

**AGREEMENT**  
**FOR SERVICES OF INDEPENDENT CONTRACTOR**

BC\_\_\_\_\_

This Agreement (hereafter Agreement) is made by and between the County of Santa Barbara, a political subdivision of the State of California (hereafter County) and Mental Health Association in Santa Barbara County (DBA Mental Wellness Center), having its principal place of business at Santa Barbara, California (hereafter Contractor) wherein Contractor agrees to provide and County agrees to accept the services specified herein.

**THEREFORE**, in consideration of the mutual covenants and conditions contained herein, the parties agree as follows:

1. **DESIGNATED REPRESENTATIVE.** Director (telephone 805.681.5220) is the representative of County and will administer this Agreement for and on behalf of County. Annmarie Cameron (telephone number 8058848440) is the authorized representative for Contractor. Changes in designated representatives shall be made only after advance written notice to the other party.
2. **NOTICES.** Whenever it shall become necessary for either party to serve notice on the other respecting the Agreement, such notice shall be in writing and shall be served by Registered or Certified Mail, Return Receipt Requested, addressed as follows:
  - A. To County: Director  
Santa Barbara County  
Alcohol, Drug, and Mental Health Services  
300 N. San Antonio Road  
Santa Barbara, CA 93110
  - To Contractor: Annmarie Cameron, Executive Director  
Mental Health Association in Santa Barbara County (DBA Mental Wellness Center)  
617 Garden St.  
Santa Barbara, CA 93101
- B. Any such notice so mailed shall be deemed to have been served upon and received by the addressee five (5) days after deposit in the mail. Either party shall have the right to change the place or person to whom notice is to be sent by giving written notice to the other party of the change.
3. **SCOPE OF SERVICES.** Contractor agrees to provide services to County in accordance with Exhibit A, attached hereto and incorporated herein by reference.
4. **TERM.** Contractor shall commence performance by **7/1/2013** and complete performance by **6/30/2014**, unless this Agreement is otherwise terminated at an earlier date pursuant to Section 17.
5. **COMPENSATION OF CONTRACTOR.** Contractor shall be paid for performance under this Agreement in accordance with the terms of Exhibit B, attached hereto and incorporated herein by reference. Contractor shall bill County by invoice, which shall include the Contract number assigned by County. Contractor shall direct the invoice to County's "Accounts Payable Department" at the address specified under Exhibit B, Section VI, after completing the increments identified in Exhibit B.

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6. **INDEPENDENT CONTRACTOR.** Contractor shall perform all of its services under this Agreement as an Independent Contractor and not as an employee of County. Contractor understands and acknowledges that it shall not be entitled to any of the benefits of a County employee, including but not limited to vacation, sick leave, administrative leave, health insurance, disability insurance, retirement, unemployment insurance, Workers' Compensation insurance, and protection of tenure.
7. **STANDARD OF PERFORMANCE.** Contractor represents that it has the skills, expertise, and licenses and/or permits necessary to perform the services required under this Agreement. Accordingly, Contractor shall perform all such services in the manner and according to the standards observed by a competent practitioner of the same profession in which Contractor is engaged. All products of whatsoever nature which Contractor delivers to County pursuant to this Agreement shall be prepared in a manner which will conform to high standards of quality and shall conform to the standards of quality normally observed by a person practicing in Contractor's profession. Contractor shall correct or revise any errors or omissions, at County's request, without additional compensation. Contractor shall obtain and maintain all permits and/or licenses required for performance under this Agreement without additional compensation, at Contractor's own expense.
8. **NON-DISCRIMINATION.** County hereby notifies Contractor that Santa Barbara County's Unlawful Discrimination Ordinance (Santa Barbara County Code, Chapter 2, Article XIII) applies to this Agreement and is incorporated herein by reference with the same force and effect as if the ordinance were specifically set out herein. Contractor hereby agrees to comply with said ordinance.
9. **CONFLICT OF INTEREST.** Contractor covenants that Contractor presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. Contractor further covenants that in the performance of this Agreement, no person having any such interest shall be employed by Contractor.
10. **RESPONSIBILITIES OF COUNTY.** County shall provide all information reasonably necessary to allow Contractor to perform the services contemplated by this Agreement.
11. **OWNERSHIP OF DOCUMENTS.** Upon production, County shall be the owner of the following items incidental to this Agreement, whether or not completed: all data collected and any material necessary for the practical use of the data and/or documents from the time of collection and/or production, whether or not performance under this Agreement is completed or terminated prior to completion. Contractor shall be the legal owner and Custodian of Records for all County client files generated pursuant to this Agreement, and shall comply with all Federal and State confidentiality laws, including Welfare and Institutions Code (WIC) §5328; 42 United States Code (U.S.C.) §290dd-2; and 45 CFR, Parts 160 – 164 setting forth the Health Insurance Portability and Accountability Act of 1996 (HIPAA). Contractor shall inform all of its officers, employees, and agents of the confidentiality provision of said laws. Contractor further agrees to provide County with copies of all County client file documents resulting from this Agreement without requiring any further written release of information.

No materials produced in whole or in part under this Agreement shall be subject to copyright in the United States or in any other country except as determined at the sole discretion of County. Within HIPAA guidelines, County shall have the unrestricted authority to publish, disclose, distribute, and/or otherwise use in whole or in part, any reports, data, documents or other materials prepared under this Agreement.

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12. **RECORDS, AUDIT, AND REVIEW.** Contractor shall keep such business records pursuant to this Agreement as would be kept by a reasonably prudent practitioner of Contractor's profession and shall maintain such records until such time that the State Department of Health Care Services completes its final audit for the fiscal year(s) covered by this Agreement, or not less than three (3) years from the end of the term of this Agreement, whichever is later. All account records shall be kept in accordance with generally accepted accounting practices. County shall have the right to audit and review all such documents and records, either at any time during Contractor's regular business hours, or upon reasonable notice to Contractor.
13. **COMPLIANCE WITH HIPAA.** Contractor is expected to adhere to Health Insurance Portability and Accountability Act (HIPAA) regulations and to develop and maintain comprehensive patient confidentiality policies and procedures, provide annual training of all staff regarding those policies and procedures, and demonstrate reasonable effort to secure written and/or electronic data. The parties should anticipate that this Agreement will be modified as necessary for full compliance with HIPAA.
14. **INDEMNIFICATION AND INSURANCE.** Contractor shall agree to defend, indemnify and hold harmless the County and to procure and maintain insurance in accordance with the provisions of Exhibit C attached hereto and incorporated herein by reference.
15. **TAXES.** County shall not be responsible for paying any taxes on Contractor's behalf, and should County be required to do so by State, Federal, or local taxing agencies, Contractor agrees to reimburse County within one (1) week for the full value of such paid taxes plus interest and penalty, if any. These taxes shall include, but are not limited to, the following: FICA (Social Security), unemployment insurance contributions, income tax, disability insurance, and Workers' Compensation insurance.
16. **DISPUTE RESOLUTION.** Any dispute or disagreement arising out of this Agreement shall first be addressed and resolved at the lowest possible staff level between the appropriate representatives of the Contractor and of the County. If the dispute or disagreement cannot be resolved at this level, it is to be elevated to the Contractor's Program Manager and County's relevant Program Manager. If the Managers cannot resolve the dispute, they are to take the following actions:
  - A. Decision – Each party shall reduce the dispute to writing and submit to the appropriate ADMHS Assistant Director. The Assistant Director shall assemble a team to investigate the dispute and to prepare a written decision. This decision shall be furnished to the Contractor within thirty (30) days of receipt of the dispute documentation. This decision shall be final unless appealed within ten (10) days of receipt.
  - B. Appeal – The Contractor may appeal the decision to the Santa Barbara County Alcohol, Drug, and Mental Health Services Director or designee. The decision shall be put in writing within twenty (20) days and a copy thereof mailed to the Contractor's address for notices. The decision shall be final.
  - C. Continued Performance - Pending final decision of the dispute hereunder, Contractor shall proceed diligently with the performance of this Agreement.
  - D. Dispute Resolution - The finality of appeal described herein is meant to imply only that recourse to resolution of disputes through this particular dispute resolution mechanism has been concluded. This is in no way meant to imply that the parties have agreed that

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this mechanism replaces either party's rights to have its disputes with the other party heard and adjudicated in a court of competent jurisdiction.

### **17. TERMINATION.**

A. **BY COUNTY.** County, by written notice to Contractor, may terminate this Agreement in whole or in part at any time, whether for County convenience or because of the failure of Contractor to fulfill the obligations herein. Upon termination, Contractor shall deliver to County all data, estimates, graphs, summaries, reports, and all other records, documents or papers as may have been accumulated or produced by Contractor in performing this Agreement, whether completed or in process.

1. **FOR CONVENIENCE.** County may terminate this Agreement upon thirty (30) days written notice. Following such notice of termination, Contractor shall notify County of the status of its performance and cease work at the conclusion of the thirty (30) day notice period.

Notwithstanding any other payment provision of this Agreement, County shall pay Contractor for services performed to the date of termination to include a prorated amount of compensation due hereunder less payments, if any, previously made. In no event shall Contractor be paid an amount in excess of the maximum budgeted amount for this Agreement as set forth in Exhibit B, or paid for profit on unperformed portions of service. Contractor shall furnish to County such financial information as, in the judgment of County, is necessary to determine the reasonable value of the services rendered by Contractor. In the event of a dispute as to the reasonable value of the services rendered by Contractor, the decision of County shall be final.

2. **FOR CAUSE.** Should Contractor default in the performance of this Agreement or materially breach any of its provisions, County may, at County's sole option, terminate this Agreement by written notice which shall be effective upon receipt by Contractor.

B. **BY CONTRACTOR.** Contractor may, upon thirty (30) days written notice to County, terminate this Agreement in whole or in part at any time, whether for Contractor's convenience or because of the failure of County to fulfill the obligations herein. Following such termination, Contractor shall promptly cease work and notify County as to the status of its performance.

18. **ENTIRE AGREEMENT, AMENDMENTS, AND MODIFICATIONS.** In conjunction with the matters considered herein, this Agreement contains the entire understanding and agreement of the parties. There have been no promises, representations, agreements, warranties or undertakings by any of the parties, either oral or written, of any character or nature hereafter binding except as set forth herein. This Agreement may be amended or modified only by the written mutual consent of the parties hereto. Requests for changes to the terms and conditions of this agreement after April 1 of the Fiscal Year for which the change would be applicable shall not be considered. All requests for changes shall be in writing. Changes shall be made by an amendment pursuant to this Section. Any amendments or modifications that do not materially change the terms of this Agreement (such as changes to the Designated Representative or Contractor's address for purposes of Notice) may be approved by the director of Alcohol, Drug & Mental Health Services. The Board of Supervisors of the County of Santa Barbara must approve all other amendments and modifications. Each party waives its future right to claim, contest or assert that this Agreement was modified, canceled, superseded, or changed by any oral Agreements, course of conduct, waiver or estoppel.

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19. **NON-EXCLUSIVE AGREEMENT.** Contractor understands that this is not an exclusive Agreement and that County shall have the right to negotiate and enter into contracts with others providing the same or similar services as those provided by Contractor as the County desires.
20. **SUCCESSORS AND ASSIGNS.** All representations, covenants and warranties set forth in this Agreement, by or on behalf of or for the benefit of any or all parties hereto, shall be binding upon and inure to the benefit of such party, its successors and assigns.
21. **ASSIGNMENT.** Contractor shall not assign any of its rights nor transfer any of its obligations under this Agreement without the prior written consent of County. Any attempt to so assign or so transfer without such consent shall be void and without legal effect and shall constitute grounds for termination.
22. **REMEDIES NOT EXCLUSIVE.** No remedy herein conferred upon or reserved to the parties is intended to be exclusive of any other remedy or remedies, and each and every such remedy, to the extent permitted by law, shall be cumulative and in addition to any other remedy given hereunder, now or hereafter existing at law or in equity or otherwise.
23. **NO WAIVER OF DEFAULT.** No delay or omission of the parties to exercise any right or power arising upon the occurrence of any event of default shall impair any such right or power or shall be construed to be a waiver of any such default or an acquiescence therein; and every power and remedy given by this Agreement to the parties shall be exercised from time-to-time and as often as may be deemed expedient in the sole discretion of either party.
24. **CALIFORNIA LAW.** This Agreement shall be governed by the laws of the State of California. Any litigation regarding this Agreement or its contents shall be filed in the County of Santa Barbara, if in State Court, or in the Federal District Court nearest to Santa Barbara County, if in Federal Court.
25. **COMPLIANCE WITH LAW.** Contractor shall, at his sole cost and expense, comply with all County, State and Federal ordinances and statutes now in force or which may hereafter be in force with regard to this Agreement. The judgment of any court of competent jurisdiction, or the admission of Contractor in any action or proceeding against Contractor, whether County be a party thereto or not, that Contractor has violated any such ordinance or statute, shall be conclusive of that fact as between Contractor and County.
26. **SECTION HEADINGS.** The headings of the several sections, and any table of contents appended hereto shall be solely for convenience of reference and shall not affect the meaning, construction or effect hereof.
27. **SEVERABILITY.** If any one or more of the provisions contained herein shall, for any reason, be held to be invalid, illegal or unenforceable in any respect, then such provision or provisions shall be deemed severable from the remaining provisions hereof. Such invalidity, illegality or unenforceability shall not affect any other provision hereof, and this Agreement shall be construed as if such invalid, illegal or unenforceable provision had never been contained herein.
28. **EXECUTION OF COUNTERPARTS.** This Agreement may be executed in any number of counterparts. Each counterpart shall for all purposes be deemed to be an original; and all such counterparts, or as many of them as the parties shall preserve undestroyed, shall together constitute one and the same instrument.

