

Board Contract #: \_\_\_\_\_

**AGREEMENT FOR SERVICES OF  
INDEPENDENT CONTRACTOR**

**BETWEEN**

**COUNTY OF SANTA BARBARA**

**AND**

**CALM, INC.**

**FOR**

**MENTAL HEALTH SERVICES**

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# **STANDARD TERMS** **AND CONDITIONS**

**AGREEMENT  
FOR SERVICES OF INDEPENDENT CONTRACTOR**

**THIS AGREEMENT** is made by and between the County of Santa Barbara, a political subdivision of the State of California (hereafter County or Department) and **CALM, Inc.** with an address at 1236 Chapala Street, Santa Barbara, California 93101 (hereafter Contractor) wherein Contractor agrees to provide and County agrees to accept the services specified herein (hereafter Agreement).

**WHEREAS**, Contractor represents that it is specially trained, skilled, experienced, and competent to perform the special services required by County and County desires to retain the services of Contractor pursuant to the terms, covenants, and conditions herein set forth;

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

**1. DESIGNATED REPRESENTATIVE.**

Director at phone number 805-681-5220 is the representative of County and will administer this Agreement for and on behalf of County. Alana Walczak, CEO at phone number 805-965-2376 is the authorized representative for Contractor. Changes in designated representatives shall be made only after advance written notice to the other party.

**2. NOTICES.**

Any notice or consent required or permitted to be given under this Agreement shall be given to the respective parties in writing, by personal delivery or facsimile, or with postage prepaid by first class mail, registered or certified mail, or express courier service, as follows:

To County:                Director  
County of Santa Barbara  
Department of Behavioral Wellness  
300 N. San Antonio Road  
Santa Barbara, CA 93110  
Fax: 805-681-5262

To Contractor:        Alana Walczak, Chief Executive Officer  
CALM, Inc.  
1236 Chapala Street  
Santa Barbara, CA 93101  
Fax: 805-963-6707

or at such other address or to such other person that the parties may from time to time designate in accordance with this Notices section. If sent by first class mail, notices and consents under this section shall be deemed to be received five (5) days following their deposit in the U.S. mail. This Notices section shall not be construed as meaning that either party agrees to service of process except as required by applicable law.

**3. SCOPE OF SERVICES.**

Contractor agrees to provide services to County in accordance with EXHIBITS A(s) and E(s) attached hereto and incorporated herein by reference.

**4. TERM.**

Contractor shall commence performance on 07/01/2025 and end performance upon completion, but no later than 06/30/2026 unless otherwise directed by County or unless earlier terminated.

**5. COMPENSATION OF CONTRACTOR.**

In full consideration for Contractor's services, Contractor shall be paid for performance under this Agreement in accordance with the terms of EXHIBIT B(s) attached hereto and incorporated herein by reference.

**6. INDEPENDENT CONTRACTOR.**

It is mutually understood and agreed that Contractor (including any and all of its officers, agents, and employees), shall perform all of its services under this Agreement as an independent Contractor as to County and not as an officer, agent, servant, employee, joint venturer, partner, or associate of County. Furthermore, County shall have no right to control, supervise, or direct the manner or method by which Contractor shall perform its work and function. However, County shall retain the right to administer this Agreement so as to verify that Contractor is performing its obligations in accordance with the terms and conditions hereof. 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 and protection of tenure. Contractor shall be solely liable and responsible for providing to, or on behalf of, its employees all legally-required employee benefits. In addition, Contractor shall be solely responsible and save County harmless from all matters relating to payment of Contractor's employees, including compliance with Social Security withholding and all other regulations governing such matters. It is acknowledged that during the term of this Agreement, Contractor may be providing services to others unrelated to the County or to this Agreement.

**7. STANDARD OF PERFORMANCE.**

Contractor represents that it has the skills, expertise, and licenses/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 first class and workmanlike manner 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. Permits and/or licenses shall be obtained and maintained by Contractor without additional compensation.

**8. DEBARMENT AND SUSPENSION.**

- A.** Contractor certifies to County that it and its employees and principals are not debarred, suspended, or otherwise excluded from or ineligible for, participation in federal, state, or county government contracts. Contractor certifies that it shall not contract with a subcontractor that is so debarred or suspended.
- B.** Contractor shall also comply with the debarment and suspension provisions set forth in EXHIBIT A-1 General Provisions: MHS to this Agreement.

## **9. TAXES.**

Contractor shall pay all taxes, levies, duties, and assessments of every nature due in connection with any work under this Agreement and shall make any and all payroll deductions required by law. 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 promptly reimburse County for the full value of such paid taxes plus interest and penalty, if any. These taxes shall include, but not be limited to, the following: FICA (Social Security), unemployment insurance contributions, income tax, disability insurance, and workers' compensation insurance.

## **10. CONFLICT OF INTEREST.**

- A.** Contractor covenants that Contractor presently has no employment or interest and shall not acquire any employment or interest, direct or indirect, including any interest in any business, property, or source of income, 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. Contractor must promptly disclose to County, in writing, any potential conflict of interest. County retains the right to waive a conflict of interest disclosed by Contractor if County determines it to be immaterial, and such waiver is only effective if provided by County to Contractor in writing.
- B.** Contractor shall also comply with the conflict of interest provisions set forth in EXHIBIT A-1 General Provisions: MHS to this Agreement.

## **11. OWNERSHIP OF DOCUMENTS AND INTELLECTUAL PROPERTY.**

- A.** County shall be the owner of the following items incidental to this Agreement upon production, whether or not completed: all data collected, all documents of any type whatsoever, all photos, designs, sound or audiovisual recordings, software code, inventions, technologies, and other materials, and any material necessary for the practical use of such items, from the time of collection and/or production whether or not performance under this Agreement is completed or terminated prior to completion. Contractor shall not release any of such items to other parties except after prior written approval of County.
- B.** Unless otherwise specified in Exhibit A(s), Contractor hereby assigns to County all copyright, patent, and other intellectual property and proprietary rights to all data, documents, reports, photos, designs, sound or audiovisual recordings, software code, inventions, technologies, and other materials prepared or provided by Contractor pursuant to this Agreement (collectively referred to as "Copyrightable Works and Inventions"). County shall have the unrestricted authority to copy, adapt, perform, display, publish, disclose, distribute, create derivative works from, and otherwise use in whole or in part, any Copyrightable Works and Inventions. Contractor agrees to take such actions and execute and deliver such documents as may be needed to validate, protect and confirm the rights and assignments provided hereunder. Contractor warrants that any Copyrightable Works and Inventions and other items provided under this Agreement will not infringe upon any intellectual property or proprietary rights of any third party. Contractor at its own expense shall defend, indemnify, and hold harmless County against any claim that any Copyrightable Works or Inventions or

other items provided by Contractor hereunder infringe upon intellectual or other proprietary rights of a third party, and Contractor shall pay any damages, costs, settlement amounts, and fees (including attorneys' fees) that may be incurred by County in connection with any such claims. This Ownership of Documents and Intellectual Property provision shall survive expiration or termination of this Agreement.

## **12. NO PUBLICITY OR ENDORSEMENT.**

Contractor shall not use County's name or logo or any variation of such name or logo in any publicity, advertising or promotional materials. Contractor shall not use County's name or logo in any manner that would give the appearance that the County is endorsing Contractor. Contractor shall not in any way contract on behalf of or in the name of County. Contractor shall not release any informational pamphlets, notices, press releases, research reports, or similar public notices concerning the County or its projects, without obtaining the prior written approval of County.

## **13. COUNTY PROPERTY AND INFORMATION.**

All of County's property, documents, and information provided for Contractor's use in connection with the services shall remain County's property, and Contractor shall return any such items whenever requested by County and whenever required according to the Termination section of this Agreement. Contractor may use such items only in connection with providing the services. Contractor shall not disseminate any County property, documents, or information without County's prior written consent.

## **14. RECORDS, AUDIT, AND REVIEW.**

- A.** 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 for at least four (4) years following the expiration or termination of this Agreement. All accounting records shall be kept in accordance with generally accepted accounting principles. County shall have the right to audit and review all such documents and records at any time during Contractor's regular business hours or upon reasonable notice. In addition, if this Agreement exceeds ten thousand dollars (\$10,000.00), Contractor shall be subject to the examination and audit of the California State Auditor, at the request of County or as part of any audit of County, for a period of three (3) years after final payment under this Agreement. (Gov. Code, § 8546.7.)
- B.** Contractor shall also comply with the records, audit, and review provisions set forth in EXHIBIT A-1 General Provisions: MHS to this Agreement.
- C.** Contractor shall participate in any audit and review, whether by federal, state, or County governments, or their designees, at no charge to the auditing and reviewing entity. If federal, state, or County audit exceptions are made relating to this Agreement, Contractor shall reimburse the amount of the audit exceptions and all costs incurred by federal, state, and/or County governments associated with defending against the audit exceptions or performing any audits or follow-up audits including, but not limited to: audit fees, court costs, attorneys' fees based upon a reasonable hourly amount for attorneys in the community, travel costs, penalty assessments, and all other costs of whatever nature. Immediately upon notification from County, Contractor shall reimburse the amount of the audit exceptions and any other related costs directly to

County as specified by County in the notification. This Records, Audit, and Review provision shall survive expiration or termination of this Agreement.

**15. INDEMNIFICATION AND INSURANCE.**

Contractor agrees to and shall comply with the indemnification and insurance provisions as set forth in EXHIBIT C Indemnification and Insurance Requirements attached hereto and incorporated herein by reference.

**16. NONDISCRIMINATION.**

**A.** County hereby notifies Contractor that County's Unlawful Discrimination Ordinance (Article XIII of Chapter 2 of the Santa Barbara County Code) applies to this Agreement and is incorporated herein by this reference with the same force and effect as if the ordinance were specifically set out herein and Contractor agrees to comply with said ordinance.

**B.** Contractor shall also comply with the nondiscrimination provisions set forth in EXHIBIT A-1 General Provisions: MHS to this Agreement.

**17. NONEXCLUSIVE AGREEMENT.**

Contractor understands that this is not an exclusive Agreement and that County shall have the right to negotiate with and enter into contracts with others providing the same or similar services as those provided by Contractor as the County desires.

**18. NON-ASSIGNMENT.**

Contractor shall not assign, transfer or subcontract this Agreement or any of its rights or obligations under this Agreement without the prior written consent of County and any attempt to so assign, subcontract or transfer without such consent shall be void and without legal effect and shall constitute grounds for termination.

**19. TERMINATION.**

**A. By County.** County may, by written notice to Contractor, terminate this Agreement in whole or in part at any time, whether for County's convenience, for nonappropriation of funds, or because of the failure of Contractor to fulfill the obligations herein.

1. **For Convenience.** County may terminate this Agreement in whole or in part upon thirty (30) days written notice. During the thirty (30) day period, Contractor shall, as directed by County, wind down and cease its services as quickly and efficiently as reasonably possible, without performing unnecessary services or activities and by minimizing negative effects on County from such winding down and cessation of services.
2. **For Nonappropriation of Funds.** Notwithstanding any other provision of this Agreement, in the event that no funds or insufficient funds are appropriated or budgeted by federal, state or County governments, or funds are not otherwise available for payments in the fiscal year(s) covered by the term of this Agreement, then County will notify Contractor of such occurrence and County may terminate or suspend this Agreement in whole or in part, with or without a prior notice period. Subsequent to termination of this Agreement under this provision, County shall have no obligation to make payments with regard to the remainder of the term.



3. **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 or suspend this Agreement in whole or in part by written notice. Upon receipt of notice, Contractor shall immediately discontinue all services affected (unless the notice directs otherwise) and notify County as to the status of its performance. The date of termination shall be the date the notice is received by Contractor, unless the notice directs otherwise.

**B. By Contractor.** Should County fail to pay Contractor all or any part of the payment set forth in EXHIBIT B(s), Contractor may, at Contractor's option terminate this Agreement if such failure is not remedied by County within thirty (30) days of written notice to County of such late payment.

**C. Upon Expiration or Termination.** Upon expiration or termination of this Agreement, Contractor shall deliver to County all data, estimates, graphs, summaries, reports, and all other property, records, documents or papers as may have been accumulated or produced by Contractor in performing this Agreement, whether completed or in process, except such items as County may, by written permission, permit Contractor to retain. Notwithstanding any other payment provision of this Agreement, County shall pay Contractor for satisfactory 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 full price under this Agreement nor 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. The foregoing is cumulative and shall not affect any right or remedy which County may have in law or equity.

## **20. SUSPENSION FOR CONVENIENCE.**

The Director of the Department of Behavioral Wellness or designee may, without cause, order Contractor in writing to suspend, delay, or interrupt the services under this Agreement in whole or in part for up to one hundred twenty (120) days. County shall incur no liability for suspension under this provision and suspension shall not constitute a breach of this Agreement.

## **21. 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.

## **22. 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, and 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.

**23. REMEDIES NOT EXCLUSIVE.**

No remedy herein conferred upon or reserved to County 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 or now or hereafter existing at law or in equity or otherwise.

**24. TIME IS OF THE ESSENCE.**

Time is of the essence in this Agreement and each covenant and term is a condition herein.

**25. NO WAIVER OF DEFAULT.**

No delay or omission of County 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 County shall be exercised from time to time and as often as may be deemed expedient in the sole discretion of County.

**26. ENTIRE AGREEMENT AND AMENDMENT.**

In conjunction with the matters considered herein, this Agreement contains the entire understanding and agreement of the parties and 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 altered, amended or modified only by an instrument in writing, executed by the parties to this Agreement and by no other means. Each party waives their 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. 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. Notwithstanding any other provision of this Agreement, 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) or that are authorized by the County of Santa Barbara Board of Supervisors may be approved by the Director of the Department of Behavioral Wellness or designee in writing and shall constitute an amendment or modification of this Agreement upon execution by the Director of the Department of Behavioral Wellness or designee.

**27. 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 of the parties hereto, shall be binding upon and inure to the benefit of such party, its successors and assigns.

**28. COMPLIANCE WITH LAW.**

Contractor shall, at its sole cost and expense, comply with all federal, state, and local ordinances; statutes; regulations; orders including, but not limited to, executive orders, court orders, and health officer orders; policies; guidance; bulletins; information notices; and letters including, but not limited to, those issued by the California Department of Health Care Services (DHCS) 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 is a party thereto or not, that Contractor has

violated any such ordinance, statute, regulation, order, policy, guidance, bulletin, information notice, and/or letter shall be conclusive of that fact as between Contractor and County.

**29. CALIFORNIA LAW AND JURISDICTION.**

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.

**30. EXECUTION OF COUNTERPARTS.**

This Agreement may be executed in any number of counterparts and each of such counterparts 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.

**31. AUTHORITY.**

All signatories and 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 that all formal requirements necessary or required by any state and/or federal law in order to enter into this Agreement have been fully complied with. Furthermore, by entering into this Agreement, Contractor hereby warrants that it shall not have breached the terms or conditions of any other contract or agreement to which Contractor is obligated, which breach would have a material effect hereon.

**32. SURVIVAL.**

All provisions of this Agreement which by their nature are intended to survive the termination or expiration of this Agreement shall survive such termination or expiration.

**33. 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.

**34. UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS.**

- A. Contractor shall comply with the requirements of 2 Code of Federal Regulations (C.F.R.) parts 200 and 300 and 45 Code of Federal Regulations part 75, which are incorporated herein by reference.
- B. Contractor shall include these requirements in all subcontracts to perform work under this Agreement.

**35. MANDATORY DISCLOSURES.**

- A. Contractor must promptly disclose whenever, in connection with this Agreement (including any activities or subcontracts thereunder), it has credible evidence of the commission of a violation of federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in title 18 of the United States Code (U.S.C.) or a violation of the civil False Claims Act (31 U.S.C. §§ 3729–3733). The disclosure must be made in writing to County, DHCS, the United States Centers for Medicare and Medicaid Services, and the United States Department of Health and Human Services

Office of Inspector General. Contractor is also required to report matters related to County, state, or federal agency's integrity and performance in accordance with Appendix XII of 2 Code of Federal Regulations part 200. Failure to make required disclosures can result in any of the remedies described in 2 Code of Federal Regulations section 200.339 Remedies for noncompliance. (See also 2 C.F.R. part 180, 31 U.S.C. § 3321, and 41 U.S.C. § 2313.)

- B.** Contractor shall include these requirements in all subcontracts to perform work under this Agreement.
- C.** Contractor shall also comply with the disclosure provisions set forth below in Section 39 (Byrd Anti-Lobbying Amendment) and EXHIBIT A-1 General Provisions: MHS to this Agreement.

**36. PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT.**

- A.** Contractor is prohibited from obligating or expending loan or grant funds to:
  - 1. Procure or obtain covered telecommunications equipment or services;
  - 2. Extend or renew a contract to procure or obtain covered telecommunications equipment or services; or
  - 3. Enter into a contract (or extend or renew a contract) to procure or obtain covered telecommunications equipment or services.
- B.** As described in section 889 of Public Law 115-232, "covered telecommunications equipment or services" means any of the following:
  - 1. Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities);
  - 2. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities);
  - 3. Telecommunications or video surveillance services provided by such entities or using such equipment; or
  - 4. Telecommunications or video surveillance equipment or services produced or provided by an entity that the United States Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.
- C.** For the purposes of this section, "covered telecommunications equipment or services" also include systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.
- D.** In implementing the prohibition under section 889 of Public Law 115-232, heads of executive agencies administering loan, grant, or subsidy programs must prioritize available funding and technical support to assist affected businesses, institutions, and

organizations as is reasonably necessary for those affected entities to transition from covered telecommunications equipment or services, to procure replacement equipment or services, and to ensure that communications service to users and customers is sustained.

- E.** Contractor certifies that it will comply with the prohibition on covered telecommunications equipment and services in this section. Contractor and its subcontractors are not required to certify that funds will not be expended on covered telecommunications equipment or services beyond the certification provided upon accepting grant funding and those provided upon submitting payment requests and financial reports.
- F.** For additional information, see section 889 of Public Law 115-232 and 2 Code of Federal Regulations section 200.471.
- G.** Contractor shall include these requirements in all subcontracts to perform work under this Agreement.

**37. DOMESTIC PREFERENCES FOR PROCUREMENTS.**

- A.** Contractor should, to the greatest extent practicable and consistent with law, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including, but not limited to, iron, aluminum, steel, cement, and other manufactured products).
- B.** For purposes of this section:
  - 1. “Produced in the United States” means, for iron and steel products, that all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States.
  - 2. “Manufactured products” means items and construction materials composed in whole or in part of nonferrous metals such as aluminum; plastics and polymer-based products such as polyvinyl chloride pipe; aggregates such as concrete; glass, including optical fiber; and lumber.
- C.** Contractor shall include these requirements in all subcontracts to perform work under this Agreement.

**38. PROCUREMENT OF RECOVERED MATERIALS.**

- A.** Contractor shall comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976 as amended, 42 United States Code section 6962. The requirements of section 6002 include procuring only items designated in guidelines of the United States Environmental Protection Agency (EPA) at 40 Code of Federal Regulations part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

- B.** Contractor should, to the greatest extent practicable and consistent with law, purchase, acquire, or use products and services that can be reused, refurbished, or recycled; contain recycled content, are biobased, or are energy and water efficient; and are sustainable. This may include purchasing compostable items and other products and services that reduce the use of single-use plastic products. See Executive Order 14057, section 101, Policy.
- C.** Contractor shall include these requirements in all subcontracts to perform work under this Agreement.

**39. BYRD ANTI-LOBBYING AMENDMENT.** (Applicable to federally funded agreements in excess of \$100,000.)

**A. Certification and Disclosure Requirements.**

1. Contractor must file a certification (in the form set forth in EXHIBIT D, Attachment 1, consisting of one page, entitled “Certification Regarding Lobbying”) that Contractor has not made and will not make any payment prohibited by subsection B (Prohibition) of this Section (Byrd Anti-Lobbying Amendment).
2. Contractor must file a disclosure (in the form set forth in EXHIBIT D, Attachment 2, entitled “Standard Form-LLL ‘Disclosure of Lobbying Activities’”) if Contractor has made or has agreed to make any payment using non-appropriated funds (to include profits from any covered federal action) in connection with a contract or grant or any extension or amendment of that contract or grant which would be prohibited under subsection B (Prohibition) of this Section (Byrd Anti-Lobbying Amendment) if paid for with appropriated funds.
3. Contractor must file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affect the accuracy of the information contained in any disclosure form previously filed by Contractor under subsection A.2. of this Section (Byrd Anti-Lobbying Amendment). An event that materially affects the accuracy of the information reported includes:
  - i. A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered federal action;
  - ii. A change in the person(s) or individual(s) influencing or attempting to influence a covered federal action; or
  - iii. A change in the officer(s), employee(s), or member(s) contacted for the purpose of influencing or attempting to influence a covered federal action.
4. Contractor shall require all lower tier subcontractors to certify and disclose to the next tier above.
5. All disclosure forms shall be forwarded from tier to tier until received by County.

- B. Prohibition.** Section 1352 of title 31 of the United States Code provides in part that no appropriated funds may be expended by the recipient of a federal contract or agreement, grant, loan, or cooperative agreement to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with any of the following covered federal actions: the awarding of any federal contract or agreement, the making of any federal grant, the making of any

federal loan, entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract or agreement, grant, loan, or cooperative agreement.

- C. Contractor shall include these requirements in all lower tier subcontracts exceeding \$100,000 to perform work under this Agreement.

**40. CLEAN AIR ACT.** (Applicable to federally funded agreements in excess of \$150,000.)

- A. Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act, as amended, 42 United States Code section 7401 et seq.
- B. Contractor agrees to report each violation to the California Environmental Protection Agency (CalEPA) and understands and agrees that CalEPA will, in turn, report each violation as required to assure notification to County, the federal agency which provided funds in support of this Agreement, and the appropriate Environmental Protection Agency Regional Office.
- C. Contractor shall include these requirements in all subcontracts exceeding \$150,000 to perform work under this Agreement.

**41. FEDERAL WATER POLLUTION CONTROL ACT.** (Applicable to federally funded agreements in excess of \$150,000.)

- A. Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 United States Code section 1251 et seq.
- B. Contractor agrees to report each violation to CalEPA and understands and agrees that CalEPA will, in turn, report each violation as required to assure notification to County, the federal agency which provided funds in support of this Agreement, and the appropriate Environmental Protection Agency Regional Office.
- C. Contractor shall include these requirements in all subcontracts exceeding \$150,000 to perform work under this Agreement.

**42. BUSINESS ASSOCIATE.** (RESERVED)

THIS SECTION LEFT BLANK INTENTIONALLY.

SIGNATURE PAGE FOLLOWS.

**SIGNATURE PAGE**

Agreement for Services of Independent Contractor between the **County of Santa Barbara** and **CALM, Inc.**

**IN WITNESS WHEREOF**, the parties have executed this Agreement to be effective on July 1, 2025.

**COUNTY OF SANTA BARBARA:**

By: \_\_\_\_\_  
LAURA CAPPS, CHAIR  
BOARD OF SUPERVISORS

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

**ATTEST:**

MONA MIYASATO  
COUNTY EXECUTIVE OFFICER  
CLERK OF THE BOARD

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

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

**CONTRACTOR:**

**CALM, Inc.**

By: \_\_\_\_\_  
Signed by: *Adolfo Garcia*  
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Authorized Representative

Name: Adolfo Garcia

Title: Chief operating officer

Date: 6/20/2025

**APPROVED AS TO FORM:**

RACHEL VAN MULLEM  
COUNTY COUNSEL

By: \_\_\_\_\_  
Signed by: *Bo Bai*  
48A252DEFFD3466...ty Counsel

**APPROVED AS TO ACCOUNTING FORM:**

BETSY M. SCHAFER, CPA  
AUDITOR-CONTROLLER

By: \_\_\_\_\_  
Signed by: *Shawna Jorgensen*  
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Deputy

**RECOMMENDED FOR APPROVAL:**

ANTONETTE NAVARRO, LMFT  
DIRECTOR  
DEPARTMENT OF BEHAVIORAL  
WELLNESS

By: \_\_\_\_\_  
DocuSigned by: *Antonette "Toni" Navarro*  
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DIRECTOR

**APPROVED AS TO FORM:**

GREG MILLIGAN, ARM  
RISK MANAGER

By: \_\_\_\_\_  
Signed by: *Greg Milligan*  
05F555F00269466...  
RISK MANAGER



## **EXHIBITS LIST**

This Agreement includes the following Exhibits:

### **EXHIBIT A – MENTAL HEALTH SERVICES (MHS) STATEMENT OF WORK**

- EXHIBIT A-1 General Provisions: MHS
- EXHIBIT A-2 Pathways to Well-Being
- EXHIBIT A-3 **(Reserved)**
- EXHIBIT A-4 **(Reserved)**
- EXHIBIT A-5 **(Reserved)**
- EXHIBIT A-6 Managed Care Mental Health/Brief Therapy
- EXHIBIT A-7 MHSA PEI Early Childhood Mental Health
- EXHIBIT A-8 Medi-Cal Early Childhood Specialty Mental Health
- EXHIBIT A-9 Intensive In-Home

### **EXHIBIT B – FINANCIAL PROVISIONS**

- EXHIBIT B General Financial Provisions: MHS
- EXHIBIT B-1 Schedule of Rates and Contract Maximum: MHS
- EXHIBIT B-2 Contractor Budget
- EXHIBIT B-3 Entity Rates and Codes by Service Type

### **EXHIBIT C – STANDARD INDEMNIFICATION AND INSURANCE PROVISIONS**

- EXHIBIT C Indemnification and Insurance Requirements

### **EXHIBIT D – CERTIFICATION REGARDING LOBBYING**

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

- EXHIBIT E-1 Program Goals, Outcomes, and Measures: Pathways to Well-Being
- EXHIBIT E-2 Program Goals, Outcomes, and Measures: **(Reserved)**
- EXHIBIT E-3 Program Goals, Outcomes, and Measures: **(Reserved)**
- EXHIBIT E-4 Program Goals, Outcomes, and Measures: **(Reserved)**
- EXHIBIT E-5 Program Goals, Outcomes, and Measures: Managed Care Mental Health/Brief Therapy
- EXHIBIT E-6 Program Goals, Outcomes, and Measures: Early Childhood Mental Health (ECMH) and Early Childhood Specialty Mental Health (ECSMH)
- EXHIBIT E-7 Program Goals, Outcomes, and Measures: Medi-Cal Early Childhood Specialty Mental Health
- EXHIBIT E-8 Program Goals, Outcomes, and Measures: Intensive In-Home

**EXHIBIT A**  
**MENTAL HEALTH SERVICES (MHS)**  
**STATEMENT OF WORK**

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**EXHIBIT A-1- MHS  
GENERAL PROVISIONS**

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The following provisions shall apply to all programs operated under this Agreement, included as Exhibit(s) **A-2 through A-9**, as though separately set forth in the scope of work specific to each program.

