

1                                    AGREEMENT FOR PROVISION OF  
2                                    BEHAVIORAL HEALTH OUTPATIENT SERVICES  
3                                    FOR CHILDREN AND YOUTH IN ADOPTION  
4                                    BETWEEN  
5                                    COUNTY OF ORANGE  
6                                    AND  
7                                    SENECA FAMILY OF AGENCIES  
8                                    JANUARY 1, 2017 THROUGH JUNE 30, 2018

9  
10        THIS AGREEMENT entered into this 1st day of January 2017, which date is enumerated for  
11 purposes of reference only, is by and between the COUNTY OF ORANGE (COUNTY) and  
12 SENECA FAMILY OF AGENCIES a California nonprofit corporation (CONTRACTOR). This  
13 Agreement shall be administered by the County of Orange Health Care Agency (ADMINISTRATOR).  
14

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

16  
17        WHEREAS, COUNTY wishes to contract with CONTRACTOR for the provision of  
18 Behavioral Health Outpatient Services for Children and Youth in Adoption, described herein to the  
19 residents of Orange County; and

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

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

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**REFERENCED CONTRACT PROVISIONS**

**Term:** January 1, 2017 through June 30, 2018

**Maximum Obligation:**

Period One Maximum Obligation:	\$ 500,000
Period Two Maximum Obligation:	<u>1,000,000</u>
TOTAL MAXIMUM OBLIGATION:	\$1,500,000

**Basis for Reimbursement:** Actual Cost

**Payment Method:** Monthly in Arrears

**CONTRACTOR DUNS Number:** 17-842-0030

**CONTRACTOR TAX ID Number:** 94-2971761

**Notices to COUNTY and CONTRACTOR:**

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

**CONTRACTOR:** Seneca Family of Agencies  
6925 Chabot Road  
Oakland, CA 94618  
Katherine West, Chief Operating Officer  
Katherine\_west@senecacenter.org

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**I. ACRONYMS**

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

A. ARRA	American Recovery and Reinvestment Act
B. BHS	Behavioral Health Services
C. CCC	California Civil Code
D. CCR	California Code of Regulations
E. CEO	County Executive Office
F. CFR	Code of Federal Regulations
G. CHPP	COUNTY HIPAA Policies and Procedures
H. COI	Certificate of Insurance
I. CRS	Crisis Residential Services
J. CSW	Clinical Social Worker
K. DD	Dual Diagnosis
L. D/MC	Drug/Medi-Cal
M. DHCS	Department of Health Care Services
N. DRS	Designated Record Set
O. DSH	Direct Service Hour
P. ePHI	Electronic Protected Health Information
Q. EPSDT	Early Periodic Screening, Diagnosis, and Treatment
R. FSP/W	Full Service Partnership/Wraparound
S. GAAP	Generally Accepted Accounting Principles
T. HCA	Health Care Agency
U. HHS	Health and Human Services
V. HIPAA	Health Insurance Portability and Accountability Act of 1996, Public Law 104-191
W. HSC	California Health and Safety Code
X. IRIS	Integrated Records and Information System
Y. ISO	Insurance Services Office
Z. LCSW	Licensed Clinical Social Worker
AA. LPT	Licensed Psychiatric Technician
AB. LVN	Licensed Vocational Nurse
AC. MFT	Marriage and Family Therapist
AD. MHP	Mental Health Plan
AE. MHSA	Mental Health Services Act
AF. MIHS	Medical and Institutional Health Services
AG. NOA-A	Notice of Action

1	AH. NPI	National Provider Identifier
2	AI. NPP	Notice of Privacy Practices
3	AJ. OIG	Office of Inspector General
4	AK. OMB	Office of Management and Budget
5	AL. OPM	Federal Office of Personnel Management
6	AM. PC	State of California Penal Code
7	AN. PHI	Protected Health Information
8	AO. PII	Personally Identifiable Information
9	AP. PRA	Public Record Act
10	AQ. QIC	Quality Improvement Committee
11	AR. SIR	Self-Insured Retention
12	AS. SSA	Social Services Agency
13	AT. TAY	Transitional Age Youth
14	AU. TBS	Therapeutic Behavioral Services
15	AV. USC	United States Code
16	AW. WIC	State of California Welfare and Institutions Code
17	AX. WOC	Wraparound Orange County

## 18

## 19 **II. ALTERATION OF TERMS**

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

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

## 27

## 28 **III. ASSIGNMENT OF DEBTS**

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

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#### IV. COMPLIANCE

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

1. ADMINISTRATOR shall provide CONTRACTOR with a copy of the relevant HCA policies and procedures relating to HCA's Compliance Program, HCA's Code of Conduct and General Compliance Trainings.

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

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

4. If CONTRACTOR elects to have its own Compliance Program and Code of Conduct then it shall submit a copy of its Compliance Program, Code of Conduct and relevant policies and procedures to ADMINISTRATOR within thirty (30) calendar days of award of this Agreement. ADMINISTRATOR's Compliance Officer shall determine if CONTRACTOR's Compliance Program and Code of Conduct contains all required elements. CONTRACTOR shall take necessary action to meet said standards or shall be asked to acknowledge and agree to HCA's Compliance Program and Code of Conduct if the CONTRACTOR's Compliance Program and Code of Conduct does not contain all required elements.

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

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

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

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1           1. Covered Individuals includes all contractors, subcontractors, agents, and other persons who  
 2 provide health care items or services or who perform billing or coding functions on behalf of  
 3 ADMINISTRATOR. Notwithstanding the above, this term does not include part-time or per-diem  
 4 employees, contractors, subcontractors, agents, and other persons who are not reasonably expected to  
 5 work more than one hundred sixty (160) hours per year; except that any such individuals shall become  
 6 Covered Individuals at the point when they work more than one hundred sixty (160) hours during the  
 7 calendar year. CONTRACTOR shall ensure that all Covered Individuals relative to this Agreement are  
 8 made aware of ADMINISTRATOR's Compliance Program, Code of Conduct and related policies and  
 9 procedures.

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

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

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

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

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

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

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

36           7. CONTRACTOR shall notify ADMINISTRATOR immediately if a Covered Individual or  
 37 entity is currently excluded, suspended or debarred, or is identified as such after being sanction screened.



Such individual or entity shall be immediately removed from participating in any activity associated with this Agreement. ADMINISTRATOR will determine appropriate repayment from, or sanction(s) to CONTRACTOR for services provided by ineligible person or individual. CONTRACTOR shall promptly return any overpayments within forty-five (45) business days after the overpayment is verified by ADMINISTRATOR.

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

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

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

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

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

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

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

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

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

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

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

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## **V. CONFIDENTIALITY**

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

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

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

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

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

## **VI. COST REPORT**

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

1 than five (5) business days following approval by ADMINSTRATOR of all individual Cost Reports to  
2 be incorporated into a consolidated Cost Report.