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29. **TIME IS OF THE ESSENCE.** Time is of the essence in this Agreement, and each covenant and term is a condition herein.
30. **AUTHORITY.** All parties to this Agreement warrant and represent that they have the power and authority to enter into this Agreement in the names, titles and capacities herein stated and on behalf of any entities, persons, or firms represented or purported to be represented by such entity(ies), person(s), or firm(s) and have complied with all formal requirements necessary or required by any state and/or federal law in order to enter into this Agreement. Furthermore, by entering into this Agreement, Contractor hereby warrants that it shall not have breached the terms or conditions of any other Agreement or Agreement to which Contractor is obligated, which breach would have a material effect hereon.
31. **PRECEDENCE.** In the event of conflict between the provisions contained in the numbered sections of this Agreement and the provisions contained in the Exhibits, the provisions of the Exhibits shall prevail over those in the numbered sections.
32. **COMMUNICATION.** Contractor shall acknowledge in any public announcement regarding the program that is the subject of this Agreement that Santa Barbara County Alcohol, Drug, and Mental Health Department provides all or some of the funding for the program.
33. **PRIOR AGREEMENTS.** Upon execution, this Agreement supersedes all prior Mental Health Services agreements between County and Contractor.
34. **COURT APPEARANCES.** Upon request, Contractor shall cooperate with County in making available necessary witnesses for court hearings and trials, including Contractor's staff that have provided treatment to a client referred by County who is the subject of a court proceeding. County shall issue Subpoenas for the required witnesses upon request of Contractor.
35. **NONAPPROPRIATION OF FUNDS.**
- A. The parties acknowledge and agree that this Agreement is dependent upon the availability of County, State, and/or federal funding. If funding to make payments in accordance with the provisions of this Agreement is not forthcoming from the County, State and/or federal governments for the Agreement, or is not allocated or allotted to County by the County, State and/or federal governments for this Agreement for periodic payment in the current or any future fiscal period, then the obligations of County to make payments after the effective date of such non-allocation or non-funding, as provided in the notice, will cease and terminate.
  - B. As permitted by applicable State and Federal laws regarding funding sources, if funding to make payments in accordance with the provisions of this Agreement is delayed or is reduced from the County, State, and/or federal governments for the Agreement, or is not allocated or allotted in full to County by the County, State, and/or federal governments for this Agreement for periodic payment in the current or any future fiscal period, then the obligations of County to make payments will be delayed or be reduced accordingly or County shall have the right to terminate the Agreement as provided in Section 17. If such funding is reduced, County in its sole discretion shall determine which aspects of the Agreement shall proceed and which Services shall be performed. In these situations, County will pay Contractor for Services and Deliverables and certain of its costs. Any obligation to pay by County will not extend beyond the end of County's then-current funding period.

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- C. Contractor expressly agrees that no penalty or damages shall be applied to, or shall accrue to, County in the event that the necessary funding to pay under the terms of this Agreement is not available, not allocated, not allotted, delayed or reduced.

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### **THIS AGREEMENT INCLUDES:**

- A. EXHIBIT A, A-1, A-2, A-3, A-4 – Statements of Work
  - 1. Attachment A - SANTA BARBARA COUNTY MENTAL HEALTH PLAN,  
QUALITY MANAGEMENT STANDARDS
- B. EXHIBIT B – Financial Provisions
- C. EXHIBIT B-1 – Schedule of Rates
- D. EXHIBIT B-2 – Budget
- E. EXHIBIT C – Standard Indemnification and Insurance Provisions
- F. EXHIBIT D – Organizational Service Provider Site Certification
- G. EXHIBIT E – Program Goals, Outcomes and Measures

## AGREEMENT

Agreement for Services of Independent Contractor between the County of Santa Barbara and Mental Health Association in Santa Barbara County (DBA Mental Wellness Center).

**IN WITNESS WHEREOF**, the parties have executed this Agreement to be effective on the date executed by County.

COUNTY OF SANTA BARBARA

By: \_\_\_\_\_  
SALUD CARBAJAL, CHAIR  
BOARD OF SUPERVISORS  
Date: \_\_\_\_\_

ATTEST:  
CHANDRA L. WALLAR  
CLERK OF THE BOARD

CONTRACTOR

By: \_\_\_\_\_  
Deputy Clerk  
Date: \_\_\_\_\_

By: \_\_\_\_\_  
Tax Id No 95-1962659.  
Date: \_\_\_\_\_

APPROVED AS TO FORM:  
DENNIS MARSHALL  
COUNTY COUNSEL

APPROVED AS TO ACCOUNTING FORM:  
ROBERT W. GEIS, CPA  
AUDITOR-CONTROLLER

By \_\_\_\_\_  
Deputy County Counsel  
Date: \_\_\_\_\_

By \_\_\_\_\_  
Deputy

APPROVED AS TO FORM :  
ALCOHOL, DRUG, AND MENTAL HEALTH  
SERVICES  
TAKASHI WADA, MD, MPH  
INTERIM DIRECTOR

APPROVED AS TO INSURANCE FORM:  
RAY AROMATORIO  
RISK MANAGER

By \_\_\_\_\_  
Director  
Date: \_\_\_\_\_

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

# AGREEMENT SUMMARY

BC \_\_\_\_\_

Complete data below, print, obtain signature of authorized departmental representative, and submit this form (and attachments) to the Clerk of the Board (>\$25,000) or Purchasing (<\$25,000). See also "Contracts for Services" policy. Form is not applicable to revenue contracts.

D1. Fiscal Year ..... 13-14  
D2. Budget Unit Number (plus –Ship/Bill codes in parenthesis) ..... 043  
D3. Requisition Number..... N/A  
D4. Department Name..... Alcohol, Drug, and Mental Health Services  
D5. Contact Person ..... Erin Jeffery  
D6. Telephone ..... (805) 681-5168

K1. Agreement Type (check one): ☐ Personal Service ☒ Capital  
K2. Brief Summary of Agreement Description/Purpose..... Mental Health Services to Adults with Mental Illness  
K3. Original Agreement Amount..... \$603518  
K4. Agreement Begin Date..... 7/1/2013  
K5. Original Agreement End Date ..... 6/30/2014  
K6. Amendment History (leave blank if no prior amendments).....

Seq#	EffectiveDate	ThisAmndtAmt	CumAmndtToDate	NewTotalAmt	NewEndDate	Purpose (2-4 words)

K7. Department Project Number :

B1. Is this a Board Agreement? (Yes/No)..... Yes  
B2. Number of Workers Displaced (if any) ..... N/A  
B3. Number of Competitive Bids (if any)..... N/A  
B4. Lowest Bid Amount (if bid) ..... N/A  
B5. If Board waived bids, show Agenda Date..... N/A  
and Agenda Item Number .....  
B7. Boilerplate Agreement Text Unaffected? (Yes / or cite Paragraph) ... Yes

F1. Encumbrance Transaction Code..... N/A  
F2. Current Year Encumbrance Amount ..... N/A  
F3. Fund Number ..... 0044 & 0048  
F4. Department Number..... 043  
F5. Division Number (if applicable) ..... N/A  
F6. Account Number ..... 7461 & 7462  
F7. Cost Center number (if applicable) ..... MULT  
F8. Payment Terms..... Net 30

V1. Vendor Numbers (A=Auditor; P=Purchasing) ..... A=712758  
V2. Payee/Contractor Name ..... Mental Health Association in Santa Barbara County (DBA Mental Wellness Center)  
V3. Mailing Address..... 617 Garden St.  
V4. City State (two-letter) Zip (include +4 if known) ..... Santa Barbara, CA 93101  
V5. Telephone Number..... 8058848440  
V6. Contractor's Federal Tax ID Number (EIN or SSN)..... 95-1962659  
V7. Contact Person..... Annmarie Cameron  
V8. Workers Comp Insurance Expiration Date ..... 4/1/2014  
V9. Liability Insurance Expiration Date[s] (G=Genl; P=Profl) ..... G 7/1/2013 P 7/1/2013  
V10. Professional License Number..... CCL# 421703121  
V11. Verified by (name of County staff) ..... Erin Jeffery  
V12. Company Type (Check one): ☐ individual ☐ Sole Proprietorship ☐ Partnership ☒ Corporation

I certify information complete and accurate; designated funds available; required concurrences evidenced on signature page.

Date: \_\_\_\_\_ Authorized Signature: \_\_\_\_\_

## EXHIBIT A

### STATEMENT OF WORK

**The following terms shall apply to all programs operated under this Agreement, included as Exhibits A-1 through A-4.**

1. **PERFORMANCE.** Contractor shall adhere to all County requirements, all relevant provisions of the California Code of Regulations Title 9, Chapter 14 and all relevant provisions of applicable law that are now in force or which may hereafter be in force.
2. **STAFF.**
  - A. Staff shall be trained and skilled at working with persons with serious mental illness (SMI), shall adhere to professionally recognized best practices for rehabilitation assessment, service planning, and service delivery, and shall become proficient in the principles and practices of Integrated Dual Disorders Treatment.
  - B. Contractor shall ensure that staff identified on the Centers for Medicare & Medicaid Services (CMS) Exclusions List or other applicable list shall not provide services under this Agreement nor shall the cost of such staff be claimed to Medi-Cal.
  - C. County shall review Contractor's staff and only staff approved by County shall provide services under this Agreement.
  - D. Contractor shall notify County of any staffing changes as part of the monthly Staffing Report. Contractor shall notify the designated County Liaison and County Quality Assurance Division within one business day when staff separates from employment or is terminated from working under this Agreement.
  - E. At any time prior to or during the term of this Agreement, the County may require that Contractor staff performing work under this Agreement undergo and pass, to the satisfaction of County, a background investigation, as a condition of beginning and continuing to work under this Agreement. County shall use its discretion in determining the method of background clearance to be used. The fees associated with obtaining the background information shall be at the expense of the Contractor, regardless if the Contractor's staff passes or fails the background clearance investigation.
  - F. County may request that Contractor's staff be immediately removed from working on the County Agreement for good cause during the term of the Agreement.
  - G. County may immediately deny or terminate County facility access, including all rights to County property, computer access, and access to County software, to Contractor's staff that does not pass such investigation(s) to the satisfaction of the County, or whose background or conduct is incompatible with County facility access.
  - H. Disqualification, if any, of Contractor staff, pursuant to this Section, shall not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Agreement.
3. **LICENSES, PERMITS, REGISTRATIONS, ACCREDITATIONS, AND CERTIFICATES.**
  - A. Contractor shall obtain and maintain in effect during the term of this Agreement, all licenses, permits, registrations, accreditations, and certificates (including, but not limited to, certification as a Short-Doyle/Medi-Cal provider if Title XIX Short-Doyle/Medi-Cal services are provided hereunder), as required by all Federal, State, and local laws,

## EXHIBIT A

### STATEMENT OF WORK

ordinances, rules, regulations, manuals, guidelines, and directives, which are applicable to Contractor's facility(ies) and services under this Agreement. Contractor shall further ensure that all of its officers, employees, and agents, who perform services hereunder, shall obtain and maintain in effect during the term of this Agreement all licenses, permits, registrations, accreditations, and certificates which are applicable to their performance hereunder. A copy of such documentation shall be provided to Alcohol, Drug, and Mental Health Services (ADMHS) Quality Assurance/Utilization Management (QA/UM) Division.