**1. PERFORMANCE.**

**A.** This Agreement shall be governed by and construed in accordance with all laws and regulations and all contractual obligations of County under the Integrated Intergovernmental Agreement (Contract No. 24-40145) between County and the California Department of Health Care Services (DHCS) including the federal and state requirements listed in Integrated Intergovernmental Agreement, Exhibit E (Additional Provisions), section 7 (State and Federal Laws Governing this Contract) and contractual obligations in Integrated Intergovernmental Agreement, Exhibit D (Special Terms and Conditions). The Integrated Intergovernmental Agreement, available at County of Santa Barbara - File #: 25-00016, is incorporated herein by reference.

1. Contractor agrees to comply with all applicable federal, state, and local laws including federal and state laws pertaining to member rights, applicable sections of California's Medicaid State Plan (State Plan), applicable federal waivers, and applicable DHCS Behavioral Health Information Notices (BHIN(s)) in its provision of services as a subcontractor or contracted provider of County as an integrated county behavioral health plan.
2. Contractor agrees to perform all applicable delegated activities and obligations including services and reporting responsibilities in compliance with County's obligations under the Integrated Intergovernmental Agreement.
3. Contractor agrees to comply with any changes to these statutes and regulations, State Plan, federal waivers, or BHINs or any amendments to the Integrated Intergovernmental Agreement that occur during the Term of this Agreement. Contractor shall also comply with any newly applicable statute, regulation, State Plan Amendment, federal waiver, and BHIN that become effective during the Term of this Agreement. These obligations shall apply without the need for an amendment(s) of this Agreement. If the parties amend the affected provisions of this Agreement to conform to the changes in law or the Integrated Intergovernmental Agreement, the amendment shall be retroactive to the effective date of such changes in law or the Integrated Intergovernmental Agreement.
4. To the extent there is a conflict between a provision of this Agreement and any federal, state, or local statute or regulation, State Plan, federal waiver, or BHIN or provision of the Integrated Intergovernmental Agreement, Contractor shall comply with the federal, state, or local statute or regulation, State Plan, federal waiver, or BHIN or provision of the Integrated Intergovernmental Agreement, and the conflicting provision of this Agreement shall no longer be in effect.

**B.** Contractor shall comply with the following as applicable:

1. All Medicaid laws, regulations including sub-regulatory guidance, and contract provisions;

2. 42 Code of Federal Regulations (C.F.R.) section 438.900 et seq. regarding parity in mental health and substance use disorder benefits;
3. All laws and regulations relating to patients' rights including Welfare and Institutions Code (Welf. & Inst. Code) section 5325, 9 California Code of Regulations (Cal. Code Regs.) sections 862 through 868, and 42 Code of Federal Regulations section 438.100; and
4. All existing policy letters issued by DHCS. All policy letters issued by DHCS subsequent to the effective date of this Agreement shall provide clarification of Contractor's obligations pursuant to this Agreement.

**C. Contractor shall comply with:**

1. All applicable Behavioral Health Services Act laws, regulations, BHINs, policy letters, and guidance; and
2. The Santa Barbara County Mental Health Services Act Steering Committee Mission Statement, available at [Mental Health Services Act Steering Committee Santa Barbara County, CA - Official Website.](#)

**2. STAFF.**

- A.** Contractor staff providing direct services to members shall be trained and skilled at and provided with the required supervision of service delivery in working with persons with serious mental illness (SMI) and shall adhere to professionally recognized evidence-based best practices for rehabilitation assessment, service planning, and service delivery. In addition, these staff shall receive Documentation Training in accordance with the *Behavioral Wellness Mandatory Trainings Policy and Procedure #5.008*, as may be amended, available at <https://www.countyofsb.org/904/Policies-Procedures>.
- B.** Contractor shall ensure that any 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. Contractor shall not employ or subcontract with providers excluded from participation in Federal health care programs under either sections 1128 or 1128A of the Social Security Act.
- C.** All staff performing services under this Agreement with access to the Behavioral Wellness electronic health record shall be reviewed and approved by Behavioral Wellness Quality Care Management (QCM) Division, in accordance with *Behavioral Wellness Policy and Procedure #4.015, Staff Credentialing and Re-Credentialing*.
- D.** Contractor and its staff shall use Contractor's business email domain to log into the Behavioral Wellness electronic health record.
- E.** Contractor shall notify County through the ServiceNow CBO Onboarding/Offboarding Portal within one business day for the unexpected termination of staff when staff separates from employment or is terminated from working under this Agreement, or within one week of the expected last day of employment or for staff planning a formal leave of absence.
- F.** 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.

- G.** County may request that Contractor's staff be immediately removed from performing work under this Agreement for good cause during the term of the Agreement. Upon such request, Contractor shall remove such staff immediately.
- H.** 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 conduct is incompatible with County facility access.
- I.** Disqualification, if any, of Contractor staff, pursuant to this Section regarding Staff or any other provision of law, shall not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Agreement.

**J. Staffing Definitions.** The following terms shall have the meanings as set forth below:

- 1. Licensed Mental Health Professional.** "Licensed mental health professional" means any of the following providers who are licensed in accordance with applicable State of California licensure requirements:
  - i. licensed physicians;
  - ii. licensed psychologists (includes waived psychologists);
  - iii. licensed clinical social workers (includes waived or registered clinical social workers);
  - iv. licensed professional clinical counselor (includes waived or registered professional clinical counselors);
  - v. licensed marriage and family therapists (includes waived or registered marriage and family therapists);
  - vi. registered nurses (includes certified nurse specialists and nurse practitioners);
  - vii. licensed vocational nurses;
  - viii. licensed psychiatric technicians; and
  - ix. licensed occupational therapists. (State Plan, Supplement 1 to Attachment 3.1.-A, page 11 [TN 23-0026]; BHIN 24-023.)
- 2. Waivered/Registered Professional.** "Waivered/Registered Professional" means:
  - i. for a psychologist candidate, "waivered" means an individual who either is gaining the experience required for licensure or was recruited for employment from outside California, has sufficient experience to gain admission to a licensing examination, and has been granted a professional licensing waiver approved by the California Department of Health Care Services to the extent authorized under state law.
  - ii. for a social worker candidate, a marriage and family therapist candidate, or a professional clinical counselor candidate, "registered" means a candidate for licensure who is registered or is in the process of obtaining registration in

accordance with the criteria established by the corresponding state licensing authority for the purpose of acquiring the experience required for licensure in accordance with applicable statutes and regulations and “waivered” means a candidate who was recruited for employment from outside California, whose experience is sufficient to gain admission to the appropriate licensing examination, and who has been granted a professional licensing waiver approved by the California Department of Health Care Services to the extent authorized under state law. (State Plan TN: 23-0026; BHIN 24-023.)

3. **Clinical Trainee.** “Clinical Trainee” means an unlicensed individual who is enrolled in a postsecondary educational program that is required for the individual to obtain licensure as a Licensed Mental Health Professional; is participating in a practicum, clerkship, or internship approved by the individual's program; and meets all relevant requirements of the program and/or the applicable licensing board to participate in the practicum, clerkship, or internship and provide specialty mental health services including, but not limited to, all coursework and supervised practice requirements. Clinical Trainee provider types include:
  - i. Nurse Practitioner Clinical Trainee;
  - ii. Licensed Psychologist Clinical Trainee;
  - iii. Licensed Clinical Social Worker Clinical Trainee;
  - iv. Licensed Marriage and Family Therapist Clinical Trainee;
  - v. Licensed Professional Clinical Counselor Clinical Trainee;
  - vi. Licensed Psychiatric Technician Clinical Trainee;
  - vii. Registered Nurse Clinical Trainee;
  - viii. Licensed Vocational Nurse Clinical Trainee;
  - ix. Licensed Occupational Therapist Clinical Trainee;
  - x. Licensed Physician Clinical Trainee (Medical Student);
  - xi. Registered Pharmacist Clinical Trainee;
  - xii. Physician Assistant Clinical Trainee; and
  - xiii. (Certified) Clinical Nurse Specialist Clinical Trainee (specialty mental health delivery system only). (State Plan TN: 23-0026; BHIN 24-023.)
4. **Medical Assistant.** “Medical Assistant” is an individual who is at least 18 years of age, meets all applicable education, training and/or certification requirements, and provides administrative, clerical, and technical supportive services according to their scope of practice, under the supervision of a licensed physician and surgeon, or to the extent authorized under state law, a nurse practitioner or physician assistant that has been delegated supervisory authority by a physician and surgeon. The licensed physician and surgeon, nurse practitioner or physician assistant must be physically present in the treatment facility (medical office or clinic setting) during the provision of services by a medical assistant. (State Plan TN: 23-0026; BHIN 24-023.)
5. **Peer Support Specialist.** “Peer Support Specialist” means an individual with a current State-approved Medi-Cal Peer Support Specialist Certification Program certification who meets ongoing education requirements and provides services under the direction

of a Behavioral Health Professional. (State Plan, Supplement 3 to Attachment 3.1-A, page 2j [TN 22-0026].)

6. **Community Health Worker.** Community Health Worker is a skilled and trained health educator who is member of the community they serve who link members to health, mental health and social services to improve the overall quality of services delivered. CHWs may include individuals known by a variety of job titles who meet the CHW qualifications as APL 24-006; State Plan 22-0001.
  7. **Mental Health Rehabilitation Specialist.** “Mental Health Rehabilitation Specialist” is defined in *Behavioral Wellness Policy and Procedure #4.015, Staff Credentialing and Re-Credentialing*.
  8. **Qualified Mental Health Worker.** “Qualified Mental Health Worker” is defined in *Behavioral Wellness Policy and Procedure #4.015, Staff Credentialing and Re-Credentialing*.
  9. **Mental Health Worker.** “Mental Health Worker” is defined in *Behavioral Wellness Policy and Procedure #4.015, Staff Credentialing and Re-Credentialing*.
3. **LICENSES, PERMITS, REGISTRATIONS, ACCREDITATIONS, AND CERTIFICATIONS.**
- A. Contractor shall obtain and maintain in effect during the term of this Agreement, all licenses, permits, registrations, accreditations, and certifications (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, 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, supervision agreements, accreditations, and certificates which are applicable to their performance hereunder. A copy of such documentation shall be provided to Behavioral Wellness QCM Division, upon request.
  - B. In the event the license/certification status of any Contractor staff member 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 keep fully informed of and in compliance with all current Short-Doyle/Medi-Cal Policy Letters, including, but not limited to, procedures for maintaining Medi-Cal certification of all its facilities, and the requirements of *Department of Behavioral Wellness’ Policy and Procedure #4.005 – Site Certification for Specialty Mental Health Services*.
  - D. If any of the Contractor’s eligible licensed practitioners have submitted a Medicare “Opt-Out” affidavit and are therefore opted-out of Medicare, these practitioners’ services cannot be billed to Medicare and are not billable to Medi-Cal.
  - E. Contractor shall be enrolled at all times during the term of this Agreement with the California Department of Health Care Services as a Medi-Cal provider, consistent with the provider disclosure, screening, and enrollment requirements of 42 Code of Federal Regulations part 455, subparts B and E.
4. **REPORTS.**

**A. 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. Programmatic reports shall include the following:

1. 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;
2. 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 Certifications, changes in population served and reasons for any such changes;
3. The number of active cases and number of members admitted/ discharged;
4. The Measures described in Exhibit E(s), Program Goals, Outcomes, and Measures, as applicable and as may be amended or modified.
5. In addition, Contractor may include any other data that demonstrate the effectiveness of Contractor's programs; and any other program specific reporting requirement, if any, as described in the individual programmatic Statement of Work Exhibits.

**B. Annual Mandatory Training Report.** Contractor shall submit, no later than June 15th of each year unless requested earlier by County, to the County Training Coordinator evidence of completion of the Mandatory Trainings identified in the Section regarding Training Requirements.

**C. Additional Reports.**

1. Contractor shall maintain records and make statistical reports as required by County and DHCS or other government agency, on forms provided by or acceptable to the requesting agency. In addition to reports required under this Agreement, upon County's request, Contractor shall make additional reports or provide other documentation 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.
2. As a condition of funding for Quality Assurance (QA) activities, Contractor QA staff shall provide a monthly report to QCM consisting of documentation reviews performed, associated findings, and corrective action. The QA reports shall be received by County no later than 30 calendar days following the end of the month being reported.

**D.** Contractor agrees that County or the California Department of Health Care Services (DHCS) may withhold payments until Contractor has submitted any required data and reports to County or DHCS as identified in this Agreement, or Integrated Intergovernmental Agreement, Exhibit A(s) or Document 1F(a) Reporting Requirement Matrix for Counties.

## **5. BACKGROUND CHECKS.**

**A. Consent to Criminal Background Check, Fingerprinting (42 C.F.R. § 455.450, Welf. & Inst. Code, § 14043.38).** Contractor consents to criminal background checks, including fingerprinting when required to do so by federal or state law. Within 30 days



of a request from CMS or DHCS, Contractor, or any person with a 5% or more direct or indirect ownership interest in Contractor, shall submit a set of fingerprints in a form and manner determined by CMS or DHCS.

**B. Mandatory Termination.** As determined by DHCS, Contractor may be subject to mandatory termination from the Medi-Cal program for any of the following reasons:

1. Failure to cooperate with and provide accurate, timely information in response to all required Medi-Cal screening methods, including failure to submit fingerprints as required (42 C.F.R. § 455.416); or
2. Conviction of a criminal offense related to a person's involvement with Medi-care, Medi-Cal, or any other Title XX or XXI program in the last 10 years (42 C.F.R. § 455.416, 42 C.F.R. § 455.106).

**6. MEDI-CAL VERIFICATION.** Contractor shall be responsible for verifying member's Medi-Cal eligibility status and will take steps to reactivate or establish eligibility where none exists.

**7. SITE STANDARDS.**

**A.** Contractor agrees to comply with all Medi-Cal requirements, including, but not limited to those specified in the *Department of Behavioral Wellness' Policies and Procedures* referenced in Section 17 (Additional Program Requirements), and be approved to provide Medi-Cal services based on Medi-Cal site certification, per *Department of Behavioral Wellness' Policy and Procedure #4.005- Site Certification for Specialty Mental Health Services*.

**B.** For programs located at Contractor's sites, Contractor shall develop and maintain a written disaster plan for the Program site and shall provide annual disaster training to staff that addresses, at a minimum: emergency staffing levels for the continuation of services under the Program, patient safety, facility safety, safety of medication storage and dispensing medication, and protection of member records, as required by this Agreement.

**8. CONFIDENTIALITY.**

**A. Compliance with Privacy and Data Security Authorities.** Contractor shall, at its sole cost and expense, comply with all applicable federal, state, and local healthcare privacy and data security requirements and authorities including, but not limited to, those authorities specified in this Section (Confidentiality) now in force or which may hereafter be in force and shall develop and maintain comprehensive patient confidentiality policies and procedures, provide annual training of all staff regarding those policies and procedures, and demonstrate reasonable efforts to secure written and/or electronic data.

**B. Maintain Confidentiality.** Contractor agrees, and shall require its employees, agents, subcontractors, or contracted providers to agree, to maintain the confidentiality of patient records pursuant to: Title 42 United State Code (USC) Section 290 dd-2; Title 42 Code of Federal Regulations (C.F.R.), Part 2; Title 42 C.F.R. Section 438.224; 45 C.F.R. Section 96.132(e), 45 C.F.R. Parts 160, 162, and 164; Title 22 California Code of Regulations (CCR) Section 51009; Welfare & Institutions Code (W&IC) Section 5328 et seq. and Sections 14100.2 and 14184.102; Health and Safety Code (HSC) Sections 11812 and 11845.5; Civil Code Sections 56 – 56.37, 1798.80 – 1798.82, and

1798.85; Integrated Intergovernmental Agreement Exhibit A—Attachment 4 (Management Information Systems), Section 6 (HIPAA and Additional Data Standards), Exhibit D, Section 14 (Confidentiality of Information), and Exhibit F (Business Associate Addendum); and this Agreement, Section 29 (Compliance with Privacy Laws and Data Security Authorities), as applicable. Patient records must comply with all applicable state and federal requirements.

- C. No Publication of Member Lists.** Contractor shall ensure that no list of persons receiving services under this Agreement is published, disclosed, or used for any purpose except for the direct administration of services under this Agreement or other uses authorized by law that are not in conflict with requirements for confidentiality contained in the preceding codes.
- D. Member's Health Record.** Contractor shall maintain and share, as appropriate, a member's health record in accordance with professional standards. (42 C.F.R. § 438.208(b)(5).) Contractor shall ensure that, in the course of coordinating care, each member's privacy is protected in accordance with this Agreement all federal and state privacy laws, including but not limited to 45 C.F.R. parts 160 and 164, subparts A and E, to the extent that such provisions are applicable. (42 C.F.R. § 438.208(b)(6).)
- E.** Contractor shall comply with Exhibit F to the Integrated Intergovernmental Agreement to the extent Contractor is provided Personal Health Information ("PHI"), Personal Information ("PI"), or Personally Identifiable Information ("PII") as defined in Exhibit F of the Integrated Intergovernmental Agreement from County to perform functions, services, or activities specified in this Agreement.
- F.** Contractor shall make itself and any subcontractors, employees or agents assisting Contractor in the performance of its obligations under this Agreement, available to County or DHCS at no cost to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against County, DHCS, its directors, officers or employees based upon claimed violations of privacy involving inactions or actions by Contractor, except where Contractor or its subcontractor, employee or agent is a named adverse party.
- G.** Upon termination or expiration of this Agreement for any reason, Contractor shall return or destroy all PHI, PI and PII accessed in a database maintained by County, received by Contractor from County, or acquired or created by Contractor in connection with performing functions, services, or activities specified in this Agreement on behalf of County that Contractor still maintains in any form, and shall retain no copies of such PHI, PI or PII. If return or destruction is not feasible, Contractor shall notify County of the conditions that make the return or destruction infeasible, and County and Contractor shall determine the terms and conditions under which Contractor may retain the PHI, PI or PII. Contractor shall continue to extend the protections of Exhibit F of the Integrated Intergovernmental Agreement to such PHI, PI and PII, and shall limit further use of such data to those purposes that make the return or destruction of such data infeasible. This subsection shall also apply to Department PHI, PI and PII that is in the possession of subcontractors or agents of Contractor.

## **9. MEMBER AND FAMILY MEMBER EMPOWERMENT.**

- A. Support Active Involvement.** Contractor agrees to support active involvement of members and their families in treatment, recovery, and policy development.

- B. Contractor shall actively participate in the planning design, and execution of County's Quality Improvement Program as described in Cal. Code. Regs., Title 9, § 1810.440(a)(2)(A).
- C. **Maintain Grievance Policy/Procedure.** Contractor shall adopt *Department of Behavioral Wellness' Policy and Procedures #4.020 Member Problem Resolution Process*, available at [www.countyofsb.org/behavioral-wellness](http://www.countyofsb.org/behavioral-wellness), to address member/family complaints in compliance with member grievance, appeal, and fair hearing procedures and timeframes as specified in 42 C.F.R. Section 438.400 through 42 C.F.R. Section 438.424.
- D. Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedure #3.000 Member Rights*, available at <https://cosantabarbara.app.box.com/s/nq9hcrb6qa8spnbwal95bqg4p1rjum3y> and ensure that its employees and/or subcontracted providers observe and protect those rights.
- E. Contractor shall obtain and retain a written medication consent form signed by the member in accordance with *Department of Behavioral Wellness' Policy and Procedures #8.009 Medication Consent for Adults* to the extent Contractor is a "provider" as defined by the Integrated Intergovernmental Agreement.

## 10. CULTURAL COMPETENCE.

- A. **Report on Capacity.** Contractor shall report on its capacity to provide culturally competent services to culturally diverse members and their families upon request from County, including:
  - 1. The number of bilingual and bicultural staff (as part of the quarterly staffing report), and the number of culturally diverse members receiving Program services; and
  - 2. Efforts aimed at providing culturally competent services such as trainings provided to staff, changes or adaptations to service protocol, community education/outreach, etc.
- B. **Communicate in Preferred Language.** At all times, the Contractor's Program(s) shall be staffed with personnel who can communicate in the member preferred language, or Contractor shall provide interpretation services, including American Sign Language (ASL).
- C. **Bilingual Staff for Direct Service Positions.** Contractor will strive to fill direct service positions with bilingual staff in County's threshold language (Spanish) that is reflective of the specific needs of each region. Contractor percentage goals are calculated based on U.S. Census language data by region: Santa Barbara service area (including Goleta and Carpinteria) – 31%; Santa Maria service area (including Orcutt and Guadalupe) – 60%; and Lompoc service area (including Buellton and Solvang) – 41%.
- D. **Cultural Considerations When Providing Services.** Contractor shall provide services that consider the cultural aspects of mental illness, as well as the ethnic and cultural diversity of members and families served. Additionally, any materials provided to the public must be printed in Spanish (threshold language).
- E. **Services and Programs in Spanish.** Services and programs offered in English must also be made available in Spanish, if members identify Spanish as their preferred language, as specified in subsection B above.

- F. As applicable, a measurable and documented effort must be made to conduct outreach to and to serve the marginalized, underserved, and non-served communities of Santa Barbara County.
- G. 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 in the Spanish language.

## 11. COMPLIANCE PROGRAM.

- A. If Contractor identifies an issue or receives notification of a complaint concerning an incident of potential fraud, waste or abuse, in addition to notifying County, Contractor shall conduct an internal investigation to determine the validity of the issue/complaint, and develop and implement corrective action, if needed.
- B. County shall suspend payments to Contractor when it or the State determines there is a credible allegation of fraud. Contractor shall implement and maintain arrangements or procedures that include provision for the suspension of payments to independent contractors for which the State, or County, determines there is a credible allegation of fraud. (42 C.F.R. §§ 438.608(a), (a)(8) and 455.23.)
- C. Contractor shall notify County within 30 calendar days when it has identified payments in excess of amounts specified for reimbursements of Medi-Cal services or when it has identified or recovered overpayments due to potential fraud. (42 C.F.R. § 438.608(a), (a)(2).) Contractor shall return any overpayments pursuant to Exhibit B, Section VIII.G (Overpayments) of this Agreement.

## 12. NOTIFICATION REQUIREMENTS.

- A. **Notice to QCM.** Contractor shall immediately notify Behavioral Wellness Quality Care Management (“QCM”) Division at 805-681-4777 or by email at BWELLQCM@sbcbswell.org in the event of:
  - 1. Known serious complaints against licensed/certified staff;
  - 2. Restrictions in practice or license/certification of staff as stipulated by a State agency;
  - 3. Staff privileges restricted at a hospital;
  - 4. Other action instituted which affects staff license/certification or practice (for example, sexual harassment accusations); or
  - 5. Any event triggering Incident Reporting, as defined in *Behavioral Wellness Policy and Procedure #4.004, Unusual Occurrence Reporting*.
- B. **Notice to Compliance Hotline.** Contractor shall immediately contact the Behavioral Wellness Compliance Hotline (805-884-6855) should any of the following occur:
  - 1. Suspected or actual misappropriation of funds under Contractor’s control;
  - 2. Legal suits initiated specific to the Contractor’s practice;
  - 3. Initiation of criminal investigation of the Contractor; or
  - 4. Breach of Privacy Laws.
- C. **Notice to Case Manager/Regional Manager/Staff.** For members receiving direct services from both Behavioral Wellness and Contractor staff, Contractor shall

immediately notify the member's Behavioral Wellness Case Manager or other Behavioral Wellness staff involved in the member's care, or the applicable Regional Manager should any of the following occur:

1. Side effects requiring medical attention or observation;
2. Behavioral symptoms presenting possible health problems; or
3. Any behavioral symptom that may compromise the appropriateness of the placement.