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

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

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

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

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

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

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

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1 to reduce any amount owed CONTRACTOR by an amount not to exceed the reimbursement due  
2 COUNTY.

3 D. Unless approved by ADMINISTRATOR, costs that exceed the Statewide Maximum Allowance  
4 (SMA) rates per Medi-Cal Unit of Services, as determined by the DHCS, shall be unreimbursable to  
5 CONTRACTOR.

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

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

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

20  
21 Signed \_\_\_\_\_  
22 Name \_\_\_\_\_  
23 Title \_\_\_\_\_  
24 Date \_\_\_\_\_"

## 25 26 **VII. DEBARMENT AND SUSPENSION CERTIFICATION**

27 A. CONTRACTOR certifies that it and its principals:

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

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

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

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

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

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

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

### **VIII. 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.

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

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

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

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

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

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

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

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

### **IX. EMPLOYEE ELIGIBILITY VERIFICATION**

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

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

### 4 **X. EQUIPMENT**

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

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

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

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

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

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

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

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

## 8 **XI. FACILITIES, PAYMENTS AND SERVICES**

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

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

## 21 **XII. INDEMNIFICATION AND INSURANCE**

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

32 B. Prior to the provision of services under this Agreement, CONTRACTOR agrees to purchase all  
33 required insurance at CONTRACTOR's expense and to submit to COUNTY the COI, including all  
34 endorsements required herein, necessary to satisfy COUNTY that the insurance provisions of this  
35 Agreement have been complied with and to maintain such insurance coverage with COUNTY during the  
36 entire term of this Agreement. In addition, all subcontractors performing work on behalf of  
37 CONTRACTOR pursuant to this Agreement shall obtain insurance subject to the same terms and



1 conditions as set forth herein for CONTRACTOR.

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

11 D. All SIRs and deductibles shall be clearly stated on the COI. If no SIRs or deductibles apply,  
12 indicate this on the COI with a zero (0) by the appropriate line of coverage. Any SIR or deductible in an  
13 amount in excess of \$25,000 (\$5,000 for automobile liability), shall specifically be approved by the  
14 CEO/Office of Risk Management upon review of CONTRACTOR's current audited financial report.

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

17 F. QUALIFIED INSURER

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

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

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

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

#### H. REQUIRED COVERAGE FORMS

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

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

#### I. REQUIRED ENDORSEMENTS

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

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

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

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2. The Network Security and Privacy Liability policy shall contain the following endorsements which shall accompany the COI:

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

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

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

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

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

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

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

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

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

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

#### R. SUBMISSION OF INSURANCE DOCUMENTS

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

a. Prior to the start date of this Agreement.

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

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

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

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

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

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

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

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

### **XIII. INSPECTIONS AND AUDITS**

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

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

1 C. AUDIT RESPONSE

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

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

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

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

23  
24 **XIV. LICENSES AND LAWS**

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

33 B. ENFORCEMENT OF CHILD SUPPORT OBLIGATIONS

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

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

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

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

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

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

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

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

1. ARRA of 2009.
2. Title 22, CCR, §51009, Confidentiality of Records.
3. California WIC, §14100.2, Medicaid Confidentiality.
4. D/MC Certification Standards for Substance Abuse Clinics, July 2004.
5. D/MC Billing Manual (March 23, 2010).
6. Federal Medicare Cost reimbursement principles and cost reporting standards.
7. State of California-Health and Human Services Agency, DHCS, Mental Health Services Division (MHSD), Medi-Cal Billing Manual, October 2013
8. Orange County Medi-Cal Mental Health Managed Care Plan.
9. Short Doyle/Medi-Cal Manual for the Rehabilitation Option and TCM.
10. Short Doyle/Medi-Cal Modifications/Revisions for the Rehabilitation Option and TCM Manual, including DMH Letter 94-14, dated July 7, 1994, DMH Letter No. 95-04, dated July 27, 1995, DMH Letter 96-03, dated August 13, 1996.
11. WIC, Division 5, Community Mental Health Services.
12. WIC, Division 6, Admissions and Judicial Commitments.
13. WIC, Division 7, Mental Institutions.
14. HSC, §§1250 et seq., Health Facilities.
15. PC, §§11164-11174.3, Child Abuse and Neglect Reporting Act.

16. CCR, Title 9, Rehabilitative and Developmental Services.
17. CCR, Title 17, Public Health.
18. CCR, Title 22, Social Security.
19. CFR, Title 42, Public Health.
20. CFR, Title 45, Public Welfare.
21. USC Title 42. Public Health and Welfare.
22. Federal Social Security Act, Title XVIII and Title XIX Medicare and Medicaid.
23. 42 USC §12101 et seq., Americans with Disabilities Act of 1990.
24. 42 USC §1857, et seq., Clean Air Act.
25. 33 USC 84, §308 and §§1251 et seq., the Federal Water Pollution Control Act.
26. 31 USC 7501.70, Federal Single Audit Act of 1984.
27. Policies and procedures set forth in Mental Health Services Act.
28. Policies and procedures set forth in DHCS Letters.
29. HIPAA privacy rule, as it may exist now, or be hereafter amended, and if applicable.
30. 31 USC 7501 – 7507, as well as its implementing regulations under 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

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

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

#### **XV. LITERATURE, ADVERTISEMENTS, AND SOCIAL MEDIA**

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

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

C. If CONTRACTOR uses social media (such as Facebook, Twitter, YouTube or other publicly available social media sites) in support of the services described within this Agreement, CONTRACTOR shall develop social media Policy & Procedures and have them available to ADMINISTRATOR upon

reasonable notice. CONTRACTOR shall inform ADMINISTRATOR of all forms of social media used to either directly or indirectly support the services described within this Agreement. CONTRACTOR shall comply with COUNTY Social Media Use Policy and Procedures as they pertain to any social media developed in support of the services described within this Agreement. CONTRACTOR shall also include any required funding statement information on social media when required by ADMINISTRATOR.