- B. Contractor shall ensure that all staff providing services under this Agreement retain active licensure. In the event license status cannot be confirmed, the staff member shall be prohibited from providing services under this Agreement.
- C. If Contractor is a participant in the Short-Doyle/Medi-Cal program, Contractor shall keep fully informed of all current Short-Doyle/Medi-Cal Policy Letters, including, but not limited to, procedures for maintaining Medi-Cal certification of all its facilities.

#### 4. REPORTS.

- A. **Staffing.** Contractor shall submit monthly staffing reports to County. These reports shall be on a form acceptable to, or provided by, County and shall report actual staff hours worked by position, Documented Service Hours provided by position, caseload by position, and shall include the employees' names, licensure status, bilingual and bicultural capabilities, budgeted monthly salary, actual salary, and hire and/or termination date. The reports shall be received by County no later than 25 calendar days following the end of the month being reported.
- B. **Programmatic.** Contractor shall submit quarterly programmatic reports to County, which shall be received by County no later than 25 calendar days following the end of the quarter being reported. Contractor shall state whether it is or is not progressing satisfactorily in achieving all the terms of this Agreement and if not, shall specify what steps will be taken to achieve satisfactory progress. Contractor shall include a narrative description of Contractor's progress in implementing the provisions of this Agreement, details of outreach activities and their results, any pertinent facts or interim findings, staff changes, status of Licenses and/or Certifications, changes in population served and reasons for any such changes. Programmatic reports shall include:

- 1. The number of active cases and number of clients admitted/ discharged,
- 2. The Measures described in Exhibit E, Program Goals, Outcomes and Measures.

Contractors receiving MHSA-funding shall track and report the following to County in Contractor's Quarterly Programmatic Report per MHSA requirements:

- 1. Client age;
- 2. Client zip code;
- 3. Number of types of services, groups, or other services provided;
- 4. Number of clients served in which language (English/Spanish/Other);
- 5. Number of groups offered in which language (English/Spanish/Other).

## EXHIBIT A

### STATEMENT OF WORK

- C. **Additional Reports.** Contractor shall maintain records and make statistical reports as required by County and the State Department of Health Care Services or applicable agency, on forms provided by either agency. Upon County's request, Contractor shall make additional reports as required by County concerning Contractor's activities as they affect the services hereunder. County will be specific as to the nature of information requested and allow thirty (30) days for Contractor to respond.
5. **CLIENT AND FAMILY MEMBER EMPOWERMENT.** Contractor agrees to support active involvement of clients and their families in treatment, recovery, and policy development.
6. **MEDI-CAL VERIFICATION.** Contractor shall be responsible for verifying client's Medi-Cal eligibility status and will take steps to reactivate or establish eligibility where none exists.
7. **STANDARDS.**
- A. Contractor agrees to comply with Medi-Cal requirements and be approved to provide Medi-Cal services based on Medi-Cal site certification, per Exhibit D, Organizational Service Provider Site Certification.
  - B. Contractor shall make its service protocols and outcome measures data available to County and to Medi-Cal site certification reviewers.
  - C. Contractor shall develop and maintain a written disaster plan for the Program site and shall provide annual disaster training to staff.
8. **CONFIDENTIALITY.** Contractor agrees to maintain the confidentiality of patient records pursuant to 45 CFR §205.50 (requires patient, or patient representative, authorization specific to psychiatric treatment prior to release of information or a judge signed court order if patient authorization unavailable), and Section 13 of this Agreement. Patient records must comply with all appropriate State and Federal requirements.
9. **CULTURAL COMPETENCE.**
- A. Contractor shall report on its capacity to provide culturally competent services to culturally diverse clients and their families upon request from County, including:
    - 1. The number of culturally diverse clients receiving Program services;
    - 2. Efforts aimed at providing culturally competent services such as training provided to staff, changes or adaptations to service protocol, community education/Outreach, etc.
  - B. At all times, the Contractor shall be staffed with personnel, or provide interpretation services in the client preferred language;
  - C. Contractor shall maintain Spanish bilingual capacity with the goal of filling 40% of direct service positions with bilingual staff in County's second threshold language, Spanish. Contractor shall provide staff with regular training on cultural competency, sensitivity and the cultures within the community, pursuant to Attachment A;

## EXHIBIT A

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- D. Contractor shall provide services that consider the culture of mental illness, as well as the ethnic and cultural diversity of clients and families served; materials provided to the public must be printed in Spanish (second threshold language).
- E. Services and programs offered in English must also be made available in Spanish.
- F. A measureable and documented effort must be made to conduct outreach to and to serve the underserved and the non-served communities of Santa Barbara County, as applicable.

### 10. NOTIFICATION REQUIREMENTS.

- A. Contractor shall notify County immediately in the event of any suspected or actual misappropriation of funds under Contractor's control; known serious complaints against licensed staff; restrictions in practice or license as stipulated by the State Bureau of Medical Quality Assurance, Community Care Licensing Division of the Department of Social Services of the State, or other State agency; staff privileges restricted at a hospital; legal suits initiated specific to the Contractor's practice; initiation of criminal investigation of the Contractor; or other action instituted which affects Contractor's license or practice (for example, sexual harassment accusations). "Immediately" means as soon as possible but in no event more than twenty-four (24) hours after the event. Contractor shall train all personnel in the use of the ADMHS Compliance Hotline.
- B. Contractor shall immediately notify the County Liaison in the event a client with a case file (episode) open to the County presents any of the following client indices: suicidal risk factors, homicidal risk factors, assaultive risk factors, side effects requiring medical attention or observation, behavioral symptoms presenting possible health problems, or any behavioral symptom that may compromise the appropriateness of the placement.
- C. Contractor shall immediately notify the County ADMHS Director or designee, regardless of whether the client has a case file (episode) open with the County, should any of the following events occur: death, fire setting, police involvement, media contact, any behavior leading to potential liability, any behavioral symptom that may compromise the appropriateness of the placement.
- D. In addition to the above, Contractor shall ensure that an Unusual Occurrence Incident Report (UOIR) is completed and forwarded to County Quality Assurance/Utilization Management within 24 hours of any significant incident involving County clients. (See ADMHS Policy and Procedure regarding UOIR).

### 11. UTILIZATION REVIEW.

- A. Contractor agrees to abide by County Quality Management standards and cooperate with the County's utilization review process which ensures medical necessity, appropriateness and quality of care. This review may include clinical record review; client survey; and other utilization review program monitoring practices. Contractor will cooperate with these programs, and will furnish necessary assessment and Client Service Plan information, subject to Federal or State confidentiality laws, and provisions of this agreement.

## EXHIBIT A

### STATEMENT OF WORK

- B. Contractor shall identify a senior staff member who will be the designated ADMHS QA/UM contact and will participate in monthly or quarterly provider QA/UM meetings, to review current and coming quality of care issues.
- 12. **PERIODIC REVIEW.** County shall assign senior management staff as contract monitors to coordinate periodic review meetings with Contractor's staff regarding quality of clinical services, fiscal and overall performance activity. The Care Coordinators, Quality Improvement staff, and the Program Managers or their designees shall conduct periodic on-site and/or electronic reviews of Contractor's clinical documentation.
- 13. **ADDITIONAL PROGRAM REQUIREMENTS FOR MHSA-FUNDED PROGRAMS.** In accepting MHSA funding for the Program, Contractor shall adhere to the following MHSA principals:
  - A. Cultural Competence. Adopting behaviors, attitudes and policies that enable providers to work effectively in cross-cultural situations.
  - B. Client and Family Driven System of Care. Clients and families of clients identify needs and preferences that result in the most effective services and support.
  - C. Community Collaboration. Individuals, families, agencies, and businesses work together for a shared vision.
  - D. Integrated Service Experiences. Services for clients and families are "seamless," limiting the need for negotiating with multiple agencies and funding sources.
  - E. Focus on Wellness. Includes recovery and resilience: people diagnosed with a mental illness are able to live, work, learn and participate fully in their communities.

EXHIBIT A -1  
STATEMENT OF WORK  
CONSUMER-LED PROGRAM

1. **PROGRAM SUMMARY:** The Santa Barbara Consumer-Led Program (hereafter “the Program”) provides a combination of wellness and recovery-oriented services to persons with mental illness and their families (hereafter “Participants”). The Program is located at 617 Garden Street, Santa Barbara, California. The Program provides services designed and led by consumers and is responsible for developing and supporting:
  - A. Peer-led wellness and recovery-oriented groups and trainings, as well as one-to-one peer support;
  - B. Assistance to persons with mental illness to develop social relationships and activities in the community;
  - C. Connections among individuals living with mental illness;
  - D. Peer support competencies and leadership skills for those consumers interested in achieving these goals;
  - E. Family support activities, such as family support groups;
  - F. Resource information for community members, consumers, and families of individuals with mental illness, to increase understanding of mental illness and bolster the community’s ability to support persons with mental illness.
2. **SERVICES.** Contractor will provide a Program that is client-designed and client-led. The Program will assure a comfortable, supportive, culturally competent approach through which Participants will receive peer support, participate in learning opportunities, social activities and meaningful interactions with others. In addition, Contractor will continue to collaborate with the County and selected Participants in the on-going development of the Program.
  - A. Contractor will provide intern placement opportunities for peer recovery staff trained through the MHSA Workforce Education and Training Program;
  - B. Contractor will provide mentoring, management and leadership opportunities for peer recovery staff and other interested Participants leading to enhanced involvement in Program oversight. Staff will offer assistance to Participants in developing Program proposals and outreach to consumers involved in the program planning process. The goal is to provide Participants with a respectful, receptive environment to bring their new ideas, and assistance in developing those proposals;
  - C. Contractor will provide activities designed to promote mental health recovery, social interaction and independence. These include programs in interpersonal relationships, effective communication and conflict resolution, accessing community resources (therapeutic, health, vocational, educational), and strengthening bonds with family, friends and significant others. Wellness Recovery Action Plan (WRAP) groups will be run on a regular basis by consumer staff and/or County staff. Contractor will offer oversight for Participant-prepared presentations;
  - D. Program will function as a Participant-operated program with peer recovery staff and supervisors providing positive and inspirational role models for others;
  - E. Contractor will collaborate with County and a Southern Santa Barbara County Peer Guidance Council in the on-going development of the Program. Monthly meetings of

EXHIBIT A -1  
STATEMENT OF WORK  
CONSUMER-LED PROGRAM

these parties will be held to foster the development of a consumer-run organization that can eventually assume the management of the Program, determine the recovery-oriented groups and activities to be developed, ensure that recovery-oriented groups and activities are developed or identified for the mono-lingual Spanish speaking Participants, support development of child care where needed to allow for Program participation, interview and select Participants who will lead groups or activities at the program, and develop incentives to encourage participation. Quarterly, the South County and North County Peer Guidance Councils shall meet to confer on Program design;

- F. Clients (volunteer or stipend) will lead groups focusing on various topics and activities, based on the interests and skills of the Participants. These groups, such as WRAP, peer support groups, benefits planning and career exploration, will provide a structured opportunity for Participants to learn new skills, interact with one another, and learn about accessing of community resources. In particular, there will be an emphasis on bilingual presentations. Families will be referred to Partner's in Hope Family Partner's for services, and support groups. The Program will have a resource list available to family members;
  - G. Participants will share in the upkeep of the physical location which serves as a "hub" for the overall Program;
  - H. Contractor will work with the local community to obtain support for activities in the form of in-kind donations and financial support;
  - I. Contractor will assist in creating an informational resource hub for community resources and activities, and will provide a resource list, in English and Spanish, that is available to participants.
3. **CLIENTS.** Contractor and County anticipate approximately 150 unduplicated Participants per month. The Participant population will be clients with SMI, and their families, and the Program will allow participation by clients at varying stages of recovery.
4. **HOURS.** The Center will be open a minimum of 30 hours per week. From time to time, Contractor may change operating hours in response to consumer demand; Contractor shall notify County of such changes by providing a schedule of operating hours. Additional activities of the Program are expected to occur outside of the Center hours.
5. **STAFFING.** Contractor will employ an appropriate mix of full time equivalent (FTE), part-time stipend and volunteer staff to provide Participant desired events and services.
- A. Contractor will employ 3.0 FTE Peer Facilitators to mentor Participants and coordinate on-site development and governance.
  - B. During situations when primary staff is absent, depending on availability, Contractor may choose to cover some of the program hours with volunteers or relief workers paid via incentive cards or stipends.
  - C. Staff will have experience in leading client activities and demonstrate responsiveness to Participant issues and concerns.

