTOR is, and shall at all times be deemed to be, an independent contractor and shall be
21 wholly responsible for the manner in which it performs the services required of it by the terms of this
22 Agreement. CONTRACTOR is entirely responsible for compensating staff, subcontractors, and
23 consultants employed by CONTRACTOR. This Agreement shall not be construed as creating the
24 relationship of employer and employee, or principal and agent, between COUNTY and CONTRACTOR
25 or any of CONTRACTOR's employees, agents, consultants, or subcontractors. CONTRACTOR
26 assumes exclusively the responsibility for the acts of its employees, agents, consultants, or
27 subcontractors as they relate to the services to be provided during the course and scope of their
28 employment. CONTRACTOR its agents, employees, consultants, or subcontractors, shall not be entitled
29 to any rights or privileges of COUNTY's employees and shall not be considered in any manner to be
30 COUNTY's employees.

31 **XXVII. TERM**

32
33 A. The term of this Agreement shall commence as specified in the Referenced Contract Provisions
34 of this Agreement or the execution date, whichever is later. This Agreement shall terminate as specified
35 in the Referenced Contract Provisions of this Agreement unless otherwise sooner terminated as provided
36 in this Agreement; provided, however, CONTRACTOR shall be obligated to perform such duties as
37 would normally extend beyond this term, including but not limited to, obligations with respect to

1 confidentiality, indemnification, audits, reporting and accounting.

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

4 **XXVIII. TERMINATION**

5
6 A. Either party may terminate this Agreement, without cause, upon thirty (30) calendar days
7 written notice given the other party.

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

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

14 1. The loss by CONTRACTOR of legal capacity.
15 2. Cessation of services.
16 3. The delegation or assignment of CONTRACTOR's services, operation or administration to
17 another entity without the prior written consent of COUNTY.

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

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

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

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

28 **D. CONTINGENT FUNDING**

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

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

32 b. Inclusion of sufficient funding for the services hereunder in the applicable budget
33 approved by the Board of Supervisors.

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

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

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

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

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

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

13 4. If clients are to be transferred to another facility for services, furnish ADMINISTRATOR,
14 upon request, all client information and records deemed necessary by ADMINISTRATOR to affect an
15 orderly transfer.

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

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

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

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

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

32 G. The rights and remedies of COUNTY provided in this Termination Paragraph shall not be
33 exclusive, and are in addition to any other rights and remedies provided by law or under this Agreement.
34
35
36
37

XXIX. THIRD PARTY BENEFICIARY

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

XXX. WAIVER OF DEFAULT OR BREACH

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

//
//
//
//
//
//
//
//
//

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

3
4 SENECA FAMILY OF AGENCIES

5
6 BY: _____ DATED: _____

7
8 TITLE: _____

9
10
11 BY: _____ DATED: _____

12
13 TITLE: _____

14
15
16
17 COUNTY OF ORANGE

18
19
20 BY: _____ DATED: _____

21 HEALTH CARE AGENCY

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

28
29
30 BY: _____ DATED: _____

31 DEPUTY

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

EXHIBIT A
 TO AGREEMENT FOR PROVISION OF
 MENTAL HEALTH OUTPATIENT SERVICES FOR CHILDREN AND YOUTH
 BETWEEN
 COUNTY OF ORANGE
 AND
 SENECA FAMILY OF AGENCIES
 JULY 1, 2014 THROUGH JUNE 30, 2015

I. COMMON TERMS AND DEFINITIONS

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

1. Active and Ongoing Case Load means documentation, by CONTRACTOR, for completion of entry and evaluation services provided to Clients into COUNTY's IRIS Documentation also includes level, frequency, and duration of services received by Clients, and these services must be consistent with Clients' level of impairments as well as treatment goals. In addition, services are to be individualized and solution-focused, using evidenced-based practices.

2. Administrative Support means individual(s) who is/are responsible for providing a broad range of office support to program and management staff that includes: answering and directing phone calls, writing correspondences, entering data in spreadsheets, preparing invoices for payment, maintaining tracking reports and files, and working on special projects, as assigned.

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

4. Care Coordinator means an individual with a Bachelor's degree in human services or related field who will be responsible for developing and leading the Family Team and guiding the evolution of a POC for a Client.

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

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

7. Data Collection System means software used for the collection, tracking, and reporting of outcomes data for Clients enrolled in the FSP programs.

8. DSH means the time, measured in hours and portions of hours, that a clinician spends providing services to Clients or significant others on behalf of Clients. DSH credit, both billable and

//

1 non-billable minutes, is obtained by providing mental health, case management, medication support, and
2 crisis intervention services to Clients open in IRIS.

3 9. Face-to-Face Contact means, as it pertains to a FSP, a direct encounter between
4 CONTRACTOR's staff and Client(s)/parent(s)/guardian(s). This does not include contact by phone,
5 email, etc. For the purpose of completing an Encounter Document, Face-to-Face Contact means a direct
6 encounter between staff and Client(s), regardless if another individual(s) is/are present or not.

7 10. Family Team means a group formed to meet the needs of a FSP eligible Client through
8 whatever means possible, and this team includes a program staff, the eligible Client, the Client's family
9 members, and other support individual(s) the family agrees to include on the team.

10 11. FSP means a program model described in COUNTY's MHSA plan that has been approved
11 by the State. The MHSA plan describes how COUNTY will utilize MHSA funds to develop and
12 implement treatment plans for mental health Clients through FSPs. A FSP is an evidence-based and
13 strength-based model with the focus on the individual rather than the disease.

14 12. Group Home is a facility for housing youth and is licensed by Community Care Licensing
15 under the provisions of CCR, Title 22, Division 6, et seq.

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

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

23 15. Intake means the initial meeting between a Client and CONTRACTOR's staff, and includes
24 an evaluation of the Client to determine if the Client meets program criteria and is willing to seek
25 services.

26 16. IRIS means the COUNTY's database system that collects Clients' information such as
27 registration, scheduled appointments, laboratory information system, invoice and reporting capabilities,
28 compliance with regulatory requirements, electronic medical records, and other relevant applications.

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

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

1 19. LPC means a licensed individual, pursuant to the provisions of Chapter 13 of the
 2 California Business and Professions Code, pursuant to the provisions of Chapter 16 of the California
 3 Business and Professions Code, who can provide clinical service to Clients. The license must be current
 4 and in force, and has not been suspended or revoked. Also, it is preferred that the individual has at least
 5 one (1) year of experience treating children and TAY.

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

10 21. Licensed Psychologist means a licensed individual, pursuant to the provisions of Chapter
 11 6.6 of the California Business and Professions Code, who can provide clinical services to Clients. The
 12 license must be current and in force, and has not been suspended or revoked. Also, it is preferred that
 13 the individual has at least one (1) year of experience treating children and TAY.

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

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

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

30 a. Assessment means a service activity, which may include a clinical analysis of the
 31 history and current status of a Client's mental, emotional, behavioral disorder, and relevant cultural
 32 issues. The Assessment also needs to include history of services being provided, diagnosis, and use of
 33 testing procedures.