**D. Definition of "Immediately".** "Immediately" means as soon as possible but in no event more than twenty-four (24) hours after the triggering event. Contractor shall train all personnel in the use of the Behavioral Wellness Compliance Hotline (805-884-6855).

**E. Notice to Contracts Division.** Contractor may contact Behavioral Wellness Contracts Division at [bwellcontractsstaff@sbcbswell.org](mailto:bwellcontractsstaff@sbcbswell.org) for any contractual concerns or issues.

**F. Written Notice of Termination to Members.** Contractor shall make a good faith effort to give written notice of termination of Contractor as a provider of services to each member who was seen on a regular basis by Contractor. The notice to the member and a copy of each such notice to the County shall be provided 30 calendar days prior to the effective date of the termination of this Agreement or 15 calendar days after receipt or issuance of the notice of termination of this Agreement, whichever is later.

**G.** Contractor shall post taglines in any documents that are vital or critical to obtaining services and/or benefits, conspicuous physical locations where Contractor interacts with the public, on Contractor's website in a location that allows any visitor to the website to easily locate the information, and in all member information and other information notice, in accordance with federal and state requirements.

### 13. MONITORING.

**A. County Monitoring Process.** Contractor agrees to abide by the *Department of Behavioral Wellness' Policies and Procedures* referenced in Section 17 (Additional Program Requirements) and to cooperate with the County's utilization review process which ensures medical necessity, appropriateness and quality of care. This review may include clinical record review, member survey, and other utilization review program monitoring practices. Contractor shall cooperate with these programs, and will furnish necessary assessment and Member Service Plan information, subject to Federal or State confidentiality laws and provisions of this Agreement.

**B.** Contractor shall identify a senior staff member who will be the designated Behavioral Wellness QCM Division contact and will participate in any provider QCM meetings to review current and coming quality of care issues.

**C.** County shall monitor the performance of Contractor on an ongoing basis for compliance with the terms of the Integrated Intergovernmental Agreement and this Agreement. 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, and provider recertification requirements. County's 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.

- D. Contractor shall allow DHCS, CMS, the Office of the Inspector General, the Comptroller General of the United States, and other authorized federal and state agencies, or their duly authorized designees, to evaluate Contractor's, and its subcontractors', performance under this Agreement, including the quality, appropriateness, and timeliness of services provided. This right shall exist for 10 years from the term end date of this Agreement or in the event the Contractor has been notified that an audit or investigation of this Agreement has been commenced, until such time as the matter under audit or investigation has been resolved, including the exhaustion of all legal remedies, whichever is later. (See 42 C.F.R. § 438.3(h).) If monitoring activities identify areas of non-compliance, Contractor will be provided with recommendations and a corrective action plan.
- E. **County Corrective Action Plan.** County shall provide a corrective action plan and a timeline for implementation and/or completion of corrective action if deficiencies in Contractor's compliance with the provisions of the Integrated Intergovernmental Agreement or this Agreement are identified by County. Contractor shall:
  1. Take corrective action;
  2. Provide evidence of correction; and
  3. Have a mechanism for monitoring effectiveness of corrective action over time.
- F. Contractor shall be liable to County for any penalties assessed against County for Contractor's failure to comply with the required corrective action.

## 15. **COLLABORATIVE MEETINGS.**

- A. Behavioral Wellness shall conduct a Collaborative Meeting at least annually, and more frequently, if needed, with Contractor to collaboratively discuss programmatic, fiscal, and contract matters.
- B. As a condition of funding for Quality Assurance (QA) activities, Contractor QA staff shall attend bi-monthly County Quality Improvement Committee (QIC) meetings.

## 16. **TRAINING REQUIREMENTS.**

- A. **Training Upon Hire and Annually Thereafter.** Contractor shall ensure that all staff providing services under this Agreement complete mandatory trainings, including through attendance at County-sponsored training sessions as available. The following trainings must be completed at hire and annually thereafter:
  1. HIPAA Privacy and Security;
  2. Consumer and Family Culture;
  3. Behavioral Wellness Code of Conduct;
  4. Cultural Competency;
  5. Behavioral Wellness electronic Health Record (EHR), including SmartCare for service and administrative staff who enter and analyze data in the system (at hire and as needed); and
  6. MHSA Overview Training (only at hire, not annually).
- B. Training Requirements for Contractor staff who provide direct services/document in Behavioral Wellness Electronic Health Record (EHR), including SmartCare. The

following trainings must be completed at hire and annually thereafter:

1. Documentation Training;
2. Child and Adolescent Needs and Strengths (CANS) or Adult Needs and Strengths (ANSA) assessment training and certification exam:
  - i. Contractors who provide services to members ages zero through 20 years old shall complete the CANS certification training and exam.
  - ii. Contractors who provide services to members ages 21 years old and older shall complete the ANSA.
  - iii. Contractors providing services to members of both age groups may select either of these assessment tool trainings and need not compete both; and
  - iv. Annual training and certification of clinicians is required for use of the CANS or ANSA. In order to be certified in the CANS or ANSA clinicians must demonstrate reliability on a case vignette of .70 or greater.
3. Any additional applicable trainings in accordance with the *Behavioral Wellness Mandatory Trainings Policy and Procedure #5.008*, as may be amended, available at <https://www.countyofsb.org/904/Policies-Procedures>.

## 17. **ADDITIONAL PROGRAM REQUIREMENTS.**

- A. **Member Handbook.** Contractor shall provide the County of Santa Barbara Member Handbook to each potential member and member in an approved method listed in the *Department of Behavioral Wellness' Policy and Procedures #4.008 Member Informing Materials* when first receiving Specialty Mental Health Services and upon request. Contractor shall document the date and method of delivery to the member in the member's file. Contractor shall inform beneficiaries that information is available in alternate formats and how to access those formats. (1915(b) Medi-Cal Specialty Mental Health Services Waiver, § (2), subd. (d), at p. 26, attachments 3, 4; Cal. Code Regs., tit. 9, § 1810.360, subd. (e); 42 C.F.R. § 438.10.)
- B. **Written Materials in English and Spanish.** Contractor shall provide all written materials for beneficiaries and potential beneficiaries, including provider directories, County of Santa Barbara Member Handbook, appeal and grievance notices, denial and termination notices, and Santa Barbara County's mental health education materials, in English and Spanish as applicable. (42 C.F.R. § 438.10(d)(3).) Contractor shall maintain adequate supply of County-provided written materials and shall request additional written materials from County as needed.
- C. **Effective Communication with Individuals with Disabilities.**
  1. Contractor shall comply with all applicable federal, state, and local disability laws and requirements including, but not limited to, 28 Code of Federal Regulations section 35.160 et seq. and California Department of Health Care Services BHIN 24-007 and take appropriate steps to ensure effective communication with individuals with disabilities.
  2. Contractor shall provide appropriate auxiliary aids and services to persons with impaired sensory, manual, or speaking skills, including the provision of qualified interpreters and written materials in alternative formats, free of charge and in a timely manner, when such aids and services are necessary to ensure that individuals

with disabilities have an equal opportunity to participate in or enjoy the benefits of Contractor's covered services, programs, and activities.

3. Contractor shall provide interpretive services and make member information available in the following alternative formats: Braille, audio format, large print (no less than 20- point font), and accessible electronic format (such as a data CD). In determining what types of auxiliary aids and services are necessary, Contractor shall give "primary consideration" to the individual's request of a particular auxiliary aid or service.
4. Contractor shall provide auxiliary aids and services including:
  - i. Qualified interpreters on-site or through VRI services; note takers; real-time computer-aided transcription services; written materials; exchange of written notes; telephone handset amplifiers; assistive listening devices; assistive listening systems; telephones compatible with hearing aids; closed caption decoders; open and closed captioning, including real-time captioning; voice, text, and video-based telecommunication products and systems, text telephones (TTYs), videophones, captioned telephones, or equally effective telecommunications devices; videotext displays; accessible information and communication technology; or other effective methods of making aurally delivered information available to individuals who are deaf or hard of hearing.
  - ii. Qualified Readers; taped texts; audio recordings; Braille materials and displays; screen reader software; magnification software; optical readers; secondary auditory programs; large print materials (no less than 20-point font); accessible information and communication technology; or other effective methods of making visually delivered materials available to individuals who are blind or have low vision.
5. When providing interpretive services, Contractor shall use qualified interpreters to interpret for a member with a disability, whether through a remote interpreting service or an on-site appearance. A qualified interpreter for a member with a disability is an interpreter who:
  - i. Adheres to generally accepted interpreter ethics principals including member confidentiality; and
  - ii. Is able to interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary, terminology, and phraseology. For a member with a disability, qualified interpreters can include, for example, sign language interpreters, oral transliterators (individuals who represent or spell in the characters of another alphabet), and cued language transliterators (individuals who represent or spell by using a small number of handshapes).
6. If Contractor provides a qualified interpreter for a member with a disability through VRI services, Contractor shall provide real-time, full-motion video and audio over a dedicated high-speed, wide-bandwidth video connection or wireless connection that delivers high-quality video images that do not produce lags, choppy, blurry, or grainy images, or irregular pauses in communication; a sharply delineated image that is large enough to display the interpreter's face, arms, hands, and fingers, and



the participating member's face, arms, hands, and fingers, regardless of body position; a clear, audible transmission of voices; and adequate training to users of the technology and other involved individuals so that they may quickly and efficiently set up and operate the VRI.

7. Contractor shall not require a member with a disability to provide their own interpreter. Contractor is also prohibited from relying on an adult or minor child accompanying a member with a disability to interpret or facilitate communication except when:
  - i. There is an emergency involving an imminent threat to the safety or welfare of the member or the public and a qualified interpreter is not immediately available; or
  - ii. The member with a disability specifically requests that an accompanying adult interpret or facilitate communication, the accompanying adult agrees to provide that assistance, and reliance on that accompanying adult for that assistance is appropriate under the circumstances.
  - iii. Prior to using a family member, friend, or, in an emergency only, a minor child as an interpreter for a member with a disability, Contractor shall first inform the member that they have the right to free interpreter services and second, ensure that the use of such an interpreter will not compromise the effectiveness of services or violate the member's confidentiality.
  - iv. Contractor shall ensure that the refusal of free interpreter services and the member's request to use a family member, friend, or a minor child as an interpreter is documented.
8. Contractor shall make reasonable modifications to policies, practices, or procedures when such modifications are necessary to avoid discrimination based on disability.

**D. Provider Directory.** Contractor shall maintain a provider directory on its agency website listing licensed individuals employed by the provider to deliver mental health services; the provider directory must be updated at least monthly to include the following information:

1. Provider's name;
2. Provider's business address(es);
3. Telephone number(s);
4. Email address;
5. Website as appropriate;
6. Specialty in terms of training, experience and specialization, including board certification (if any);
7. Services/ modalities provided;
8. Whether the provider accepts new beneficiaries;
9. The provider's cultural capabilities;
10. The provider's linguistic capabilities;
11. Whether the provider's office has accommodations for people with physical

disabilities;

12. Type of practitioner;

13. National Provider Identifier Number;

14. California License number and type of license; and

15. An indication of whether the provider has completed cultural competence training.

**E. Department of Behavioral Wellness Policies and Procedures.** Contractor shall comply with all applicable Department of Behavioral Wellness policies and procedures including those listed below. Department of Behavioral Wellness policies and procedures, available at Policy Portal - Departmental - Smartsheet.com, and are incorporated herein by reference. Contractor agrees to comply with any changes to these policies and procedures that occur during the Term of this Agreement. This obligation shall apply without the need for an amendment(s) of this Agreement. If the parties amend the affected provisions of this Agreement to conform to the changes in the policies and procedures, the amendment shall be retroactive to the effective date of such changes to the policies and procedures.

1. **Policy and Procedure #2.001.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #2.001 Network Adequacy Standards and Monitoring*.
2. **Policy and Procedure #2.005.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #2.005 Accessibility for People with Disabilities*.
3. **Policy and Procedure #3.000.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #3.000 Member Rights*.
4. **Policy and Procedure #3.004.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #3.004 Advance Directives – Adult Outpatient Services* on advance directives and the County's obligations for Physician Incentive Plans, as applicable.
5. **Policy and Procedure #4.000.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.000 Authorization of Outpatient Specialty Mental Health Services*.
6. **Policy and Procedure #4.001.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.001 Authorization of Therapeutic Behavioral Services (TBS)*, applicable to providers providing children services.
7. **Policy and Procedure #4.008.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.008 Member Informing Materials*.
8. **Policy and Procedure #4.012.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.012 Contracted Provider Relations*.
9. **Policy and Procedure #4.014.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.014 Service Triage for Urgent and Emergency Conditions*.
10. **Policy and Procedure #5.008.** Mandatory Trainings Contractor shall comply with

*Department of Behavioral Wellness' Policy and Procedures #5.008 Mandatory Training.*

11. **Policy and Procedure #8.100.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #8.100 Mental Health Member Assessment.*
  12. **Policy and Procedure #8.101.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #8.101 Member Problem Lists, Treatment Plans, and Treatment Progress Notes.*
  13. **Policy and Procedure #8.102.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #8.102 CalAIM Documentation Reform-Progress Note Requirements.*
  14. **Policy and Procedure #19.004.** *Reserved.*
  15. **Policy and Procedure #19.007.** *Reserved.*
  16. **Policy and Procedure #19.009.** *Reserved.*
- F. Accessibility.** Contractor shall ensure that it provides physical access, reasonable accommodations, and accessible equipment for Medi-Cal beneficiaries with physical or mental disabilities. (42 C.F.R. § 438.206(b)(1) and (c)(3).)
- G. Hours of Operation.** Contractor shall maintain hours of operation during which services are provided to Medi-Cal beneficiaries that are no less than the hours of operation during which Contractor offers services to non-Medi-Cal beneficiaries. If Contractor only offers services to Medi-Cal beneficiaries, maintain hours of operation which are comparable to the hours Contractor makes available for Medi-Cal services not covered by County or another Mental Health Plan.
- H. Access to Routine Appointments.** Contractor shall provide access to routine appointments (1st appointment within 10 business days). When not feasible, Contractor shall give the member the option to re-contact the County's Access team toll free at (888) 868-1649 and request another provider who may be able to serve the member within the 10 business day standard.
- I. Member Assessment, Problem List, and Treatment Plan (or Treatment Plan Progress Note).** Contractor shall complete an Assessment, Problem List, and Treatment Plan (or Treatment Plan Progress Note for targeted case management and peer support services) for each member receiving Program services in accordance with CalAIM requirements, applicable Behavioral Wellness Policies and Procedures, and the Behavioral Wellness Clinical Documentation Manual available at <https://www.countyofsb.org/behavioral-wellness/asset.c/5670>.

## **18. SIGNATURE PAD.**

- A. County to Provide Signature Pads.** County shall purchase one signature pad for the duration of the term of this Agreement for each physical address identified for Contractor in this Agreement. The signature pad will be compatible with Behavioral Wellness' Electronic Health Record (EHR), SmartCare. Contractor shall use the electronic versions of the Member Assessment, Member Plan, and Medication Consent Form to ensure a complete member medical record exists within SmartCare. Contractor shall obtain member signatures on these electronic documents using the signature pads.

Upon initial purchase, County shall install the signature pads on Contractor's hardware and provide a tutorial for Contractor's staff. Contractor shall be responsible for ongoing training of new staff.

- B. Contractor Replacement Due to Loss or Damage.** In the event that Contractor damages or loses the signature pads provided by County, Contractor shall be responsible for purchasing a new SmartCare compatible signature pad as a replacement from the County inventory at the current cost of replacement. The expected life of a signature pad is a minimum of three years.

**19. ADDITIONAL STATE CONTRACT COMPLIANCE REQUIREMENTS.**

- A.** County and the California Department of Health Care Services (DHCS) may fully or partially revoke this Agreement or the delegated activities or obligations, or apply other remedies permitted by federal or state law when County or DHCS determine that Contractor has not performed satisfactorily (42 C.F.R. § 438.230(c)(2).)
- B.** Contractor shall comply with any applicable provision identified in the Integrated Intergovernmental Agreement as applying to subcontractors or contracted providers.

**C. Generative Artificial Intelligence Technology Uses and Reporting.**

1. Contractor certifies its services or work under this Agreement does not include or make available any Generative Artificial Intelligence (GenAI) technology including GenAI from third parties or subcontractors.
2. During the Term of this Agreement, Contractor shall notify County in writing if its services or any work under this Agreement includes or makes available any previously unreported GenAI technology including GenAI from third parties or subcontractors. Contractor shall immediately complete the GenAI Reporting and Factsheet (STD 1000), available at STD 1000 Generative Artificial Intelligence (GenAI) Disclosure & Factsheet and submit the completed form to County to report the use of any new or previously unreported GenAI technology.
3. At the direction of County, Contractor shall discontinue the use of any new or previously undisclosed GenAI technology that materially impacts functionality, risk, or contract performance until use of such GenAI technology has been approved by County.
4. Contractor acknowledges and agrees that its failure to disclose GenAI technology use and submit the GenAI Reporting and Factsheet (STD 1000) to County may be considered a material breach of this Agreement by County or the California Department of Health Care Services (DHCS), and County or DHCS may consider the failure to disclose GenAI technology use and/or submit the GenAI Reporting and Factsheet (STD 1000) to County as grounds for the immediate termination of this Agreement. County and DHCS are entitled to seek all the relief to which they may be entitled as a result of such non-disclosure.
5. Contractor shall include subsection C (Generative Artificial Intelligence Technology Uses and Reporting) of this Section (Additional State Contract Compliance Requirements) in all subcontracts to perform work under this Agreement.

**D. Prohibited Affiliations.**

1. Contractor shall not knowingly have any prohibited type of relationship, as described in subsection D.3 of this Section 19 (Additional State Contract Compliance Requirements), with individuals or entities listed in subsection D.1.i and ii. Contractor shall further require that its subcontractors and contracted providers abide by this requirement.
  - i. An individual or entity that is debarred, suspended, or otherwise excluded from participating in procurement activities under the Federal Acquisition Regulation or from participating in non-procurement activities under regulations issued under Executive Order No. 12549 or under guidelines implementing Executive Order No. 12549. (42 C.F.R. § 438.610(a)(1).)
  - ii. An individual or entity who is an affiliate, as defined in the Federal Acquisition Regulation at 48 C.F.R. section 2.101, of a person described in subsection D.1.i. (42 C.F.R. § 438.610(a)(2).)
2. Contractor, its contracted providers, and its subcontractors shall not have a prohibited type of relationship by employing or contracting with providers or other individuals and entities excluded from participation in federal health care programs (as defined 42 United States Code [U.S.C.] § 1320a-7b(f)) pursuant to 42 U.S.C. sections 1320a-7, 1320a-7a, 1320c-5, and 1395u(j)(2). (42 C.F.R. §§ 438.214(d)(1), 438.610(b).)
3. Contractor, its contracted providers, and its subcontractors shall not have the types of relationships prohibited by this subsection D.3 with an excluded, debarred, or suspended individual, provider, or entity.
  - i. A director, officer, agent, managing employee, or partner of Contractor. (42 U.S.C. § 1320a-7(b)(8)(A)(ii); 42 C.F.R. § 438.610(c)(1).)
  - ii. A subcontractor of Contractor, as governed by 42 C.F.R. section 438.230. (42 C.F.R. § 438.610(c)(2).)
  - iii. A person with beneficial ownership of five percent or more of Contractor's equity. (42 C.F.R. § 438.610(c)(3).)
  - iv. A network provider or person with an employment, consulting, or other arrangement with Contractor for the provision of items and services that are significant and material to Contractor's obligations under this Agreement. (42 C.F.R. § 438.610(c)(4).)
4. Contractor, its contracted providers, and its subcontractors shall not employ or contract with, directly or indirectly, individuals or entities described in subsections D.1 and D.2 for the furnishing of health care, utilization review, medical social work, administrative services, management, or provision of medical services (or the establishment of policies or provision of operational support for such services). (42 C.F.R. § 438.808(b)(3).)
5. Contractor, its contracted providers, and its subcontractors shall not contract directly or indirectly with an individual convicted of crimes described in section 1128(b)(8)(B) of the Social Security Act. (42 C.F.R. § 438.808(b)(2).)
6. Contractor shall provide to County written disclosure of any prohibited affiliation identified by Contractor, its contracted providers, or its subcontractors. (42 C.F.R. § 438.608(c)(1).)

**E. Disclosures.**

1. **Disclosures of 5% or More Ownership Interest.** Contractor shall provide to County written disclosure of information on ownership and control of Contractor, its contracted providers, and its subcontractors (hereafter Disclosing Entity) as described in 42 C.F.R. section 455.104 and this subsection E.1 of this Section 19 (Additional State Contract Compliance Requirements). Contractor shall provide disclosures to County on a form provided by County upon submitting the provider application, before entering into a provider agreement with County, before renewing a provider agreement with County, annually and upon request during the re-validation of enrollment process under 42 C.F.R. section 455.104, and within 35 days after any change in ownership of Disclosing Entity. The information included in the disclosures shall be current as of the time submitted. The following information must be disclosed:
  - i. The name and address of any person (individual or corporation) with an ownership or control interest in Disclosing Entity. The address for corporate entities shall include, as applicable, a primary business address, every business location, and a P.O. Box address.
  - ii. Date of birth and Social Security Number (in the case of an individual).
  - iii. Other tax identification number (in the case of a corporation) with an ownership or control interest in Disclosing Entity or in any subcontractor in which Disclosing Entity has a five percent or more interest.
  - iv. Whether the person (individual or corporation) with an ownership or control interest in Disclosing Entity is related to another person with ownership or control interest in Disclosing Entity as a spouse, parent, child, or sibling; or whether the person (individual or corporation) with an ownership or control interest in any subcontractor in which Disclosing Entity has a five percent or more interest is related to another person with ownership or control interest in Disclosing Entity as a spouse, parent, child, or sibling.
  - v. The name of any other disclosing entity in which an owner of Disclosing Entity has an ownership or control interest.
  - vi. The name, address, date of birth, and Social Security Number of any managing employee of Disclosing Entity.
2. **Disclosures Related to Business Transactions.** Contractor shall submit the following disclosures and updated disclosures related to certain business transactions to County, the California Department of Health Care Services (DHCS), or the United States Department of Health and Human Services (HHS) within 35 days upon request. The following information must be disclosed:
  - i. The ownership of any subcontractor with whom Contractor has had business transactions totaling more than \$25,000 during the 12-month period ending on the date of the request; and
  - ii. Any significant business transactions between Contractor and any wholly owned supplier, or between Contractor and any subcontractor, during the 5-year period ending on the date of the request.

3. **Disclosures Related to Persons Convicted of Crimes.** Contractor certifies that it has submitted the following disclosures related to persons convicted of crimes to County before entering into this Agreement. Contractor shall submit the following disclosures to County or DHCS at any time upon request. The following information must be disclosed:
  - i. The identity of any person who has an ownership or control interest in or is a managing employee of Contractor who has been convicted of a crime related to federal health care programs. (42 C.F.R. § 455.106(a)(1) and (2).)
  - ii. The identity of any person who is an agent of Contractor who has been convicted of a crime related to federal health care programs. (42 C.F.R. § 455.106(a)(1) and (2).) For this purpose, the word “agent” has the meaning described in 42 C.F.R. section 455.101.
4. **Remedies.** If Contractor fails to comply with disclosure requirements, remedies available to County and DHCS include:
  - i. Federal Financial Participation (FFP) is not available in expenditures for services furnished by Contractor that fail to comply with a request made by County, DHCS, or the Secretary of HHS under subsections E.1 and E.2 of this Section 19 (Additional State Contract Compliance Requirements) or under 42 C.F.R. section 420.205 (Disclosure by providers and part B suppliers of business transaction information). FFP will be denied in expenditures for services furnished during the period beginning on the day following the date the information was due to County, DHCS, or the Secretary of HHS and ending on the day before the date on which the information was supplied. (42 C.F.R. §§ 455.104(f), 455.105(c).)
  - ii. Contractor shall reimburse those Medi-Cal funds received during any period for which material information was not reported, or reported falsely, to County or DHCS. (Welf. & Inst. Code, § 14043.3.)