EXHIBIT A -2  
STATEMENT OF WORK  
CASA JUANA MARIA

1. **PROGRAM SUMMARY.** Contractor operates an intensive residential program at Casa Juana Maria (hereafter “the Program”) which provides mental health services to Medi-Cal eligible adults with Serious Mental Illness (SMI). Treatment is provided through community education and social interaction using individual programs offering socialization and rehabilitation, “One to One” projects and family support groups. The Program shall be licensed as an Adult Residential Facility by the California Department of Social Services Community Care Licensing Division (CCLD). The Program is located at 106 Juana Maria Street, Santa Barbara, California.
2. **PROGRAM GOALS.**
  - A. Maintain the client's residential placement at the lowest appropriate level, and/or enable client to successfully move to a lower level of care;
  - B. Connect clients to social services and community resources;
  - C. Assist clients to develop independent living skills; including support clients to develop skills necessary for self-care, medication management, and use of community transportation;
  - D. Successfully engage and stabilize clients transitioning from Institutes for Mental Diseases (IMDs), Acute Care Facilities or other residential settings;
  - E. Provide 24/7 supports to manage crisis;
  - F. Adopt a “whatever it takes” approach to preserve this placement as the client's home until another home is located.
3. **SERVICES.** Contractor shall provide twenty-four (24) hour per day, seven (7) days per week psychiatric rehabilitation, residential care and room and board for clients placed at the Program as described in Section 7, Referrals.
  - A. Contractor shall provide the following mental health services, as described in Title 9, California Code of Regulations (CCR), as authorized by ADMHS Quality Assurance/Utilization Management (QA/UM) Division:
    1. **Therapy.** Therapy is a service activity that is a therapeutic intervention that focuses primarily on symptom reduction as a means to improve functional impairments, as defined in Title 9 CCR Section 1810.250. Therapy may be delivered to an individual and may include family therapy at which the client is present.
    2. **Rehabilitation.** Rehabilitation is defined as a service activity that includes but is not limited to, assistance in improving, maintaining or restoring a client's or a group of clients' functional skills, daily living skills, social and leisure skills, grooming and personal hygiene skills, meal preparation skills, support resources, and/or medication education (excludes services provided under Medication Support, as defined in Title 9 CCR Section 1810.225), as defined in Title 9 CCR Section 1810.243.
    3. **Collateral.** Collateral services are delivered to a client's significant support person(s) for the purpose of meeting the needs of the client and achieving the goals of the

EXHIBIT A -2  
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CASA JUANA MARIA

Client Service Plan, as defined in Title 9 CCR Section 1810.206. A significant support person is a person who has or could have a significant role in the successful outcome of treatment, including but not limited to parents of a client, legal guardians or representatives of a client, a person living in the same household as the client, the client's spouse, and the relatives of the client. Collateral may include, but is not limited to, family counseling with the significant support person(s), consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the client, and consultation and training of the significant support person(s) to assist in better understanding of mental illness. The client need not be present for this service activity. Consultation with other service providers is not considered a Collateral service.

4. **Assessment.** Assessment is designed to evaluate the current status of a client's mental, emotional or behavioral health. Assessment includes, but is not limited to, one or more of the following: mental status determination, analysis of the client's clinical history; analysis of relevant cultural issues and history; diagnosis; and use of testing procedures, as defined in Title 9 CCR Section 1810.204.
  5. **Plan Development.** Plan development consists of developing client plans, approving client plans, and/or monitoring the client's progress, as defined in Title 9 CCR Section 1810.232.
  6. **Crisis Intervention.** Crisis intervention is a service lasting less than 24 hours, to or on behalf of a client for a condition that requires a more timely response than a regularly scheduled visit, as defined in Title 9 CCR Section 1810.209. Service activities include, but are not limited to: assessment, collateral and therapy. Crisis intervention is distinguished from crisis stabilization by being delivered by providers who do not meet the crisis stabilization contact, site and staffing requirements as defined in Sections 1840.338 and 1840.348 (CCR). Contractor shall be available 24 hours per day, 7 days per week to provide crisis intervention services.
    - a. When clients have an emergent need while at the Program, Contractor shall work to manage the client's needs to prevent crisis. If crisis assistance is needed, Contractor will work directly with Crisis and Recovery Emergency Services (CARES) and ADMHS clinic staff to engage in a supported response to the client's needs.
    - b. Contractor shall ensure availability of telephone and face-to-face contact with clients 24 hours per day, seven days per week to respond to requests by CARES in the event that specialized knowledge from the Program is required. Response to CARES may be by both telephone and in person. If a physical response is required, staff shall arrive no later than 30 minutes from the time of the call.
- B. **Activities of Daily Living.** Contractor shall provide Activities of Daily Living (ADL) support, including:
1. Assisting clients in developing and maintaining knowledge of medications, skills in self administration of medication and compliance with medication treatment;
  2. Accessing and using laundry facilities (both in-home and coin-operated facilities);

EXHIBIT A -2  
STATEMENT OF WORK  
CASA JUANA MARIA

3. Maintaining clean and well-kept living quarters, this shall include assigning household chores to be completed weekly;
  4. Practicing good personal hygiene; including physical health, such as hygiene, prevention and management of medical condition(s);
  5. Scheduling and keeping appointments;
  6. Learning and practicing psychosocial skills, such as effective interpersonal communication and conflict resolution.
- C. **Skill Building.** Contractor shall provide skill building in Social and Recreational Activities, including:
1. Providing structured direction so clients learn how to engage in group activities that can provide meaningful social connections with others;
  2. Providing structured direction so clients learn how to engage in community activities to prepare for more independent living;
  3. Assisting clients to:
    - a. Identify, access and independently participate in social and/or recreational activities in the community with the goal of encouraging and promoting positive interaction with others, physical exercise and participating in health-related activities;
    - b. Develop conversational skills;
    - c. Access activities that are cost-appropriate to the client's budget.
  4. Instructing clients how to access necessary services for routine, urgent, or emergency needs. Contractor shall assist clients in learning how to access community services for on-going supports (i.e. alcohol and drug programs, outpatient mental health treatment services, routine medical services, etc.), CARES for psychological emergencies, and hospital emergency rooms for medical emergencies.
  5. Assist clients in developing skills to use natural supports for transportation and community recreational resources (i.e. YMCA, Adult Education, etc.) which afford clients opportunities to practice the skills they are developing and/or learning;
  6. Contractor shall provide family psychoeducational activities such as education to the family regarding mental illness, medications, and recognizing symptoms;
  7. Contractor shall provide work-related support services to help clients who want to find and maintain employment in community-based job sites as well as educational supports to help clients who wish to pursue the educational programs necessary for securing a desired vocation.

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CASA JUANA MARIA

- a. Program staff shall assist clients to find employment that is part- or full-time, temporary or permanent, based on the unique interests and needs of each client. As often as possible, however, employment should be in real life, independent integrated settings with competitive wages.
- b. Services shall include but not be limited to:
  - i. Assessment of the effect of the client's mental illness on employment or educational learning, with identification of specific behaviors that interfere with the client's work or learning performance and development of interventions to reduce or eliminate those behaviors;
  - ii. Development of an ongoing supportive educational or employment rehabilitation plan to help each client establish the skills necessary to find and maintain a job or to remain in an educational setting;
  - iii. Individual supportive therapy to assist clients to identify and cope with symptoms of mental illness that may interfere with work performance or learning;
  - iv. Work-related supportive services, such as assistance with grooming or personal hygiene, securing of appropriate clothing, wake-up calls, transportation, etc.
- D. **Support Services.** Contractor shall assist clients to access needed community resources, including, but not limited to:
  - 1. Medical and dental services (e.g. having and effectively using a personal physician and dentist);
  - 2. Financial entitlements;
  - 3. Social services;
  - 4. Legal advocacy and representation.
- E. **Vocational Skills.** Contractor shall assist clients improve and enhance their vocational skills, including:
  - 1. Accessing and using public transportation;
  - 2. Accessing and using public libraries;
  - 3. Accessing and using educational and vocational resources (i.e. community colleges, Vocational Rehabilitation, etc.)
- F. **Budgeting.** Contractor shall assist client with developing individual budgets based on income and expenses and assisting clients with managing finances, including bill-paying and living on fixed incomes.

EXHIBIT A -2  
STATEMENT OF WORK  
CASA JUANA MARIA

- G. **Cooking and Meal Planning.** Contractor shall assist clients develop skills related to cooking and meal planning, including:
1. Learning and developing healthy eating habits;
  2. Learning to maintain a safe and sanitary kitchen;
  3. Shopping for and preparing meals with the assistance of Program staff.
4. **CLIENTS.** Contractor shall provide the services described in Section 3 to a caseload of six (6) clients. Due to the severity of their symptoms and functional issues, individuals who receive these services are in the greatest need of rehabilitative services in order to live successfully in the community and achieve their personal recovery goals. Multiple barriers to successful functioning are common in this group and may include: co-occurring substance abuse or dependence, homelessness, unemployment, out-of-control illness management, frequent and persistent use of hospital emergency departments and inpatient psychiatric treatment, and problems with the legal system. Priority of population served will include individuals with SMI who are transitioning from IMDs, acute inpatient facility settings or other residential living settings.
- A. Program clients should have symptoms that seriously impair their functioning in independent living community settings. Because of mental illness, the client has substantial disability and functional impairment as indicated by an assessment of level 3 or 4 on the Level of Care and Recovery Inventory (LOCRI);
  - B. Priority should be given to clients with long term psychiatric disabilities such as schizophrenia, other psychotic disorders and bipolar disorders.
5. **LENGTH OF STAY/SERVICE INTENSITY.**
- A. Contractor and County shall review cases every 90 days, to include Client Service Plan (CSP) development, effectiveness of interventions and discharge planning.
  - B. Contractor shall work with County to develop goals for encouraging clients to move to lower levels of supportive housing or community support.
6. **STAFF.** Contractor shall abide by CCLD staffing requirements for 24/7 coverage with on-call staff as necessary for emergency situations.
7. **REFERRALS.**
- A. Contractor shall admit clients seven (7) days per week;
  - B. Contractor shall admit and provide services to clients referred by County treatment teams in order for those services to be reimbursed by County.

EXHIBIT A -2  
STATEMENT OF WORK  
CASA JUANA MARIA

**C. Admission Process.**

1. Contractor shall notify County that a program slot has been vacated as described in Section 9.
2. County Program Manager shall thoroughly review open cases to determine those appropriate for placement. Clients from IMDs or higher level of care shall be prioritized for placement.
3. County Program Manager shall send the Referral Packet, described in Section 7.D, for the selected client to Contractor.
4. Contractor shall respond to referrals within five (5) days from the date of receipt of the referral.
5. Contractor shall interview client referred by County. Referrals may also require CCLD approval if there is an exception needed for admission for residential treatment.
6. In the event a referral is not accepted per Section 7.E, Contractor shall notify County in writing of the reason for not accepting the referral.

**D. Referral Packet.** Contractor shall maintain a referral packet within its files (hard copy or electronic), for each client referred and treated, which shall contain the following items:

1. A copy of the County referral form;
2. A client face sheet;
3. A copy of the most recent comprehensive assessment and/or assessment update;
4. A copy of the most recent medication record and health questionnaire;
5. A copy of the currently valid Client Service Plan (CSP) indicating the goals for client enrollment in the Program and which names Contractor as service provider;
6. Client's Medi-Cal Eligibility Database Sheet (MEDS) file printout will be provided to Contractor in the initial Referral Packet. Thereafter, it will be Contractor's responsibility to verify continued Medi-Cal eligibility;
7. Other documents as reasonably requested by County.

**E. Exclusion Criteria and Process.** On a case-by-case basis, the following may be cause for client exclusion from the Program, subject to approval by the ADMHS Division Chief in collaboration with Contractor: individual's recent history (within six (6) months) of, or facing charges of, violent crime or sexual predation; individuals with restricted health conditions as defined by CCLD and those who are not classified as "ambulatory"; individuals with Anti-Social Personality Disorder.

EXHIBIT A -2  
STATEMENT OF WORK  
CASA JUANA MARIA

**8. DOCUMENTATION REQUIREMENTS.**

A. **CSP.** The ADMHS Treatment Team shall complete a CSP in collaboration with Contractor for each client receiving Program services within thirty (30) days of enrollment into the Program. The CSP shall provide overall direction for the collaborative work of the client, the Program and the ADMHS Treatment Team, as applicable. The CSP shall include:

1. Client's recovery goals or recovery vision, which guides the service delivery process;
2. Objectives describing the skills and behaviors that the client will be able to learn as a result of the Program's behavioral interventions;
3. Interventions planned to help the client reach their goals.

B. Contractor shall provide services as determined by each client's CSP and Action Plan. The Action Plan shall align with the overall goals of the client's CSP. Copies of clients' Action Plans shall be provided to County upon completion and upon any further updates or revisions, as applicable.