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

37 c. Co-Occurring see DD Integrated Treatment Model.

1 d. DD Integrated Treatment Model means a program that uses a stage-wise treatment
 2 model and is non-confrontational, follows behavioral principles, considers interactions between mental
 3 illness and substance abuse, and has gradual expectations of abstinence. Mental illness and substance
 4 abuse research has strongly indicated that a Client with co-occurring disorder needs treatment for both
 5 problems to recover fully and focusing on one does not ensure the other will go away. Dual diagnosis
 6 services integrate assistance for each condition by helping Clients recover from mental illness and
 7 substance abuse in one setting and at the same time.

8 e. ICC Service means assessment and plan development services, to children and youth
 9 that qualify under the Katie A. Subclass, that must address the child/youth's mental health need(s)
 10 through the coordination of care with providers not primarily associated with mental health services such
 11 as the Social Services Agency, Probation Department, and schools (although the client, collateral and
 12 mental health providers may also be present).

13 f. IHBS Service means intensive, individualized and strength-based interventions, with
 14 children and youth that qualify under the Katie A. Subclass, to assist the child/youth and his/her
 15 significant support persons to develop skills to achieve the goals and objectives of the child/youth's
 16 treatment plan. IHBS only includes Individual Rehabilitation and Collateral services. Mental Health
 17 Services other than Individual Rehabilitation and Collateral will be claimed separately from IHBS.

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

26 h. Rehabilitation Service means an activity which includes assistance to improving,
 27 maintaining, or restoring a Client's or group of Clients' functional skills, daily living skills, social and
 28 leisure skill, grooming and personal hygiene skills, meal preparation skills, support resources and/or
 29 medication education.

30 i. TCM means services that assist a Client to access needed medical, educational, social,
 31 prevocational, vocational, rehabilitative, or other community services. These service activities may
 32 include, but are not limited to: communicating and coordinating services through referral; monitoring
 33 service delivery to ensure Clients' access to service and the service delivery system; and tracking of
 34 Clients' progress and plan development.

35 j. TBS means one-on-one behavioral interventions with a Client, which is designed to
 36 reduce or eliminate targeted behaviors as identified in the Client's treatment plan. Collateral services are
 37 also provided to parent(s)/guardian(s) as part of TBS. Clients must be Medi-Cal eligible and meet TBS

1 class membership and service need requirements. Documentation in the medical record must support
 2 Medical Necessity for these intensive services. Cases in which Clients are receiving more than twenty
 3 (20) hours per week of TBS or those who are expected to receive more than four months (120 days) of
 4 TBS must be approved by ADMINISTRATOR. ADMINISTRATOR has to approve individuals that are
 5 delivering these intervention services to ensure they are qualified to deliver these services.

6 k. Therapy means a therapeutic intervention that focuses primarily on symptom reduction
 7 as a means to improve functional impairments. Therapy may be delivered to a Client or a group of
 8 Clients, which may include family therapy with Client being present.

9 l. MHSA means the State of California law that provides funding for expanded
 10 community mental health services. It is also known as "Proposition 63."

11 m. Mental Health Worker means an individual who has obtained a Bachelor's degree in a
 12 mental health field or has a high school diploma along with two (2) years of experience delivering
 13 services in a mental health field.

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

21 25. NPI means the standard unique health identifier that was adopted by the Secretary of HHS
 22 under HIPAA of 1996 for health care providers. All HIPAA covered healthcare providers, individuals,
 23 and organizations must obtain an NPI for use to identify themselves in HIPAA standard transactions.
 24 The NPI is assigned for life.

25 26. NOA-A means a Medi-Cal requirement that informs the beneficiary that she/he is not
 26 entitled to any specialty mental health service. The COUNTY has expanded the requirement for an
 27 NOA-A to all beneficiaries requesting an assessment for services and found not to meet the Medical
 28 Necessity criteria for specialty mental health services.

29 27. NPP means a document that notifies Clients of uses and disclosures of PHI. The NPP may
 30 be made by, or on behalf of, the health plan or health care provider as set forth in the of 1996 HIPAA.

31 28. Nurse Practitioner means a medical professional with an advanced degree in nursing that
 32 performs a variety of duties in care settings focused around a nursing model.

33 29. Outcomes Analyst/Data Mining Analyst means an individual who ensures that an FSP
 34 program maintains a focus on program outcomes. This individual will be responsible for reviewing
 35 outcome data, analyzing data, and developing strategies for gathering new data from Client's perspective
 36 to improve FSP's understanding of Client's needs and desires towards furthering their Recovery. This
 37 individual will also provide feedback to the program and work collaboratively with the employment

1 specialist, education specialist, benefits specialist, and other staff in the program to strategize and
 2 improve outcomes in service delivery. In addition, this position will be responsible for attending all data
 3 and outcome related meetings and ensuring that the FSP is being proactive in all data collection
 4 requirements and changes at the local and state levels.

5 30. Outreach means linking potential Clients to appropriate mental health services within the
 6 community. Outreach activities will include educating the community about the services offered and
 7 requirements for participation in the programs. Such activities may result in the CONTRACTOR
 8 developing referral sources for Clients from various programs being offered within the community.

9 31. PBM Company means a company contracted by the COUNTY that manages the medication
 10 benefits for Clients that are qualified for medication benefits.

11 32. POC means a written plan, including by reference any Juvenile Court order(s), developed
 12 and signed by the Family Team that includes the following elements:

- 13 a. A statement of an overall goal or vision for the Client and Client's family.
- 14 b. The strengths of the Client and Client's family.
- 15 c. The needs, as defined by specific life areas that must be met to achieve the goal(s) of
 16 the Client and Client's family.
- 17 d. Prevention and intervention Safety Plans.
- 18 e. The type, frequency, and duration of intervention strategies.
- 19 f. Financial responsibility for the components of the POC.
- 20 g. Desired outcomes.

21 33. Pre-Licensed Psychologist means an individual who has a Ph.D. or Psy.D. in Clinical
 22 Psychology and is registered with the Board of Psychology as a Registered Psychologist or
 23 Psychological Assistant, while acquiring hours for licensing and providing services under a waiver in
 24 accordance with WIC section 575.2. The waiver may not exceed five (5) years.

25 34. Pre-Licensed Therapist means an individual who has a Master's Degree in social work or
 26 MFT, PCC and is registered with the BBS as an associate clinical social worker, PCC intern, or MFT
 27 intern, while acquiring hours for licensing. Registration is subject to regulations adopted by BBS.

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

33 36. PHI means individually identifiable health information usually transmitted through
 34 electronic media. PHI can be maintained in any medium as defined in the regulations, or for an entity
 35 such as a health plan, transmitted or maintained in any other medium. It is created or received by a
 36 covered entity and is related to the past, present, or future physical or mental health or condition of an
 37 //

1 individual, provision of health care to an individual, or the past, present, or future payment for health
2 care provided to an individual.