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

## **XVI. MAXIMUM OBLIGATION**

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

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

## **XVII. MINIMUM WAGE LAWS**

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

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

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

## **XVIII. NONDISCRIMINATION**

### **A. EMPLOYMENT**

1. During the term of this Agreement, CONTRACTOR and its Covered Individuals shall not unlawfully discriminate against any employee or applicant for employment because of his/her race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition,



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

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

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

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

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

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

29 B. SERVICES, BENEFITS AND FACILITIES – CONTRACTOR and/or subcontractor shall not  
 30 discriminate in the provision of services, the allocation of benefits, or in the accommodation in facilities  
 31 on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental  
 32 disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender  
 33 expression, age, sexual orientation, or military and veteran status in accordance with Title IX of the  
 34 Education Amendments of 1972 as they relate to 20 USC §1681 - §1688; Title VI of the Civil Rights  
 35 Act of 1964 (42 USC §2000d); the Age Discrimination Act of 1975 (42 USC §6101); Title 9, Division 4,  
 36 Chapter 6, Article 1 (§10800, et seq.) of the California Code of Regulations; and Title II of the Genetic  
 37 Information Nondiscrimination Act of 2008, 42 USC 2000ff, et seq. as applicable, and all other pertinent

rules and regulations promulgated pursuant thereto, and as otherwise provided by state law and regulations, as all may now exist or be hereafter amended or changed. For the purpose of this Nondiscrimination paragraph, Discrimination includes, but is not limited to the following based on one or more of the factors identified above:

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

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

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

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

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

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

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

E. RETALIATION – Neither CONTRACTOR nor subcontractor, nor its employees or agents shall intimidate, coerce or take adverse action against any person for the purpose of interfering with rights

secured by federal or state laws, or because such person has filed a complaint, certified, assisted or otherwise participated in an investigation, proceeding, hearing or any other activity undertaken to enforce rights secured by federal or state law.

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

## **XIX. NOTICES**

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

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

2. When faxed, transmission confirmed;

3. When sent by Email; or

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

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

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

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

## **XX. NOTIFICATION OF DEATH**

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

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

1. TELEPHONE NOTIFICATION – CONTRACTOR shall notify ADMINISTRATOR by telephone immediately upon becoming aware of the death due to non-terminal illness of any person served pursuant to this Agreement; provided, however, weekends and holidays shall not be included for

purposes of computing the time within which to give telephone notice and, notwithstanding the time limit herein specified, notice need only be given during normal business hours.

## 2. WRITTEN NOTIFICATION

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

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

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

## **XXI. NOTIFICATION OF PUBLIC EVENTS AND MEETINGS**

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

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

## **XXII. RECORDS MANAGEMENT AND MAINTENANCE**

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

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

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

D. CONTRACTOR shall ensure all HIPAA (DRS) requirements are met. HIPAA requires that

1 Clients, participants and/or patients be provided the right to access or receive a copy of their DRS and/or  
 2 request addendum to their records. Title 45 CFR §164.501, defines DRS as a group of records  
 3 maintained by or for a covered entity that is:

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

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

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

9 E. CONTRACTOR may retain participant, Client, and/or patient documentation electronically in  
 10 accordance with the terms of this Agreement and common business practices. If documentation is  
 11 retained electronically, CONTRACTOR shall, in the event of an audit or site visit:

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

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

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

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

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

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

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

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

33 K. If CONTRACTOR is unable to meet the record location criteria above, ADMINISTRATOR  
 34 may provide written approval to CONTRACTOR to maintain records in a single location, identified by  
 35 CONTRACTOR.

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

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

### 4 5 **XXIII. REVENUE**

6 A. CLIENT FEES – CONTRACTOR shall charge, unless waived by ADMINISTRATOR, a fee to  
 7 Clients to whom billable services, other than those amounts reimbursed by Medicare, Medi-Cal or other  
 8 third party health plans, are provided pursuant to this Agreement, their estates and responsible relatives,  
 9 according to their ability to pay as determined by the State Department of Health Care Services’  
 10 “Uniform Method of Determining Ability to Pay” (UMDAP) procedure or by any other payment  
 11 procedure as approved in advance, and in writing by ADMINISTRATOR; and in accordance with Title 9  
 12 of the California Code of Regulations. Such fee shall not exceed the actual cost of services provided.  
 13 No Client shall be denied services because of an inability to pay.

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

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

24 D. OTHER REVENUES – CONTRACTOR shall charge for services, supplies, or facility use by  
 25 persons other than individuals or groups eligible for services pursuant to this Agreement.

### 26 27 28 **XXIV. RESEARCH AND PUBLICATION**

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

### 31 32 **XXV. SEVERABILITY**

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

## **XXVI. SPECIAL PROVISIONS**

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

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

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

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

CONTRACTOR's Clients.

## **XXVII. STATUS OF CONTRACTOR**

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

## **XXVIII. TERM**

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

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

## **XXIX. TERMINATION**

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

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

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

1. The loss by CONTRACTOR of legal capacity.
2. Cessation of services.
3. The delegation or assignment of CONTRACTOR's services, operation or administration to



1 another entity without the prior written consent of COUNTY.

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

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

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

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

#### 12 D. CONTINGENT FUNDING

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

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

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

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

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

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

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

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

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

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

37 //

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

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

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

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

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

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

### **XXX. 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.

### **XXXI. 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.

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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 DocuSigned by:  
7 BY: Katherine West DATED: 10/20/2016  
8 B2E8039F06DC476...

9  
10 TITLE: Chief operating officer

11  
12  
13  
14  
15  
16 COUNTY OF ORANGE

17  
18  
19 BY: \_\_\_\_\_ DATED: \_\_\_\_\_  
20 HEALTH CARE AGENCY

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

27  
28 DocuSigned by:  
29 BY: [Signature] DATED: 10/20/2016  
30 6026E89386254F6...  
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  
 AGREEMENT FOR PROVISION OF  
 BEHAVIORAL HEALTH OUTPATIENT SERVICES  
 FOR CHILDREN AND YOUTH IN ADOPTION  
 BETWEEN  
 COUNTY OF ORANGE  
 AND  
 SENECA FAMILY OF AGENCIES  
 JANUARY 1, 2017 THROUGH JUNE 30, 2018

**I. COMMON TERMS AND DEFINITIONS**

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.

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

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

C. 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.

D. Data Collection Reporting system means the collection of State mandated data used for the tracking and reporting of outcome data for Clients enrolled in FSP/W programs.

1. 3 M's means the Quarterly Assessment Form being completed for each Client every three months in the approved Data Collection System. It tracks changes in education, sources of financial support, legal issues/designations, health status, substance use, and any other fields set forth by the State and/or the County. Must be completed not more than 14 days prior to or 30 days after the due date.

2. Data Certification means reviewing outcome data mandated by the state and COUNTY for accuracy and signing a Certification of Accuracy of Data form indicating that the data is accurate.

3. Key Event Tracking (KET) means the tracking of a Client's service movement and changes in the approved Data Collection System. A KET must be completed following the DCR business rules and entered accurately each time the CONTRACTOR is reporting a change from previous Client status in certain categories. The categories include: administrative status, residential status (including incarcerations and hospitalizations), employment, education, benefits acquisition, legal status, emergency interventions and any other fields set forth by the State or County.

4. Partnership Assessment Form (PAF) means the baseline Assessment for each Client (as defined by the State and/or County) that must be completed in full and entered into the DCR system

1 within thirty (30) days of the Client's enrollment date All DCR business rules regarding transferring and  
2 re-enrolling clients must be followed and verified prior to entering a PAF in the system.