9. **DISCHARGE PLAN.** The ADMHS Treatment Team shall work closely with each client and with Program staff to establish a written discharge plan that is responsive to the client's needs and personal goals.

A. County shall participate in the development of discharge plans, and shall provide assistance to clients in completion of their plan. Contractor and County shall collaborate in planning for discharge and transition;

B. Clients and their families shall be involved as much as possible in the discharge and graduation process;

C. Contractor shall notify County within five (5) days of any pending discharge;

D. County shall receive a copy of the final discharge plan;

E. Contractor shall notify County of final discharge date within one (1) business day

F. Residential clients may be discharged by Contractor according to CCLD requirements.

EXHIBIT A -3  
STATEMENT OF WORK  
FAMILY ADVOCATE

1. **PROGRAM SUMMARY.** Family Advocate (hereafter “the Program”) provides outreach, linkage to care and recovery-oriented activities to families of clients with Serious Mental Illness (SMI) in Santa Barbara. The Program will be headquartered at 617 Garden Street, Santa Barbara, California.
2. **SERVICES.**
  - A. Contractor shall provide an appropriate combination of services individualized to meet each family members needs and assist them to achieve and sustain recovery. Services offered to families include, but are not limited to:
    1. Outreach to under-served families and linkage to care;
    2. Recovery-oriented supports and services, such as family support groups;
    3. Recovery-oriented tools and education, such as Wellness and Recovery Action Plans (WRAP), and family education programs such as Family-to-Family;
    4. Crisis support and training on consumer and family member issues;
    5. Collaboration with the Justice Alliance staff, ADMHS clinical teams, and the ADMHS Crisis and Recovery Emergency Services (CARES) program.
    6. As an outreach and engagement initiative, the Program will build relationships with families currently receiving little or no service.
    7. The Contractor will work closely with the ADMHS Consumer Empowerment Program Manager, who will provide overall coordination of the Program.
  - B. Contractor shall attend all regularly scheduled Program staff meetings.
3. **CLIENTS/PROGRAM CAPACITY.** Contractor shall provide the services described in Section 2 to 125 family members or adults/older adults with SMI per quarter and approximately 200 unduplicated family members annually. The program may serve family members of adults with co-occurring substance abuse conditions.
4. **REFERRALS.**
  - A. **Admission criteria and process.**
    1. Contractor shall enroll Clients referred by County or sources other than County upon approval by the ADMHS Division Chief.
    2. Contractor shall respond to referrals within five (5) days.
  - B. **Referral Packet.** Contractor shall maintain a referral packet within its files (hard copy or electronic), for each family member of each County Client referred and treated, which shall contain the following items:
    1. A copy of the County and Contractor referral form;

EXHIBIT A -3  
STATEMENT OF WORK  
FAMILY ADVOCATE

2. Release of Information signed by the client;
3. A client face sheet;
4. A copy of the most recent comprehensive assessment and/or assessment update;
5. A copy of the most recent medication record and health questionnaire;
6. A copy of the currently valid Client Service Plan (CSP) indicating the goals for family member involvement in the Program and which names Contractor as service provider;
7. Other documents as reasonably requested by County.

**5. STAFFING.**

- A. Contractor shall employ 1.0 FTE Family Advocate, who is a family member of individuals with serious mental illness. The Family Advocate shall function as a liaison with family members, care givers, clients, County, local National Association of Mental Illness (NAMI) groups, and other County treatment contractors to provide support, education, information and referral, and community outreach for clients' families.
- B. Contractor shall work closely with other Program staff hired by the County, including three (3.0) FTE Peer Recovery Specialists, who are or have been recipients of mental health services for serious mental illness. Peer Recovery Specialists provide essential expertise and consultation to the entire team to promote a culture in which each client's subjective experiences, points of view and preferences are recognized, respected and integrated into all treatment, rehabilitation and support services. Peer Specialists participate in all program planning processes and provide direct services in the community that promote client self-determination and decision-making.

EXHIBIT A-4  
STATEMENT OF WORK  
MENTAL HEALTH FIRST AID

1. **PROGRAM SUMMARY.** The Mental Health First Aid Program (hereafter “the Program”) is designed to give members of the public information about mental health conditions and provide them key skills to help someone who is developing a mental health problem or experiencing a mental health crisis. The Program, through the Mental Health Services (MHSA) Prevention and Intervention (PEI) component shall provide Community Mental Health Educators (CMHEs) who will specialize in providing outreach and education regarding mental health issues to community organizations and the general public. This individual will serve as a liaison with CMHEs hired by other community organizations through MHSA – PEI who work directly with unserved or underserved populations. The Program will provide the public with skills to assist individuals experiencing the onset of a mental health condition. The Program shall be headquartered at 617 Garden Street, Santa Barbara, California.
2. **PROGRAM GOALS.**
  - A. Increase mental health literacy by educating the general public regarding mental health issues and services that are available.
  - B. Reduce disparities in availability of mental health support for unserved communities.
  - C. Provide training to help participants provide appropriate assistance to individuals in need of mental health services.
  - D. Decrease the negative stigma associated with mental health conditions.
3. **SERVICES.** Contractor shall provide the following services to community members, community leaders and organizations who have contact with unserved and underserved members of the populations described in Section 4 which may include Primary Care Clinics, childcare staff, teachers and representatives of faith based/spiritual communities.
  - A. Outreach and Education. Contractor shall conduct outreach and education activities including educational workshops, discussion groups regarding mental illness, to a minimum of 40 organizations and 200 individuals annually.
  - B. Community Engagement. Contractor shall provide culturally appropriate general training sessions for community members, community leaders and to service providers that focus on the identification of early signs of mental illness and how to link the individual or family member to local mental health or other appropriate resources.
  - C. 12-hour Mental Health First Aid. Contractor shall provide at least 12 12-hour Mental Health First Aid trainings annually, six (6) in North Santa Barbara County and six (6) in South Santa Barbara County or as otherwise mutually agreed with County so long as countywide coverage is provided. These trainings will help individuals who do not have clinical training assist someone experiencing a mental health crisis by teaching a single strategy including assessing risk, respectfully listening to and supporting the individual in crisis, and identifying and contacting appropriate professional help. The audience will be the general public, including friends and family of individuals with mental illness or addiction, professionals (such as police officers and primary care workers), school and college leadership, faith communities or anyone interested in learning more about mental illness and addiction, Alcohol, Drug and Mental Health Services (ADMHS) and other community-based organizations (CBO) staff who have direct contact with the

EXHIBIT A-4  
STATEMENT OF WORK  
MENTAL HEALTH FIRST AID

public. Contractor shall train a minimum of 300 people per year in the 12-hour Mental Health First Aid training.

- D. Contractor shall create and promote literature (i.e. brochures, flyers, posters) regarding mental health conditions in collaboration with CMHEs working for other organizations through MHSA-PEI in a bilingual and biculturally appropriate manner to ensure consistency and accuracy. The literature shall be supportive of the Community Mental Health Education and Mental Health First Aid projects in informing community members and organizational staff about mental health, including recognition of mental health problems and resources.
  - E. Contractor shall work collaboratively with ADMHS and CMHEs working for other organizations through MHSA-PEI to develop an evaluation to measure the outcomes of the Community Mental Health Education and Mental Health First Aid programs.
  - F. Host semi-annual meetings with CMHE staff working for other organizations through MHSA-PEI to share updates, develop collaborative materials and evaluation tools.
  - G. Contractor shall provide Spanish Mental Health First Aid trainings when a Spanish module is made available by the National Council for Community Behavioral Healthcare.
4. **TARGET POPULATION.** Contractor shall work with organizations and individuals within the community to provide the skills to help assist individuals experiencing a mental health condition and education regarding mental health issues. Individuals who come into regular contact with and can have a positive impact on the individuals described below shall be prioritized for participation in the Mental Health First Aid Training:
- A. Spanish-speaking individuals who are primarily uninsured/underinsured;
  - B. Mixtec or other Oaxaquen-speaking individuals;
  - C. Individuals of Native American descent;
  - D. Individuals who are members of the Lesbian, Gay, Bisexual, Transgender, Questioning (LGBTQ) community;
  - E. Individuals in crisis without a prior mental health diagnosis;
  - F. Individuals experiencing an emerging mental health condition;
  - G. Families with children who are school age and/or at risk of multiple systems involvement;
  - H. Families with children who may have experienced trauma or who are at risk of suicide;
  - I. Older adults experiencing mental health conditions.
5. **STAFFING.**
- A. Contractor shall employ 0.3 FTE Community Mental Health Educator (CMHE) and an appropriate number of consultants/trainers to provide the services described herein. The Contractor shall have capacity to provide bilingual and bicultural outreach and education

EXHIBIT A-4  
STATEMENT OF WORK  
MENTAL HEALTH FIRST AID

services. CMHE and consultants/trainers shall be certified as Mental Health First Aid Instructors, and have at minimum, a background in mental health services, experience in providing training to groups and/or individuals and strong communication skills. Desirable qualifications include experience in working with families and individuals in community settings, experience in health education and health promotion, connection with service providers and community agencies.

B. Training.

1. Staff providing services under this contract shall complete the 40- hour Mental Health First Aid Instructor Program disseminated by the National Council for Community Behavioral Healthcare to be certified as a Mental Health First Aid instructor, as required by ADMHS.
2. Staff providing services under this contract shall participate in all trainings identified by ADMHS as necessary to provide quality services to the identified community.

## ATTACHMENT A

### SANTA BARBARA COUNTY MENTAL HEALTH PLAN, QUALITY MANAGEMENT STANDARDS

The Santa Barbara County Alcohol, Drug and Mental Health Services Department is Santa Barbara County's Medi-Cal Mental Health Plan (MHP) and has established the following standards for all organizational, individual, and group providers furnishing Specialty Mental Health Services.

#### 1. Assessment

- A. Initial Assessment: Each individual anticipated to be served for 60 days or more shall have a comprehensive assessment performed and documented by the 61<sup>st</sup> day of service. To allow time for review and correction, Contractors should complete the assessment by the 45<sup>th</sup> day of service. This assessment shall address areas detailed in the MHP's Agreement with the California Department of Health Care Services. The Assessment must be completed in the format designated by the MHP and must be completed and signed by a Licensed Practitioner of the Healing Arts (LPHA) (i.e. physician, psychologist, Licensed Clinical Social Worker, Licensed Marriage and Family Therapist, or Registered Nurse) and the client and/or guardian.
- B. Assessment Update: A reevaluation/reassessment of key indicators will be performed and documented within the chart on an annual basis with reassessment of required clinical symptoms, impairments and functioning. The time frame for this update is within 60 days prior to the anniversary date of the previous assessment.

#### 2. Plan of Care

- A. Client Service Plan (CSP): The plan of care shall be completed by the Contractor when designated by the MHP. Contractor will coordinate with the MHP Clinic Team to determine responsibility for development of the CSP.
  - B. Frequency: The CSP shall be completed by the 61<sup>st</sup> day in all cases in which services will exceed 60 days. At minimum, the CSP must be updated annually, within 60 days prior to the anniversary date of the previous CSP.
  - C. Content of CSPs:
    - 1. Specific, observable or quantifiable goals.
    - 2. Proposed type(s) of intervention to address each of the functional impairments identified in the Assessment.
    - 3. Proposed duration of intervention(s).
    - 4. Documentation of the client's participation in and agreement with the plan. This includes client signature on the plan and/or reference to client's participation and agreement in progress notes.
  - D. Signature (or electronic equivalent) by a LPHA (the LPHA must be a physician for Medicare clients) and the client. Client plans shall be consistent with the diagnoses and the focus of intervention will be consistent with the client plan goals.
  - E. Contractor will offer a copy of the client plan to the client and will document such on the client plan.
3. Progress Notes and Billing Records. Services must meet the following criteria, as specified in the MHP's Agreement with the California Department of Health Care Services.
- A. All service entries will include the date services were provided.
  - B. The client record will contain timely documentation of care. Services delivered will be recorded in the client record as expeditiously as possible, but no later than 72 hours after service delivery.