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

6 38. Psychology Student or Psychology Intern means an individual who is in school pursuing a
7 Ph.D. or Psy.D. in Clinical Psychology, and may or may not meet the criteria for a DHCS Waiver in
8 order to provide services in accordance with DHCS Information Letter No. 10-03. The waiver may not
9 exceed (5) years.

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

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

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

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

28 43. Supervisory Review means ongoing clinical case reviews in accordance with procedures
29 developed by the COUNTY to determine the appropriateness of the diagnosis and treatment plan for
30 Clients, as well as to monitor compliance to the minimum ADMINISTRATOR and Medi-Cal charting
31 standards. Supervisory review is conducted by the program/clinic director or designee.

32 44. Token means the security device which allows an end-user to access the
33 ADMINISTRATOR’s computer based IRIS.

34 45. UMDAP means the method used for determining the annual Client liability for mental
35 health services received from the COUNTY’s mental health system and is set by the State of California.

36 46. Wellness Coordinator means an individual who specializes in assisting Clients with access
37 to a myriad of health care needs, nutrition resources, and other community supports. This individual will

1 be responsible for documenting the services required, as well as communicating the needs of Clients to
 2 the Family Team.

3 47. Wraparound Orange County means the wraparound program administered by COUNTY's
 4 SSA and is available to children and TAY who are returning from or being considered for placement in
 5 group homes.

6 B. CONTRACTOR AND ADMINISTRATOR may mutually agree, in writing, to modify the
 7 Common Terms and Condition Paragraph of this Exhibit A to the Agreement.

8
 9 **II. BUDGET**

10 ~~— A. COUNTY shall pay CONTRACTOR in accordance with the Payments Paragraph of this~~
 11 ~~Exhibit A to the Agreement and the following budget, which is set forth for informational purposes only~~
 12 ~~and may be adjusted by mutual agreement, in writing, of ADMINISTRATOR and CONTRACTOR.~~

	<u>TOTAL</u>
ADMINISTRATIVE COSTS	
— Indirect	\$ 447,900
SUBTOTAL ADMINISTRATIVE COSTS	\$ 447,900
 PROGRAM COSTS	
— Salaries	\$2,422,371
— Benefits	605,592
— Services and Supplies	506,720
— Subcontracts	<u>197,015</u>
SUBTOTAL PROGRAM COSTS	\$3,731,698
 TOTAL GROSS COSTS	\$4,179,598
 REVENUE	
— Federal Medi Cal	2,089,799
— State EPSDT	1,880,819
— COUNTY Discretionary	<u>208,980</u>
TOTAL REVENUE	\$4,179,598
 TOTAL MAXIMUM OBLIGATION	\$4,179,598

34
 35
 36 #^cA. COUNTY shall pay CONTRACTOR in accordance with the Payments Paragraph of this
 37 Exhibit A to the Agreement and the following budget, which is set forth for informational purposes only

and may be adjusted by mutual agreement, in writing, of ADMINISTRATOR and CONTRACTOR.

	<u>PERIOD</u> <u>ONE</u>	<u>PERIOD</u> <u>TWO</u>	<u>PERIOD</u> <u>THREE</u>	<u>TOTAL</u>
<u>ADMINISTRATIVE COST</u>				
Indirect	\$ 475,650	\$ 475,648	\$ 58,484	\$ 1,009,782
<u>PROGRAM COST</u>				
Salaries	\$ 2,342,401	\$ 2,355,000	\$ 270,413	\$ 4,967,814
Benefits	585,600	588,750	67,603	1,241,953
Services and Supplies	537,279	537,702	63,300	1,138,281
Subcontracts	343,668	327,498	66,560	737,726
<u>SUBTOTAL PROGRAM COST</u>	\$ 3,808,948	\$ 3,808,950	\$ 467,876	\$ 8,085,774
<u>TOTAL GROSS COST</u>	\$ 4,284,598	\$ 4,284,598	\$ 526,360	\$ 9,095,556
<u>REVENUE</u>				
Federal Medi-Cal	\$ 2,089,799	\$ 2,089,799	\$ 263,180	\$ 4,442,778
State Medi-Cal Match	1,880,819	1,880,819	236,862	3,998,500
County Discretionary	208,980	208,980	26,318	444,278
MHSA	105,000	105,000	0	210,000
<u>TOTAL REVENUE</u>	\$ 4,284,598	\$ 4,284,598	\$ 526,360	\$ 9,095,556
<u>TOTAL MAXIMUM OBLIGATION</u>	\$ 4,284,598	\$ 4,284,598	\$ 526,360	\$ 9,095,556

B. CONTRACTOR agrees that the amount of the State match is dependent upon, and shall at no time be greater than, the amount of Federal Medi-Cal actually generated by CONTRACTOR, unless authorized by ADMINISTRATOR.

C. The total cost of services provided for in the Agreement are based upon projected revenue generation and shall be reimbursed by Federal Medi-Cal, State, and COUNTY revenues. CONTRACTOR agrees that if actual Federal Medi-Cal and State reimbursement, based upon the completed DHCS Cost Report for each Fiscal Year is less than budgeted, the Maximum Obligation shall

1 be adjusted down by the amount of under generated Federal Medi-Cal and/or State revenue.

2 D. In the event CONTRACTOR collects fees and insurance, including Medicare, for services
3 provided pursuant to the Agreement, CONTRACTOR may make written application to
4 ADMINISTRATOR to retain such revenues; provided, however, the application must specify that the
5 fees and insurance shall be utilized exclusively to provide mental health services. ADMINISTRATOR
6 may, at its sole discretion, approve any such retention of revenues. Approval by ADMINISTRATOR
7 shall be in writing to CONTRACTOR and shall specify the amount of said revenues to be retained and
8 the quantity of services to be provided by CONTRACTOR.

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

20 F. FINANCIAL RECORDS - CONTRACTOR shall prepare and maintain accurate and complete
21 financial records of its cost and operating expenses. Such records will reflect the actual cost of the type
22 of service for which payment is claimed. Any apportionment of or distribution of costs, including
23 indirect costs, to or between programs or cost centers of CONTRACTOR shall be documented, and will
24 be made in accordance with GAAP and Medicare regulations. The Client eligibility determination and
25 fee charged to and collected from Clients, together with a record of all invoices rendered and revenues
26 received from any source, on behalf of Clients treated pursuant to the Agreement, must be reflected in
27 CONTRACTOR's financial records.

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

30 31 **III. PAYMENTS**

32 A. COUNTY shall pay CONTRACTOR monthly, in arrears, at the provisional amount of \$348,300
33 per month. All payments are interim payments only, and subject to final settlement in accordance with
34 the Cost Report Paragraph of the Agreement for which CONTRACTOR shall be reimbursed for the
35 actual cost of providing the services, which may include Indirect Administrative Costs, as identified in
36 Subparagraph II.A. of this Exhibit A to the Agreement; provided, however, the total of such payments
37 does not exceed the Maximum Obligation for each period as stated in the Referenced Contract

1 Provisions of the Agreement and, provided further, CONTRACTOR's costs are reimbursable pursuant to
 2 COUNTY, state, and/or federal regulations. ADMINISTRATOR may, at its discretion, pay
 3 supplemental invoices for any month for which the provisional amount specified above has not been
 4 fully paid.