3 E. Diagnosis means identifying the nature of a Client's disorder. When formulating the Diagnosis  
4 of Client, CONTRACTOR shall use the diagnostic codes as specified in the most current edition of the  
5 Diagnostic and Statistical Manual of Mental Disorders (DSM) published by the American Psychiatric  
6 Association. DSM diagnoses will be recorded on all IRIS documents, as appropriate.

7 F. Direct Service Hour (DSH) means the time, measured in hours and portions of hours, that a  
8 clinician spends providing services to Clients or others on behalf of Clients. DSH credit, both billable  
9 and non-billable minutes, is obtained by providing mental health, case management, medication support,  
10 and crisis intervention services to Clients open in IRIS.

11 G. Early Periodic Screening Diagnostic and Treatment (EPSDT) means the State of California's  
12 implementation of the Federal child health component of Medicaid program which provides physical,  
13 mental, and developmental health services for children and young adults.

14 H. Education Coordinator means an individual who is responsible for providing assistance and  
15 support with educational and vocational services as well as developing resources for those Clients that  
16 wish to further their education or training.

17 I. Employment Coordinator means an individual who provides pre-employment training, job  
18 orientation, and site training to Clients. This individual is also responsible for assisting Clients with job  
19 application procedures; teaching social, grooming and dress-for-success personal hygiene skills to  
20 Clients; and coaching Clients on how to maintain employment. This individual will develop  
21 employment resources that match the needs of the program's Clients. In addition, the Employment  
22 Coordinator may provide on-the-job mentoring and will work closely with the hiring companies and  
23 Clients.

24 J. Engagement means the process where a trusting relationship between CONTRACTOR's staff  
25 and Client is developed over a short period of time, so CONTRACTOR and Client can develop a plan to  
26 link the Client to appropriate services within the community. Engagement of the Client is the objective  
27 of a successful outreach.

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

32 L. Family Team means a group formed to meet the needs of a FSP/W eligible Client through  
33 whatever means possible, and this team includes a program staff, the eligible Client, the Client's family  
34 members, and other support individual(s) the family agrees to include on the team.

35 M. Full Service Partnership/Wraparound (FSP/W) means a program model described in  
36 COUNTY's MHSA plan that has been approved by the state. The MHSA plan describes how  
37 COUNTY will use MHSA funds to develop and implement treatment plans for mental health Clients

1 through FSP/Ws. A FSP/W is an evidence-based and strength-based model with the focus on the  
 2 individual rather than the disease. It is culturally competent in-home, intensive, mental health care  
 3 coordination services that will address family needs across all life domains of the Client.

4 N. Group Home means a facility for housing youth and is licensed by Community Care Licensing  
 5 under the provisions of CCR, Title 22, Division 6, et seq.

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

8 P. Housing Coordinator means an individual who provides assistance to Clients/families to have  
 9 the most stable housing appropriate to their functioning levels and life circumstances. This may range  
 10 from emergency motel placement to avoid homelessness, transitional housing that will provide stability  
 11 and skills that would lead to more permanent housing. This individual may also assist in moving to  
 12 greater independence by creating flex fund usage plans where the Client/family pays a greater  
 13 percentage of housing cost per month so that housing costs become independent sustainable.

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

19 R. Integrated Records Information System (IRIS) means the ADMINISTRATOR's database  
 20 system that collects Clients' information such as registration, scheduled appointments, laboratory  
 21 information system, invoice and reporting capabilities, compliance with regulatory requirements,  
 22 electronic medical records, and other relevant applications.

23 S. Katie A. Subclass means the lawsuit, Katie A. et al. v. Bonta et al., a class action lawsuit filed in  
 24 Federal District Court concerning the availability of intensive mental health services to children in  
 25 California who are either in foster care or at imminent risk of coming into care, created this Subclass.

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

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

35 V. Licensed Professional Clinical Counselor (LPCC) means a licensed individual, pursuant to the  
 36 provisions of Chapter 13 of the California Business and Professions Code, pursuant to the provisions of  
 37 Chapter 16 of the California Business and Professions Code, who can provide clinical service to Clients.

The license must be current and in force, and has not been suspended or revoked. Also, it is preferred that the individual has at least one (1) year of experience treating children and TAY.

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

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

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

Z. Live Scan means an inkless, electronic fingerprint which is transmitted directly to the Department of Justice (DOJ) for the completion of a criminal record check, typically required of employees who have direct contact with Clients.

AA. Medi-Cal means the State of California's implementation of the federal Medicaid health care program which pays for a variety of medical services for children and adults who meet eligibility criteria.

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

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

1. Assessment means a service activity, which may include a clinical analysis of the history and current status of a Client's mental, emotional, behavioral disorder, and relevant cultural issues. The Assessment also needs to include history of services being provided, diagnosis, and any testing procedures that were used.

2. Collateral means significant support individual(s) in a Client's life and is/are used to define

1 services provided to the Client with the intent of improving or maintaining the mental health status of  
2 the Client. The Client may or may not be present for this service activity.

3 3. Intensive Care Coordination (ICC) means a medically necessary service provided to  
4 Medi-Cal beneficiaries under the EPSDT benefit. ICC includes assessment, care planning and  
5 coordination of services across child services systems and providers, including intensive services for  
6 children/youth who meet the Katie A. Subclass criteria.

7 4. Intensive Home-Based Services (IHBS) means a medically necessary service provided to  
8 Medi-Cal beneficiaries under the EPSDT benefit. IHBS are individualized, strength-based mental  
9 health treatment interventions designed to ameliorate mental health conditions that interfere with a  
10 client's functioning. IHBS are provided only in conjunction with ICC and are recommended by the  
11 Child and Family Team. IHBS is also provided to the Katie A. Subclass population.

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

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

24 7. Substance Use treatment means a program that uses a stage-wise treatment model and is  
25 non-confrontational, follows behavioral principles, considers interactions between mental illness and  
26 substance use, and has gradual expectations of abstinence. Mental illness and substance use research  
27 has strongly indicated that a Client with a disorder needs treatment for both problems to recover fully.  
28 Focusing on one does not ensure the other will go away. Substance use services integrate assistance for  
29 each condition by helping Clients recover from mental illness and substance use in one setting and at the  
30 same time.

31 8. Therapeutic Behavioral Services (TBS) means one-on-one behavioral interventions with a  
32 Client, which is designed to reduce or eliminate targeted behaviors as identified in the Client's treatment  
33 plan. Collateral services are also provided to parent(s)/guardian(s) as part of TBS. Clients must be  
34 Medi-Cal eligible and meet TBS class membership and service need requirements. Documentation in  
35 the medical record must support Medical Necessity for these intensive services. Cases in which Clients  
36 are receiving more than twenty (20) hours per week of TBS or those who are expected to receive more  
37 than four months (120 days) of TBS must be approved by ADMINISTRATOR. ADMINISTRATOR



has to approve individuals that are delivering these intervention services to ensure they are qualified to deliver these services.