## ATTACHMENT A

- C. Contractor will document client encounters, and relevant aspects of client care, including relevant clinical decisions and interventions, in the client record.
- D. All entries will include the exact number of minutes of service provided and the type of service, the reason for the service, the corresponding client plan goal, the clinical intervention provided, the signature of the person providing the service (or electronic equivalent); the person's professional degree, licensure or job title; and the relevant identification number.
- E. The record will be legible.
- F. The client record will document referrals to community resources and other agencies, when appropriate.
- G. The client record will document follow-up care or, as appropriate, a discharge summary.
- H. Timeliness/Frequency of Progress Notes
  - 1. Shall be prepared for every Service Contact including:
    - a) Mental Health Services (Assessment, Evaluation, Collateral, Individual/ Group/Family Therapy, Individual/Group/Family Rehabilitation);
    - b) Medication Support Services;
    - c) Crisis Intervention;
    - d) Targeted Case Management (billable or non-billable).
  - 2. Shall be daily for:
    - a) Crisis Residential;
    - b) Crisis Stabilization (1x/23hr);
    - c) Day Treatment Intensive.
  - 3. Shall be weekly for:
    - a) Day Treatment Intensive for Clinical Summary;
    - b) Day Rehabilitation;
    - c) Adult Residential.
  - 4. On each shift for other services such as Acute Psychiatric Inpatient.
- 4. Additional Requirements
  - A. Contractor shall display Medi-Cal Member Services Brochures in English and Spanish in their offices. In addition, Contractors shall post grievance and appeal process notices in a visible location in their waiting rooms along with copies of English and Spanish grievance and appeal forms with MHP self-addressed envelopes to be used to send grievances or appeals to ADMHS Quality Assurance department.
  - B. Contractor shall be knowledgeable of and adhere to MHP policies on Beneficiary Rights as outlined in the Medi-Cal Member Services Brochures.
  - C. Contractor shall ensure that direct service staff attend two cultural competency trainings per fiscal year and shall retain evidence of attendance for the purpose of reporting to the Cultural Competency Coordinator.
  - D. Contractor staff performing services under this Agreement shall receive formal training on the Medi-Cal documentation process prior to providing any services under this Agreement. County shall host training sessions regarding documentation requirements under Medi-Cal, and other related State, Federal and local regulations a minimum of two (2) times per year. Contractor shall ensure that direct service staff responsible for developing Assessments and/or CSPs attend training within 30 days of hire and annually thereafter.

## ATTACHMENT A

- E. Contractor shall establish a process by which Spanish speaking staff who provide direct services in Spanish or interpretive services are tested for proficiency in speaking, reading, and writing Spanish language.
- F. Contractor shall provide timely access to care and service delivery in the following areas as required by the State MHP standards:
  - 1. Where applicable, 24 hours per day, 7 days per week access to “urgent” services (within 24 hours) and “emergency” services (same day);
  - 2. Access to routine appointments (1st appointment within 10 business days. When not feasible, Contractor shall give the beneficiary the option to re-contact the Access team and request another provider who may be able to serve the beneficiary within the 10 business day standard).
  - 3. The MHP Quality Assurance/Utilization Management team of Santa Barbara County monitors clinical documentation and timeliness of service delivery.
- G. Contractor shall not create, support or otherwise sanction any policies or procedures that discriminate against Medi-Cal beneficiaries. Contractor shall offer hours of operation that are no less than the hours of operation offered to commercial beneficiaries or, in the alternative, Contractor shall offer hours of operation that are comparable to those hours offered to Medicaid fee-for-service clients, if the provider serves only Medicaid beneficiaries.
- H. Contractor shall be notified of possible corrective actions to be taken when the Contractor does not adhere to MHP established standards or respond to corrective actions. The process for ensuring compliance and implementing corrective actions is as follows, as described in ADMHS’ Policy and Procedure #24:
  - 1. If Contractor is identified as operating outside of the compliance standards, Contractor shall be notified of lack of compliance with Federal and State standards and shall be asked to rectify the areas in which they have been out of compliance. A copy of this notification shall be placed in the provider file. Contractors are expected to complete all corrections within 90 calendar days from the date of notice. This will be considered the Period of Review. The specific nature of the documentation to show evidence of compliance will be based on the infraction.
  - 2. Following the 90 day Period of Review, should Contractor be unable to fulfill contractual obligations regarding compliance, Contractor shall meet with the Quality Assurance Manager within 30 calendar days to identify barriers to compliance. If an agreement is reached, the Contractor shall have not more than 30 calendar days to provide proof of compliance. If an agreement is not forthcoming, the issue will be referred to the Executive Management Team which will review the issue and make a determination of appropriate action. Such action may include, but are not limited to: suspension of referrals to the individual or organizational provider, decision to de-certify or termination of Agreement, or other measures.

Reference: Service and Documentation Standards of the State of California, Department of Health Care Services.

## EXHIBIT B

### FINANCIAL PROVISIONS

(With attached Schedule of Rates [Exhibit B-1])

This Agreement provides for reimbursement for mental health services up to a Maximum Contract Amount. For Medi-Cal and all other services provided under this Agreement, Contractor will comply with all applicable requirements necessary for reimbursement in accordance with Welfare and Institutions Code §§5704-5724, and other applicable Federal, State and local laws, rules, manuals, policies, guidelines and directives.

#### I. PAYMENT FOR SERVICES

- A. Performance of Services. Contractor shall be compensated on a cost reimbursement basis, subject to the limitations described herein, for provision of the Units of Service (UOS) or other deliverables as established in Exhibit B-1 based on satisfactory performance of the mental health services described in Exhibit A.
- B. Medi-Cal Services. The services provided by Contractor's Program described in Exhibit A are covered by the Medi-Cal Program and will be reimbursed by County from Federal Financial Participation (FFP) and State and local funds as specified in Exhibit B-1.
- C. Non-Medi-Cal Services. County recognizes that some of the services provided by Contractor's Program, described in Exhibit A, may not be reimbursable by Medi-Cal, or may be provided to individuals who are not Medi-Cal eligible, and such services may be reimbursed by other County, State, and Federal funds only to the extent specified in Exhibit B-1. Funds for these services are included within the Maximum Contract Amount, and are subject to the same requirements as funds for services provided pursuant to the Medi-Cal program.
- D. Limitations on Use of Funds Received Pursuant to this Agreement. Contractor shall use the funds provided by County exclusively for the purposes of performing the services described in Exhibit A to this Agreement. Expenses shall comply with the requirements established in OMB A-87 and applicable regulations. Violation of this provision or use of County funds for purposes other than those described in Exhibit A shall constitute a material breach of this Agreement.

#### II. MAXIMUM CONTRACT AMOUNT.

The Maximum Contract Amount shall not exceed ~~\$603518~~, and shall consist of County, State, and/or Federal funds as shown in Exhibit B-1. Notwithstanding any other provision of this Agreement, in no event shall County pay Contractor more than this Maximum Contract Amount for Contractor's performance hereunder without a properly executed amendment.

#### III. OPERATING BUDGET AND PROVISIONAL RATE

- A. Operating Budget. Prior to the Effective Date of this Agreement, Contractor shall provide County with an Operating Budget on a format acceptable to, or provided by County, based on costs net of revenues as described in this Exhibit B, Section IV (Accounting for Revenues). The approved Operating Budget shall be attached to this Agreement as Exhibit B-2.
- B. Provisional Rate. County agrees to reimburse Contractor at a Provisional Rate (the "Provisional Rate") during the term of this Agreement. The Provisional Rate shall be established by using the cost per unit from the Contractor's most recently filed cost report or average cost per unit based

## EXHIBIT B

on the latest available data from the prior Fiscal Year, as set forth in Exhibit B-1. Quarterly, or at any time during the term of this agreement, Director shall have the option to adjust the Provisional Rate to a rate based on allowable costs less all applicable revenues and the volume of services provided in prior quarters.

### IV. ACCOUNTING FOR REVENUES

- A. Accounting for Revenues. Contractor shall comply with all County, State, and Federal requirements and procedures, as described in WIC Sections 5709, 5710 and 14710, relating to: (1) the determination and collection of patient/client fees for services hereunder based on Uniform Method for Determining Ability to Pay (UMDAP) (2) the eligibility of patients/clients for Medi-Cal, Medicare, private insurance, or other third party revenue, and (3) the collection, reporting and deduction of all patient/client and other revenue for patients/clients receiving services hereunder. Grants, and any other revenue, interest and return resulting from services/activities and/or funds paid by County to Contractor shall also be accounted for in the Operating Budget.
- B. Internal Procedures. Contractor shall maintain internal financial controls which adequately ensure proper billing and collection procedures. Contractor shall pursue payment from all potential sources in sequential order, with Medi-Cal as payor of last resort. All fees paid by or on behalf of patients/clients receiving services under this Agreement shall be utilized by Contractor only for the delivery of mental health service units specified in this Agreement.

### V. REALLOCATION OF PROGRAM FUNDING

Contractor shall make written application to Director, in advance and no later than April 1 of each Fiscal Year, to reallocate funds as outlined in Exhibit B-1 between programs, for the purpose of meeting specific program needs or for providing continuity of care to its clients. Contractor's application shall include a narrative specifying the purpose of the request, the amount of said funds to be reallocated, and the sustaining impact of the reallocation as may be applicable to future years. The Director's decision of whether to allow the reallocation of funds shall be in writing to Contractor prior to implementation by Contractor.

### VI. BILLING AND PAYMENT PROCEDURES AND LIMITATIONS

- A. Submission of Claims and Invoices.
1. Submission of Claims and Invoices for Medi-Cal Services. Claims for services, are to be entered into the County's Management Information System (MIS) within 10 calendar days of the end of the month in which mental health services are delivered, although late claims may be submitted as needed in accordance with State and federal regulations. ADMHS shall provide to Contractor a report that: i) summarizes the Medi-Cal UOS approved to be claimed for the month, multiplied by the provisional rate in effect at the time of service, ii) states the amount owed by County, and iii) includes the Agreement number. Contractor shall review the report and indicate concurrence that the report will be the basis for Contractor's provisional payment for the month. Contractor shall indicate concurrence within two (2) business days electronically to the County designated representative or to:

[admhsfinancecbo@co.santa-barbara.ca.us](mailto:admhsfinancecbo@co.santa-barbara.ca.us)

Santa Barbara County Alcohol, Drug, and Mental Health Services

## EXHIBIT B

ATTN: Accounts Payable  
429 North San Antonio Road  
Santa Barbara, CA 93110 –1316

Contractor agrees that it shall be solely liable and responsible for all data and information submitted to the County and submitted by the County to the State on behalf of Contractor. Payment will be based on the UOS accepted into MIS and claimed to the State on a monthly basis.

2. Submission of Claims and Invoices for Non Medi-Cal Services. Contractor shall submit a written invoice within 25 calendar days of the end of the month in which mental health services are delivered that: i) depicts the actual costs of providing the services less any applicable revenues, including the provisional Medi-Cal payment as described in VI.A.1 of this Exhibit B, as appropriate, ii) states the amount owed by County, and iii) includes the Agreement number and signature of Contractor's authorized representative. Invoices shall be delivered to the designated representative or address described in Section VI.A.1 of this Exhibit B. Payment will be based on the lower of actual costs less applicable revenues or 1/12<sup>th</sup> of the Maximum Contract Amount on a cumulative year to date basis.

The Director or designee shall review the monthly claim(s) and invoices to confirm accuracy of the data submitted. With the exception of the final month's payment under this Agreement, County shall make provisional payment for approved claims within thirty (30) calendar days of the receipt of said claim(s) and invoice by County subject to the contractual limitations set forth below.

- B. Monthly Financial Statements. Within 25 calendar days of the end of the month in which mental health services are delivered, Contractor shall submit monthly financial statements reflecting the previous month's and cumulative year to date direct and indirect costs and other applicable revenues for Contractor's programs described in Exhibit A.
- C. Withholding of Payment for Non-submission of MIS and Other Information. If any required MIS data, invoice, financial statement or report is not submitted by Contractor to County within the time limits described in this Agreement or if any such information is incomplete, incorrect, or is not completed in accordance with the requirements of this Agreement, then payment shall be withheld until County is in receipt of complete and correct data and such data has been reviewed and approved by Director or designee. Director or designee shall review such submitted service data within sixty (60) calendar days of receipt.
- D. Withholding Of Payment for Unsatisfactory Clinical Documentation. Director or designee shall have the option to deny payment for services when documentation of clinical services does not meet minimum State and County written standards.
- E. Claims Submission Restrictions.
  1. 12-Month Billing Limit. Unless otherwise determined by State or federal regulations (e.g. Medi-Medi cross-over), all original (or initial) claims for eligible individual persons under this Agreement must be received by County within 12 months from the month of service to avoid denial for late billing.
  2. No Payment for Services Provided Following Expiration/ Termination of Agreement. Contractor shall have no claim against County for payment of any funds or reimbursement, of any kind whatsoever, for any service provided by Contractor after the

## EXHIBIT B

expiration or other termination of this Agreement. Should Contractor receive any such payment, it shall immediately notify County and shall immediately repay all such funds to County. Payment by County for services rendered after expiration/termination of this Agreement shall not constitute a waiver of County's right to recover such payment from Contractor. This provision shall survive the expiration or other termination of this Agreement.