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

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

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

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

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

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

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

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

34
 35
 36
 37

IV. REPORTS

A. CONTRACTOR shall maintain records and make statistical reports as required by ADMINISTRATOR and the DHCS on forms provided by either agency.

B. FISCAL

1. Expenditure and Revenue Report. CONTRACTOR shall submit monthly Expenditure and Revenue Reports to ADMINISTRATOR. These reports will be on a form provided by ADMINISTRATOR and will report year-to-date actual costs and revenues for CONTRACTOR's program described in the Services Paragraph of this Exhibit A to the Agreement. Such reports will also include actual productivity as defined by ADMINISTRATOR.

2. Year-End Projections. In conjunction with the Expenditure and Revenue Report, CONTRACTOR shall provide monthly year-end projections that shall include year-to-date actual costs and revenues and anticipated year-end actual costs and revenues for CONTRACTOR's program described in the Services Paragraph of this Exhibit A to the Agreement.

3. The Expenditure and Revenue and Year-End Projection report shall be received by ADMINISTRATOR no later than the twentieth (20th) day following the end of the month being reported.

C. STAFFING – CONTRACTOR shall submit monthly Staffing Reports to ADMINISTRATOR. These reports shall be on a form provided by ADMINISTRATOR and shall, at a minimum, report overall FTEs of the positions stipulated in the Staffing Paragraph of this Exhibit A to the Agreement, and staff hours worked by position. The reports will be received by ADMINISTRATOR no later than twenty (20) calendar days following the end of the month being reported.

D. PROGRAMMATIC – Throughout the term of the Agreement, CONTRACTOR shall submit monthly programmatic reports to ADMINISTRATOR, which shall be received by ADMINISTRATOR no later than twenty (20) calendar days following the end of the month being reported. Programmatic reports shall be in a format(s) approved by ADMINISTRATOR and shall include a description of CONTRACTOR's progress in implementing the provisions of the Agreement, number of active cases, number of Client's admitted/discharged, details of outreach activities and their results, any pertinent facts or interim findings, staff changes, status of licenses and/or certifications, changes in population served and reasons for any such changes. CONTRACTOR shall be prepared to present and discuss their programmatic reports at their monthly scheduled meetings with ADMINISTRATOR and shall state whether or not it is progressing satisfactorily in achieving all the terms of the Agreement, and if not, shall specify what steps are being taken to achieve satisfactory progress.

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

F. CONTRACTOR must request in writing any extensions to the due date of the monthly required

1 report. If an extension is approved by ADMINISTRATOR, the total extension will not exceed more
2 than five (5) calendar days.

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

5 6 **V. SERVICES**

7 **A. FACILITIES**

8 1. CONTRACTOR shall maintain a minimum of two (2) fully licensed and appropriate
9 facilities for the provision of Mental Health Outpatient Services for Children and Youth which meet(s)
10 the minimum requirements for Medi-Cal eligibility at the following location(s) or any other location(s)
11 approved by ADMINISTRATOR, as specified below:

12 13 **East Region**

14 18302 Irvine Blvd., Suite 300
15 Tustin, CA 92780

12 13 **North Region**

14 233 South Quintana Drive
15 Anaheim, CA 92807

16
17 2. CONTRACTOR shall also make an effort to provide services in community-based facilities
18 such as school sites when appropriate for more effective provision of services to the Client.

19 3. CONTRACTOR shall maintain regularly scheduled service hours, five days a week
20 throughout the year and maintain the capability to provide services during after-school hours on
21 weekdays until 8:00 p.m., and on weekends, if necessary, in order to accommodate Clients unable to
22 participate during regular business hours.

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

26 b. CONTRACTOR shall provide twenty-four (24) hour crisis intervention services and
27 provide a plan for twenty-four (24)-hour psychiatric emergency services to minors which includes
28 informing Clients and their families whom to contact for emergency services when the
29 CONTRACTOR's facility is closed.

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

32 **B. MENTAL HEALTH OUTPATIENT SERVICES**

33 1. CONTRACTOR shall provide outpatient mental health services primarily to COUNTY
34 Medi-Cal eligible Clients up to the age of twenty-one (21) years old.

35 2. CONTRACTOR shall conduct outreach to develop and maintain CONTRACTOR's own
36 referral sources to ensure sufficient caseloads to meet contractual obligations.

37 3. CONTRACTOR shall provide medically necessary services to Medi-Cal eligible, special

1 population Clients that may include, but not be limited to, preschool children, wards and dependents of
 2 the courts, dually diagnosed children, group home and foster children, and TAY. Services shall be
 3 provided at a level and frequency and duration that is consistent with each Client's level of dysfunction
 4 and treatment goals, and consistent with individualized, solution-focused, evidenced-based practices.

5 The population to whom services are to be provided shall include, but may not be limited to:

6 a. Children who are acutely or chronically and seriously mentally ill, and for whom
 7 hospitalization or other out-of-home placement is imminent without immediate intervention.

8 b. Children who are severely emotionally ill but not in an emergency situation who,
 9 without appropriate treatment, will deteriorate and later require more intensive and costly treatment, and
 10 possibly face removal from their homes.

11 c. Families whose children can be diverted from the regular mental health care system
 12 through parent education and consultation services.

13 d. Children at risk for psychiatric hospitalization.

14 e. Children who are having difficulty in school, or are at risk of being placed in special
 15 education.

16 f. Children who are in special education.

17 g. Minors of all ages who are in group home placement and who meet the COUNTY's
 18 admission criteria under the Medi-Cal Outpatient Consolidation Plan.

19 h. Foster children of all ages and underserved Clients whose mental health problems are
 20 causing them impaired functioning in different life domains.

21 i. Similar children who may be referred by a CalOPTIMA primary care provider.

22 4. In the situation where a Medi-Cal Client no longer meets Medi-Cal eligibility as verified by
 23 the State Medi-Cal website, CONTRACTOR, upon reasonable discovery of this situation, shall
 24 discharge the Client from IRIS and refer the Client to appropriate services in the community. If
 25 necessary, CONTRACTOR can request, in writing, approval from ADMINISTRATOR to continue to
 26 provide services for a specified amount of time/sessions as determined appropriate by
 27 ADMINISTRATOR while linking the Client to other appropriate services.

28 5. CONTRACTOR shall offer clinical intervention within five (5) business days of Client's
 29 referral for services. A sufficient amount of treatment services shall be provided during evening hours in
 30 order to accommodate Clients and their parents not able to participate during regular day-time hours.

31 Treatment services shall include, but may not be limited to:

32 a. Performing clinical and psycho-diagnostic assessment using DSM-IV Five Axis
 33 diagnosis, to include clinical consideration of each fundamental need: physical, psychological,
 34 maturational, developmental, familial, educational, social, environmental and recreational. Additional
 35 examinations, tests and evaluations may be conducted as clinically indicated. Findings of the
 36 examinations and evaluations shall be documented in the Client record and signed by CONTRACTOR's
 37 appropriate and responsible staff.