9. Targeted Case Management (TCM) means services that assist a Client to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services. These service activities may include, but are not limited to: communicating and coordinating services through referral; monitoring service delivery to ensure Clients' access to service and the service delivery system; and tracking of Clients' progress and plan development. Treatment Foster Care (TFC) also known as Therapeutic Foster Care, consists of intensive and highly coordinated mental health and support services provided to a foster parent or caregiver in which the foster parent/caregiver becomes an integral part of the child's treatment team.

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

AD. The Mental Health Services Act (MHSA) is a voter-approved initiative to develop a comprehensive approach to providing community-based mental health services and supports for California residents. It is also known as "Proposition 63."

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

AF. National Provider Identifier (NPI) means the standard unique health identifier that was adopted by the Secretary of HHS Services under HIPAA for health care providers. All HIPAA covered healthcare providers, individuals, and organizations must obtain an NPI for use to identify themselves in HIPAA standard transactions. The NPI is assigned for life.

AG. Notice of Action-A (NOA-A) means a Medi-Cal requirement that informs the beneficiary that she/he is not entitled to any specialty mental health service. The COUNTY has expanded the requirement for an NOA-A to all beneficiaries requesting an Assessment for services and found not to meet the Medical Necessity criteria for specialty Mental Health Services.

AH. Notice of Privacy Practices (NPP) means a document that notifies Clients of uses and disclosures of PHI. The NPP may be made by, or on behalf of, the health plan or health care provider as set forth in HIPAA.

AI. Outcomes Analyst means an individual who ensures that an FSP program maintains a focus on program outcomes and quality assurance of the data being reported. This individual will be responsible for reviewing outcome data and other collected information for accuracy and correcting any errors prior to entering into the data capture system and again prior to exporting the files to the County and State.

1 The Outcomes Analyst will, analyze data, and developing strategies for gathering new data from the  
2 Client's perspective to improve FSP/W's understanding of Client's needs and desires towards furthering  
3 their recovery. This individual will also provide feedback to the program and work collaboratively with  
4 the employment specialist, education specialist, benefits specialist, and other staff in the program to  
5 strategize and improve outcomes in service delivery as well as improve accuracy in reporting and  
6 tracking outcomes and other information. In addition, this position will be responsible for attending all  
7 data and outcome related meetings and ensuring that the FSP/W is being proactive in all data collection  
8 requirements and changes at the local and state levels.

9 AJ. Outreach means linking potential Clients to appropriate Mental Health Services within the  
10 community. Outreach activities will include educating the community about the services offered and  
11 requirements for participation in the various mental health programs within the community. Such  
12 activities may result in the CONTRACTOR developing Referral sources for Clients from programs  
13 being offered within the community.

14 AK. Personal Services Coordinator (PSC) means an individual with a Bachelor's Degree in Human  
15 Services or related field. It is preferred that the individual has at least two years of related experience  
16 with Mental Health Services, or three years' experience as a Client in a similar program who has  
17 graduated to self-sufficiency. A PSC leads the implementation of a service plan covering an entire  
18 range of needs for the Client and/or Client's family to promote success, safety, and permanence in the  
19 home, school, workforce, and community and lead Clients to self-sufficiency.

20 AL. Plan of Care (POC) means a written plan, including by reference any juvenile court order(s),  
21 developed and signed by the Family Team that includes the following elements:

- 22 1. A statement of an overall goal or vision for the Client and Client's family.
- 23 2. The strengths of the Client and Client's family.
- 24 3. The needs, as defined by specific life areas that must be met to achieve the goal(s) of the  
25 Client and Client's family.
- 26 4. Prevention and intervention safety plans.
- 27 5. The type, frequency, and duration of intervention strategies.
- 28 6. Financial responsibility for the components of the POC.
- 29 7. Desired outcomes.

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

35 AN. Protected Health Information (PHI) means individually identifiable health information usually  
36 transmitted through electronic media. PHI can be maintained in any medium as defined in the  
37 regulations, or for an entity such as a health plan, transmitted or maintained in any other medium. It is

1 created or received by a covered entity and is related to the past, present, or future physical or mental  
2 health or condition of an individual, provision of health care to an individual, or the past, present, or  
3 future payment for health care provided to an individual.

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

7 AP. Quality Improvement Committee (QIC) means a committee that meets quarterly to review one  
8 percent (1%) of all "high-risk" Medi-Cal Clients in order to monitor and evaluate the quality and  
9 appropriateness of services provided. At a minimum, the committee is comprised of one (1)  
10 ADMINISTRATOR, one (1) clinician, and one (1) physician who are not involved in the clinical care of  
11 the cases.

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

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

19 AS. Seriously Emotionally Disturbed (SED) means children or adolescents minors under the age of  
20 18 years who have a mental disorder as identified in the most recent edition of the Diagnostic and  
21 Statistical Manual of Mental Disorders, other than a primary substance use disorder or developmental  
22 disorder, which results in behavior inappropriate to the child's age according to expected developmental  
23 norms. W&I 5600.3.

24 AT. Serious Mental Impairment (SMI) means an adult with a mental disorder that is severe in degree  
25 and persistent in duration, which may cause behavioral functioning which interferes substantially with  
26 the primary activities of daily living, and which may result in an inability to maintain stable adjustment  
27 and independent functioning without treatment, support, and rehabilitation for a long or indefinite period  
28 of time. W&I 5600.3.

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

36 AV. Token means the security device which allows an end-user to access the ADMINISTRATOR's  
37 computer based IRIS.

AW. UMDAP means the method used for determining the annual client liability for mental health services received from the COUNTY mental health system and is set by the State of California.

AX. WOC means the wraparound program administered by the COUNTY SSA and is available to children and transitional age youth who are returning from or being considered for placement in group homes.