- F. Claims Certification and Program Integrity. Contractor shall certify that all UOS entered by Contractor into MIS for any payor sources covered by this Agreement are true and accurate to the best of Contractor's knowledge.

### VII. COST REPORT

- A. Submission of Cost Report. Within forty-five (45) days after the close of the Fiscal Year covered by this Agreement, Contractor shall provide County with an accurate and complete Annual Cost Report with a statement of expenses and revenue for the prior fiscal year. The Annual Cost Report shall be prepared by Contractor in accordance with all applicable federal, State and County requirements and generally accepted accounting principles. 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. All revenues received by Contractor shall be reported in its annual Cost Report, and shall be used to offset gross cost. Contractor shall maintain source documentation to support the claimed costs, revenues and allocations which shall be available at any time to Director or Designee upon reasonable notice.
- B. Cost Report to be Used for Final Settlement. The Cost Report shall be the final financial and statistical report submitted by Contractor to County, and shall serve as the basis for final settlement to Contractor. Contractor shall document that costs are reasonable and allowable and directly or indirectly related to the services to be provided hereunder.
- C. Withholding Payment. At its sole discretion, County may withhold the final month's payment under this Agreement until such time that Contractor submits its complete Annual Cost Report.
- D. Penalties. In addition, failure of Contractor to submit accurate and complete Annual Cost Report(s) by the ninetieth (90<sup>th</sup>) day after the close of the Fiscal Year or the expiration or termination date of this Agreement shall result in:
1. A Late Penalty of ONE HUNDRED DOLLARS (\$100) for each day that the accurate and complete Annual Cost Report(s) is (are) not submitted. The Late Penalty shall be assessed separately on each outstanding Annual Cost Report. The Late Penalty shall commence on the ninety-first (91<sup>st</sup>) day following either the end of the applicable Fiscal Year or the expiration or termination date of this Agreement. County shall deduct the Late Penalty assessed against Contractor from the final month's payment due under the Agreement.
  2. In the event that Contractor does not submit accurate and complete Annual Cost Report(s) by the one-hundred fiftieth (150<sup>th</sup>) day following either the end of the applicable Fiscal Year or the expiration or termination date of this Agreement, then all amounts covered by the outstanding Annual Cost Report(s) and paid by County to Contractor in the Fiscal Year for which the Annual Cost Report(s) is (are) outstanding shall be repaid

## EXHIBIT B

by Contractor to County. Further, County shall terminate any current contracts entered into with Contractor for programs covered by the outstanding Annual Cost Reports.

- E. Audited Financial Reports: Each year of the Agreement, the Contractor shall submit to County a copy of their audited annual financial statement, including management comments. This report shall be submitted within thirty (30) days after the report is received by Contractor.
- F. Single Audit Report: If Contractor is required to perform a single audit, per the requirements of OMB circular A-133, Contractor shall submit a copy of such single audit to County within thirty (30) days of receipt.

### VIII. PRE-AUDIT COST REPORT SETTLEMENTS.

- A. Pre-audit Cost Report Settlements. Based on the Annual Cost Report(s) submitted pursuant to this Exhibit B Section VII (Cost Reports) and State approved UOS, at the end of each Fiscal Year or portion thereof that this Agreement is in effect, the State and/or County will perform pre-audit cost report settlement(s). Such settlement will be subject to the terms and conditions of this Agreement and any other applicable State and/or federal statutes, regulations, policies and procedures, or requirements pertaining to cost reporting and settlements for applicable federal and/or State programs. Settlement shall be adjusted to the lower of:
  - 1. Contractor's published charge(s) to the general public, as approved by the Contractor's governing board; unless the Contractor is a Nominal Charge Provider. This federal published charges rule is applicable only for the outpatient, rehabilitative, case management and 24-hour services.
  - 2. The Contractor's actual costs.
  - 3. The last approved State Schedule of Maximum Allowances (SMA).
  - 4. The Maximum Contract Amount (MCA) of this Agreement.
- B. Issuance of Findings. County's issuance of its pre-audit cost report settlement findings shall take place no later than one-hundred-twenty (120) calendar days after the receipt by County from the State of the State's Final Cost Report Settlement package for a particular fiscal year.
- C. Payment. In the event that Contractor adjustments based on any of the above methods indicate an amount due the County, Contractor shall pay County by direct payment within thirty (30) days or from deductions from future payments, if any, at the sole discretion of the Director.

### IX. AUDITS, AUDIT APPEALS AND POST-AUDIT MEDI-CAL FINAL SETTLEMENT:

- A. Audit by Responsible Auditing Party. At any time during the term of this Agreement or after the expiration or termination of this Agreement, in accordance with State and federal law including but not limited to the WIC Sections 14170 et. seq., authorized representatives from the County, State or Federal governments (Responsible Auditing Party) may conduct an audit or site review of Contractor regarding the mental health services/activities provided hereunder.
- B. Settlement. Settlement of the audit findings will be conducted according to the Responsible Auditing Party's procedures in place. In the case of a State Medi-Cal audit, the State and County

## EXHIBIT B

will perform a post-audit Medi-Cal settlement that is based on State audit findings. Such settlement will take place when the State initiates its settlement action which customarily is after the issuance of the audit report by the State and before the State's audit appeal process. However, if the Responsible Auditing Party stays its collection of any amounts due or payable because of the audit findings, County will also stay its settlement of the same amounts due or payable until the Responsible Auditing Party initiates its settlement action with County.

- C. Invoice for Amounts Due. County shall issue an invoice to Contractor for any amount due County after the Responsible Auditing Party issues an audit report. The amount on the County invoice is due by Contractor to County thirty (30) calendar days from the date of the invoice.
- D. Appeal. Contractor may appeal any such audit findings in accordance with the audit appeal process established by the party performing the audit.

# EXHIBIT B-1

## EXHIBIT B-1 ALCOHOL, DRUG AND MENTAL HEALTH SERVICES SCHEDULE OF RATES AND CONTRACT MAXIMUM

CONTRACTOR NAME: Mental Health Association FISCAL YEAR: 2013-14

	PROGRAM				TOTAL
	Casa Juana Maria+	Santa Barbara Consumer-Led Program (Recovery Learning Center)	Family Advocate	Mental Health First Aid	
DESCRIPTION/MODE/SERVICE FUNCTION:	NUMBER OF UNITS PROJECTED (based on history):				
Outpatient - Case Management/Brokerage (15/01-09)	-				-
Outpatient Mental Health Services (15/10-59)	216,072				216,072
Outpatient Crisis Intervention (15/70-79)	1,088				1,088
SERVICE TYPE: W/C, NON W/C	W/C	NON W/C	NON W/C	NON W/C	-
UNIT REIMBURSEMENT	minute	Cost as budgeted	Cost as budgeted	Cost as budgeted	
COST PER UNIT/PROVISIONAL RATE:					
Outpatient - Case Management/Brokerage (15/01-09)	-				
Outpatient Mental Health Services (15/10-59)	\$1.25				
Outpatient Crisis Intervention (15/70-79)	\$1.85				
GROSS COST:	\$ 343,190	\$ 215,801	\$ 73,832	\$ 65,891	\$698,714
LESS REVENUES COLLECTED BY CONTRACTOR: (as depicted in Contractor's Budget Packet)					
PROGRAM FEES				\$ 9,000	\$9,000
PATIENT INSURANCE					\$0
CONTRIBUTIONS	\$ 935	\$ 5,801	\$ 9,308		\$16,044
FOUNDATIONS/TRUSTS					\$0
SPECIAL EVENTS					\$0
OTHER (LIST): BOARD AND CARE	\$ 70,152				\$70,152
TOTAL CONTRACTOR REVENUES	\$ 71,087	\$ 5,801	\$ 9,308	\$ 9,000	\$95,196
MAXIMUM CONTRACT AMOUNT:	\$ 272,103	\$ 210,000	\$ 64,524	\$ 56,891	\$ 603,518

SOURCES OF FUNDING FOR MAXIMUM CONTRACT AMOUNT*					
MEDI-CAL/FFP**	\$ 136,052				\$ 136,052
OTHER FEDERAL FUNDS					\$ -
REALIGNMENT FUNDS	\$ 136,052				\$ 136,052
STATE GENERAL FUNDS					\$ -
COUNTY FUNDS					\$ -
MHSA - MEDI-CAL MATCH					\$ -
MHSA - NON-MEDI-CAL		\$ 210,000	\$ 64,524	\$ 56,891	\$ 331,415
TOTAL (SOURCES OF FUNDING)	\$ 272,103	\$ 210,000	\$ 64,524	\$ 56,891	\$ 603,518

CONTRACTOR SIGNATURE: \_\_\_\_\_

STAFF ANALYST SIGNATURE: \_\_\_\_\_

FISCAL SERVICES SIGNATURE: \_\_\_\_\_

+Contractor understands the Medi-Cal amounts (FFP and Realignment) specified for this program are for Medi-Cal reimbursable costs for services approved by DHCS; Contractor shall provide other funds to cover any non-Medi-Cal reimbursable costs, whether or not such amounts are reflected in this Exhibit. In the event Contractor's actual Medi-Cal reimbursable costs at the time of Cost Settlement are lower than the Program's Maximum Contract Amount, ADMHS, at its sole discretion, may use remaining Realignment funding originally allocated to match FFP to reimburse Contractor for non-Medi-Cal reimbursable costs, up to 5% of the Program's Maximum Contract Amount.

\*Funding sources are estimated at the time of contract execution and may be reallocated at ADMHS' discretion based on available funding sources

\*\*Medi-Cal services may be offset by Medicare qualifying services (funding) if approved by ADMHS.

## EXHIBIT B-2

AGENCY NAME: Mental Health Association in SB County DBA Mental Wellness Center

COUNTY FISCAL YEAR: 2013-14

**Gray Shaded cells contain formulas, do not overwrite**

LINE #	COLUMN #	1	2	3	4	5	6	7
		I. REVENUE SOURCES:	TOTAL AGENCY/ ORGANIZATION BUDGET	COUNTY ADMHS PROGRAMS TOTALS	Casa Juana Maria	Santa Barbara Consumer - Led RLC	Family Advocate	Mental Health First Aid
1		Contributions	\$ 284,620	\$ 21,223	\$ 935	\$ 5,801	\$ 9,308	
2		Foundations/Trusts	\$ 401,000	\$ -				
3		Special Events		\$ -				
4		Legacies/Bequests		\$ -				
5		Associated Organizations		\$ -				
6		Membership Dues		\$ -				
7		Sales of Materials		\$ -				
8		Investment Income		\$ -				
9		Miscellaneous Revenue	\$ 3,646	\$ -				
10		ADMHS Funding	\$ 643,518	\$ 643,518	\$ 272,103	\$ 210,000	\$ 64,524	\$ 56,891
11		Other Government Funding	\$ 242,957	\$ -				
12		Developer Fee	\$ 71,892	\$ -				
13		Management Fee	\$ 51,000	\$ -				
14		Rental Income	\$ 103,900	\$ -				
15		Admin Fee	\$ 88,140	\$ -				
16		Other (specify)		\$ -				
17		Other (specify)		\$ -				
18		Total Other Revenue (Sum of lines 1 through 17)	\$ 1,890,673	\$ 664,741	\$ 273,038	\$ 215,801	\$ 73,832	\$ 56,891
		I.B. Client and Third Party Revenues:						
19		Medicare		-				
20		Client Fees	\$ 9,000	9,000				\$ 9,000
21		Insurance		-				
22		SSI	\$ 70,152	70,152	\$ 70,152			
23		Other (specify)		-				
24		Total Client and Third Party Revenues (Sum of lines 19 through 23)	79,152	79,152	70,152	-	-	9,000
25		GROSS PROGRAM REVENUE BUDGET (Sum of lines 18 + 24)	1,969,825	743,893	343,190	215,801	73,832	65,891