#### **F. Records, Audit, and Review.**

1. Contractor shall maintain and preserve books and records and documents of any type whatsoever, whether physical or electronic, pertaining to Medi-Cal enrollees, Medi-Cal-related activities, or any aspect of services and activities performed, or determinations of amounts payable, under this Agreement including, but not limited to: member grievance and appeal records; the data, information, and documentation specified in (or that demonstrates compliance with) 42 C.F.R. sections 438.604, 438.606, 438.608, and 438.610; working papers; reports; financial records and documents of account; member records; prescription files; and subcontracts (hereafter Records).
2. Contractor shall make available all of its premises, physical facilities, equipment, books, records, documents, contracts, computers, electronic systems, or any employee pertaining to Medi-Cal enrollees, Medi-Cal-related activities, or any aspect of services and activities performed, or determinations of amounts payable, under this Agreement at any time for auditing, evaluation, inspection, examination, or copying by County, the California Department of Health Care Services (DHCS), the California Department of General Services, the California State Auditor, the

United States Centers for Medicare and Medicaid Services (CMS), the United States Department of Health and Human Services Office of Inspector General (HHS Inspector General), the United States Comptroller General, or other authorized federal or state agencies, or their designees (hereafter Audit). The right to Audit includes, but is not limited to, the right to Audit if County, DHCS, CMS, or the HHS Inspector General determines that there is a reasonable possibility of fraud or similar risk.

3. Both the requirement to maintain and preserve Records under subsection F.1 of this Section (Additional State Contract Compliance Requirements) and the right to Audit under subsection F.2 shall exist for 10 years from the term end date of this Agreement or as required by subsections i through iii below, whichever is later:
  - i. Applicable statute,
  - ii. Any other provision of this Agreement, or
  - iii. If any litigation, claim, negotiation, audit, or other action pertaining to Medi-Cal enrollees, Medi-Cal-related activities, or any aspect of services and activities performed, or determinations of amounts payable, under this Agreement has been started before the expiration of the 10-year period, until completion of the action and resolution of all issues which arise from it.
4. Contractor shall include subsection F (Records, Audit, and Review) of this Section (Additional State Contract Compliance Requirements) in all subcontracts to perform work under this Agreement.

**G. Conflict of Interest.**

1. Contractor shall comply with the conflict of interest safeguards described in 42 C.F.R. section 438.58 and the prohibitions described in section 1902(a)(4)(C) of the Social Security Act (42 C.F.R. § 438.3(f)(2)) and the California Political Reform Act of 1974 (Gov. Code, § 81000 et seq.), Public Contract Code section 10365.5, and Government Code section 1090.
2. Contractor acknowledges and agrees that County and the California Department of Health Care Services (DHCS) intends to avoid any real or apparent conflict of interest on the part of Contractor, Contractor's subcontractor, or employees, officers, and directors of Contractor or subcontractor. Thus, County and DHCS reserve the right to determine, at their sole discretion, whether any information, assertion, or claim received from any source indicates the existence of a real or apparent conflict of interest, and if a conflict is found to exist, to require Contractor to submit additional information or a plan for resolving the conflict, subject to County and DHCS review and prior approval.
3. Conflicts of interest include:
  - i. An instance where Contractor or subcontractor, or any employee, officer, or director of Contractor or subcontractor, has an interest, financial or otherwise, whereby the use or disclosure of information obtained while performing services under this Agreement would allow for private or personal benefit or for any purpose that is contrary to the goals and objectives of this Agreement.
  - ii. An instance where Contractor's or subcontractor's employees, officers, or directors use their position for purposes that are, or give the appearance of



being, motivated by a desire for private gain for themselves or others, such as those with whom they have family, business, or other ties.

4. If County is or becomes aware of a known or suspected conflict of interest, County will notify Contractor of the known or suspected conflict, and Contractor will have five working days from the date of notification to provide complete information regarding the suspected conflict to County. County may, at its discretion, authorize an extension of the timeline indicated herein in writing. If a conflict of interest is determined to exist by County or DHCS and cannot be resolved to the satisfaction of County or DHCS, the conflict may be grounds for terminating this Agreement.
5. Contractor shall include subsection G (Conflict of Interest) of this Section (Additional State Contract Compliance Requirements) in all subcontracts to perform work under this Agreement.

#### **H. Nondiscrimination and Compliance (GTC 02/2025).**

1. During the performance of this Agreement, Contractor and its subcontractors shall not deny this Agreement's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status, nor shall they discriminate unlawfully against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status. Contractor shall ensure that the evaluation and treatment of employees and applicants for employment are free of such discrimination. Contractor and subcontractors shall comply with the provisions of the California Fair Employment and Housing Act (Gov. Code, § 12900 et seq.), the regulations promulgated thereunder (2 C.C.R. § 11000 et seq.), the provisions of article 9.5, chapter 1, part 1, division 3, title 2 of the Government Code (Gov. Code, §§ 11135–11139.5), and the regulations or standards adopted by the California Department of Health Care Services (DHCS) to implement such article. Contractor shall permit access by representatives of the California Civil Rights Department (CRD) and DHCS upon reasonable notice at any time during normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as CRD or DHCS shall require to ascertain compliance with this provision. Contractor and subcontractors shall give written notice of their obligations under this provision to labor organizations with which they have a collective bargaining or other agreement. (See Cal. Code Regs., tit. 2, § 11105.)
2. Contractor shall include subsection H (Nondiscrimination and Compliance (GTC 02/2025)) of this Section (Additional State Contract Compliance Requirements) in all subcontracts to perform work under the Agreement.

#### **I. Nondiscrimination and Compliance.**

1. Consistent with the requirements of applicable federal law, such as 42 C.F.R. section 438.3(d)(3) and (4), and state law, Contractor shall not engage in any unlawful discriminatory practices in the admission of members, assignments of

accommodations, treatment, evaluation, employment of personnel, or in any other respect on any ground protected under federal or state law including sex, race, color, gender, gender identity, religion, marital status, national origin, ethnic group identification, ancestry, age, sexual orientation, medical condition, genetic information, or mental or physical handicap or disability. (42 U.S.C. § 18116; 42 C.F.R. § 438.3(d)(3)–(4); 45 C.F.R. § 92.2; Gov. Code, § 11135(a); Welf. & Inst. Code, § 14727(a)(3).)

2. Contractor shall comply with the provisions of Section 504 of the Rehabilitation Act of 1973, as amended (codified at 29 U.S.C. § 794), prohibiting exclusion, denial of benefits, and discrimination against qualified individuals with a disability in any federally assisted programs or activities, and shall comply with the implementing regulations in 45 C.F.R. parts 84 and 85, as applicable.
3. Contractor shall include subsection I (Nondiscrimination and Compliance) of this Section (Additional State Contract Compliance Requirements) in all subcontracts to perform work under this Agreement.
4. Noncompliance with the nondiscrimination requirements in subsection I (Nondiscrimination and Compliance) of this Section 19 (Additional State Contract Compliance Requirements) shall constitute grounds for County or the California Department of Health Care Services to withhold payments under this Agreement.

#### **J. Subcontract Requirements.**

1. Contractor is hereby advised of its obligations pursuant to the following numbered provisions of Integrated Intergovernmental Agreement, Exhibit D (Special Terms and Conditions): Sections 1 Federal Equal Employment Opportunity Requirements; 2 Travel and Per Diem Reimbursement; 3 Procurement Rules; 4 Equipment Ownership/Inventory/Disposition; 5 Subcontract Requirements; 6 Income Restrictions; 7 Audit and Record Retention; 8 Site Inspection; 9 Federal Contract Funds; 11 Intellectual Property Rights; 12 Air or Water Pollution Requirements; 13 Prior Approval of Training Seminars, Workshops, or Conferences; 14 Confidentiality of Information; 15 Documents, Publications, and Written Reports; 18 Human Subjects Use Requirements; 19 Debarment and Suspension Certification; 20 Smoke-Free Workplace Certification; 21 Drug Free Workplace Act of 1988; 23 Payment Withhold; 26 Officials Not to Benefit; 27 Prohibited Use of State Funds for Software; 34 Suspension or Stop Work Notification; 35 Public Communications; and 37 Compliance with Statutes and Regulations; and 38 Lobbying Restrictions and Disclosure Certification.

#### **K. Federal Equal Employment Opportunity Requirements.**

1. Contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era. Contractor will take affirmative action to ensure that qualified applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, national origin, physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era. Such action will include, but not be limited to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination;

rates of pay or other forms of compensation; and career development opportunities and selection for training, including apprenticeship. Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the federal government or the California Department of Health Care Services (DHCS), setting forth the provisions of the Equal Opportunity clause, section 503 of the Rehabilitation Act of 1973 and the affirmative action clause required by the Vietnam Era Veterans' Readjustment Assistance Act of 1974 (38 U.S.C. § 4212). Such notices will state Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified applicants without discrimination based on their race, color, religion, sex, national origin physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era and the rights of applicants and employees.

2. Contractor will, in all solicitations or advancements for employees placed by or on behalf of Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era.
3. Contractor will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding a notice, to be provided by the federal government or the State, advising the labor union or workers' representative of the Contractor's commitments under the provisions herein and will post copies of the notice in conspicuous places available to employees and applicants for employment.
4. Contractor will comply with all provisions of and furnish all information and reports required by section 503 of the Rehabilitation Act of 1973, as amended, the Vietnam Era Veterans' Readjustment Assistance Act of 1974 (38 U.S.C. § 4212) and of Federal Executive Order No. 11246, as amended, including by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and as supplemented by the regulation at 41 C.F.R. part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and of the rules, regulations, and relevant orders of the Secretary of Labor.
5. Contractor will furnish all information and reports required by Federal Executive Order No. 11246, as amended, including by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and as supplemented by the regulation at 41 C.F.R. part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and the Rehabilitation Act of 1973, and by the rules, regulations, and orders of the United States Secretary of Labor, or pursuant thereto, and will permit access to its books, records, and accounts by the State and its designated representatives and the U.S. Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
6. In the event of Contractor's noncompliance with the requirements of the provisions herein or with any federal rules, regulations, or orders which are referenced herein, this Agreement may be canceled, terminated, or suspended in whole or in part, and Contractor may be declared ineligible for further federal and state contracts in

accordance with procedures authorized in Federal Executive Order No. 11246, as amended, and such other sanctions may be imposed and remedies invoked as provided in Federal Executive Order No. 11246, as amended, including by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and as supplemented by regulation at 41 C.F.R. part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or by rule, regulation, or order of the U.S. Secretary of Labor, or as otherwise provided by law.

7. Contractor will include subsection K (Federal Equal Employment Opportunity Requirements) of this Section (Additional State Contract Compliance Requirements) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Federal Executive Order No. 11246, as amended, including by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and as supplemented by the regulation at 41 C.F.R. part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or section 503 of the Rehabilitation Act of 1973 (38 U.S.C. § 4212) or of the Vietnam Era Veteran's Readjustment Assistance Act so that such provisions will be binding upon each subcontractor or vendor. Contractor will take such action with respect to any subcontract or purchase order as the Director of the Office of Federal Contract Compliance Programs or DHCS may direct as a means of enforcing such provisions including sanctions for noncompliance provided, however, that in the event Contractor becomes involved in, or is threatened with litigation by a subcontractor or vendor as a result of such direction by DHCS, Contractor may request in writing to DHCS, who, in turn, may request the United States to enter into such litigation to protect the interests of the State and of the United States.

#### **L. Debarment and Suspension Certification.**

1. Contractor agrees to comply with applicable federal suspension and debarment regulations including, but not limited to, 2 C.F.R. part 180 and 2 C.F.R. part 376.
2. Contractor certifies to the best of its knowledge and belief that it and its principals:
  - i. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency;
  - ii. Have not within a three-year period preceding this Agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) violation of federal or state antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, obstruction of justice, or the commission of any other offense indicating a lack of business integrity or business honesty that seriously affects its business honesty;
  - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in subsection 2.ii, subsection L (Debarment and

Suspension Certification) of this Section (Additional State Contract Compliance Requirements);

- iv. Have not within a three-year period preceding this Agreement had one or more public transactions (federal, state, or local) terminated for cause or default; and
  - v. Have not within a three-year period preceding this Agreement engaged in any of the violations listed under 2 C.F.R. part 180, subpart C, as supplemented by 2 C.F.R. part 376.
3. Contractor shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under federal regulations (i.e., 48 C.F.R. part 9, subpart 9.4), debarred, suspended, declared ineligible, or voluntarily excluded from participation in such transaction unless authorized by the California Department of Health Care Services (DHCS).
  4. The terms and definitions herein have the meanings set out in 2 C.F.R. part 180, as supplemented by 2 C.F.R. part 376.
  5. Contractor will include subsection L (Debarment and Suspension Certification) of this Section (Additional State Contract Compliance Requirements) in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
  6. If Contractor knowingly violates this certification, in addition to other remedies available to the federal government, County or DHCS may terminate this Agreement for cause or default.

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**EXHIBIT A-2**  
**STATEMENT OF WORK: MHS**  
**Pathways to Well-Being**

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- 1. PROGRAM SUMMARY.** The Pathways to Well-Being Program (hereafter “the Program”) is an outpatient model of mental health assessment (to determine class/subclass) and mental health service delivery for foster children and youth who meet class or subclass criteria (hereafter “member”) and their foster family to solve problems in the home environment. Program staff demonstrate and implement evidence-based practices with the member and foster family as a means to improve the member’s behavior and provide structure and routine to the foster home environment. The Program offers individualized, and if clinically indicated, family and individual counseling services to members and their foster families. Program staff seek to develop, support, and empower family units by identifying strengths and needs and teaching problem-solving skills. They also help members gain emotional regulation and decrease negative behaviors by helping them to address their trauma histories. Services are aimed at preventing further incidents of behavioral, emotional, or social disturbance that may lead to removal from the foster home or out-of-county placement. Program services are designed for children and youth and their foster families.

The Program shall serve the Lompoc and Santa Barbara areas and shall be headquartered at the location(s) specified below. Changes to the service location do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

A. 1236 Chapala St., Santa Barbara, California; and

B. 110 S. C St., Lompoc, California.

**2. PROGRAM GOALS.**

- A. Keep families together by reducing crisis in the home environment;
- B. Prevent out-of-county placement of the member;
- C. Promote reunification of a child to their home;
- D. Reduce “at-risk” behavior such a self-injurious behavior, criminal activity, and substance use;
- E. Reduce hospitalizations;
- F. Stabilize the member and family who reside in residential placement through the foster care system; and
- G. Improve the family’s level of functioning and the quality of life for the member through the use of various educational, behavioral, and clinical interventions.

3. **SERVICES.** Contractor shall provide assessments of members, who are ages 0-21 years, to determine class and subclass for the Integrated Core Practice Model, coordinate program services with County and CWS, provide tracking data for class and subclass youth on a quarterly basis. Contractor shall develop, support, and empower foster family units by identifying existing strengths and areas of need, and teaching problem solving skills.

**A.** Contractor shall provide the following services, as needed to Program members:

1. **Assessment.** “Assessment” means a service activity designed to collect information and evaluate the current status of a member’s mental, emotional, or behavioral health to determine whether Rehabilitative Mental Health Services are medically necessary and to recommend or update a course of treatment for that member. Assessments shall be conducted and documented in accordance with applicable state and federal statutes, regulations, and standards. (State Plan, Supplement 3 to Attachment 3.1-A, page 1 [TN 22-0023].)
  - i. **Child and Adolescent Needs & Strengths and Adult Needs and Strengths Assessment.** The Child and Adolescent Needs and Strengths (CANS) is a structured assessment for identifying youth and family actionable needs and useful strengths. It provides a framework for developing and communicating about a shared vision and uses youth and family information to inform planning, support decisions, and monitor outcomes. The Adult Needs and Strength Assessment (ANSA) is a multi-purpose tool developed for adult’s mental health services to support care planning.
    - a. Contractor shall complete the CANS for each member, age zero and up to 20 years and the ANSA for each member age 21 years or older.
    - b. The CANS and ANSA shall be administered by a certified provider and through a collaborative process involving at minimum the member and caregiver (as applicable).
    - c. The CANS and ANSA shall be completed at intake, every six months after the first administration, and at discharge.
    - d. The CANS and ANSA shall reflect member improvement in three or more of the following domains: functioning, school, behavioral/emotional, strength behavior, risk behavior, and caregiver needs and strengths (the last of which is applicable to CANS only).
    - e. For members involved with child-services agencies, including Santa Barbara County Child Welfare Services (CWS) and Probation, Contractor shall provide a copy of the CANS to the child-serving agencies upon completion of each CANS with a valid, written authorization or release of information.
  - ii. **Pediatric Symptom Checklist.** The Pediatric Symptom Checklist (PSC-35) is a psychosocial screening tool designed to facilitate the recognition of cognitive, emotional, and behavioral problems so that appropriate interventions can be initiated as early as possible.
    - a. Contractor shall require a parent or caregiver to complete the PSC-35 for their children, age three years and up to 18 years.

- b. The PSC-35 shall be completed at intake, every six months following the first administration, and at discharge.
2. **Collateral.** “Collateral” means a service activity to a significant support person(s) in a member's life for the purpose of meeting the needs of the member in terms of achieving the goals of the member’s member plan. Collateral may include, but is not limited to, consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the member, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The member may or may not be present for this service activity. (Cal. Code of Regs., tit. 9, § 1810.206.)
  - i. **Significant Support Person.** “Significant support person” means a person(s), in the opinion of the member or the person providing services, who has or could have a significant role in the successful outcome of treatment including, but not limited to, the parents or legal guardian of a member who is a minor, the legal representative of a member who is not a minor, a person living in the same household as the member, the member’s spouse, and relatives of the member. (Cal. Code of Regs., tit., § 1810.246.1.)
3. **Crisis Intervention.** “Crisis Intervention” is an unplanned, expedited service to or on behalf of a member to address a condition that requires more timely response than a regularly scheduled visit. Crisis intervention is an emergency response service enabling a member to cope with a crisis, while assisting the member in regaining their status as a functioning community member. The goal of crisis intervention is to stabilize an immediate crisis within a community or clinical treatment setting. It may include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. This service includes one or more of the following service components: assessment, therapy, and referral and linkages. Crisis Intervention services may either be face-to-face or by telephone or telehealth and may be provided in a clinic setting or anywhere in the community. (State Plan, Supplement 3 to Attachment 3.1-A, page 2d [TN 22-0023].)
4. **Intensive Care Coordination (ICC).** “Intensive Care Coordination (ICC)” is a targeted case management service that facilitates assessment of, care planning for and coordination of services to members under the age of 21 years who are eligible for the full scope of Medi-Cal services and who meet medical criteria to access specialty mental health services. ICC service components include: assessing; service planning and implementation; monitoring and adapting; and transition within the guidelines of the Katie A. Core Practice Model available at <https://content.civicplus.com/api/assets/469e35b8-7820-486b-8419-c2d048e20b99?cache=1800>. ICC services are expanded to all Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) members that qualify for IHBS/ICC. ICC services are provided through the principles of the Integrated Core Practice Model, including the establishment of the Child and Family Team (CFT), to ensure facilitation of a collaborative relationship among a child, their family, and involved child-serving systems. The CFT is comprised of, as appropriate, both formal supports, such as the care coordinator, providers, case managers from child-serving agencies, and natural supports, such as family members, neighbors, friends,



and clergy and all ancillary individuals who work together to develop and implement the member plan and are responsible for supporting the child and family in attaining their goals. ICC also provides an ICC coordinator who:

- i. Ensures that medically necessary services are accessed, coordinated, and delivered in a strength-based, individualized, family/child driven and culturally and linguistically competent manner and that services and supports are guided by the needs of the child;
- ii. Facilitates a collaborative relationship among the child, their family, and systems involved in providing services to the child;
- iii. Supports the parent/caregiver in meeting their child's needs;
- iv. Helps establish the CFT and provides ongoing support;
- v. Organizes and matches care across providers and child-serving systems to allow the child to be served in their community; and
- vi. Facilitates a CFT meeting that supports the process of the Integrated Core Practice Model. It includes but is not limited to an initial identification of the needs and strengths of the child or youth and family through initial engagement activities; ensuring a comprehensive shared plan is developed and implemented that builds on strengths and identifies intervention necessary to address their needs. The facilitator may also manage the logistics of the meeting, including scheduling, ensuring participation of all team members, accountability for tasks and activities, between meetings, and high levels of communication between members as requires. Local county practices may differ, but the important point of facilitation is to ensure that CFT meetings are productive and inclusive.
  - a. For children and youth receiving Specialty Mental Health Services (SMHS) that require a CFT, the CFT should reassess the needs of the child or youth, and adapt a plan to address changing needs in a timely manner, but not less than every ninety (90) days. Urgent issues, such as safety concerns, risk of placement disruption, and/or ineffective supportive services, should be addressed immediately.

5. **Intensive Home-Based Services (IHBS)**. “Intensive Home-Based Services (IHBS)” are individualized, strength-based interventions designed to ameliorate mental health conditions that interfere with a child’s functioning and are aimed at helping the member build skills necessary for successful functioning in the home and community and improving the member’s family’s ability to help the member successfully function in the home and community. IHBS services are not traditional therapeutic services and are provided according to an individualized treatment plan developed in accordance with the Integrated Core Practice Model (ICPM) and within the guidelines of the Katie A. Core Practice Model. The treatment plan is by the Child and Family Team in coordination with the family’s overall service plan which may include IHBS. Service activities may include, but are not limited to, assessment, treatment plan, therapy, and rehabilitation and include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. IHBS is provided to members under the age of 21 years who are eligible for the full scope of Medi-Cal services and who

meet the access criteria for specialty mental health services. IHBS services are expanded to all EPSDT members that qualify for IHBS.

6. **Psychosocial Rehabilitation.** “Psychosocial Rehabilitation” means a recovery or resiliency focused service activity which addresses a mental health need. This service activity provides assistance in restoring, improving, and/or preserving a member’s functional, social, communication, or daily living skills to enhance self-sufficiency or self-regulation in multiple life domains relevant to the developmental age and needs of the member. Psychosocial rehabilitation assists the member in attaining or restoring skills which enhance community functioning including problem solving, organization of thoughts and materials, and verbalization of ideas and feelings. Psychosocial rehabilitation also includes support resources, and/or medication education. Psychosocial rehabilitation may be provided to a member or a group of members. (State Plan, Supplement 3 to Attachment 3.1-A, page 2a [TN 22- 0023].)
7. **Targeted Case Management.** “Targeted case management” is a service that assists a member in accessing needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services. The service activities may include, but are not limited to, communication, coordination and referral; monitoring service delivery to ensure member access to services and the service delivery system; monitoring of the member’s progress, placement services, and plan development. Targeted case management services may be face-to-face or by telephone with the member or significant support person(s) and may be provided anywhere in the community. Additionally, services may be provided by any person determined by the specialty mental health services program to be qualified to provide the service, consistent with the scope of practice and state law
8. **Therapy.** “Therapy” means a service activity that is a therapeutic intervention that focuses primarily on symptom reduction and restoration of functioning as a means to improve coping and adaptation and reduce functional impairments. Therapy may be delivered to a member or group of members and may include family therapy directed at improving the member’s functioning and at which the member is present. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)
9. **Therapeutic Behavioral Services (TBS).** “Therapeutic Behavioral Services (TBS)” are specialty mental health services covered as EPSDT. These services are intensive, individualized, short-term outpatient treatment interventions for members up to the age of 21 years. Services consist of one-to-one therapeutic contacts between a mental health provider and a member designed to help members and parents/caregivers manage specific behaviors using short-term measurable goals based on the member’s needs. Individuals receiving these services have serious emotional disturbances (SED), or are experiencing a stressful transition or life crisis and need additional short-term, specific support services to accomplish outcomes specified in the written treatment plan. The mental health provider is on-site and is immediately available to intervene for a specified period of time, up to 24 hours per day, depending on the needs of the member.
10. **Treatment Planning.** “Treatment Planning” means a service activity to develop or update a member’s course of treatment, documentation of the recommended course

of treatment, and monitoring a member's progress. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)

- B.** Contractor shall utilize a variety of effective evidence-based treatment modalities to provide intensive in-home interventions, which may include:
1. Assisting foster family members with stress management;
  2. Building communication skills;
  3. Teaching anger management skills;
  4. Teaching and modeling effective parenting skills;
  5. Working with biological parents and the members as needed to assist with reunification;
  6. Assisting foster families to develop links to community partners and encouraging and empowering families to use those resources. Examples may include clergy, family members, and friends;
  7. Developing and guiding parents in behavioral interventions;
  8. Using evidence-based practices to identify and reinforce appropriate family roles and relationships;
  9. Identifying communication patterns among family members and teaching family members appropriate response and coping mechanisms; and
  10. Utilize a recovery oriented, strength-based approach in delivering treatment services.
  11. If there is a treatment modality that is indicated the Contractor is unable to provide, Contractor shall staff-case with Community Treatment and Support (CTS).