## **II. BUDGET**

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

	<u>PERIOD</u> <u>ONE</u>	<u>PERIOD</u> <u>TWO</u>	<u>TOTAL</u>
ADMINISTRATIVE COST			
Indirect Costs	\$ 53,246	\$ 106,491	\$ 159,737
SUBTOTAL	\$ 53,246	\$ 106,491	\$ 159,737
ADMINISTRATIVE COST			
PROGRAM COST			
Salaries	\$ 261,745	\$ 523,490	\$ 785,235
Benefits	67,399	134,799	202,198
Services and Supplies	46,890	93,780	140,670
Subcontractor	<u>70,720</u>	<u>141,440</u>	<u>212,160</u>
SUBTOTAL	\$ 446,754	\$ 893,509	\$1,340,263
PROGRAM COST			
TOTAL GROSS COST	\$ 828,460	\$1,000,000	\$1,500,000
REVENUE			
Federal Medi-Cal	\$ 250,000	\$ 500,000	\$ 750,000
MHSA	<u>\$ 250,000</u>	<u>\$ 500,000</u>	<u>\$ 750,000</u>
TOTAL REVENUE	\$ 500,000	\$1,000,000	\$1,500,000
TOTAL MAXIMUM	\$ 500,000	\$1,000,000	\$1,500,000
OBLIGATION			

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

4 C. The total cost of services provided for in the Agreement are based upon projected revenue  
5 generation and shall be reimbursed by federal Medi-Cal and state revenues. CONTRACTOR agrees  
6 that if actual federal Medi-Cal reimbursement, based upon the completed Cost Report, as specified in  
7 the Cost Report Paragraph of the Agreement, for each Fiscal Year is less than budgeted, the Maximum  
8 Obligation may, at ADMINISTRATOR's sole discretion, be adjusted down by the amount of under  
9 generated federal Medi-Cal and/or State revenue.

10 D. In the event CONTRACTOR collects fees and insurance, including Medicare, for services  
11 provided pursuant to the Agreement, CONTRACTOR may make written application to  
12 ADMINISTRATOR to retain such revenues; provided, however, the application must specify that the  
13 fees and insurance shall be utilized exclusively to provide Mental Health Services. ADMINISTRATOR  
14 may, at its sole discretion, approve any such retention of revenues. Approval by ADMINISTRATOR  
15 shall be in writing to CONTRACTOR and shall specify the amount of said revenues to be retained and  
16 the quantity of services to be provided by CONTRACTOR.

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

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

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

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### **III. PAYMENTS**

A. COUNTY shall pay CONTRACTOR monthly, in arrears, the provisional amount of \$83,333 per month for each period, as specified in the Referenced Contract Provisions of the Agreement. All payments are interim payments only, and subject to Final Settlement in accordance with the Cost Report Paragraph of the Agreement for which CONTRACTOR shall be reimbursed for the actual cost of providing the services hereunder; provided, however, the total of such payments does not exceed COUNTY's Maximum Obligation as specified in the Referenced Contract Provisions of the Agreement and, provided further, CONTRACTOR's costs are reimbursable pursuant to COUNTY, state, and federal regulations. ADMINISTRATOR may, at its discretion, pay supplemental invoices for any month for which the provisional amount specified above has not been fully paid.

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

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

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

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

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

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

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

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

#### 3 4 **IV. REPORTS**

##### 5 **A. FISCAL**

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

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

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

25 C. PROGRAMMATIC – CONTRACTOR shall submit monthly Programmatic reports to  
26 ADMINISTRATOR. These reports shall be in a format approved by ADMINISTRATOR and shall  
27 include but not limited to, descriptions of any performance objectives, outcomes, and or interim findings  
28 as directed by ADMINISTRATOR. DCR data files shall be submitted to the ADMINISTRATOR in an  
29 XML format that has successfully passed individual and batch tests for submission to the State.  
30 CONTRACTOR shall be prepared to present and discuss the programmatic reports at the monthly  
31 meetings with ADMINISTRATOR, to include whether or not CONTRACTOR is progressing  
32 satisfactorily and if not, specify what steps are being taken to achieve satisfactory progress. Such  
33 reports shall be received by ADMINISTRATOR no later than twentieth (20th) calendar day following  
34 the end of the month being reported.

35 D. ADDITIONAL REPORTS – Upon ADMINISTRATOR's request, CONTRACTOR shall make  
36 such additional reports as required by ADMINISTRATOR concerning CONTRACTOR's activities as  
37 they affect the services hereunder. ADMINISTRATOR shall be specific as to the nature of information

requested and allow thirty (30) calendar days for CONTRACTOR to respond.

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

## **V. SERVICES**

### **A. FACILITIES**

1. CONTRACTOR shall maintain a minimum of one (1) fully licensed and appropriate facility for the provision of Behavioral Health Outpatient Services for Children and Youth in Adoption which meets the minimum requirements for Medi-Cal eligibility at the following location or any other location(s) approved by ADMINISTRATOR:

18302 Irvine Blvd., Suite 300  
Tustin, California 92780

2. CONTRACTOR shall maintain regularly scheduled service hours, five days a week throughout the year, and maintain the capability to provide services in community-based facilities such as school sites when appropriate, during after-school hours on weekdays until 8 p.m., and on the weekends, if necessary, in order to accommodate Clients.

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

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

3. Upon ADMINISTRATOR's certification of the provider's existing site, the CONTRACTOR shall be responsible for making any necessary changes to meet and maintain Medi-Cal site standards.

### **B. BEHAVIORAL HEALTH OUTPATIENT SERVICES FOR CHILDREN AND YOUTH IN ADOPTION:**

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

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

3. CONTRACTOR shall provide medically necessary services to Medi-Cal eligible, special population Clients that may include, but not be limited to, preschool children, wards and dependents of the courts, dually diagnosed children, group home and foster children, and TAY. Services shall be



provided at a level and frequency and duration that is consistent with each Client's level of dysfunction and treatment goals, and consistent with individualized, solution-focused, evidenced-based practices. The population to whom services are to be provided shall include, but may not be limited to:

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

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

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

d. Children at risk for psychiatric hospitalization.

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

f. Children who are in special education.

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

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

i. Similar children who may be referred by a Cal OPTIMA primary care provider.

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

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

a. Performing clinical and psycho-diagnostic assessment using DSM-5/ICD-10 CM diagnosis, to include clinical consideration of each fundamental need: physical, psychological, maturational, developmental, familial, educational, social, environmental and recreational. Additional examinations, tests and evaluations may be conducted as clinically indicated. Findings of the examinations and evaluations shall be documented in the Client record and signed by CONTRACTOR's appropriate and responsible staff.

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

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

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

15 e. Collateral services, including support or educational services to a Client's adult  
16 caregivers to help them in their parenting role. Services shall be provided to adult caregivers when it is  
17 determined that it is in the best interest in treating the minor Client, and CONTRACTOR shall promote  
18 active participation of Client's family. CONTRACTOR shall refer the adult caregiver(s) to an  
19 appropriate adult mental health provider for medication and/or mental health services to address the  
20 adult caregiver's DSM-5/ICD-10 CM mental disorder.

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

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

- 29 1) Established plan for maximizing use of physician time.
- 30 2) CONTRACTOR shall use COUNTY's formulary and prescribing practices.
- 31 3) Prescriptions may be filled at any pharmacy with which the COUNTY's PBM has  
32 a contract; provided that CONTRACTOR shall be responsible for noting the Medi-Cal number on  
33 prescriptions for Medi-Cal Clients.
- 34 4) CONTRACTOR shall provide COUNTY, in writing, with the name, license  
35 number, and Drug Enforcement Agency number of any physician who will be prescribing medications,  
36 prior to the physician's start date. Failure to so notify COUNTY may result in CONTRACTOR being  
37 liable for the cost of the medication.