## EXHIBIT B-2

	III. DIRECT COSTS	TOTAL AGENCY/ ORGANIZATION BUDGET	COUNTY ADMHS PROGRAMS TOTALS	Casa Juana Maria	Santa Barbara Consumer - Led RLC	Family Advocate	Mental Health First Aid
	III.A. Salaries and Benefits Object Level						
26	Salaries (Complete Staffing Schedule)	699,561	\$ 351,252	\$ 179,938	\$ 91,520	\$ 41,563	\$ 15,392
27	Employee Benefits	176,051	\$ 91,861	\$ 53,981	\$ 18,304	\$ 10,391	\$ 4,618
28	Consultants	16,800	\$ 11,200				\$ 11,200
29	Payroll Taxes		\$ -				
30	Salaries and Benefits Subtotal	\$ 892,412	\$ 454,313	\$ 233,919	\$ 109,824	\$ 51,954	\$ 31,210
	III.B Services and Supplies Object Level						
31	Professional Fees	19,285	\$ -				
32	Supplies	72,118	\$ 40,261	\$ 15,504	\$ 8,361	\$ 396	\$ 15,000
33	Telephone	12,092	\$ 4,692	\$ 2,172	\$ 240	\$ 1,200	
34	Postage & Shipping	2,570	\$ 1,150	\$ 150		\$ 500	\$ 500
35	Occupancy (Facility Lease/Rent/Costs)	230,340	\$ 128,991	\$ 39,717	\$ 64,224	\$ 9,300	\$ 6,450
36	Rental/Maintenance Equipment	10,300	\$ 2,200	\$ 1,000			\$ 1,200
37	Printing/Publications	5,100	\$ 1,000				\$ 1,000
38	Transportation	11,108	\$ 2,952	\$ 2,004		\$ 348	\$ 600
39	Conferences, Meetings, Etc	4,763	\$ 2,008	\$ 504		\$ 504	\$ 1,000
40	Insurance	13,170	\$ 8,000	\$ 2,496	\$ 5,004		
41	licenses	2,671	\$ 456	\$ 456			
42	Dues/Subscriptions/Affiliations	2,050	\$ -				
43	Miscellaneous Expense	12,958	\$ 840	\$ 504			\$ 336
44	Reserves	103,011	\$ -				
45	Services and Supplies Subtotal	\$ 501,536	\$ 192,550	\$ 64,507	\$ 77,829	\$ 12,248	\$ 26,086
46	III.C. Client Expense Object Level Total		\$ -				
47	SUBTOTAL DIRECT COSTS	\$ 1,393,948	\$ 646,863	\$ 298,426	\$ 187,653	\$ 64,202	\$ 57,296
	IV. INDIRECT COSTS						
48	Administrative Indirect Costs (limited to 15%)	575,877	\$ 97,030	\$ 44,764	\$ 28,148	\$ 9,630	\$ 8,595
49	GROSS DIRECT AND INDIRECT COSTS (Sum of lines 47+48)	\$ 1,969,825	\$ 743,893	\$ 343,190	\$ 215,801	\$ 73,832	\$ 65,891

## EXHIBIT C

### STANDARD INDEMNIFICATION AND INSURANCE PROVISIONS for contracts REQUIRING professional liability insurance

#### 1. INDEMNIFICATION

##### **Indemnification pertaining to other than Professional Services:**

Contractor shall defend, indemnify and save harmless the County, its officers, agents and employees from any and all claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities arising out of this Agreement or occasioned by the performance or attempted performance of the provisions hereof; including, but not limited to: any act or omission to act on the part of the Contractor or his agents or employees or other independent Contractors directly responsible to him; except those claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities resulting from the sole negligence or willful misconduct of the County.

Contractor shall notify the County immediately in the event of any accident or injury arising out of or in connection with this Agreement.

##### **Indemnification pertaining to Professional Services:**

Contractor shall indemnify and save harmless the County, its officers, agents and employees from any and all claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities arising out of the negligent performance or attempted performance of the provisions hereof; including any willful or negligent act or omission to act on the part of the Contractor or his agents or employees or other independent Contractors directly responsible to him to the fullest extent allowable by law.

Contractor shall notify the County immediately in the event of any accident or injury arising out of or in connection with this Agreement.

#### 2. INSURANCE

Without limiting the Contractor's indemnification of the County, Contractor shall procure the following required insurance coverages at its sole cost and expense. All insurance coverage is to be placed with insurers which (1) have a Best's rating of no less than A: VII, and (2) are admitted insurance companies in the State of California. All other insurers require the prior approval of the County. Such insurance coverage shall be maintained during the term of this Agreement. Failure to comply with the insurance requirements shall place Contractor in default. Upon request by the County, Contractor shall provide a certified copy of any insurance policy to the County within ten (10) working days.

**Workers' Compensation Insurance:** Statutory Workers' Compensation and Employers Liability Insurance shall cover all Contractor's staff while performing any work incidental to the performance of this Agreement. The policy shall provide that no cancellation, or expiration or reduction of coverage shall be effective or occur until at least thirty (30) days after receipt of such notice by the County. In the event Contractor is self-insured, it shall furnish a copy of Certificate of Consent to Self-Insure issued by the Department of Industrial Relations for the State of California. This provision does not apply if Contractor has no employees as defined in Labor Code Section 3350 et seq. during the entire period of this Agreement and Contractor submits a written statement to the County stating that fact.

**General and Automobile Liability Insurance:** The general liability insurance shall include bodily injury, property damage and personal injury liability coverage, shall afford coverage for all premises, operations, products and completed operations of Contractor

## EXHIBIT C

and shall include contractual liability coverage sufficiently broad so as to include the insurable liability assumed by the Contractor in the indemnity and hold harmless provisions of the Indemnification Section of this Agreement between County and Contractor. The automobile liability insurance shall cover all owned, non-owned and hired motor vehicles that are operated on behalf of Contractor pursuant to Contractor's activities hereunder. Contractor shall require all subcontractors to be included under its policies or furnish separate certificates and endorsements to meet the standards of these provisions by each subcontractor. County, its officers, agents, and employees shall be Additional Insured status on any policy. A cross liability clause, or equivalent wording, stating that coverage will apply separately to each named or additional insured as if separate policies had been issued to each shall be included in the policies. A copy of the endorsement evidencing that the policy has been changed to reflect the Additional Insured status must be attached to the certificate of insurance. The limit of liability of said policy or policies for general and automobile liability insurance shall not be less than \$1,000,000, per occurrence and \$2,000,000 in the aggregate. Any deductible or Self-Insured Retention {SIR} over \$10,000, requires approval by the County.

Said policy or policies shall include a severability of interest or cross liability clause or equivalent wording. Said policy or policies shall contain a provision of the following form:

*"Such insurance as is afforded by this policy shall be primary and if the County has other valid and collectible insurance, that other insurance shall be excess and non-contributory."*

If the policy providing liability coverage is on a 'claims-made' form, the Contractor is required to maintain such coverage for a minimum of three years following completion of the performance or attempted performance of the provisions of this agreement. Said policy or policies shall provide that the County shall be given thirty (30) days written notice prior to cancellation or expiration of the policy or reduction in coverage.

**Professional Liability Insurance.** Professional liability insurance shall include coverage for the activities of Contractor's professional staff with a combined single limit of not less than \$1,000,000, per occurrence or claim and \$2,000,000, in the aggregate. Said policy or policies shall provide that County shall be given thirty (30) days written notice prior to cancellation, expiration of the policy, or reduction in coverage. If the policy providing professional liability coverage is on a 'claims-made' form, the Contractor is required to maintain such coverage for a minimum of three (3) years (ten years [10] for Construction Defect Claims) following completion of the performance or attempted performance of the provisions of this agreement.

Contractor shall submit to the office of the designated County representative certificate(s) of insurance documenting the required insurance as specified above prior to this Agreement becoming effective. County shall maintain current certificate(s) of insurance at all times in the office of the designated County representative as a condition precedent to any payment under this Agreement. Approval of insurance by County or acceptance of the certificate of insurance by County shall not relieve or decrease the extent to which the Contractor may be held responsible for payment of damages resulting from Contractor's services of operation pursuant to the Agreement, nor shall it be deemed a waiver of County's rights to insurance coverage hereunder.

3. In the event the Contractor is not able to comply with the County's insurance requirements, County may, at their sole discretion and at the Contractor's expense, provide compliant coverage.

## **EXHIBIT C**

The above insurance requirements are subject to periodic review by the County. The County's Risk Manager is authorized to change the above insurance requirements, with the concurrence of County Counsel, to include additional types of insurance coverage or higher coverage limits, provided that such change is reasonable and based on changed risk of loss or in light of past claims against the County or inflation. This option may be exercised during any amendment of this Agreement that results in an increase in the nature of County's risk and such change of provisions will be in effect for the term of the amended Agreement. Such change pertaining to types of insurance coverage or higher coverage limits must be made by written amendment to this Agreement. Contractor agrees to execute any such amendment within thirty (30) days of acceptance of the amendment or modification.

## EXHIBIT D

### ORGANIZATIONAL SERVICE PROVIDER SITE CERTIFICATION

#### COMPLIANCE REQUIREMENTS

1. Contractor hereby represents and warrants the following, as applicable:

- A. Contractor is currently, and for the duration of this Agreement shall remain, licensed in accordance with all local, State, and Federal licensure requirements as a provider of its kind.
- B. The space owned, leased, or operated by the Contractor and used for services or staff meets all local fire codes. Contractor shall provide a copy of fire clearance to QA/UM.
- C. The physical plant of the site owned, occupied, or leased by the Contractor and used for services or staff is clean, sanitary, and in good repair.
- D. Contractor establishes and implements maintenance policies for the site owned, occupied, or leased by the Contractor and used for services or staff, to ensure the safety and well-being of beneficiaries and staff.
- E. Contractor has a current administrative manual which includes: personnel policies and procedures, general operating procedures, service delivery policies, and procedures for reporting unusual occurrences relating to health and safety issues.
- F. The Contractor maintains client records in a manner that meets the requirements of the County pursuant to the latest edition of the California State Mental Health Plan, and applicable state and federal standards.
- G. Contractor has staffing adequate to allow the County to claim federal financial participation for the services the Contractor delivers to beneficiaries.
- H. Contractor has written procedures for referring individuals to a psychiatrist when necessary, or to a physician, if a psychiatrist is not available.
- I. Contractor has, as a head of service, a licensed mental health professional or rehabilitation specialist.
- J. For Contractors that provide or store medications, the Contractor stores and dispenses medications in compliance with all pertinent State and Federal standards, specifically:
  - 1. All drugs obtained by prescription are labeled in compliance with Federal and State laws. Prescription labels may be altered only by authorized personnel.
  - 2. Drugs intended for external use only or food stuffs are stored separately from drugs for internal use.
  - 3. All drugs are stored at proper temperatures. Room temperature drugs should be stored at 59 – 86 degrees Fahrenheit, and refrigerated drugs must be stored at 36 – 46 degrees Fahrenheit.

## EXHIBIT D

4. Drugs are stored in a locked area with access limited only to those medical personnel authorized to prescribe, dispense, or administer medication.
  5. Drugs are not retained after the expiration date. IM (Intramuscular) multi-dose vials are to be dated and initialed when opened.
  6. A drug log is to be maintained to ensure the Contractor disposes of expired, contaminated, deteriorated, and abandoned drugs in a manner consistent with State and Federal laws.
  7. Contractor's Policies and Procedures manual addresses the issues of dispensing, administration and storage of all medications.
2. **CERTIFICATION** - On-site certification is required every two (2) years. Additional certification reviews may be necessary if:
- A. The Contractor makes major staffing changes.
  - B. The Contractor makes organizational and/or corporate structural changes (i.e., conversion from non-profit status).
  - C. The Contractor adds Day Treatment or Medication Support services when medications will be administered or dispensed from Contractor's site.
  - D. There are significant changes in the physical plant of the provider site (some physical plant changes could require new fire clearance).
  - E. There is a change of ownership or location.
  - F. There are complaints regarding the Contractor.
  - G. There are unusual events, accidents, or injuries requiring medical treatment for clients, staff or members of the community.
  - H. On-site certification is not required for hospital outpatient departments which are operating under the license of the hospital. Services provided by hospital outpatient departments may be provided either on the premises or offsite.

**EXHIBIT E**  
**PROGRAM GOALS, OUTCOMES AND MEASURES**

<b>Adult Program Evaluation Residential Programs</b>		
<b>Program Goal</b>	<b>Outcome</b>	<b>Measure</b>
❖ Prepare clients to transition from institutional care to community living	✓ Increased life skills needed to participate in purposeful activity and increase quality of life	➤ Number of clients employed, enrolled in school or training, or volunteering
❖ Secure community living arrangements for client prior to graduation	✓ Successful transition to community living ✓ Reduced client homelessness	➤ Number of clients graduating to lower level of care community living ➤ Number of clients re-entering residential treatment ➤ Number of clients with stable/permanent housing at graduation
❖ Reduce mental health and substance abuse symptoms resulting in reduced need for involuntary or higher level of care services	✓ Decreased inpatient/acute care days and length of hospital stay ✓ Decreased incarceration rates	➤ Number of hospital, IMD and State Hospital admissions; length of hospital stay ➤ Number of incarceration days