1 b. Obtaining valid consents from parents or courts for treatment.

2 c. Developing a written treatment plan for each Client that shall be based on the
3 assessment and diagnosis of that Client. The treatment plan shall delineate and justify all specific
4 treatment modes and therapeutic modalities to be used, and shall be developed in accordance with
5 ADMINISTRATOR standards, and utilize a full range of appropriate psychiatric and psychological
6 treatment modes and modalities. All treatment/service plans, coordination plans, and assessment
7 documents shall be developed within sixty (60) calendar days from the first planned Face-to-Face
8 Contact with an individual Client and/or significant support person(s). Such plans shall identify specific
9 treatment modes, milestones for the individual Client, obstacles/symptoms, and efforts of significant
10 support person(s) and program staff on behalf of the Client. All treatment/service plans shall include
11 observable and measurable Client milestones.

12 d. Use of individual therapy, brief intensive services, and short and long-term group
13 therapy modalities including psycho-educational, cognitive behavioral and child management therapy
14 techniques. CONTRACTOR shall develop and implement group therapy modalities for conditions that,
15 according to established research, would particularly show improvement when treated in this manner.

16 e. Collateral services, including support or educational services to a Client's adult
17 caregivers to help them in their parenting role. Services shall be provided to adult caregivers when it is
18 determined that it is in the best interest in treating the minor Client, and CONTRACTOR shall promote
19 active participation of Client's family. CONTRACTOR shall refer the adult caregiver(s) to an
20 appropriate adult mental health provider for medication and/or mental health services to address the
21 adult caregiver's DSM-IV-TR mental disorder.

22 f. Providing other mental health services which may include, but not be limited to, family
23 therapy, crisis intervention, treatment planning, discharge planning, case management, linkage, and
24 consultation.

25 g. Medication support services, including a system of medication quality review, which
26 shall be provided by well trained, experienced psychiatrists knowledgeable in the use of medication to
27 improve the functioning and enhance the self-esteem of children. Medication used solely for psychiatric
28 purposes, and no other purposes, shall be prescribed for all Clients for whom it is clinically indicated.
29 CONTRACTOR shall ensure that the following are adhered to:

30 1) Established plan for maximizing use of physician time.

31 2) CONTRACTOR shall use COUNTY's formulary and prescribing practices.

32 3) Prescriptions may be filled at any pharmacy with which the COUNTY's PBM has a
33 contract; provided that CONTRACTOR shall be responsible for noting the Medi-Cal number on
34 prescriptions for Medi-Cal Clients.

35 4) CONTRACTOR shall provide COUNTY, in writing, with the name, license
36 number, and Drug Enforcement Agency number of any physician who will be prescribing medications,
37 prior to the physician's start date. Failure to so notify COUNTY may result in CONTRACTOR being

1 liable for the cost of the medication.

2 5) CONTRACTOR shall order such laboratory tests as are necessary and appropriate
3 to monitor psychotropic medications and shall be responsible for the cost of such tests.

4 h. In coordination and integration with COUNTY's ADAS, providing or causing to be
5 provided, all necessary substance abuse treatment services for Clients who are dually diagnosed with a
6 concurrent substance abuse problem in addition to their mental illness, when appropriate.

7 i. Providing advocacy services on behalf of the Clients including intervening for the
8 Clients with social services, probation and health departments, justice system, etc., as well as attending
9 Individual Education Program meetings when requested by COUNTY.

10 j. Providing additional services, through a wide range of service options, which may
11 include, but not be limited to, in-classroom consultation and visits to other facilities, including, but not
12 limited to, Juvenile Hall, schools, Orangewood Children and Family Center, contractor clinics, and
13 COUNTY operated clinics to provide treatment, assessment, and consultation.

14 6. CONTRACTOR shall identify Clients who may be eligible to receive TBS. If
15 CONTRACTOR is certified to provide TBS, CONTRACTOR shall notify COUNTY of the starting and
16 ending of each TBS case and CONTRACTOR is responsible for ensuring each and every TBS case
17 meets medical necessity and TBS eligibility requirements. The DHCS Annual Compliance Review
18 protocol section titled "Therapeutic Behavioral Services" (Section L) should be used to ensure
19 appropriate provision of TBS. If CONTRACTOR is not certified to provide TBS, CONTRACTOR shall
20 refer said Clients to COUNTY for referral to a TBS contractor agency. TBS services shall only be
21 provided through agencies certified to provide TBS.

22 7. CONTRACTOR shall accept referrals from and make referrals to the various MHSA
23 programs, as appropriate. CONTRACTOR shall coordinate referrals with other existing mental health
24 services and wraparound services, to ensure that Clients and their families are given access to the most
25 appropriate level and type of service. Other services may include Wraparound Orange County; MHSA
26 FSP programs for children, TAY, or adults; and other COUNTY mental health services.

27 8. CONTRACTOR shall participate in any clinical case review and implement any
28 recommendations made by COUNTY to improve Client care.

29 9. CONTRACTOR shall conduct Supervisory Review at sixty (60) calendar day and six (6)
30 month intervals, in accordance with procedures developed by ADMINISTRATOR. CONTRACTOR
31 shall conduct thirty (30)-day review of open cases, or previously opened with another provider.
32 CONTRACTOR shall ensure that all chart documentation complies with all federal, state, and local
33 guidelines and standards.

34 C. CONTRACTOR RESPONSIBILITIES

35 1. CONTRACTOR shall ensure that all staff are trained and have a clear understanding of
36 CONTRACTOR's administrative and program P&Ps. CONTRACTOR shall provide signature
37 confirmation of its P&P training for each staff member and place in their personnel files.

1 2. CONTRACTOR shall ensure that all staff complete the COUNTY's Annual Provider
2 Training, and staff responsible for input into IRIS complete IRIS New User Training.

3 3. CONTRACTOR shall ensure that Annual Compliance Training is completed as set forth in
4 Subparagraph C. of the Compliance Paragraph of the Agreement.

5 4. CONTRACTOR shall agree to adopt and comply with the written Quality Improvement
6 Implementation Plan and procedures provided by ADMINISTRATOR which describe the requirements
7 for quality improvement, supervisory review, and medication monitoring.

8 5. CONTRACTOR shall agree to adopt and comply with the documentation standards as per
9 ADMINISTRATOR's Standards of Care practices; P&P's, Annual Provider Training; DHCS State
10 Contract; Title IX; the State EPSDT Documentation Manual; the State EPSDT TBS Documentation
11 Manual; and the EPSDT TBS Coordination of Care Best Practices Manual as provided by
12 ADMINISTRATOR, which describe, but are not limited to, the requirements for Medi-Cal and
13 ADMINISTRATOR charting standards; and any state regulatory requirements.

14 6. CONTRACTOR shall regularly review their charting, IRIS data input, and invoice systems
15 to ensure compliance with COUNTY and State P&Ps and establish mechanisms to prevent inaccurate
16 claim submissions.