#### **4. OPERATIONS.**

- A. Service Intensity.** Contractor shall provide at least one (1) face to face service every week to each member. Service levels shall be based upon individualized needs of the member and may be adjusted to prevent member's move to a higher level of care. Members needing a higher level of services (such as Intensive In-Home) shall be staffed and reviewed in the CTS meeting.
- B. Treatment Location.** The primary service location will be office-based or community locations best suited for each member's and foster family's needs (e.g., foster home, parks, and schools).
- C. Staff-to-Member Caseload Ratios.** The target staff-to-member ratio includes 1 to 20 [one (1.0) FTE direct service staff member per twenty (20) members].
- D. Hours of Operation and Staff Coverage.** Contractor shall operate a schedule that shall be flexible to accommodate the member and foster family and allow Contractor's staff to meet with the member in their treatment location Monday through Friday, with evening availability as needed, to meet the needs of the members. Contractor is not expected to provide availability twenty-four (24) hours per day, seven (7) days per week for crisis response.
- E. Authorization of Services.** For Intensive Home-Based Services (IHBS), Contractor shall request authorization by sending a referral to the Behavioral Wellness Regional

Manager. For Therapeutic Behavioral Services referrals, Contractor shall request authorization by sending a request to Behavioral Wellness' QCM Division.

**5. MEMBERS/PROGRAM CAPACITY.**

**A.** Contractor shall provide Program services described in Section 3 (Services) to children and youth (ages 0-21) who have a diagnosis of SED or are Medi-Cal beneficiaries diagnosed as needing specialty mental health services (as defined in BHIN 21-073); are residing in foster or residential placement; and are assessed at a high level of risk based on County's outcomes and level of care instrument, as directed by Behavioral Wellness and regardless if the member is served by Behavioral Wellness Children's Clinics. Services shall also be provided to each member's foster family.

1. County shall only reimburse Contractor for Program services provided to members who have an open case file (episode) entered by Contractor into BWell's Electronic Health Record(EHR) system.

**B.** The target census for services described in Section 3 (Services) is eighty (80) members with serious mental illness across all regions of Santa Barbara County. Contractor's caseload may fluctuate if members shift between this Pathways to Well-Being program and Contractor's Intensive In-Home program as described in Exhibit A-9. The combined total caseload served by this Pathways to Well-Being program (Exhibit A-2) and Contractor's Intensive In-Home program (Exhibit A-9) shall be a target of one hundred twenty-seven (127) members, annually. Member shifts between this Pathways to Well-being program and Contractor's intensive in-home program shall occur only after prior discussion with and permission by County.

**6. ADMISSION CRITERIA.** Members shall be foster children and youth who have a diagnosis of SED and/or Medi-Cal beneficiaries diagnosed as needing specialty mental health services, as described in C.C.R., Title 9, Chapter 11, commencing with section 1810.100 et seq., and assessed at a high level of risk based on County's outcomes and level of care instrument, as directed by Behavioral Wellness.

**7. REFERRALS.**

**A.** Contractor shall provide services to members for member referrals made by CWS .

**B.** Contractor shall respond to referrals and initiate services (Assessment to determine class) for those members who are admitted within three (3) business days.

**C.** Contractor shall not carry a waiting list and shall refer back to BWell any member for whom Contractor is unable to initiate service within the stated timelines above.

**D.** Members will meet medical necessity and will have mild to moderate mental health issues.

**8. DOCUMENTATION REQUIREMENTS.**

**A. Assessment.** Contractor shall offer services within ten (10) days of receipt of referral and shall complete an Assessment within sixty (60) days of receipt of referral the referral on all members who are not currently open to Behavioral Wellness.

**B. Behavioral Wellness Member Service Plan.** Upon review of the Assessment, the Contractor shall complete a Behavioral Wellness Treatment Plan for each member

receiving services. All Member Service Plans must be completed within sixty (60) days of the referral.

C. Contractor shall be responsible for developing and/or updating the Behavioral Wellness Treatment plan within ten (10) days of referral.

D. For members already open to Behavioral Wellness, Contractor shall have shared access to Behavioral Wellness' member file, and shall access the file for each member referred and treated, which shall contain the following items:

1. A copy of the County referral form.
2. A member face sheet, listing all of the County programs to which the member has been admitted over time and is currently admitted, including hospitalizations.
3. A copy of the most recent comprehensive assessment or assessment update.
4. A copy of the most recent medication record and health questionnaire.
5. A copy of the currently valid Member Service Plan, as described in Section 9 (Member Service Plan), indicating the goals and interventions for member enrollment in the Program.
6. Member's Medi-Cal Eligibility Database Sheet (MEDS).
7. Other documents as reasonably requested by County.

E. For Katie A. members in foster care, Contractor shall be required to submit a Katie A. report to CWS, with copy uploaded to the EHR, outlining findings and treatment recommendations following completion of assessment.

9. **MEMBER SERVICE PLAN.** Contractor shall complete a Member Service Plan for each member receiving Program services in accordance with the Behavioral Wellness Clinical Documentation Manual available at <http://cosb.countyofsb.org/behavioral-wellness>, for those members who are not shared with Behavioral Wellness.

10. **DISCHARGE PLAN.** Contractor staff shall work closely with each member to establish a written discharge plan that is responsive to the member's needs and personal goals. Contractor shall follow Behavioral Wellness policy and procedures regarding discharges in conformity with Behavioral Wellness's role as the Mental Health Plan.

11. **DISCHARGE CRITERIA.** The appropriateness for member discharge shall be determined on a case-by-case basis. Criteria for discharge include:

- A. The member's treatment goals have been sufficiently met;
- B. The Program staff determine that the member's treatment goals have not been met. The member and the member's family shall be provided with appropriate continuity of care and coordination of care through transition or referrals to more appropriate treatment;
- C. The determination that significant progress has been made towards reaching the member's treatment goals, even if not all goals have been met, such that the member no longer requires the intensive level of services provided by the Program;
- D. Member and the member's family relocates outside of Santa Barbara County; or
- E. The member or member's family request to terminate services.

12. **STAFFING REQUIREMENTS.** Contractor shall adhere to the Program staffing requirements, up to the maximum number of FTEs listed below. Staffing requirements are outlined in this Agreement based on the anticipated member census. It is expected that Contractor may need to adjust staffing levels in response to changes in member referrals

and overall census. Changes to these requirements do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

- A.** Program staffing is anticipated to include the following Full-Time Equivalent (FTE) positions:
- B.** 3.5 FTE Child and Family Specialists or Therapists, whom may also be utilized in other MHS funded Programs with the Agreement, shall be licensed mental health professionals or waived/registered professionals as defined in Exhibit A1 Section 2 Staffing J of this Agreement.

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**EXHIBIT A-3**  
**STATEMENT OF WORK: MHS**  
**Reserved**

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**EXHIBIT A-4**  
**STATEMENT OF WORK: MHS**  
**IN-HOME BEHAVIORAL SERVICES, INTENSIVE CARE COORDINATION, AND**  
**THERAPEUTIC BEHAVIORAL SERVICES COORDINATION & LINKAGE**  
**Reserved**

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**EXHIBIT A-5**  
**STATEMENT OF WORK: MHS**  
**Full Service Partnership (FSP)/Assisted Outpatient Treatment (AOT)**  
**Reserved**

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**EXHIBIT A-6**  
**STATEMENT OF WORK: MHS**  
**MANAGED CARE MENTAL HEALTH/BRIEF THERAPY**

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1. **PROGRAM SUMMARY.** Managed Care Mental Health/Brief Therapy (hereafter “the Program”) is designed to serve children and youth (hereafter “members”) who are Medi-Cal beneficiaries who meet medical necessity criteria as defined in BHIN 21-073, and their families. The Program shall provide members and their families with brief therapy, which is time limited and problem-focused and not intended to be long-term treatment. The Program shall serve the Santa Barbara area and shall be located at the location(s) specified below. Changes to the service location do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

The Program shall be located at:

1. 1236 Chapala Street, Santa Barbara, California.

2. **PROGRAM GOALS.**

- A. Maintain members in their homes and communities whenever possible;
- B. Support the member’s ability to adapt and cope with changing life circumstances;
- C. Define and refine family strengths, culture, vision, and needs;
- D. Prioritize family needs to create a plan that will help meet those needs; and
- E. Carry out the Member Service Plan, as described in Section 7 (Documentation Requirements), until the member no longer requires Program supports because the family’s vision has been achieved.

3. **SERVICES.** Contractor shall develop, support, and empower family units by identifying existing strengths and areas of need, and teaching problem solving skills. Contractor shall use a variety of effective evidence-based treatment modalities and other promising practices known to be effective with the population served. Contractor shall provide the following services, as needed to Program members:

- A. **Assessment/Reassessment.** “Assessment” means a service activity designed to collect information and evaluate the current status of a member’s mental, emotional, or behavioral health to determine whether Rehabilitative Mental Health Services are medically necessary and to recommend or update a course of treatment for that member. Assessments shall be conducted and documented in accordance with applicable state and federal statutes, regulations, and standards. (State Plan, Supplement 3 to Attachment 3.1-A, page 1 [TN 22-0023].) Assessment includes, but is not limited to, one or more of the following: mental health status determination, analysis of the member’s clinical history, analysis of relevant cultural issues and history, diagnosis, and use of mental health testing procedures.

1. **Child and Adolescent Needs & Strengths and Adult Needs and Strengths Assessment.** The Child and Adolescent Needs and Strengths (CANS) is a

structured assessment for identifying youth and family actionable needs and useful strengths. It provides a framework for developing and communicating about a shared vision and uses youth and family information to inform planning, support decisions, and monitor outcomes. The Adult Needs and Strength Assessment (ANSA) is a multi-purpose tool developed for adult's mental health services to support care planning.

- i. Contractor shall complete the CANS for each member, age zero and up to 21 years and the ANSA for each member age 21 years or older.
- ii. The CANS and ANSA shall be administered by a certified provider and through a collaborative process involving at minimum the member and caregiver (as applicable). The CANS and ANSA shall be completed at intake, every six months after the first administration, and at discharge.
- iii. The CANS and ANSA shall reflect member improvement in three or more of the following domains: functioning, school, behavioral/emotional, strength behavior, risk behavior, and caregiver needs and strengths (the last of which is applicable to CANS only).
- iv. For members involved with child-services agencies, including Santa Barbara County Child Welfare Services and Probation, Contractor shall provide a copy of the CANS to the child-serving agencies upon completion of each CANS with a valid, written authorization or release of information.

2. **Pediatric Symptom Checklist.** The Pediatric Symptom Checklist (PSC-35) is a psychosocial screening tool designed to facilitate the recognition of cognitive, emotional, and behavioral problems so that appropriate interventions can be initiated as early as possible.

- i. Contractor shall require a parent or caregiver to complete the PSC-35 for their children, age three years and up to 18 years.
- ii. The PSC-35 shall be completed at intake, every six months following the first administration, and at discharge.

**B. Collateral.** "Collateral" means a service activity to a significant support person(s) in a member's life for the purpose of meeting the needs of the member in terms of achieving the goals of the member's member plan. Collateral may include, but is not limited to, consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the member, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The member may or may not be present for this service activity. (Cal. Code of Regs., tit. 9, § 1810.206.)

1. **Significant Support Person.** "Significant support person" means a person(s), in the opinion of the member or the person providing services, who has or could have a significant role in the successful outcome of treatment including, but not limited to, the parents or legal guardian of a member who is a minor, the legal representative of a member who is not a minor, a person living in the same household as the member, the member's spouse, and relatives of the member. (Cal. Code of Regs., tit., § 1810.246.1.)

- C. Crisis Intervention.** “Crisis Intervention” is an unplanned, expedited service to or on behalf of a member to address a condition that requires more timely response than a regularly scheduled visit. Crisis intervention is an emergency response service enabling a member to cope with a crisis, while assisting the member in regaining their status as a functioning community member. The goal of crisis intervention is to stabilize an immediate crisis within a community or clinical treatment setting. It may include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. This service includes one or more of the following service components: assessment, therapy, and referral and linkages. Crisis Intervention services may either be face-to-face or by telephone or telehealth and may be provided in a clinic setting or anywhere in the community. (State Plan, Supplement 3 to Attachment 3.1-A, page 2d [TN 22-0023].)
- D. Psychosocial Rehabilitation.** “Psychosocial Rehabilitation” means a recovery or resiliency focused service activity which addresses a mental health need. This service activity provides assistance in restoring, improving, and/or preserving a member’s functional, social, communication, or daily living skills to enhance self-sufficiency or self-regulation in multiple life domains relevant to the developmental age and needs of the member. Psychosocial rehabilitation also includes support resources, and/or medication education. Psychosocial rehabilitation may be provided to a member or a group of members. (State Plan, Supplement 3 to Attachment 3.1-A, page 2a [TN 22-0023].)
- E. Targeted Case Management.** “Targeted case management” is a service that assists a member in accessing needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services. The service activities may include, but are not limited to, communication, coordination and referral; monitoring service delivery to ensure member access to services and the service delivery system; monitoring of the member’s progress, placement services, and plan development. Targeted case management services may be face-to-face or by telephone with the member or significant support person(s) and may be provided anywhere in the community. Additionally, services may be provided by any person determined by the specialty mental health services program to be qualified to provide the service, consistent with the scope of practice and state law.
- F. Therapy.** “Therapy” means a service activity that is a therapeutic intervention that focuses primarily on symptom reduction and restoration of functioning as a means to improve coping and adaptation and reduce functional impairments. Therapeutic intervention includes the application of cognitive, affective, and verbal or nonverbal strategies based on the principles of development, wellness, adjustment to impairment, recovery, and resiliency to assist a member in acquiring greater personal, interpersonal, and community functioning or to modify feelings, thought processes, conditions, attitudes, or behaviors which are emotionally, intellectually, or socially ineffective. These interventions and techniques are specifically implemented in the context of a professional clinical relationship. Therapy may be delivered to a member or group of members and may include family therapy directed at improving the member's functioning and at which the member is present. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)
- G. Treatment Planning.** “Treatment Planning” means a service activity to develop or update a member’s course of treatment, documentation of the recommended course of

treatment, and monitoring a member's progress. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)

**4. OPERATIONS.**

**A. Service Intensity.**

1. Contractor will enter an Assessment into the BWell Electronic Health Record (EHR) system that clearly exhibits eligibility criteria being met for specialty mental health services within (ten) 10 business days of intake.
2. In no event shall more than thirty (30) total sessions be provided for any one member; the length of treatment in the Program shall not exceed six (6) months, unless otherwise authorized by the Behavioral Wellness QCM Division.

**B. Treatment Location.** Services shall be provided primarily at Contractor's offices. Services may be provided at the member's home or in the community as needed.

**5. MEMBERS.** Contractor shall provide Program services to members who are diagnosed with serious emotional disturbance (SED) or are Medi-Cal beneficiaries diagnosed as needing specialty mental health services, as described in DHCS BHIN 21-073., and their families.

**6. REFERRALS.** Contractor shall admit members referred by Behavioral Wellness. Contractor may provide services to members who individually request services with no referral source, but must be authorized by designated Behavioral Wellness staff.

**7. STAFFING REQUIREMENTS.**

**A.** Program staffing is anticipated to include 1.00 full-time equivalent (FTE) positions, who shall be licensed mental health professionals or waived registered professionals as defined in Exhibit A1, Section 2, Staffing J of this Agreement. Changes to these requirements do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

1. 0.8 FTE Child and Family Specialists or Therapists (Licensed or Associate); and
2. 0.2 FTE Psychologist.

**B. Additional Staffing Requirements.** Staffing requirements are outlined in this Agreement based on anticipated member census. It is expected the Contractor may need to adjust staffing levels in response to changes in the member referrals and overall census. Contractor shall comply with changes to the staffing requirements under the Program that do not alter the maximum contract amount of the Agreement and are authorized by the Director of the Department of Behavioral Wellness or designee in writing. This obligation shall apply without the need for an amendment of this Agreement.

**8. DOCUMENTATION REQUIREMENTS.** Contractor shall complete the following for each member:

**A. Member Service Plan.** Contractor shall complete a Member Service Plan and assessment for each member receiving Program services in accordance with the Behavioral Wellness Clinical Documentation Manual available <http://countyofsb.org/behavioral-wellness>. The Member Service Plan shall provide overall direction for the collaborative work of the member, the Program staff, and the Treatment Team.

**B. Member Documentation.** Contractor shall maintain the following member documentation within the Behavioral Wellness Electronic Health Record (EHR), SmartCare, for each member referred and treated:

1. Member assessment.
2. Supporting progress note documentation.

**9. DISCHARGE PLAN.** Contractor shall work closely with each member to develop a written discharge plan that is responsive to the member's needs and personal goals. Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedure # 8.303 Client Discharge and Continuity of Care for Mental Health Services*, available at <https://www.countyofsb.org/904/Policies-Procedures>.

**10. DISCHARGE CRITERIA.** The appropriateness for member discharge shall be determined on a case-by-case basis. Criteria for discharge include:

- A.** The member's treatment goals have been sufficiently met;
- B.** The determination that significant progress has been made towards reaching the member's treatment goals, even if not all goals have been met, such that the member no longer requires the intensive level of services provided by the Program;
- C.** The determination that treatment goals have not been met. The member and the member's family shall be provided with appropriate continuity of care and coordination of care through transition or referrals to more appropriate treatment;
- D.** The member or family's request to terminate services; or
- E.** The member and the member's family relocate outside of Santa Barbara County.

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**EXHIBIT A-7**  
**STATEMENT OF WORK: MHS**  
**MHSA PEI EARLY CHILDHOOD MENTAL HEALTH**

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1. **PROGRAM SUMMARY.** The Program, funded through the Mental Health Services Act (MHSA) Prevention and Early Intervention (PEI) Early Childhood Mental Health Services component, shall provide mental health services to address early childhood mental health issues for children, aged prenatal to five years, and their families through a comprehensive array of services provided primarily in member's homes. The Program will apply the Healthy Families America (HFA) model, available at: [HealthyFamiliesAmerica.org/OurApproach](https://HealthyFamiliesAmerica.org/OurApproach), which includes multidisciplinary teams providing home visitation and mental health services to young children who are at risk for social emotional issues and abuse and their parents. The Program will serve the Santa Barbara, Lompoc, and Santa Maria regions of Santa Barbara County and will be headquartered at the location(s) specified below. Changes to the service location do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

The Program shall be located at the following locations:

- A. 1236 Chapala Street, Santa Barbara, California;
  - B. 110 S. C. Street, Lompoc, California; and
  - C. 210 Enos Drive, Suite A, Santa Maria, California.
2. **PROGRAM GOALS.**
- A. Enhance optimal child health and development;
  - B. Promote positive parenting practices;
  - C. Prevent child abuse and neglect;
  - D. Provide services that are comprehensive, focusing on supporting the parent as well as supporting parent-child interaction and child development; and
  - E. Provide each family with linkage to a medical provider and additional resources as appropriate.
3. **SERVICES.** Contractor shall develop, support, and empower family units by identifying existing strengths and areas of need, and teaching problem solving skills. Contractor shall provide the following services, as needed to Program members:
- A. **Home Visitation.** Trained professionals use the Healthy Families America home visitation model to provide home-based visits. This service offers guidance, resource, and support to enhance parenting skills and promote healthy child development.

**B. Group and Individual Services.** Using the evidence-based Parent Child Care (PC-CARE) model, both group and individual services are available. These services focus on building parental capacity, helping parents develop nurturing relationships with their children, and fostering positive interactions and effective caregiving.

Individual Services for Perinatal Mood and Anxiety Disorders. Specialized individual services are available to address perinatal mood and anxiety disorders. These services utilize evidence-based treatments such as Eye Movement Desensitization and Reprocessing (EMDR), Interpersonal Therapy (IPT), and/or Cognitive Behavioral Therapy, specifically tailored for the perinatal period. These services not only aim to provide treatment but also serve as preventative measures by building caregiver capacity, enhancing attachment, supporting child development, and reducing the incidence of maltreatment.

1. The Program services shall include parenting education and support, family assessment and screening, development screening, father support services, and counseling for Postpartum Depression.

**C. Individual Services for Mental Health Needs of Young Children.** Individual services are provided to meet the mental health needs of young children. Parent-Child Interaction Therapy (PCIT) aims to improve parent-child relationships, decrease externalizing behaviors, and enhances communication skills between caregiver and child.

**D. Assessment.** “Assessment” means a service activity designed to collect information and evaluate the current status of a member’s mental, emotional, or behavioral health to determine whether Rehabilitative Mental Health Services are medically necessary and to recommend or update a course of treatment for that member. Assessments shall be conducted and documented in accordance with applicable state and federal statutes, regulations, and standards. (State Plan, Supplement 3 to Attachment 3.1-A, page 1 [TN 22-0023].)

1. **Child and Adolescent Needs & Strengths and Adult Needs and Strengths Assessment.** The Child and Adolescent Needs and Strengths (CANS) is a structured assessment for identifying youth and family actionable needs and useful strengths. It provides a framework for developing and communicating about a shared vision and uses youth and family information to inform planning, support decisions, and monitor outcomes. The Adult Needs and Strength Assessment (ANSA) is a multi-purpose tool developed for adult’s mental health services to support care planning.

- i. Contractor shall complete the CANS for each member, age zero and up to 21 years and the ANSA for each member age 21 years or older.
- ii. The CANS and ANSA shall be administered by a certified provider and through a collaborative process involving at minimum the member and caregiver (as applicable).
- iii. The CANS and ANSA shall be completed at intake, every six months after the first administration, and at discharge.
- iv. The CANS and ANSA shall reflect member improvement in three or more of the following domains: functioning, school, behavioral/emotional, strength



behavior, risk behavior, and caregiver needs and strengths (the last of which is applicable to CANS only).

- v. For members involved with child-services agencies, including Santa Barbara County Child Welfare Services and Probation, Contractor shall provide a copy of the CANS to the child-serving agencies upon completion of each CANS with a valid, written authorization or release of information.

2. **Pediatric Symptom Checklist.** The Pediatric Symptom Checklist (PSC-35) is a psychosocial screening tool designed to facilitate the recognition of cognitive, emotional, and behavioral problems so that appropriate interventions can be initiated as early as possible.

- i. Contractor shall require a parent or caregiver to complete the PSC-35 for their children, age three years and up to 18 years.
- ii. The PSC-35 shall be completed at intake, every six months following the first administration, and at discharge.

**E. Collateral.** “Collateral” means a service activity to a significant support person(s) in a member's life for the purpose of meeting the needs of the member in terms of achieving the goals of the member’s member plan. Collateral may include, but is not limited to, consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the member, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The member may or may not be present for this service activity. (Cal. Code of Regs., tit. 9, § 1810.206.)

1. **Significant Support Person.** “Significant support person” means a person(s), in the opinion of the member or the person providing services, who has or could have a significant role in the successful outcome of treatment including, but not limited to, the parents or legal guardian of a member who is a minor, the legal representative of a member who is not a minor, a person living in the same household as the member, the member’s spouse, and relatives of the member. (Cal. Code of Regs., tit., § 1810.246.1.).

**F. Psychosocial Rehabilitation.** “Psychosocial Rehabilitation” means a recovery or resiliency focused service activity which addresses a mental health need. This service activity provides assistance in restoring, improving, and/or preserving a member’s functional, social, communication, or daily living skills to enhance self-sufficiency or self-regulation in multiple life domains relevant to the developmental age and needs of the member. Psychosocial rehabilitation also includes support resources, and/or medication education. Psychosocial rehabilitation may be provided to a member or a group of members. (State Plan, Supplement 3 to Attachment 3.1-A, page 2a [TN 22-0023].)

**G. Therapy.** “Therapy” means a service activity that is a therapeutic intervention that focuses primarily on symptom reduction and restoration of functioning as a means to improve coping and adaptation and reduce functional impairments. Therapeutic intervention includes the application of cognitive, affective, and verbal or nonverbal strategies based on the principles of development, wellness, adjustment to impairment, recovery, and resiliency to assist a member in acquiring greater personal, interpersonal, and community functioning or to modify feelings, thought processes, conditions,

attitudes, or behaviors which are emotionally, intellectually, or socially ineffective. These interventions and techniques are specifically implemented in the context of a professional clinical relationship. Therapy may be delivered to a member or group of members and may include family therapy directed at improving the member's functioning and at which the member is present. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)

**H. Treatment Planning.** “Treatment Planning” means a service activity to develop or update a member’s course of treatment, documentation of the recommended course of treatment, and monitoring a member’s progress. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)

**I.** Contractor shall partner with member s and collaborate with other service providers to promote coordinated systems of care.

**J.**

#### **4. OPERATIONS.**

##### **A. Service Intensity.**

**1. Length of Stay.** The average length of stay in the Program for each member will be six (6) to twelve (12) months, although the duration shall be individually based on the unique needs of the child and family. As described in Title 9 CCR Section 3710, Early Intervention Program services shall not exceed eighteen (18) months, unless the individual receiving services is identified as experiencing first onset of a serious mental illness or emotional disturbance with psychotic features, in which case early intervention services shall not exceed five (5) years. After 18 months, Contractor shall obtain authorization from BWell QCM to continue services.

i. Home visitation services provided, consistent with Health Families America (HFA) model, offers at least three (3) years of continuous home visitation and up to five (5 years total) begin prenatally or shortly after birth. Families receive weekly visits initially. Visits will taper down to bi-weekly, monthly and quarterly in alignment with model standards and family progress criteria.