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

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

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

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

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

7. CONTRACTOR shall identify Clients who may be eligible to receive intensive mental health services as members of the Katie A. Subclass. Contractor will use the "Medi-Cal Manual for Intensive Coordination (ICC), Intensive Home Based Services (IHBS), & Therapeutic Foster Care for Katie A. Subclass Members" to determine eligibility, provide services, and guide documentation of these services. CONTRACTOR will coordinate with COUNTY on all aspects of mental health services provided to CLIENTS of the Katie A. Subclass.

8. CONTRACTOR shall accept referrals from and make referrals to the various MHSA programs, as appropriate. CONTRACTOR shall coordinate referrals with other existing mental health services and wraparound services, to ensure that Clients and their families are given access to the most appropriate level and type of service. Other services may include WOC, MHSA FSP programs for TAY or adults, and other COUNTY mental health services.

9. CONTRACTOR shall not refuse Client referrals if CONTRACTOR has available space and appropriate staffing to take additional Clients, unless otherwise approved by ADMINISTRATOR.

10. CONTRACTOR shall review the financial status of all enrollees using the UMDAP, unless otherwise approved in writing by COUNTY.

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11. CONTRACTOR shall maximize collection of Medi-Cal and other third party payers whenever appropriate and follow all state and COUNTY procedures for doing so.

12. Outcomes will be tracked using the Youth Outcomes Questionnaire (YOQ) or other similar measure which is sensitive to short-term changes and with demonstrated reliability, validity, and clinical utility with a child and adolescent population.

13. CONTRACTOR shall conduct Supervisory Review in accordance with procedures developed by ADMINISTRATOR. CONTRACTOR shall ensure that all chart documentation complies with all federal, state and local guidelines and standards.

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

15. CONTRACTOR shall ensure that Annual Compliance Training is completed as set forth in the Compliance Paragraph of the Agreement.

### C. PERFORMANCE OUTCOMES

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

2. ADMINISTRATOR shall develop and provide CONTRACTOR with performance outcome measure guidelines for the purpose of evaluating the impact and/or contribution of CONTRACTOR's services on the well-being of COUNTY residents being served under the terms of the Agreement. The expected outcomes for the Monitoring Plan are to enable Clients to adaptively function at a higher and more appropriate level and to provide a quantifiable and repeatable measure to assess overall program effectiveness.

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

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

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

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

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

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

- a. Token of each staff member who no longer supports the Agreement;
- b. Token of each staff member who no longer requires access to IRIS;
- c. Token of each staff member who leaves employment of CONTRACTOR; or

1 d. Token is malfunctioning;

2 e. Termination of the Agreement.

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

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

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

10 E. CONTRACTOR shall obtain a NPI.

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

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

17 F. CONTRACTOR shall provide the NPP for the COUNTY, as the MHP, at the time of the first  
18 service provided under the Agreement to individuals who are covered by Medi-Cal and have not  
19 previously received services at a COUNTY operated clinic. CONTRACTOR shall also provide, upon  
20 request, the NPP for the COUNTY, as the MHP, to any individual who received services under the  
21 Agreement.

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

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

30 I. CONTRACTOR shall provide effective Administrative management of the budget, staffing,  
31 recording, and reporting portion of the Agreement with the COUNTY. If administrative responsibilities  
32 are delegated to subcontractors, CONTRACTOR must ensure that any subcontractor(s) possess the  
33 qualifications and capacity to perform all delegated responsibilities. These responsibilities include, but  
34 are not limited, to the following:

35 1. Designate the responsible position(s) in your organization for managing the funds allocated  
36 to the program;

37 2. Maximize the use of the allocated funds;

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

[illegible]

**VI. STAFFING**

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

<b>DIRECT PROGRAM</b>	<b><u>FTEs</u></b>
Regional Director	0.05
Program Director	0.60
Clinical Supervisor	1.00
Program Assistant	0.75
Health Information Specialist	1.00
Registered Nurse	0.50
Bilingual Clinician	3.00
Clinician	2.00
Bilingual TBS Coach	1.00
Licensed Psychologist	<u>0.20</u>
<b>SUBTOTAL PROGRAM</b>	<b>10.10</b>
<b>SUBCONTRACTOR</b>	
Psychiatrist	<u>0.40</u>
<b>SUBTOTAL SUBCONTRACTOR</b>	<b>0.40</b>
<b>TOTAL FTEs</b>	<b>10.50</b>

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 ADMINISTRATOR. 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 advance and in writing, by ADMINISTRATOR.

D. CONTRACTOR shall maintain personnel files for each staff person, including management and other administrative positions, both direct and indirect to the Agreement, which shall include, but not be limited to, an application for employment, qualifications for the position, applicable licenses, Live Scan

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1 results, waivers, registrations, documentation of bicultural/bilingual capabilities (if applicable), pay rate  
2 and evaluations justifying pay increases.

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

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

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

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

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

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

31 K. CONTRACTOR shall establish clear policy and procedures pertaining to staff's work location  
32 options (i.e. office vs. field/home) and equipment usage (e.g., cell phones, texting devices, and  
33 computers). The policy and procedures shall address at the minimum the following:

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



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

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

N. WORKLOAD STANDARDS - CONTRACTOR understands and agrees that at any given time the standards referenced below are minimum standards, and shall make every effort to exceed these minimums.

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

2. CONTRACTOR shall provide a minimum of eight thousand two hundred eighty (8,280) DSHs of service.

3. CONTRACTOR shall provide a minimum of one hundred (100) billable DSHs per month per FTE or one thousand two hundred (1,200) billable DSHs per year per DSH contracted FTE, of mental health services, unless otherwise approved by ADMINISTRATOR.

4. CONTRACTOR shall maintain an active and on-going minimum caseload of at least one hundred (100) unduplicated Clients, unless otherwise approved by ADMINISTRATOR.

#### O. STUDENT INTERNS

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

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

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

2. CONTRACTOR shall provide a minimum of two (2) hours per week supervision to each Student Intern providing Mental Health Services and one (1) hour of supervision for each ten (10) hours of treatment for Student Interns providing substance use services. CONTRACTOR shall provide supervision to volunteers as specified in the respective job descriptions or work contracts.