17 7. CONTRACTOR shall maintain on file at the facility minutes and records of all quality
18 improvement meetings and processes. Such records and minutes shall also be subject to regular review
19 by ADMINISTRATOR in the manner specified in the Quality Improvement Implementation Plan and
20 ADMINISTRATOR's P&Ps.

21 8. CONTRACTOR shall attend:

22 a. Case conferences, as requested by ADMINISTRATOR to address any aspect of clinical
23 care.

24 b. Monthly meetings with ADMINISTRATOR to discuss contractual and other issues
25 related to, but not limited to compliance with P&Ps, statistics and clinical services.

26 c. Clinical staff training for individuals by ADMINISTRATOR. Such training shall be
27 conducted by CONTRACTOR and/or ADMINISTRATOR.

28 d. Quarterly QIC meetings.

29 9. CONTRACTOR shall allow ADMINISTRATOR to attend, and if necessary conduct, QIC
30 and medication monitoring meetings.

31 D. PERFORMANCE OUTCOMES

32 1. CONTRACTOR shall complete Performance Outcome Measures as required by State
33 and/or COUNTY.

34 2. ADMINISTRATOR shall develop and provide CONTRACTOR with performance outcome
35 measure guidelines for the purpose of evaluating the impact and/or contribution of CONTRACTOR's
36 services on the well-being of COUNTY residents being served under the terms of the Agreement. The
37 expected outcomes for the Monitoring Plan are to enable Clients to adaptively function at a higher and

1 more appropriate level and to provide a quantifiable and repeatable measure to assess overall program
2 effectiveness.

3 3. CONTRACTOR shall cooperate in data collection in order to develop baseline figures for
4 future evaluation and report performance in terms of Client satisfaction, length of stay, and duration of
5 services.

6 E. TOKENS – ADMINISTRATOR shall provide CONTRACTOR the necessary number of
7 Tokens for appropriate individual staff to access IRIS at no cost to the CONTRACTOR.

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

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

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

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

- 16 a. Token of each staff member who no longer supports the Agreement;
- 17 b. Token of each staff member who no longer requires access to IRIS;
- 18 c. Token of each staff member who leaves employment of CONTRACTOR; or
- 19 d. Token is malfunctioning;
- 20 e. Termination of the Agreement.

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

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

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

28 F. CONTRACTOR shall obtain a NPI.

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

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

35 G. CONTRACTOR shall provide the NPP for the COUNTY, as the MHP, at the time of the first
36 service provided under the Agreement to individuals who are covered by Medi-Cal and have not
37 previously received services at a COUNTY operated clinic. CONTRACTOR shall also provide, upon

1 request, the NPP for the COUNTY, as the MHP, to any individual who received services under the
2 Agreement.

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

8 I. CONTRACTOR shall not engage in, or permit any of its employees or subcontractors, to
9 conduct research activity on COUNTY Clients without obtaining prior written authorization from
10 ADMINISTRATOR.

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

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

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

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

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

36 **VI. STAFFING**

37 ~~A. CONTRACTOR shall, at a minimum, provide the following staffing pattern expressed in~~

~~FTEs continuously throughout the term of the Agreement. One (1) FTE shall be equal to an average of forty (40) hours of work per week to provide mental health outpatient services for children and youth:~~

PROGRAM	East Region	North Region
	<u>Tustin FTE</u>	<u>Anaheim FTE</u>
— Mental Health Director	0.40	0.40
— Assistant Director	0.50	0.50
— Quality Assurance Manager	0.50	0.50
— Clinical Supervisor	1.50	1.50
— Lead Case Assistant	1.00	0.00
— Case Assistant	2.50	2.00
— Intake Coordinator	0.40	0.60
— TBS Coordinator	1.00	0.00
— TBS Supervisor	1.00	0.00
— TASP Coordinator	0.00	1.00
— Program Assistant	1.00	1.00
— Lead Outpatient Therapist	0.00	1.00
— Outpatient Therapist	8.75	5.38
— Clinical Psychologist	0.50	0.50
— Clinical Psychologist Bil.	0.50	0.00
— Case Manager	1.75	1.00
— Mental Health Worker	0.00	5.00
— TBS Coach/Mental Health Worker	13.00	0.00
— Group Coordinator	0.25	0.25
— Nurse Practitioner	<u>-0.60</u>	<u>-0.40</u>
SUBTOTAL PROGRAM FTE	35.15	21.03
SUBCONTRACTORS		
— Psychiatrist	<u>-0.42</u>	<u>-0.28</u>
SUBTOTAL SUBCONTRACTOR FTE	-0.42	-0.28
GRAND TOTAL FTE	35.57	21.30

~~“A. CONTRACTOR shall, at a minimum, provide the following staffing pattern expressed in FTEs continuously throughout the term of the Agreement. One (1) FTE shall be equal to an average of forty (40) hours of work per week to provide mental health outpatient services for children and youth:~~

	<u>East Region</u>
	<u>Tustin</u>
<u>PROGRAM</u>	<u>FTE</u>
<u>Division Director</u>	<u>0.05</u>
<u>Mental Health Director</u>	<u>1.00</u>
<u>Clinical Supervisor</u>	<u>1.00</u>
<u>Case Assistant</u>	<u>1.00</u>
<u>Program Assistant</u>	<u>1.00</u>
<u>Outpatient Therapist</u>	<u>4.50</u>
<u>Registered Nurse</u>	<u>0.50</u>
<u>TBS Coach/MHW</u>	<u>2.00</u>
<u>SUBTOTAL PROGRAM FTE</u>	<u>11.05</u>
<u>SUBCONTRACTORS</u>	
<u>Psychiatrist</u>	<u>0.40</u>
<u>GRAND TOTAL FTE</u>	<u>11.45</u>

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

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

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

E. CONTRACTOR shall notify ADMINISTRATOR, in writing, no later than seventy-two (72) hours of any staffing vacancies or filling of vacant positions that occur during the term of the Agreement. CONTRACTOR's notification shall include at a minimum the following information: employee name(s), position title(s), date(s) of resignation, date(s) of hire, and a description of recruitment activity.

1 F. CONTRACTOR shall notify ADMINISTRATOR, in writing, no later than seven (7) business
2 days, in advance, of any proposed staffing changes, including but not limited to promotions, temporary
3 FTE changes, and temporary staffing assignments that occur during the term of the Agreement.