**B. Treatment Location.** Program services will occur outside program offices in the community and primarily in members’ homes.

**C. Staff-to-Member Caseload Ratio.** The Program’s target staff-to-member ratio includes one (1) to fifteen (15) (fifteen [15] members per one [1.0] FTE staff member)

#### **5. MEMBERS/PROGRAM CAPACITY.**

**A.** Persons served by the Program are children, aged prenatal to five (5) years, and their families in Santa Barbara County within the following priority populations: trauma-exposed individuals, children and youth in stressed families, children and youth at-risk for school failure, and underserved cultural populations.

**B.** Contractor shall provide the services described in Section 3 (Services) to at least one hundred fifty (150) families per year, consisting of at least thirty (30) families in Santa Barbara, thirty (30) families in Lompoc, and ninety (90) families in Santa Maria.

**6. REFERRALS.**

- A.** Contractor shall admit members who meet the criteria for the Program and are referred by Behavioral Wellness. Other referral sources must be authorized by designated Behavioral Wellness staff. A biannual or more frequent Behavioral Wellness Quality Care Management (QCM) Division review and ongoing authorization process will assure that members served meet the criteria for the Program.
- B. Referral Packet.** Contractor shall receive a referral packet for each member referred and treated. Hard copies of any packet documents that are available in the Behavioral Wellness Electronic Health Record (EHR) system shall be shredded by Contractor upon opening the member to the Program. The referral packet shall include:
  - 1. A copy of the County referral form;
  - 2. A member face sheet listing all of the programs that the member has been admitted to over time and is currently admitted to, including hospitalizations;
  - 3. A copy of the most recent comprehensive assessment and/or assessment update;
  - 4. A copy of the updated treatment plan, if applicable, with the Contractor added as a provider of service;
  - 5. A copy of the most recent medication record and health questionnaire.

**7. DISCHARGE PLAN.** The Contractor shall develop a written Discharge Plan that is responsive to the member's needs and personal goals. Contractor shall with *Department of Behavioral Wellness' Policy and Procedure # 8.303 Client Discharge and Continuity of Care for Mental Health Services*, available at <https://www.countyofsb.org/904/Policies-Procedures>.

- 8. DISCHARGE CRITERIA.** The appropriateness for the member discharge or transfers to less intensive services shall be determined on a case-by-case basis. Criteria for discharge or transfer to less intensive services include:
- A.** The member's treatment goals have been sufficiently met;
  - B.** The determination that significant progress has been made towards reaching the member's treatment goals, even if not all goals have been met, such that the member no longer requires the specialized level of services provided by the Program;
  - C.** The Program treatment team determine that the member's treatment goals have not been met. The member and member's family shall be provided with appropriate continuity of care and coordination of care through transition or referrals to more appropriate treatment;
  - D.** The member and member's family relocate outside of Santa Barbara County;
  - E.** The member or member's family requests to terminate services.

**9. STAFFING REQUIREMENTS.**

- A.** Program staffing is anticipated to include 4.52 Full Time Equivalent (FTE) as follows:
  - 1. **0.7 FTE Mental Health Professionals or Therapists**, who are licensed/waivered/registered mental health professionals as defined in Exhibit A1 Section 2 Staffing J of this Agreement. The Lead Therapist or Manager may be responsible to provide some direct service to members;

2. 3.0 FTE **Mental Health Professionals**, who are Mental Health Rehabilitation Specialists (MHRS), Qualified Mental Health Workers (QMHWs), or Mental Health Workers (MHWs), as defined in Exhibit A1 Section 2 Staffing J of this Agreement;
  3. 0.68 FTE **Supervisory Staff**, including a Program Director and Clinical Supervisor who shall be a licensed mental health professional or a waived/registered professional as defined in Exhibit A1 Section 2 Staffing J of this Agreement; and
  4. 0.14 FTE other administrative staff (Data Specialist, Intake, etc. who are unlicensed support staff).
- B.** The Program shall include qualified bilingual and bicultural clinicians and staff able to meet the diverse needs represented in the local community. Contractor shall work towards filling 40% of direct service positions with bilingual staff in County's second threshold language, Spanish, per MHSA requirements. As needed, the Program shall have access to qualified translators and translator services, experienced in behavioral healthcare, appropriate to the needs of the members served. Contractor shall maintain a list of qualified translators to be used in the event the Program must seek translation services outside of the Program Team.
- B.** Training.
1. Contractor shall provide training to staff regarding working with children, aged prenatal to five years, and their families.
  2. Contractor shall provide training to staff regarding the Healthy Families America model, Parent Child Interaction Therapy (PCIT), and training specific to staff roles as they relate to the Program model, including family assessment and home visitation.
- C.** Additional Staffing Requirements. Staffing requirements are outlined in this Agreement based on anticipated member census. It is expected that Contractor may need to adjust staffing levels in response to changes in member referrals and overall census. Contractor shall comply with changes to the staffing requirements under the Program that do not alter the maximum contract amount of the Agreement and are authorized by the Director of the Department of Behavioral Wellness or designee in writing. This obligation shall apply without the need for an amendment of this Agreement.
- 10. EMPOWERMENT.** In addition to the requirements listed in Exhibit A-1-General Provisions: MHS, Section 9 (Member and Family Member Empowerment), Contractor shall adhere to the following:
- A.** Contractor agrees to actively support and promote Consumer empowerment and commits to making a reasonable effort to ensure member or family member representation on the Board of Directors.
  - B.** Contractor will advance member and family member participation at all levels by working with the Behavioral Wellness Consumer Empowerment Manager, Behavioral Wellness Division Chief, MHSA, and the Consumer and Family Member Advisory Committee.
  - C.** Contractor will provide Bi-Annual program, outcome, and member and family member satisfaction updates.



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**EXHIBIT A-8**  
**STATEMENT OF WORK: MHS**  
**MEDI-CAL EARLY CHILDHOOD SPECIALTY MENTAL HEALTH**

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1. **PROGRAM SUMMARY.** The Early Childhood Specialty Mental Health Services program (hereafter "the Program") provides mental health services to Medi-Cal beneficiaries aged zero (0) to ten (10) years of age (hereafter "members") who are experiencing emotional, social, and behavioral difficulties, and to their families. These services provide family-focused early intervention to low-income families who may not otherwise have access to these services. The Program serves North and South Santa Barbara County. The Program headquarters shall be the location(s) specified below. Changes to the service location do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

The Program shall be located at the following locations:

- A. 1236 Chapala St., Santa Barbara, CA 93101;
- B. 110 S. C St., Lompoc, CA 93436; and
- C. 210 Enos Dr., Suite A, Santa Maria, CA 93454.

2. **PROGRAM GOALS.**

- A. Diminish member impairment or prevent significant deterioration in an important area of member's life functioning; and
- B. Allow the member to progress developmentally as individually appropriate.

3. **SERVICES.** Contractor shall develop, support, and empower family units by identifying existing strengths and areas of need, and teaching problem solving skills. Contractor shall provide the following services, as needed to Program members:

- A. Specific services to be provided within this program include Child Parent Psychotherapy (CPP) program, Trauma-Focused Cognitive Behavioral Therapy (TFCBT), Parent-Child Interaction Therapy (PCIT), IPT (Interpersonal Psychotherapy), EMDR (Eye Movement Desensitization and Reprocessing), and PC-CARE (Parent-Child Care), and other evidence-based practices, as clinically indicated.
- B. **Assessment/Reassessment.** "Assessment" means a service activity designed to collect information and evaluate the current status of a member's mental, emotional, or behavioral health to determine whether Rehabilitative Mental Health Services are medically necessary and to recommend or update a course of treatment for that member. Assessments shall be conducted and documented in accordance with applicable state and federal statutes, regulations, and standards. (State Plan, Supplement 3 to Attachment 3.1-A, page 1 [TN 22-0023].)

1. **Child and Adolescent Needs & Strengths and Adult Needs and Strengths Assessment.** The Child and Adolescent Needs and Strengths (CANS) is a structured assessment for identifying youth and family actionable needs and useful strengths. It provides a framework for developing and communicating about a shared vision and uses youth and family information to inform planning, support decisions, and monitor outcomes. The Adult Needs and Strength Assessment (ANSA) is a multi-purpose tool developed for adult's mental health services to support care planning.
    - i. Contractor shall complete the CANS for each member, age zero and up to 20 years and the ANSA for each member age 21 years or older.
    - ii. The CANS and ANSA shall be administered by a certified provider and through a collaborative process involving at minimum the member and caregiver (as applicable).
    - iii. The CANS and ANSA shall be completed at intake, every six months after the first administration, and at discharge.
    - iv. The CANS and ANSA shall reflect member improvement in three or more of the following domains: functioning, school, behavioral/emotional, strength behavior, risk behavior, and caregiver needs and strengths (the last of which is applicable to CANS only).
    - v. For members involved with child-services agencies, including Santa Barbara County Child Welfare Services and Probation, Contractor shall provide a copy of the CANS to the child-serving agencies upon completion of each CANS with a valid, written authorization or release of information.
  2. **Pediatric Symptom Checklist.** The Pediatric Symptom Checklist (PSC-35) is a psychosocial screening tool designed to facilitate the recognition of cognitive, emotional, and behavioral problems so that appropriate interventions can be initiated as early as possible.
    - i. Contractor shall require a parent or caregiver to complete the PSC-35 for their children, age three years and up to 18 years.
    - ii. The PSC-35 shall be completed at intake, every six months following the first administration, and at discharge.
    - iii. For Katie A. members, assessments shall be completed for members aged zero (0) to five (5) years.
- C. Collateral.** "Collateral" means a service activity to a significant support person(s) in a member's life for the purpose of meeting the needs of the member in terms of achieving the goals of the member's member plan. Collateral may include, but is not limited to, consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the member, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The member may or may not be present for this service activity. (Cal. Code of Regs., tit. 9, § 1810.206.)
1. **Significant Support Person.** "Significant support person" means a person(s), in the opinion of the member or the person providing services, who has or could have a significant role in the successful outcome of treatment including, but not limited

to, the parents or legal guardian of a member who is a minor, the legal representative of a member who is not a minor, a person living in the same household as the member, the member's spouse, and relatives of the member. (Cal. Code of Regs., tit., § 1810.246.1.)

**D. Crisis Intervention.** “Crisis Intervention” is an unplanned, expedited service to or on behalf of a member to address a condition that requires more timely response than a regularly scheduled visit. Crisis intervention is an emergency response service enabling a member to cope with a crisis, while assisting the member in regaining their status as a functioning community member. The goal of crisis intervention is to stabilize an immediate crisis within a community or clinical treatment setting. It may include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. This service includes one or more of the following service components: assessment, therapy, and referral and linkages. Crisis Intervention services may either be face-to-face or by telephone or telehealth and may be provided in a clinic setting or anywhere in the community. (State Plan, Supplement 3 to Attachment 3.1-A, page 2d [TN 22-0023].)

**E. Intensive Care Coordination (ICC).** “Intensive Care Coordination (ICC)” is a targeted case management service that facilitates assessment of care planning for and coordination of services to members under the age of 21 years who are eligible for the full scope of Medi-Cal services and who meet medical criteria to access specialty mental health services. ICC service components include: assessing; service planning and implementation; monitoring and adapting; and transition. ICC services are provided through the principles of the Integrated Core Practice Model, including the establishment of the Child and Family Team (CFT), to ensure facilitation of a collaborative relationship among a child, their family, and involved child-serving systems. The CFT is comprised of, as appropriate, both formal supports, such as the care coordinator, providers, case managers from child-serving agencies, and natural supports, such as family members, neighbors, friends, and clergy and all ancillary individuals who work together to develop and implement the member plan and are responsible for supporting the child and family in attaining their goals. ICC also provides an ICC coordinator who:

1. Ensures that medically necessary services are accessed, coordinated, and delivered in a strength-based, individualized, family/child driven and culturally and linguistically competent manner and that services and supports are guided by the needs of the child;
2. Facilitates a collaborative relationship among the child, their family, and systems involved in providing services to the child;
3. Supports the parent/caregiver in meeting their child's needs;
4. Helps establish the CFT and provides ongoing support;
5. Organizes and matches care across providers and child-serving systems to allow the child to be served in their community; and
6. Facilitates a CFT meeting that supports the process of the Integrated Core Practice Model. It includes but is not limited to an initial identification of the needs and strengths of the child or youth and family through initial engagement activities; ensuring a comprehensive shared plan is developed and implemented that builds on



strengths and identifies intervention necessary to address their needs. The facilitator may also manage the logistics of the meeting, including scheduling, ensuring participation of all team members, accountability for tasks and activities between meetings, and high levels of communication between members as required. Local county practices may differ, but the important point of facilitation is to ensure that CFT meetings are productive and inclusive.

- i. For children and youth receiving Specialty Mental Health Services (SMHS) that require a CFT, the CFT should reassess the needs of the child or youth, and adapt a plan to address changing needs in a timely manner, but not less than every ninety (90) days. Urgent issues, such as safety concerns, risk of placement disruption, and/or ineffective support services, should be addressed immediately.

**F. Intensive Home-Based Services (IHBS).** “Intensive Home-Based Services (IHBS)” are individualized, strength-based interventions designed to ameliorate mental health conditions that interfere with a child’s functioning and are aimed at helping the child build skills necessary for successful functioning in the home and community and improving the child’s family’s ability to help the child successfully function in the home and community. IHBS services are provided in accordance with the Integrated Core Practice Model by the Child and Family Team in coordination with the family’s overall service plan which may include IHBS. Service activities may include, but are not limited to, assessment, treatment plan, therapy, and rehabilitation and include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. IHBS is provided to members under the age of 21 years who are eligible for the full scope of Medi-Cal services and who meet the access criteria for specialty mental health services.

**G. Psychosocial Rehabilitation.** “Psychosocial Rehabilitation” means a recovery or resiliency focused service activity which addresses a mental health need. This service activity provides assistance in restoring, improving, and/or preserving a member’s functional, social, communication, or daily living skills to enhance self-sufficiency or self-regulation in multiple life domains relevant to the developmental age and needs of the member. Psychosocial rehabilitation includes assisting members to develop coping skills by using a group process to provide peer interaction and feedback in developing problem-solving strategies. In addition, psychosocial rehabilitation includes therapeutic interventions that utilize self-expression such as art, recreation, dance or music as a modality to develop or enhance skills. These interventions assist the member in attaining or restoring skills which enhance community functioning including problem solving, organization of thoughts and materials, and verbalization of ideas and feelings. Psychosocial rehabilitation also includes support resources, and/or medication education. Psychosocial rehabilitation may be provided to a member or a group of members. (State Plan, Supplement 3 to Attachment 3.1-A, page 2a [TN 22- 0023].)

**H. Targeted Case Management.** “Targeted case management” is a service that assists a member in accessing needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services. The service activities may include, but are not limited to, communication, coordination and referral; monitoring service delivery to ensure member access to services and the service delivery system; monitoring of the member’s progress, placement services, and plan development. Targeted case management services may be face-to-face or by telephone with the member or

significant support person(s) and may be provided anywhere in the community. Additionally, services may be provided by any person determined by the specialty mental health services program to be qualified to provide the service, consistent with the scope of practice and state law.

- I. **Therapy.** “Therapy” means a service activity that is a therapeutic intervention that focuses primarily on symptom reduction and restoration of functioning as a means to improve coping and adaptation and reduce functional impairments. Therapeutic intervention includes the application of cognitive, affective, and verbal or nonverbal strategies based on the principles of development, wellness, adjustment to impairment, recovery, and resiliency to assist a member in acquiring greater personal, interpersonal, and community functioning or to modify feelings, thought processes, conditions, attitudes, or behaviors which are emotionally, intellectually, or socially ineffective. These interventions and techniques are specifically implemented in the context of a professional clinical relationship. Therapy may be delivered to a member or group of members and may include family therapy directed at improving the member's functioning and at which the member is present. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)
- J. **Treatment Planning.** “Treatment Planning” means a service activity to develop or update a member’s course of treatment, documentation of the recommended course of treatment, and monitoring a member’s progress. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)

#### 4. **OPERATIONS.**

- A. **Service Intensity.** The average length of stay in the Program for each member will be six (6) months to twelve (12) months. As described in Title 9 CCR, Section 3710, Early Intervention Program services shall not exceed eighteen (18) months, unless the individual receiving the services is identified as experiencing first onset of serious mental illness or emotional disturbance with psychotic features, in which case early intervention services shall not exceed five (5) year. After 18 months, Contractor shall obtain authorization from BWell QCM to continue services.
  - 1. Home visitation services provided, consistent with Health Families America (HFA) model, offers at least three (3) years of continuous home visitation and up to five (5 years total) begin prenatally or shortly after birth. Families receive weekly visits initially. Visits will taper down to bi-weekly, monthly and quarterly in alignment with model standards and family progress criteria.
- B. **Treatment Location.** Program services will occur at the Contractor’s facility, member’s home, or in the community.
- C. **Staff-to-Member Caseload Ratio.** The target staff-to-member ratio includes one (1) to fifteen (15) (fifteen [15] members to 1.0 FTE staff member).

#### 5. **MEMBERS/PROGRAM CAPACITY.**

- A. Persons served by the Program are children, aged zero (0) to ten (10) years, and their families in Santa Barbara County who are Medi-Cal beneficiaries and determined to meet medical necessity for specialty mental health services as described in DHCS BHIN 21-073, and their families.
- B. Contractor shall provide the services described in Section 3 (Services) to a target census of one hundred twenty-eight (128) members. In addition to the one hundred twenty-

eight (128) members, approximately one hundred twenty-eight (128) members will be evaluated for Katie A. subclass inclusion during the initial phase of screening.

**6. REFERRALS.**

**A.** Contractor shall admit members who meet the criteria for the Program and are referred by Behavioral Wellness. Other referral sources must be authorized by designated Behavioral Wellness staff. A biannual or more frequent Behavioral Wellness Quality Care Management (QCM) Division review and ongoing authorization process will assure that members served meet the criteria for the Program.

**B. Referral Packet.** Contractor shall receive a referral packet for each member referred and treated. Hard copies of any packet documents that are available in the Behavioral Wellness Electronic Health Record (EHR) systems shall be shredded by Contractor upon opening the member to the Program. The referral packet shall include:

1. A copy of the County referral form;
2. A member face sheet listing all the programs that the member has been admitted to over time, and is currently admitted to, including hospitalizations;
3. A copy of the most recent comprehensive assessment and/or assessment update;
4. A copy of the updated treatment plan, if applicable, with the Contractor added as a provider of service;
5. A copy of the most recent medication record and health questionnaire;
6. A copy of the currently valid Member Problem List indicating the goals for member and identifying the Contractor as service provider;
7. Member's Medi-Cal Eligibility Database Sheet (MEDS) file printout, as provided to Contractor in the initial Referral Packet. Thereafter, it will be Contractor's responsibility to verify continued Medi-Cal eligibility; and
8. Written approval to provide services from public/private conservator or other legal guardian.

**7. DOCUMENTATION REQUIREMENTS.** Contractor shall complete the following for each member:

**A.** A diagnostic assessment that establishes the presence of a serious mental illness, providing a basis for the medical necessity of specialty mental health services. The diagnostic assessment shall be completed by the Practitioner (who shall be a Licensed Mental Health Professional or Waivered/Registered Professional as defined in Exhibit A-1, Section 2, Staffing, Subsection J, of this Agreement) within sixty (60) days of admission, and shall be updated when there is a transition or change in level of care needed, or as clinically indicated by the treatment team;

**B. Member Problem List and Treatment Plan.** Contractor shall complete an Assessment, Problem List, and Treatment Plan (or Treatment Plan Progress Note for targeted case management and peer support services) for each member receiving Program services in accordance with CalAIM requirements, applicable Behavioral Wellness Policies and Procedures, and the Behavioral Wellness Clinical Documentation Manual available at <https://www.countyofsb.org/behavioral-wellness/asset.c/5670>.

C. For Katie A. members in foster care, Contractor shall be required to submit a Katie A. report to BWell and CWS, outlining findings and treatment recommendations following completion of assessment.

8. **DISCHARGE PLAN.** Contractor staff shall work closely with each member to establish a written discharge plan that is responsive to the member's needs and personal goals. Contractor shall follow Behavioral Wellness policy and procedures regarding discharged in conformity with Behavioral Wellness' role as the Mental Health Plan.

9. **DISCHARGE CRITERIA.** Contractor shall determine the appropriateness of the member discharge on a case-by-case basis.

A. Criteria for discharge include any of the following:

1. The member's treatment goals have been sufficiently met;
2. The determination that significant progress has been made towards reaching the member's treatment goals, even if not all goals have been met, such that the member no longer requires the intensive level of services provided by the Program;
3. The member's Child and Family Team and Program staff determine that the member's treatment goals have not been met. The member and the member's family shall be provided with appropriate continuity of care and coordination of care through transition or referrals to more appropriate treatment;
4. The member and the member's family relocate outside of Santa Barbara County;
5. Member or member's family requests to terminate services.

10. **STAFFING REQUIREMENTS.** Staffing requirements are outlined in this Agreement based on the anticipated member census. It is expected that the Contractor may need to adjust staffing levels in response to change in member referrals and overall census. Changes to these requirements do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

A. Program staffing is anticipated to include 7.75 Full Time Equivalent (FTE) as follows:

1. 4.7 FTE Mental Health Specialists who shall be licensed mental health professionals or waived/registered mental health professionals as defined in Exhibit A-1, Section 2, Staffing, Subsection J, of this Agreement;
2. 2.25 FTE Mental Health Specialists who shall be Mental Health Rehabilitation Specialists (MHRS), Qualified Mental Health Workers (QMHW), or Mental Health Workers (MHW) as defined in Exhibit A-1, Section 2, Staffing, Subsection J of this Agreement; and
3. 0.8 FTE Licensed Psychologist.

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**EXHIBIT A-9**  
**STATEMENT OF WORK: MHS**  
**INTENSIVE IN-HOME**

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1. **PROGRAM SUMMARY.** The Intensive In-Home Program (hereafter “the Program”) is a home-based model for intensive mental health service delivery developed to help a child (hereafter “member”) and their family to solve problems in the home environment. Program staff demonstrate and implement evidence-based practices with the family as a means to improve member behavioral and provide structure and routine to the home environment. The Program offers intensive, individualized, and if clinically indicated, family counseling services to members and their families in community locations best suited for the member and the family’s needs. The Intensive In-Home Program is for children and youth that meet moderate to severe impairments and require intensive coordination. Program staff seek to develop, support, and empower family units by identifying strengths and needs, in addition to teaching problem-solving skills. Services are aimed at preventing further incidents of behavioral, emotional, or social disturbance that may lead to out-of-home placement. The Program shall serve the Santa Barbara area and shall be headquartered at the location(s) specified below. Changes to the service location do not require a formal amendment to this Agreement but shall be agreed to in writing by the Director of the Department of Behavioral Wellness or designee and shall not alter the Maximum Contract Amount.

The Program shall be located at:

- A. 1236 Chapala Street, Santa Barbara, California.
  - B. 110 S. C Street, Lompoc, California
2. **PROGRAM GOALS.** To maintain the member’s residential placement at the lowest appropriate level by resolving identified problem behaviors and achieving short-term treatment goals including:
- A. Keep families together by reducing crisis in the home environment;
  - B. Prevent out-of-home, out-of-county, or foster placement of the client;
  - C. Reduce "at-risk" behavior such as self-injurious behavior, criminal activity, and substance use;
  - D. Reduce hospitalizations;
  - E. Stabilize the member and family who reside together; and
  - F. Improve the family's level of functioning and the quality of life for the member through the use of various educational, behavioral, and clinical interventions.
3. **SERVICES.** Contractor shall develop, support, and empower family units by identifying existing strengths and areas of need, and teaching problem solving skills. Contractor shall provide the following services, as needed to the Program members:
- A. **Assessment/Reassessment.** “Assessment” means a service activity designed to collect information and evaluate the current status of a member’s mental, emotional, or behavioral health to determine whether Rehabilitative Mental Health Services are medically necessary and to recommend or update a course of treatment for that member. Assessments shall be conducted and documented in accordance with

applicable state and federal statutes, regulations, and standards. (State Plan, Supplement 3 to Attachment 3.1-A, page 1 [TN 22-0023].)

**1. Child and Adolescent Needs & Strengths and Adult Needs and Strengths Assessment.** The Child and Adolescent Needs and Strengths (CANS) is a structured assessment for identifying youth and family actionable needs and useful strengths. It provides a framework for developing and communicating about a shared vision and uses youth and family information to inform planning, support decisions, and monitor outcomes. The Adult Needs and Strength Assessment (ANSA) is a multi-purpose tool developed for adult's mental health services to support care planning.