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

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EXHIBIT B  
AGREEMENT FOR PROVISION OF  
BEHAVIORAL HEALTH OUTPATIENT SERVICES  
FOR CHILDREN AND YOUTH IN ADOPTION  
BETWEEN  
COUNTY OF ORANGE  
AND  
SENECA FAMILY OF AGENCIES  
JANUARY 1, 2017 THROUGH JUNE 30, 2018

**I. BUSINESS ASSOCIATE CONTRACT**

**A. GENERAL PROVISIONS AND RECITALS**

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

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

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

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

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

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

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

#### 4 B. DEFINITIONS

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

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

##### 11 a. Breach excludes:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

37 //

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

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

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

9 D. SECURITY RULE

10 1. CONTRACTOR shall comply with the requirements of 45 CFR § 164.306 and establish  
11 and maintain appropriate Administrative, Physical and Technical Safeguards in accordance with  
12 45 CFR § 164.308, § 164.310, and § 164.312, with respect to electronic PHI COUNTY discloses to  
13 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY.  
14 CONTRACTOR shall develop and maintain a written information privacy and security program that  
15 includes Administrative, Physical, and Technical Safeguards appropriate to the size and complexity of  
16 CONTRACTOR's operations and the nature and scope of its activities.

17 2. CONTRACTOR shall implement reasonable and appropriate policies and procedures to  
18 comply with the standards, implementation specifications and other requirements of 45 CFR Part 164,  
19 Subpart C, in compliance with 45 CFR § 164.316. CONTRACTOR will provide COUNTY with its  
20 current and updated policies upon request.

21 3. CONTRACTOR shall ensure the continuous security of all computerized data systems  
22 containing electronic PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives,  
23 maintains, or transmits on behalf of COUNTY. CONTRACTOR shall protect paper documents  
24 containing PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives,  
25 maintains, or transmits on behalf of COUNTY. These steps shall include, at a minimum:

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

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

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

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

37 //

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

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

#### E. DATA SECURITY REQUIREMENTS

##### 1. Personal Controls

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

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

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

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

##### 2. Technical Security Controls

a. Workstation/Laptop encryption. All workstations and laptops that store PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of

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COUNTY either directly or temporarily must be encrypted using a FIPS 140-2 certified algorithm which is 128bit or higher, such as AES. The encryption solution must be full disk unless approved by the COUNTY.

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

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

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

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

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

g. User IDs and Password Controls. All users must be issued a unique user name for accessing PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY. Username must be promptly disabled, deleted, or the password changed upon the transfer or termination of an employee with knowledge of the password, at maximum within twenty-four (24) hours. Passwords are not to be shared. Passwords must be at least eight characters and must be a non-dictionary word. Passwords must not be stored in readable format on the computer. Passwords must be changed every ninety (90) days, preferably every sixty (60) days.

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1 Passwords must be changed if revealed or compromised. Passwords must be composed of characters  
2 from at least three (3) of the following four (4) groups from the standard keyboard:

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

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

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

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

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

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

31 m. Transmission encryption. All data transmissions of PHI COUNTY discloses to  
32 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY  
33 outside the secure internal network must be encrypted using a FIPS 140-2 certified algorithm which is  
34 128bit or higher, such as AES. Encryption can be end to end at the network level, or the data files  
35 containing PHI can be encrypted. This requirement pertains to any type of PHI in motion such as  
36 website access, file transfer, and E-Mail.

37 //

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

### 3. Audit Controls

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

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

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

### 4. Business Continuity/Disaster Recovery Control

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

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

### 5. Paper Document Controls

a. Supervision of Data. PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY in paper form shall not be left unattended at any time, unless it is locked in a file cabinet, file room, desk or office. Unattended means that information is not being observed by an employee authorized to access the information. Such PHI

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1 in paper form shall not be left unattended at any time in vehicles or planes and shall not be checked in  
2 baggage on commercial airplanes.

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

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

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

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

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

#### 24 F. BREACH DISCOVERY AND NOTIFICATION

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

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

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

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

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

- a. The identification of each Individual whose Unsecured PHI has been, or is reasonably believed by CONTRACTOR to have been, accessed, acquired, used, or disclosed during the Breach;
- b. Any other information that COUNTY is required to include in the notification to Individual under 45 CFR §164.404 (c) at the time CONTRACTOR is required to notify COUNTY or promptly thereafter as this information becomes available, even after the regulatory sixty (60) day period set forth in 45 CFR § 164.410 (b) has elapsed, including:
  - 1) A brief description of what happened, including the date of the Breach and the date of the discovery of the Breach, if known;
  - 2) A description of the types of Unsecured PHI that were involved in the Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved);
  - 3) Any steps Individuals should take to protect themselves from potential harm resulting from the Breach;
  - 4) A brief description of what CONTRACTOR is doing to investigate the Breach, to mitigate harm to Individuals, and to protect against any future Breaches; and
  - 5) Contact procedures for Individuals to ask questions or learn additional information, which shall include a toll-free telephone number, an e-mail address, Web site, or postal address.

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

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

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

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

8. CONTRACTOR shall continue to provide all additional pertinent information about the Breach to COUNTY as it may become available, in reporting increments of five (5) business days after the last report to COUNTY. CONTRACTOR shall also respond in good faith to any reasonable

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1 requests for further information, or follow-up information after report to COUNTY, when such request  
2 is made by COUNTY.

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

#### 7 G. PERMITTED USES AND DISCLOSURES BY CONTRACTOR

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

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

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

17 1) The Disclosure is required by law; or

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

23 c. CONTRACTOR may use or further disclose PHI COUNTY discloses to  
24 CONTRACTOR to provide Data Aggregation services relating to the Health Care Operations of  
25 CONTRACTOR.

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

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

30 4. CONTRACTOR may use or disclose PHI COUNTY discloses to CONTRACTOR as  
31 required by law.

#### 32 H. PROHIBITED USES AND DISCLOSURES

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

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

I. OBLIGATIONS OF COUNTY

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

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

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

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

J. BUSINESS ASSOCIATE TERMINATION

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

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

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

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

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

b. CONTRACTOR shall retain no copies of the PHI.

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

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

EXHIBIT C  
AGREEMENT FOR PROVISION OF  
BEHAVIORAL HEALTH OUTPATIENT SERVICES  
FOR CHILDREN AND YOUTH IN ADOPTION  
BETWEEN  
COUNTY OF ORANGE  
AND  
SENECA FAMILY OF AGENCIES  
JANUARY 1, 2017 THROUGH JUNE 30, 2018

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

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

**A. DEFINITIONS**

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

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

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

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

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

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

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

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

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



1 information, and a civil or an authorized investigative demand. It also includes Medicare conditions of  
 2 participation with respect to health care providers participating in the program, and statutes or  
 3 regulations that require the production of information, including statutes or regulations that require such  
 4 information if payment is sought under a government program providing public benefits.

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

## 8 B. TERMS OF AGREEMENT

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

13 2. Responsibilities of CONTRACTOR  
 14 CONTRACTOR agrees:

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

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

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

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

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

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

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

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

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

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

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

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

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

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37 //