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

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

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

19 ~~J. WORKLOAD STANDARDS—CONTRACTOR understands and agrees that at any given time
20 the standards referenced below are minimum standards, and shall make every effort to exceed these
21 minimums.~~

22 ~~1. One (1) DSH shall be equal to sixty (60) minutes of direct Client service.~~

23 ~~2. CONTRACTOR shall provide a minimum of forty six thousand four hundred fifty four
24 (46,454) billable hours of service, with a minimum of seven hundred fifty eight (758) hours of
25 medication support services, and forty five thousand six hundred ninety six (45,696) hours of other
26 mental health, case management, and/or crisis intervention or TBS services as identified in the Services
27 Paragraph of this Exhibit A to the Agreement.~~

28 ~~3. CONTRACTOR shall provide a minimum of one hundred (100) billable DSHs per month per
29 FTE or one thousand two hundred (1,200) billable DSHs per year per contracted FTE clinician, of
30 mental health services, unless otherwise approved by ADMINISTRATOR. For the Group Home/Foster
31 Care Programs, CONTRACTOR shall maintain an appropriate caseload that will facilitate the provision
32 of the minimum direct service hours identified above.~~

33 ~~4. CONTRACTOR shall maintain an active and on going minimum caseload of at least four
34 hundred thirty six (436) unduplicated Clients, of which at least four hundred thirty six (436) shall be
35 Medi-Cal, throughout the term of the Agreement, unless otherwise approved by ADMINISTRATOR.~~

36 ~~5. CONTRACTOR shall not refuse Client referrals if any of CONTRACTOR's staff are
37 below workload standards, as defined in Subparagraph V.J. of this Exhibit A to the Agreement, unless~~

1 ~~otherwise approved by ADMINISTRATOR.~~

2 “J. WORKLOAD STANDARDS – CONTRACTOR understands and agrees that at any given time
 3 the standards referenced below are minimum standards, and shall make every effort to exceed these
 4 minimums.

5 1. One (1) DSH shall be equal to sixty (60) minutes of direct Client service.

6 2. For Period One, CONTRACTOR shall provide a minimum of forty-three thousand one
 7 hundred sixteen (43,116) billable hours of service, with a minimum of one thousand six hundred
 8 thirty-two (1,632) hours of medication support services, and forty-one thousand four hundred eighty-
 9 four (41,484) hours of other mental health, case management, and/or crisis intervention or TBS services
 10 as identified in the Services Paragraph of this Exhibit A to the Agreement.

11 3. For Period Two, CONTRACTOR shall provide a minimum of forty-two thousand three
 12 hundred thirty-six (42,336) billable hours of service, with a minimum of one thousand one hundred forty
 13 (1,140) hours of medication support services, and forty-one thousand one hundred ninety-six (41,196)
 14 hours of other mental health, case management, and/or crisis intervention or TBS services as identified
 15 in the Services Paragraph of this Exhibit A to the Agreement.

16 4. For Period Three, CONTRACTOR shall provide a minimum of four thousand three
 17 hundred eighty (4,380) billable hours of service, with a minimum of two hundred forty (240) hours of
 18 medication support services, and four thousand one hundred forty (4,140) hours of other mental health,
 19 case management, and/or crisis intervention or TBS services as identified in the Services Paragraph of
 20 this Exhibit A to the Agreement.

21 5. CONTRACTOR shall provide a minimum of one hundred (100) billable DHSs per month
 22 per FTE or one thousand two hundred (1,200) billable DHSs per year per contracted FTE clinician of
 23 mental health services, unless otherwise approved by ADMINISTRATOR. For the Group Home/Foster
 24 Care Program, CONTRACTOR shall maintain an appropriate caseload that will facilitate the provision
 25 of the minimum direct service hours identified above.

26 6. CONTRACTOR shall maintain an active and on-going minimum caseload of at least
 27 sixty-eight (68) unduplicated Clients, of which at least sixty-eight (68) shall be Medi-Cal, throughout
 28 the term of the Agreement, unless otherwise approved by ADMINISTRATOR.

29 7. CONTRACTOR shall not refuse Client referrals if any of CONTRACTOR’s staff are below
 30 workload standards, as defined in Subparagraph VI.J. of this Exhibit A to the Agreement, unless
 31 otherwise approved by ADMINISTRATOR.”

32 K. STUDENT INTERNS

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

35 a. CONTRACTOR shall meet minimum requirements for supervision of each student
 36 intern as required by the State Licensing Board and/or school program descriptions or work contracts.

37 b. Student intern services shall not comprise more than twenty percent (20%) of total

1 services provided.

2 2. CONTRACTOR shall provide a minimum of two (2) hours per week supervision to each
3 student intern providing mental health services and one (1) hour of supervision for each ten (10) hours of
4 treatment for student interns providing substance abuse services. CONTRACTOR shall provide
5 supervision to volunteers as specified in the respective job descriptions or work contracts.

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

8 //

9 //

10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37

1 EXHIBIT B
 2 TO AGREEMENT FOR PROVISION OF
 3 MENTAL HEALTH OUTPATIENT SERVICES FOR CHILDREN AND YOUTH
 4 BETWEEN
 5 COUNTY OF ORANGE
 6 AND
 7 SENECA FAMILY OF AGENCIES
 8 JULY 1, 2014 THROUGH JUNE 30, 2015
 9

10 **I. BUSINESS ASSOCIATE CONTRACT**

11 **A. GENERAL PROVISIONS AND RECITALS**

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

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

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

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

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

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

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

3 B. DEFINITIONS

4 1. "Administrative Safeguards" are administrative actions, and P&Ps, to manage the selection,
5 development, implementation, and maintenance of security measures to protect ePHI and to manage the
6 conduct of CONTRACTOR's workforce in relation to the protection of that information.

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

9 a. Breach excludes:

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

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

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

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

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

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

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

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

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

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

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

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

1 7. "Individual" shall have the meaning given to such term under the HIPAA Privacy Rule in
2 45 CFR § 160.103 and shall include a person who qualifies as a personal representative in accordance
3 with 45 CFR § 164.502(g).

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

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

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

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

13 12. "Secretary" shall mean the Secretary of the Department of HHS or his or her designee.

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

19 14. "The HIPAA Security Rule" shall mean the Security Standards for the Protection of ePHI at
20 45 CFR Part 160, Part 162, and Part 164, Subparts A and C.

21 15. "Subcontractor" shall have the meaning given to such term under the HIPAA regulations in
22 45 CFR § 160.103.

23 16. "Technical safeguards" means the technology and the P&Ps for its use that protect ePHI and
24 control access to it.

25 17. "Unsecured PHI" or "PHI that is unsecured" means PHI that is not rendered unusable,
26 unreadable, or indecipherable to unauthorized individuals through the use of a technology or
27 methodology specified by the Secretary of HHS in the guidance issued on the HHS Web site.

28 18. "Use" shall have the meaning given to such term under the HIPAA regulations in 45 CFR §
29 160.103.

30 C. OBLIGATIONS AND ACTIVITIES OF CONTRACTOR AS BUSINESS ASSOCIATE

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

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

1 3. CONTRACTOR agrees to comply with the HIPAA Security Rule at Subpart C of 45 CFR
2 Part 164 with respect to ePHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates,
3 receives, maintains, or transmits on behalf of COUNTY.

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

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

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

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

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

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

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

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

37 //

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

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

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

16 15 CONTRACTOR shall make itself and any subcontractors, employees or agents assisting
17 CONTRACTOR in the performance of its obligations under the Agreement, available to COUNTY at no
18 cost to COUNTY to testify as witnesses, or otherwise, in the event of litigation or administrative
19 proceedings being commenced against COUNTY, its directors, officers or employees based upon
20 claimed violation of HIPAA, the HIPAA regulations or other laws relating to security and privacy,
21 which involves inactions or actions by CONTRACTOR, except where CONTRACTOR or its
22 subcontractor, employee, or agent is a named adverse party.