- i. Contractor shall complete the CANS for each member, age zero and up to 20 years and the ANSA for each member age 21 years or older.
- ii. The CANS and ANSA shall be administered by a certified provider and through a collaborative process involving at minimum the member and caregiver (as applicable).
- iii. The CANS and ANSA shall be completed at intake, every six months after the first administration, and at discharge.
- iv. The CANS and ANSA shall reflect member improvement in three or more of the following domains: functioning, school, behavioral/emotional, strength behavior, risk behavior, and caregiver needs and strengths (the last of which is applicable to CANS only).
- v. For members involved with child-services agencies, including Santa Barbara County Child Welfare Services and Probation, Contractor shall provide a copy of the CANS to the child-serving agencies upon completion of each CANS with a valid, written authorization or release of information.

**2. Pediatric Symptom Checklist.** The Pediatric Symptom Checklist (PSC-35) is a psychosocial screening tool designed to facilitate the recognition of cognitive, emotional, and behavioral problems so that appropriate interventions can be initiated as early as possible.

- i. Contractor shall require a parent or caregiver to complete the PSC-35 for their children, age three years and up to 18 years.
- ii. The PSC-35 shall be completed at intake, every six months following the first administration, and at discharge.

**B. Collateral.** "Collateral" means a service activity to a significant support person(s) in a member's life for the purpose of meeting the needs of the member in terms of achieving the goals of the member's client plan. Collateral may include, but is not limited to, consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the member, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The member may or may not be present for this service activity. (Cal. Code of Regs., tit. 9, § 1810.206.)

**1. Significant Support Person.** "Significant support person" means a person(s), in the opinion of the member or the person providing services, who has or could have a significant role in the successful outcome of treatment including, but not limited

to, the parents or legal guardian of a member who is a minor, the legal representative of a member who is not a minor, a person living in the same household as the member, the member's spouse, and relatives of the member. (Cal. Code of Regs., tit., § 1810.246.1.)

**C. Crisis Intervention.** “Crisis Intervention” is an unplanned, expedited service to or on behalf of a member to address a condition that requires more timely response than a regularly scheduled visit. Crisis intervention is an emergency response service enabling a member to cope with a crisis, while assisting the member in regaining their status as a functioning community member. The goal of crisis intervention is to stabilize an immediate crisis within a community or clinical treatment setting. It may include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. This service includes one or more of the following service components: assessment, therapy, and referral and linkages. Crisis Intervention services may either be face-to-face or by telephone or telehealth and may be provided in a clinic setting or anywhere in the community. (State Plan, Supplement 3 to Attachment 3.1-A, page 2d [TN 22-0023].)

1. Contractor shall utilize a variety of effective evidence-based treatment modalities to provide intensive in-home interventions. Intensive in-home interventions may include:
  - i. Assisting family members with stress management;
  - ii. Building communication skills;
  - iii. Teaching anger management skills;
  - iv. Teaching and modeling effective parenting skills;
  - v. Working with biological parents and the members as needed to assist with reunification;
  - vi. Assisting foster families to develop links to community partners and encouraging and empowering families to use those resources. Examples include clergy, family members and friends;
  - vii. Developing and guiding parents in behavioral interventions;
  - viii. Using evidence-based practices to identify and reinforce appropriate family roles and relationships;
  - ix. Identifying communication patterns among family members and teaching family members appropriate response and coping mechanisms;
  - x. Utilizing a recovery-oriented, strength-based approach in delivering treatment services; and
  - xi. If there is a treatment modality that is indicated the Contractor is unable to provide, Contractor shall staff-case with CTS.

**D. Intensive Care Coordination (ICC).** “Intensive Care Coordination (ICC)” is a targeted case management service that facilitates assessment of care planning for and coordination of services to members under the age of 21 years who are eligible for the full scope of Medi-Cal services and who meet medical criteria to access specialty mental health services. ICC service components include: assessing; service planning

and implementation; monitoring and adapting; and transition within the guidelines of the Katie A Core Practice Model available at <https://content.civicplus.com/api/assets/469e35b8-7820-486b-8419-c2d048e20b99?cache=1800>. ICC services are expanded to all Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) members that qualify for IHBS/ICC.

ICC services are provided through the principles of the Integrated Core Practice Model, including the establishment of the Child and Family Team (CFT), to ensure facilitation of a collaborative relationship among a child, their family, and involved child-serving systems. The CFT is comprised of, as appropriate, both formal supports, such as the care coordinator, providers, case managers from child-serving agencies, and natural supports, such as family members, neighbors, friends, and clergy and all ancillary individuals who work together to develop and implement the member plan and are responsible for supporting the child and family in attaining their goals. ICC also provides an ICC coordinator who:

1. Ensures that medically necessary services are accessed, coordinated, and delivered in a strength-based, individualized, family/child driven and culturally and linguistically competent manner and that services and supports are guided by the needs of the child;
2. Facilitates a collaborative relationship among the child, their family, and systems involved in providing services to the child;
3. Supports the parent/caregiver in meeting their child's needs;
4. Helps establish the CFT and provides ongoing support; and
5. Organizes and matches care across providers and child-serving systems to allow the child to be served in their community.
6. Facilitates a CFT meeting that supports the process of the Integrated Core Practice Model. It includes but is not limited to an initial identification of the needs and strengths of the child or youth and family through initial engagement activities; ensuring a comprehensive shared plan is developed and implemented that builds on strengths and identifies intervention necessary to address their needs. The Contractor shall also manage the logistics of the meeting, including scheduling, ensuring participation of all team members, accountability for tasks and activities, between meetings, and high levels of communication between members as requires. The goal is to ensure that CFT meetings are productive and inclusive.
  - i. For children and youth receiving Specialty Mental Health Services (SMHS) that require a CFT, the CFT should assess the needs of the child or youth, and adapt a plan to address changing needs in a timely manner, but not less than every ninety (90) days. Urgent issues, such as safety concerns, risk of placement disruption, and/or ineffective supportive services, should be addressed immediately.

**E. Intensive Home Based Services (IHBS).** “Intensive Home Based Services (IHBS)” are individualized, strength-based interventions designed to ameliorate mental health conditions that interfere with a child’s functioning and are aimed at helping the child build skills necessary for successful functioning in the home and community and improving the child’s family’s ability to help the child successfully function in the home and community. IHBS services are provided in accordance with the Integrated



Core Practice Model by the Child and Family Team in coordination with the family's overall service plan which may include IHBS. Service activities may include, but are not limited to, assessment, treatment plan, therapy, and rehabilitation and include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. IHBS is provided to members under the age of 21 years who are eligible for the full scope of Medi-Cal services and who meet the access criteria for specialty mental health services.

**F. Medication Support Services.** "Medication Support Services" include prescribing, administering, dispensing and monitoring of psychiatric medications or biologicals that are necessary to alleviate the symptoms of mental illness. This service includes one or more of the following service components: evaluation of the need for medication; evaluation of clinical effectiveness and side effects; medication education including instruction in the use, risks, and benefits of and alternatives for medication; and treatment planning. Medication support services may include contact with significant support person(s) or other collaterals if the purpose of their participation is to focus on the treatment of the member. This service may also include assessing the appropriateness of reducing medication usage when clinically indicated. Medication support services may be provided face-to-face, by telephone, or by telehealth and may be provided anywhere in the community. Medication support services may be delivered as a standalone service or as a component of crisis stabilization.

**G. Peer Support Services.** "Peer Support Services" are culturally competent individual and group services that promote recovery, resiliency, engagement, socialization, self-sufficiency, self-advocacy, development of natural supports, and identification of strengths through structured activities such as group and individual coaching to set recovery goals and identify steps to reach the goals. Services aim to prevent relapse, empower members through strength-based coaching, support linkages to community resources, and to educate members and their families about their conditions and the process of recovery.

1. Peer support services may be provided with the member or significant support person(s) and may be provided in a clinical or non-clinical setting.
2. Peer support services can include contact with family members or other collaterals if the purpose of the collateral's participation is to focus on the treatment needs of the member by supporting the achievement of the member's treatment goals.
3. Peer support services are based on an approved plan of care and may be delivered as a standalone service.
4. Peer support services include one or more of the following service components:
  - i. Educational Skill Building Groups, which are groups provided in a supportive environment in which members and their families learn coping mechanisms and problem-solving skills in order to help the members achieve desired outcomes. These groups promote skill building for the members in the areas of socialization, recovery, self sufficiency, self-advocacy, development of natural supports, and maintenance of skills learned in other support services.
  - ii. Engagement, which means Peer Support Specialist led activities and coaching to encourage and support members to participate in behavioral health treatment. Engagement may include supporting members in their transitions

and supporting members in developing their own recovery goals and processes.

- iii. **Therapeutic Activity**, which means structured non-clinical activity provided by a Peer Support Specialist to promote recovery, wellness, self-advocacy, relationship enhancement, development of natural supports, self-awareness and values, and the maintenance of community living skills to support the member's treatment to attain and maintain recovery within their communities. These activities may include, but are not limited to, advocacy on behalf of the member; promotion of self-advocacy; resource navigation; and collaboration with the members and others providing care or support to the member, family members, or significant support person(s). (State Plan, Supplement 3 to Attachment 3.1-A, page 2 [TN 22-0023].)

5. Peer Support Services may be provided face-to-face, by telephone, or by telehealth with the member or significant support person(s) and may be provided anywhere in the community.

- H. Psychosocial Rehabilitation.** "Psychosocial Rehabilitation" means a recovery or resiliency focused service activity which addresses a mental health need. This service activity provides assistance in restoring, improving, and/or preserving a member's functional, social, communication, or daily living skills to enhance self-sufficiency or self-regulation in multiple life domains relevant to the developmental age and needs of the member. Psychosocial rehabilitation also includes support resources, and/or medication education. Psychosocial rehabilitation may be provided to a member or a group of members. (State Plan, Supplement 3 to Attachment 3.1-A, page 2a [TN 22-0023].)
- I. Targeted Case Management.** "Targeted case management" is a service that assists a member in accessing needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services. The service activities may include, but are not limited to, communication, coordination and referral; monitoring service delivery to ensure member access to services and the service delivery system; monitoring of the member's progress, placement services, and plan development.
- J. Therapeutic Behavioral Services (TBS).** "Therapeutic Behavioral Services (TBS)" are intensive, individualized, short-term outpatient treatment interventions for members up to the age of 21 years. Individuals receiving these services have serious emotional disturbances (SED) or are experiencing a stressful transition or life crisis and need additional short-term, specific support services.
- K. Treatment Planning.** "Treatment Planning" means a service activity to develop or update a member's course of treatment, documentation of the recommended course of treatment, and monitoring a member's progress. (State Plan, Supplement 3 to Attachment 3.1-A, page 2b [TN 22-0023].)
- L. Additional Services.** Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee in writing. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

#### **4. MEMBERS/PROGRAM CAPACITY.**

- A. The target census for provided services, described above in Section 3 (Services), is forty-seven (47) clients and their families. Members shall be moderate to severe in functioning children and youth, who are aged 0 to 21 years; diagnosed with serious emotional disturbance (SED) or are Medi-Cal beneficiaries diagnosed as needing specialty mental health services, as described in CCR, Title 9, Chapter 11, commencing with section 1810.100 et seq.; and are assessed at a high level of risk based on County's outcomes and level of care instrument, as directed and referred to Contractor by Behavioral Wellness.
  - B. The target Program staff-to-client ratio includes 1:13 [one (1.0) FTE direct service staff member per thirteen (13) members].
  - C. Contractor's caseload may fluctuate if members shift between the Program and Contractor's Pathways to Well-Being Program, as described in Exhibit A-2. The combined target total caseload served by the Program and Pathways to Well-Being is anticipated to include one hundred twenty-seven (127) members, annually.
5. **ADMISSION CRITERIA.** Members shall be moderate to severe in functioning children and youth who have a diagnosis of SED or are Medi-Cal beneficiaries diagnosed as needing specialty mental health services, as described in CCR, Title 9, Chapter 11, commencing with Section 1810.100 et seq., and assessed at a high level of risk based on County's outcomes and level of care instrument, as directed and referred to Contractor by Behavioral Wellness.
6. **REFERRALS.**
- A. Contractor shall admit members, referred by Behavioral Wellness Children's Clinic or from Child Welfare Services (CWS) Pathways to Well-Being (a.k.a. Katie A.) coordinators meeting, who appear to be sub-class level members.
  - B. Contractor shall respond to referrals and begin the admission process within three (3) business days.
  - C. Contractor shall not carry a waiting list and shall refer back to Behavioral Wellness any member for whom the Contractor is unable to initiate services within the stated timelines above.
  - D. **Referral Packet.** Contractor shall receive a referral packet for each member referred and treated. Hard copies of any packet documents that are available in the Behavioral Wellness Electronic Health Record (EHR) system shall be shredded by Contractor upon opening the member to the Program. The referral packet shall include:
    - 1. A copy of the County referral form or CWS Pathways to Well-Being (Katie A) screening/referral;
    - 2. A member face sheet listing all of the County programs that the member has been admitted to over time, and is currently admitted to, including hospitalizations;
    - 3. A copy of the most recent comprehensive assessment and/or assessment update;
    - 4. A copy of an updated treatment plan, if applicable, with the Contractor added as a provider of service;
    - 5. A copy of the most recent medication record and health questionnaire;

6. A copy of the currently valid Member Service Plan, as described below in Section 6 (CWS Pathways to Well-Being Referred Members), indicating the goals for member enrollment in the Program and identifying the Contractor as service provider;
7. Member's Medi-Cal Eligibility Database Sheet (MEDS) file printout, as provided to Contractor in the initial Referral Packet. Thereafter, it will be Contractor's responsibility to verify continued Medi-Cal eligibility; and
8. Written approval to provide services from public/private conservator or other legal guardian.

**7. MEMBER SERVICE PLAN.**

**A. For Shared Behavioral Wellness Members.**

- A. For shared Behavioral Wellness members, Behavioral Wellness shall complete an Assessment and Treatment Plan for each member referred to Intensive In-Home Services.
- B. The Contractor will work with County to develop an appropriate Member Service Plan with treatment goals specific to Intensive In-Home Services that augment the member's current County Behavioral Health services and ensure a Treatment Plan is in effect during treatment services.

**B. For CWS Pathway To Well Being Referred Members.**

- A. For CWS Pathway to Well-Being referred members, Assessments and Treatment Plans will be completed by Contractor for referrals that come directly from CWS for Pathways to Well-Being coordinator meetings (*Katie A.* members). The Contractor will develop the appropriate Member Service Plan with the goals and interventions that are specific to the Intensive In-Home level of care.
- B. Contractor shall review all cases at least quarterly to examine the member's need for continued treatment in the program.

8. **DISCHARGE PLAN.** Contractor shall work with the Behavioral Wellness Treatment Team to develop a discharge plan that is responsive to the member's needs and personal goals. Contractor shall follow Behavioral Wellness policy and procedures regarding discharges in conformity with Behavioral Wellness's role as the Mental Health Plan.

9. **DISCHARGE CRITERIA.** The appropriateness for member discharge shall be determined on a case-by-case basis. Criteria for discharge include:

- A. Treatment goals have been sufficiently met;
- B. The determination that the treatment goals have not been met as determined by the Behavioral Wellness Treatment Team and Contractor. The member and family shall be provided with referrals to a more appropriate treatment;
- C. The determination that significant progress has been made, even if not all goals have been met, such that the member and family no longer require the intensive level of services provided by the Program;
- D. The member or family's request to terminate services; or
- E. Relocation of member and family from the Program's service area.

## 10. STAFFING REQUIREMENTS.

- A. Program staffing is anticipated to include the following Full-Time Equivalent (FTE) positions:
  1. 3.6 FTE **Child and Family Specialists or Therapists**, who shall be licensed mental health professionals or waived/registered professionals as defined in Exhibit A1 Section 2 Staffing J of this Agreement. These positions may be utilized in other MHS funded programs within this Agreement.
  2. **Clinical Trainee**, as defined in Exhibit A1 Section 2 Staffing J of this Agreement.
    - a. Except as provided below in subsection b, Contractor may utilize interns or trainees as staff to provide services but only as is consistent with any and all applicable laws, regulations, and policies, as may be amended, and as follows:
      - i. Clinical Trainees who are under the direct supervision of Contractor's licensed mental health professionals, waived/registered professionals or licensed professional clinical counselors; and
      - ii. Clinical Trainees who have graduated and are in the 90-day period prior to obtaining their associate number if a Livescan is provided by the Contractor for the Clinical Trainee.
    - b. As applicable, assessment/reassessment and therapy services described above in Section 3 (Services) may only be provided by Clinical Trainees who are under the direct supervision of the Contractor's licensed mental health professionals, waived/registered professionals, or licensed professional clinical counselors.
- B. The Program shall include a combination of the Contractor and County staff, with County staff assuming responsibility for psychiatric treatment functions (i.e., functions performed by psychiatric and medication support to Program members who require these services. County staff shall work in conjunction with Contractor staff to deliver seamless, multi-disciplinary treatment, rehabilitation, and support services.
- C. Program staffing levels between the Intensive In-Home and Pathways to Well-Being programs may be adjusted as member volume fluctuates between the two programs.
- D. **Additional Staffing Requirements.** Staffing requirements are outlined in this Agreement based on anticipated number census. It is expected the Contractor may need to adjust staffing levels in response to changes in the member referrals and overall census. Contractor shall comply with changes to the staffing requirements under the Program that do not alter the maximum contract amount of the Agreement and are authorized by the Director of the Department of Behavioral Wellness or designee in writing. This obligation shall apply without the need for an amendment of this Agreement.

# **EXHIBIT B**

# **FINANCIAL PROVISIONS**

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**EXHIBIT B**  
**GENERAL FINANCIAL PROVISIONS: MHS**

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(Applicable to programs described in Exhibit A-2 to A-9)

With attached *Exhibit B-1* MHS (Schedule of Rates and Contract Maximum), *Exhibit B-2* (Entity Budget by Program) and *Exhibit B-3* (Entity Rates and Codes by Service Type).

This Agreement provides for reimbursement for services up to the Maximum Contract Amount, reflected in Section II below and Exhibit B-1-MHS. For Medi-Cal and all other services provided under this Agreement, Contractor shall comply with all applicable requirements necessary for reimbursement in accordance with Welfare and Institutions Code (WIC) §§ 14705-14711, and other applicable Federal, State and local laws, regulations, rules, manuals, policies, guidelines and directives.

**I. PAYMENT FOR SERVICES.**

- A. Medi-Cal Programs.** For Medi-Cal specialty mental health programs, the County reimburses all eligible providers on a fee-for-service basis pursuant to a fee schedule. Eligible providers claim reimbursement for services using appropriate Current Procedural Terminology (CPT®) or Healthcare Common Procedure Coding System (HCPCS) codes. Exhibit B-3 MHS contains a rate for each Eligible Practitioner or Service Type and the relevant CPT®/HCPCS code.
- B. Non-Medi-Cal Programs.** For Non-Medi-Cal programs and costs, Contractor shall be compensated on a cost reimbursement basis, subject to the limitations described in this Agreement and all exhibits hereto, for deliverables as established in the Exhibit B(s) based on satisfactory performance of the services described in Exhibit A(s).
- C. Medi-Cal Billable Services.** The services provided by Contractor as described in Exhibit A(s) that are covered by the Medi-Cal program will be paid based on the satisfactory performance of services and the fee schedule(s) as incorporated in Exhibit B-1 MHS of this Agreement.
- 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(s) to this Agreement. For Contractor Programs that are funded with Federal funds other than fee-for-service Medi-Cal, expenses shall comply with the requirements established in OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and all other applicable regulations. Violation of this provision or use of County funds for purposes other than those described in the Exhibit A(s) shall constitute a material breach of this Agreement.
- E. Funding Sources.** The Behavioral Wellness Director or designee may reallocate between funding sources with discretion, including to utilize and maximize any additional funding or FFP provided by local, State, or Federal law, regulation, policy, procedure, or program. Reallocation of funding sources does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.
- F. Member Liability for Payment.**
  - 1. Contractor shall not submit a claim to, or demand or otherwise collect reimbursement from, the member or persons acting on behalf of the member for any specialty mental health or related administrative services provided under this

Agreement, except to collect other health insurance coverage, share of cost, and co-payments. (Cal. Code Regs., tit. 9, § 1810.365 (a).)

2. Contractor shall not hold beneficiaries liable for debts in the event that County becomes insolvent; for costs of covered services for which the State does not pay County; for costs of covered services for which the State or County does not pay to Contractor; for costs of covered services provided under a contract, referral or other arrangement rather than from the County; or for payment of subsequent screening and treatment needed to diagnose the specific condition of or stabilize a member. (42 C.F.R. § 438.106 and Cal. Code Regs. tit 9, § 1810.365(c).)
3. Contractor shall not bill members for covered services under a contractual, referral, or other arrangement with Contractor in excess of the amount that would be owed by the member if Contractor had directly provided the services. (42 U.S.C. § 1396u-2(b)(6)(C).)

**G. Hold Harmless.**

1. Contractor acknowledges and agrees DHCS assumes no responsibility for the payment of Contractor for services performed pursuant to this Agreement. County accepts sole responsibility for the payment of Contractor for services performed pursuant to this Agreement.
2. Contractor agrees to hold harmless both the State and members in the event County cannot or does not pay for services performed by Contractor pursuant to this Agreement.

**II. MAXIMUM CONTRACT AMOUNT.**

The Maximum Contract Amount of this Agreement shall not exceed **\$3,694,440** in Mental Health funding, and shall consist of County, State, and/or Federal funds as shown in Exhibit B-1–MHS and subject to the provisions in Section I (Payment for Services). 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 FEE FOR SERVICE RATES**

**A. Fee-For-Service Rates.**

For Medi-Cal services, County agrees to reimburse Contractor at a Negotiated Fee-For-Service rate (the “Negotiated Fee”) during the term of this Agreement as specified in Exhibit B-1 and B-3 MHS. Specialty mental health services provided to Non-Medi-Cal members will be paid at the same rates. Reimbursement or payment under this provision is subject to the maximum amount specified in the Exhibit B-1 MHS for Medi-Cal and Non-Medi-Cal specialty mental health services.

Notwithstanding the foregoing, and at any time during the term of the Agreement, the Director of the Department of Behavioral Wellness or designee, in his or her sole discretion, may incorporate new codes and make fee-for-service rate changes to the Exhibit B-1 and B-3 MHS issued by the California Department of Health Care Services and may make rate changes to Exhibit B-1 and B-3 MHS for County’s operational reasons. Additionally, the Behavioral Wellness Director or designee, in his or her sole discretion, may make rate changes to or otherwise update Exhibit B-1 and B-3 MHS for multi-year contracts annually. Any changes to Exhibit B-1 and B-3 MHS shall not alter



the Maximum Contract Amount and shall not require an amendment to this Agreement but shall be in writing.

- B. Operating Budget.** For Non Medi-Cal Programs, Contractor shall provide County with an Operating Budget on a format acceptable to, or provided by County, based on costs of net of revenues as described in this Exhibit B-MHS, Section VI (Accounting for Revenues). The approved Operating Budget shall be attached to this Agreement as Exhibit B-2. County may disallow any expenses in excess of the adopted operating budget. Contractor shall request, in advance, approval from County for any budgetary changes. Indirect costs are limited to 15% of direct costs for each program and must be allocated in accordance with a cost allocation plan that adheres with OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

#### **IV. MEMBER FLEXIBLE SUPPORT FUNDS.**

For Medi-Cal FSP programs, Contractor will receive a funding allocation to provide members with flexible support for costs including but not limited to housing, items necessary for daily living, and therapeutical support. Contractor shall abide by requirements in Behavioral Wellness Policy and Procedure #19.007 for member flexible support costs. Contractor shall maintain documentation to support member flexible support costs and submit financial statements to County monthly in accordance with Exhibit B MHS, Section VIII.B (Monthly Financial Statements) below.

#### **V. QUALITY ASSURANCE (QA)/UTILIZATION MANAGEMENT (UM) INCENTIVE PAYMENT.**

- A.** County will provide Contractor with an incentive payment at fiscal year-end should the following deliverables be achieved. The incentive payment will be equal to 4% of total approved Medi-Cal claims (2% Quality Assurance and 2% Utilization Management) and will be payable upon proof of completion of deliverables and conclusion of regular Medi-Cal claiming for the fiscal period. The incentive payment will not be applied to unclaimed and/or denied services. Documentation must be maintained to substantiate completion of the deliverables and submitted via Smartsheet or as directed by County.

1. QA deliverables include:

- i. Contractor shall hire or designate existing staff to implement quality assurance type activities. The designated QA staff member shall be communicated to the County.
- ii. Contractor shall provide a monthly report to QCM consisting of documentation reviews performed, associated findings, and corrective action. The QA reports shall be received by County no later than 30 calendar days following the end of the month being reported. By the end of the fiscal year, all 12 monthly QA reports must be submitted to the County to receive the incentive payment.
- iii. Contractor QA staff or their designee shall attend at least four out of six bi-monthly County Quality Improvement Committee (QIC) meetings each fiscal year. Attendance to be monitored via sign-in sheets.