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

33 a. CONTRACTOR does not promptly enter into negotiations to amend this Business
34 Associate Contract when requested by COUNTY pursuant to this Subparagraph C; or

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

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

4 D. SECURITY RULE

5 1. CONTRACTOR shall comply with the requirements of 45 CFR § 164.306 and establish and
 6 maintain appropriate Administrative, Physical and Technical Safeguards in accordance with 45 CFR §
 7 164.308, § 164.310, and § 164.312, with respect to ePHI COUNTY discloses to CONTRACTOR or
 8 CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY. CONTRACTOR
 9 shall develop and maintain a written information privacy and security program that includes
 10 Administrative, Physical, and Technical Safeguards appropriate to the size and complexity of
 11 CONTRACTOR's operations and the nature and scope of its activities.

12 2. CONTRACTOR shall implement reasonable and appropriate P&Ps to comply with the
 13 standards, implementation specifications and other requirements of 45 CFR Part 164, Subpart C, in
 14 compliance with 45 CFR § 164.316. CONTRACTOR will provide COUNTY with its current and
 15 updated policies upon request.

16 3. CONTRACTOR shall ensure the continuous security of all computerized data systems
 17 containing ePHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives,
 18 maintains, or transmits on behalf of COUNTY. CONTRACTOR shall protect paper documents
 19 containing PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains,
 20 or transmits on behalf of COUNTY. These steps shall include, at a minimum:

21 a. Complying with all of the data system security precautions listed under Subparagraph
 22 E., below;

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

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

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

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

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

1 E. DATA SECURITY REQUIREMENTS

2 1. Personal Controls

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

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

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

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

28 2. Technical Security Controls

29 a. Workstation/Laptop encryption. All workstations and laptops that store PHI COUNTY
30 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
31 COUNTY either directly or temporarily must be encrypted using a FIPS 140-2 certified algorithm which
32 is 128bit or higher, such as AES. The encryption solution must be full disk unless approved by the
33 COUNTY.

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

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

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

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

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

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

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

36 h. Data Destruction. When no longer needed, all PHI COUNTY discloses to
37 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY

1 must be wiped using the Gutmann or US DoD 5220.22-M (7 Pass) standard, or by degaussing. Media
2 may also be physically destroyed in accordance with NIST Special Publication 800-88. Other methods
3 require prior written permission by COUNTY.

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

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

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

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

23 m. Transmission encryption. All data transmissions of PHI COUNTY discloses to
24 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
25 outside the secure internal network must be encrypted using a FIPS 140-2 certified algorithm which is
26 128bit or higher, such as AES. Encryption can be end to end at the network level, or the data files
27 containing PHI can be encrypted. This requirement pertains to any type of PHI in motion such as
28 website access, file transfer, and E-Mail.

29 n. Intrusion Detection. All systems involved in accessing, holding, transporting, and
30 protecting PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains,
31 or transmits on behalf of COUNTY that are accessible via the Internet must be protected by a
32 comprehensive intrusion detection and prevention solution.

33 3. Audit Controls

34 a. System Security Review. CONTRACTOR must ensure audit control mechanisms that
35 record and examine system activity are in place. All systems processing and/or storing PHI COUNTY
36 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
37 COUNTY must have at least an annual system risk assessment/security review which provides assurance

1 that administrative, physical, and technical controls are functioning effectively and providing adequate
2 levels of protection. Reviews should include vulnerability scanning tools.

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

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

10 4. Business Continuity/Disaster Recovery Control

11 a. Emergency Mode Operation Plan. CONTRACTOR must establish a documented plan
12 to enable continuation of critical business processes and protection of the security of PHI COUNTY
13 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
14 COUNTY kept in an electronic format in the event of an emergency. Emergency means any
15 circumstance or situation that causes normal computer operations to become unavailable for use in
16 performing the work required under this Agreement for more than twenty four (24) hours.

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

23 5. Paper Document Controls

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

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

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

36 //

37 //

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

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

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

16 F. BREACH DISCOVERY AND NOTIFICATION

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

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

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

26 2. CONTRACTOR shall provide the notification of the Breach immediately to the COUNTY
27 Privacy Officer. CONTRACTOR's notification may be oral, but shall be followed by written
28 notification within twenty four (24) hours of the oral notification.

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

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

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

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

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

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

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

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

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

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

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

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

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

30 9. If the Breach is the fault of CONTRACTOR, CONTRACTOR shall bear all expense or
31 other costs associated with the Breach and shall reimburse COUNTY for all expenses COUNTY incurs
32 in addressing the Breach and consequences thereof, including costs of investigation, notification,
33 remediation, documentation or other costs associated with addressing the Breach.

34 G. PERMITTED USES AND DISCLOSURES BY CONTRACTOR

35 1. CONTRACTOR may use or further disclose PHI COUNTY discloses to CONTRACTOR
36 as necessary to perform functions, activities, or services for, or on behalf of, COUNTY as specified in
37 //

1 the Agreement, provided that such use or Disclosure would not violate the HIPAA Privacy Rule if done
2 by COUNTY except for the specific Uses and Disclosures set forth below.

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

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

8 1) The Disclosure is required by law; or

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

14 c. CONTRACTOR may use or further disclose PHI COUNTY discloses to
15 CONTRACTOR to provide Data Aggregation services relating to the Health Care Operations of
16 CONTRACTOR.

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

19 3. CONTRACTOR may use and disclose PHI COUNTY discloses to CONTRACTOR
20 consistent with the minimum necessary P&Ps of COUNTY.

21 4. CONTRACTOR may use or disclose PHI COUNTY discloses to CONTRACTOR as
22 required by law.

23 H. PROHIBITED USES AND DISCLOSURES

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

29 2. CONTRACTOR shall not directly or indirectly receive remuneration in exchange for PHI
30 COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on
31 behalf of COUNTY, except with the prior written consent of COUNTY and as permitted by 42 USC §
32 17935(d)(2).

33 I. OBLIGATIONS OF COUNTY

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

37 //

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

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

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

9 J. BUSINESS ASSOCIATE TERMINATION

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

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

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

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

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

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

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

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

31 //
32 //
33 //
34 //
35 //
36 //
37 //

1 EXHIBIT C
 2 TO AGREEMENT FOR PROVISION OF
 3 MENTAL HEALTH OUTPATIENT SERVICES FOR CHILDREN AND YOUTH
 4 BETWEEN
 5 COUNTY OF ORANGE
 6 AND
 7 SENECA FAMILY OF AGENCIES
 8 JULY 1, 2014 THROUGH JUNE 30, 2015
 9

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

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

13 A. DEFINITIONS

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

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

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

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

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

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

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

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

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

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

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

6 B. TERMS OF AGREEMENT

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

11 2. Responsibilities of CONTRACTOR

12 CONTRACTOR agrees:

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

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

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

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

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

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

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

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

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

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

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

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

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

34 //
35 //
36 //
37 //