2. UM deliverables include:

- i. Contractor shall hire or utilize existing staff to implement utilization management type activities. The designated UM staff member shall be communicated to the County.
  - ii. For practitioner-based programs, Contractor shall implement procedures to monitor productivity including the submission of monthly reports on productivity for each direct service staff member (direct billed hours to total paid hours). Total paid hours is equal to 2,080 per full time equivalent (FTE) position and should be adjusted for part time employment. Reports will be due within 30 calendar days following the end of the reporting month.
  - iii. For day programs, Contractor shall implement procedures to monitor bed occupancy including the submission of monthly reports on bed vacancies and reasons for vacancies. Reports shall detail the dates of member discharges and the date the notifications were provided to the County. Reports will be due within 30 calendar days following the end of the reporting month.
3. For Medi-Cal Full Service Partnership Programs, County will provide Contractor with an incentive payment at fiscal year end should the following deliverables be achieved. The incentive payment will be equal to an additional 6% of total approved Medi-Cal claims (6% FSP QA claim) and will be payable upon proof of completion of deliverables and conclusion of regular Medi-Cal claiming for the fiscal period. The incentive payment will not be applied to unclaimed and/or denied services. Documentation must be maintained to substantiate completion of the deliverables.
  - i. FSP QA deliverables include:
    - a. Contractor will report quarterly on additional member outcomes concerning specific, measurable outcomes for members engaged in purposeful activities. Exact additional outcomes will be determined by Contractor and BWell director or designee.
    - b. Contractor will create annual report that measures growth in member's engagement in purposeful activity.
    - c. Contractor will attend monthly meetings in which Contractor and County will conduct a consistent review of members who have been in the programs for two years or longer and do a case review to see which level of care they need.
    - d. Contractor will report the results of the monthly utilization reviews on a quarterly basis to County.
4. The Behavioral Wellness Director or designee may reallocate between the contract allocations on the Exhibit B-1 MHS at his/her discretion to increase or decrease the incentive payment. Reallocation of the contract allocations does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

## **VI. ACCOUNTING FOR REVENUES.**

- A. Accounting for Revenues.** Contractor shall comply with all County, State, and Federal requirements and procedures, including, but not limited to, those described in California Welfare and Institutions Code (WIC) Sections 5709, 5710 and 14710, relating to: (1) the determination and collection of patient/member fees for services hereunder based on Uniform Method for Determining Ability to Pay (UMDAP), (2) the eligibility of

patients/members for Medi-Cal, Medicare, private insurance, or other third party revenue, and (3) the collection, reporting and deduction of all patient/member and other revenue for patients/members receiving services hereunder. For Non-Medi-Cal programs, 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/members receiving services under this Agreement shall be utilized by Contractor only for the delivery of service units specified in the Exhibit A(s) to this Agreement.

## **VII. REALLOCATION OF PROGRAM FUNDING.**

Funding is limited by program to the amount specified in Exhibit B-1-MHS. Contractor cannot move funding between programs without explicit approval by Behavioral Wellness Director or designee. Contractor shall make written application to Behavioral Wellness Director or designee, in advance and no later than April 1 of each Fiscal Year, to reallocate funds as outlined in Exhibit B-1-MHS between programs, for the purpose of meeting specific program needs or for providing continuity of care to its members. 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 Behavioral Wellness Director's or designee decision of whether to allow the reallocation of funds shall be in writing to Contractor prior to implementation by Contractor. The Behavioral Wellness Director or designee also reserves the right to reallocate between programs in the year-end settlement and will notify Contractor of any reallocation during the settlement process.

## **VIII. BILLING AND PAYMENT PROCEDURES AND LIMITATIONS.**

### **A. Submission of Claims and Invoices.**

1. **Submission of Claims for Medi-Cal Services.** Services are to be entered into SmartCare based on timeframes prescribed in the Behavioral Wellness Clinical Documentation Manual. Late service data and claims may only be submitted in accordance with State and federal regulations. Behavioral Wellness shall provide to Contractor a report that: i) summarizes the Medi-Cal services approved to be claimed for the month, multiplied by the negotiated fee in effect at the time of service, ii) states the amount owed by County, and iii) includes the Agreement number.

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.

If any services in the monthly Medi-Cal claim for the Contractor are denied by DHCS then these will be deducted from the subsequent monthly claim at the same value for which they were originally claimed. In the event that the State denies payment for services provided under this contract and such denial is later determined to be the result of inappropriate adjudication by the State, the County reserves the right to issue a credit to the Contractor for the denied services at the

rates identified in Exhibit B-1 and B-3 MHS.

## 2. **Submission of Claims for Medicare Services.**

- i. **Provider Enrollment.** Contractors that provide service to members that are eligible for both Medicare and Medi-Cal (AKA Medi-Medi) shall have Medicare eligible practitioner types enrolled in the Medicare program. The following are Medicare eligible licensed practitioners that provide service to County programs in this Agreement and must be enrolled in the Medicare program: Marriage and Family Therapist, Clinical Psychologist, Clinical Social Worker, Professional Clinical Counselor, Nurse Practitioner, Physician Assistant, and Medical Doctor. If any of the Contractor's eligible licensed practitioners have submitted a Medicare "Opt-Out" affidavit and are therefore opted-out of Medicare, these practitioners' services cannot be billed to Medicare and are not billable to Medi-Cal. *Opted-Out Medicare eligible practitioners are therefore ineligible service providers for Medi-Medi members.*
- ii. **Medi-Medi.** The County won't assume financial responsibility or reimburse for services provided to Medi-Medi members by ineligible service providers due to opting out of Medicare.
- iii. **Member Medicare Eligibility.** Contractor is responsible for identifying Medicare as a payor in the SmartCare EHR system. County only assumes financial responsibility for members that are dual eligible for Medicare and Medi-Cal. Services provided to members who have only Medicare, but not Medi-Cal are not eligible for reimbursement under this Agreement.
- iv. **Claims Adjudication.** For Medi-Medi member services, Contractor has the option to claim services to the Medicare fiscal intermediary directly or have the County process dual eligible claims on their behalf. If Contractor chooses to bill Medicare directly, Contractor is solely responsible to ensure proper Medicare registration and maintenance of such. Contractor shall notify Behavioral Wellness Fiscal within 30 days of the beginning of the contract term whether they want County to bill Medicare on their behalf. If the Contractor opts to bill the Medicare fiscal intermediary directly then they shall provide the County with Medicare claim(s) adjudication data which would allow the County to submit a crossover claim to the State Department of Health Care Services for the Medi-Cal adjudication and payment. If Contractor opts to bill Medicare directly then the claims adjudication data would be due monthly to Behavioral Wellness within 15 days following the close of each month.
- v. **Submission of Claims for Medicare Services.** For Medi-Medi member services, services are to be entered into the SmartCare EHR system based on timeframes prescribed in the Behavioral Wellness Clinical Documentation Manual. Late service data and claims may only be submitted in accordance with State and federal regulations. 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.
- vi. **Claims Processing and Payment.** Services provided to members who are eligible for Medicare and Medi-Cal (Medi-Medi) will be claimed based on the

guidelines outlined in the DHCS Billing Manual and Centers for Medicare & Medicaid Services (CMS) guidance. Contractor will be reimbursed for dual eligible members at the Medi-Cal fee-for-service rates in the Exhibit B-3 consistent with the payment terms for Medi-Cal approved services. The Medicare payment received by the County will be reported to DHCS within the subsequent Medi-Cal claim, thereby reducing the charge to Medi-Cal by the paid Medicare amount. County will issue a single payment for the service, at the fee-for-service rate in Exhibit B-3. Alternatively, if Contractor bills Medicare directly, then the Medicare payment received by the contractor must be offset from the fee-for-service rates paid by the County or remitted to the County. Services for members with Medicare coverage only (not Medi-Medi) shall not be entered into SmartCare EHR, nor processed or paid by County. The fee schedule in Exhibit B-3 is therefore not applicable for Medicare only members. The Contractor is therefore solely responsible to follow all CMS regulations and provisions that govern Medicare member deductibles, co-pays and payments for services.

3. **Submission of Claims for Non Medi-Cal Programs.** Contractor shall submit a written invoice within 15 calendar days of the end of the month in which non-Medi-Cal services are delivered that: i) depicts the actual costs of providing the services less any applicable revenues, 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 VIII.A.1 (Submission of Claims for Medi-Cal Services) of this Exhibit B MHS. Actual cost is the actual amount paid or incurred, including direct labor and costs supported by financial statements, time records, invoices, and receipts.
4. **Timing of Payment.** The Program Contract Maximums specified in Exhibit B-1-MHS and this Exhibit B MHS are intended to cover services during the entire term of the Agreement, unless otherwise specified in the Exhibit A(s) to this Agreement (such as time-limited or services tied to the school year). Under no circumstances shall Contractor cease services prior to June 30 due to an accelerated draw down of funds earlier in the Fiscal Year. Failure to provide services during the entire term of the Agreement may be considered a breach of contract and subject to the Termination provisions specified in the Agreement.

The Behavioral Wellness Director or designee shall review the monthly claim(s) and invoices to confirm accuracy of the data submitted. County shall make payment for approved Medi-Cal claims within thirty (30) calendar days of the generation of said claim(s) by County subject to the contractual limitations set forth in this Agreement and all exhibits hereto. Non-Medi-Cal programs will be paid within 30 days of the receipt of a complete invoice and all requested supporting documentation.

- B. **Monthly Financial Statements.** For Non-Medi-Cal programs and costs, within 15 calendar days of the end of the month in which 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 the Exhibit A(s).
- C. **Withholding of Payment for Non-submission of Service Data and Other Information.** If any required service 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 Behavioral Wellness Director or designee. Behavioral Wellness Director or designee shall review such submitted service data within sixty (60) calendar days of receipt.

**D. Withholding of Payment for Unsatisfactory Clinical Documentation.** Behavioral Wellness Director or designee shall have the option to deny payment for services when documentation of clinical services does not meet minimum Federal, State and County written standards. County may also deny payment for services that are provided without a current member service plan when applicable authorities require a plan to be in place.

**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 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 services entered by Contractor into County's EHR for any payor sources covered by this Agreement are true and accurate to the best of Contractor's knowledge.

**G. Overpayments.** If the Contractor discovers an overpayment, Contractor must notify the County in writing of the reason for the overpayment. Any overpayments of contractual amounts must be returned via direct payment within 30 calendar days to the County after the date on which the overpayment was identified. County may withhold amounts from future payments due to Contractor under this Agreement or any subsequent agreement if Contractor fails to make direct payment within the required timeframe.

**IX. REPORTS.**

**A. Audited Financial Reports.** Contractor is required to obtain an annual financial statement audit and 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.

**B. Single Audit Report.** If Contractor is required to perform a single audit and/or program specific audit, per the requirements of OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements of Federal Awards, Contractor shall submit a copy of such single audit to County within thirty (30) days of receipt.

**X. AUDITS AND AUDIT APPEALS.**

- 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 WIC Section 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 under this Agreement.
- 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 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. If an audit adjustment is appealed then the County may, at its own discretion, notify Contractor but stay collection of amounts due until resolution of the State administrative appeals process.
- C. Invoice for Amounts Due.** County shall issue an invoice to Contractor for any amount due to the 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 Responsible Auditing Party performing the audit.

## **XI. CONTINGENCY PAYMENT PROVISIONS**

### **A. Contingency Invoicing Plan (CIP)**

If the SmartCare EHR system causes delays or challenges to the extent that services cannot be claimed (and paid to the provider) within 45 days of the service month-end, the County will activate the Contingency Invoicing Plan (CIP) outlined below:

1. **Notification and Submission.** Within 4 calendar days of determining that claiming will be delayed beyond the standard claiming window, the County will initiate the CIP and request the Contractor to electronically submit financial statements to [FinanceCBO@sbcbswell.org](mailto:FinanceCBO@sbcbswell.org).
2. **Review and Payment.** Upon receiving the financial statements, the County will review them. If found satisfactory, payment to the Contractor will be issued within 15 days. The payment will be calculated based on the lower of actual costs less applicable revenues or 1/12th of the Maximum Contract Allocation for Medi-Cal Patient Revenue on a cumulative year-to-date basis. If payment is based on actual costs, it will be further limited by the Medi-Cal penetration rate in the contract.
3. **Resolution and Adjustment.** If the EHR delays or challenges are resolved during the invoice processing period, payment will be based on the services claimed in the system instead of the CIP protocol. Any payments made under the CIP will be reconciled back to actual claimed services once the system claiming functionality is fully validated, and claiming issues are resolved.

4. **Monthly Determination.** The decision on whether to use CIP will be made by the Director of the Department of Behavioral Wellness or designee in his or her sole discretion on a monthly basis, considering the prevailing circumstances.





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**EXHIBIT B-2**  
**ENTITY BUDGET BY PROGRAM**

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**Santa Barbara County Department of Behavioral  
Wellness Contract Budget Packet  
Entity Budget By Program**

AGENCY NAME: Child Abuse Listening Mediation

COUNTY FISCAL YEAR: FY 25-26

LINE #	COLUMN #	1	2	3
	I.A REVENUE SOURCES:		COUNTY BEHAVIORAL WELLNESS PROGRAMS TOTALS	PEI-ECMH
1	Contributions		\$ 22,899	\$ 22,899
2	Foundations/Trusts		\$ -	
3	Miscellaneous Revenue		\$ -	
4	Behavioral Wellness Funding		\$ 481,374	\$481,374
5	Other Government Funding		\$ -	
6	Other (Endowment Draw and Rent)		\$ -	
7	Total Other Revenue		\$ 504,273	\$504,273
	I.B Client and Third Party Revenues:			
8	Client Fees		-	
9	Total Client and Third Party Revenues		\$ -	\$ -
10	GROSS PROGRAM REVENUE BUDGET		\$ 504,273	\$504,273

**EXHIBIT B-2****ENTITY BUDGET BY PROGRAM (CONTINUED)**

	III. DIRECT COSTS	COUNTY BEHAVIORAL WELLNESS PROGRAMS TOTALS	PEI-ECMH
	III.A. Salaries and Benefits Object Level		
11	Salaries (Complete Staffing Schedule)	\$ 281,684	\$281,684
12	Employee Benefits and Taxes	\$ 107,040	\$107,040
13	On Call	\$ -	\$ -
14	Salaries and Benefits Subtotal	\$ 388,724	\$388,724
	III.B Services and Supplies Object Level		
15	Mileage	\$ 6,881	\$ 6,881
16	Building operating costs	\$ 28,764	\$ 28,764
17	Consulting IT / Database	\$ 4,731	\$ 4,731
18	Education and Training	\$ 3,760	\$ 3,760
19	Telephone	\$ -	\$ -
20	Program Supplies	\$ 5,639	\$ 5,639
21	Services and Supplies Subtotal	\$ 49,775	\$ 49,775
	III.C. Client Expense Object Level Total (Not Medi-Cal Reimbursable)	\$ -	\$ -
22		\$ -	
23	SUBTOTAL DIRECT COSTS	\$ 438,499	\$438,499
	IV. INDIRECT COSTS		
24	Administrative Indirect Costs (Reimbursement limited to 15%)	\$ 65,774	\$ 65,774
25	GROSS DIRECT AND INDIRECT COSTS	\$ 504,273	\$504,273

### EXHIBIT B-3

#### ENTITY RATES AND CODES BY SERVICE TYPE

##### Behavioral Health Provider Fees

Provider type	Hourly Rate (Avg. Direct Bill rate)	Taxonomy Codes
<b>Psychologist/ Pre-licensed Psychologist</b>	\$406.88	102L, 103G, 103T
<b>LPHA</b>	\$263.30	1012, 101Y, 102X, 103K, 106H, 1714, 222Q, 225C, 2256
<b>LCSW</b>	\$263.30	106E, 1041
<b>Peer Recovery Specialist</b>	\$208.01	175T
<b>Mental Health Rehab Specialist</b>	\$198.11	146D, 146L, 146M, 146N, 171M, 174H, 1837, 2217, 224Y, 224Z, 2254, 2258, 225A, 2260, 2263, 246Y, 246Z, 2470, 274K, 374T, 376K, 3902, 4053
<b>Other Qualified Providers</b>	\$198.11	171R, 172V, 3726, 373H, 374U, 376J

Code (1)	Code Description	Code Type	Time Associated with Code (Mins) for Purposes of Rate
90785	Interactive Complexity	Supplemental Service Codes	Occurrence
90791	Psychiatric Diagnostic Evaluation, 15 Minutes	Assessment Codes	15
90832	Psychotherapy, 30 Minutes with Patient	Therapy Codes	27
90834	Psychotherapy, 45 Minutes with Patient	Therapy Codes	45
90837	Psychotherapy, 60 Minutes with Patient	Therapy Codes	60
90839	Psychotherapy for Crisis, First 30-74 Minutes 84	Crisis Intervention Codes	52
90840	Psychotherapy for Crisis, Each Additional 30 Minutes	Crisis Intervention Codes	30
90845	Psychoanalysis, 15 Minutes	Therapy Codes	15
90847	Family Psychotherapy [Conjoint Psychotherapy] (with Patient Present), 50 Minutes	Therapy Codes	50
90849	Multiple-Family Group Psychotherapy, 15 Minutes	Therapy Codes	15
90853	Group Psychotherapy (Other Than of a Multiple-Family Group), 15 Minutes	Therapy Codes	15
90885	Psychiatric Evaluation of Hospital Records, Other Psychiatric Reports, Psychometric and/or Projective Tests, and Other Accumulated Data for Medical Diagnostic Purposes, 15 Minutes	Assessment Codes	15
90887	Interpretation or Explanation of Results of Psychiatric or Other Medical Procedures to Family or Other Responsible Persons, 15 Minutes	Supplemental Service Codes	15
96105	Assessment of Aphasia, per Hour	Assessment Codes	60
96110	Developmental Screening, 15 Minutes	Assessment Codes	15
96112	Developmental Testing, First Hour	Assessment Codes	60
96113	Developmental Testing, Each Additional 30 Minutes	Assessment Codes	30
96116	Neurobehavioral Status Exam, First Hour	Assessment Codes	60
96121	Neurobehavioral Status Exam, Each Additional Hour	Assessment Codes	60

### EXHIBIT B-3

#### ENTITY RATES AND CODES BY SERVICE TYPE

##### Behavioral Health Provider Fees continued

Code (1)	Code Description	Code Type	Time Associated with Code (Mins) for Purposes of Rate
96125	Standardized Cognitive Performance Testing, per Hour	Assessment Codes	60
96127	Brief Emotional/Behavioral Assessment, 15 Minutes	Assessment Codes	15
96130	Psychological Testing Evaluation, First Hour	Assessment Codes	60
96131	Psychological Testing Evaluation, Each Additional Hour	Assessment Codes	60
96132	Neuropsychological Testing Evaluation, First Hour	Assessment Codes	60
96133	Neuropsychological Testing Evaluation, Each Additional Hour	Assessment Codes	60
96136	Psychological or Neuropsychological Test Administration, First 30 Minutes	Assessment Codes	30
96137	Psychological or Neuropsychological Test Administration, Each Additional 30 Minutes	Assessment Codes	30
96146	Psychological or Neuropsychological Test Administration, 15 Minutes	Assessment Codes	15
96161	Caregiver Assessment Administration of Care- Giver Focused Risk Assessment, 15 Minutes	Supplemental Service Codes	15
98966	Telephone Assessment and Management Service, 5-10 Minutes	Assessment Codes	8
98967	Telephone Assessment and Management Service, 11-20 Minutes	Assessment Codes	16
98968	Telephone Assessment and Management Service, 21-30 Minutes	Assessment Codes	26
99366	Medical Team Conference with Interdisciplinary Team of Health Care Professionals, Participation by Non- Physician. Face-to-face with Patient and/or Family. 30 Minutes or More	Plan Development Codes	60
99368	Medical Team Conference with Interdisciplinary Team of Health Care Professionals, Participation by Non- Physician. Patient and/or Family Not Present. 30 Minutes or More	Plan Development Codes	60
99484	Care Management Services for Behavioral Health Conditions, Directed by Physician. At Least 20 Minutes	Plan Development Codes	60
G2212	Prolonged Outpatient Service beyond the Maximum Time; Each Additional 15 Minutes ( <i>automatically added by SmartCare as appropriate</i> )	Add-on Code	15
H0025	Behavioral health prevention education service (delivery of services with target population to affect knowledge, attitude and/or behavior)	Peer Support Services Codes	15
H0031	Mental Health Assessment by Non- Physician, 15 Minutes	Assessment Codes	15
H0032	Mental Health Service Plan Developed by Non-Physician, 15 Minutes	Plan Development Codes	15
H0033	Oral Medication Administration, Direct Observation, 15 Minutes	Medication Support Codes	15
H0038	Self-help/peer services per 15 minutes	Peer Support Services Codes	15
H2000	Comprehensive Multidisciplinary Evaluation, 15 Minutes	Assessment Codes	15
H2011	Crisis Intervention Service, per 15 Minutes	Crisis Intervention Codes	15
H2017	Psychosocial Rehabilitation, per 15 Minutes	Rehabilitation Codes	15
H2019	Therapeutic Behavioral Services, per 15 Minutes	Therapeutic Behavioral Services	15
H2021	Community-Based Wrap-Around Services, per 15 Minutes 129	Rehabilitation Codes	15
T1013	Sign Language or Oral Interpretive Services, 15 Minutes	Supplemental Service Codes	15
T1017	Targeted Case Management, Each 15 Minutes	Referral Codes	15

(1) The State Department of Health Care Services (DHCS) routinely updates CPT and HCPC codes. Refer to the DHCS County Claims Customer Services Library 'Specialty Mental Health Services Table' online at <https://www.dhcs.ca.gov/services/MH/Pages/MedCCC-Library.aspx> for a complete list of codes and associated billing requirements.

**EXHIBIT C**  
**STANDARD**  
**INDEMNIFICATION**  
**AND**  
**INSURANCE PROVISIONS**

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## EXHIBIT C

### INDEMNIFICATION AND INSURANCE REQUIREMENTS

(For contracts involving the care/supervision of children, seniors or vulnerable persons)

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#### INDEMNIFICATION

CONTRACTOR agrees to indemnify, defend (with counsel reasonably approved by COUNTY) and hold harmless COUNTY and its officers, officials, employees, agents and volunteers from and against any and all claims, actions, losses, damages, judgments and/or liabilities arising out of this Agreement from any cause whatsoever, including the acts, errors or omissions of any person or entity and for any costs or expenses (including but not limited to attorneys' fees) incurred by COUNTY on account of any claim except where such indemnification is prohibited by law. CONTRACTOR'S indemnification obligation applies to COUNTY'S active as well as passive negligence but does not apply to COUNTY'S sole negligence or willful misconduct.

#### NOTIFICATION OF ACCIDENTS AND SURVIVAL OF INDEMNIFICATION PROVISIONS

CONTRACTOR shall notify COUNTY immediately in the event of any accident or injury arising out of or in connection with this Agreement. The indemnification provisions in this Agreement shall survive any expiration or termination of this Agreement.

#### INSURANCE

CONTRACTOR shall procure and maintain for the duration of this Agreement insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder and the results of that work by the CONTRACTOR, its agents, representatives, employees or subcontractors.

##### A. Minimum Scope of Insurance

Coverage shall be at least as broad as:

1. **Commercial General Liability (CGL):** Insurance Services Office (ISO) Form CG 00 01 covering CGL on an "occurrence" basis, including products-completed operations, personal & advertising injury, with limits no less than \$1,000,000 per occurrence and \$2,000,000 in the aggregate.
2. **Automobile Liability:** Insurance Services Office Form Number CA 0001 covering, Code 1 (any auto), or if CONTRACTOR has no owned autos, Code 8 (hired) and 9 (non-owned), with limit no less than \$1,000,000 per accident for bodily injury and property damage.
3. **Workers' Compensation:** Insurance as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than \$1,000,000 per accident for bodily injury or disease. *(Not required if CONTRACTOR provides written verification that it has no employees)*
4. **Professional Liability:** (Errors and Omissions) Insurance appropriate to the CONTRACTOR'S profession, with limit no less than \$2,000,000 per occurrence or claim, \$2,000,000 aggregate.

5. **Sexual Misconduct Liability:** Insurance covering actual or alleged claims for sexual misconduct and/or molestation with limits of not less than \$2,000,000 per claim and \$2,000,000 aggregate, and claims for negligent employment, investigation, supervision, training or retention of, or failure to report to proper authorities, a person(s) who committed any act of abuse, molestation, harassment, mistreatment or maltreatment of a sexual nature.

If the CONTRACTOR maintains broader coverage and/or higher limits than the minimums shown above, the COUNTY requires and shall be entitled to the broader coverage and/or the higher limits maintained by the CONTRACTOR. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the COUNTY.

**B. Other Insurance Provisions**

The insurance policies are to contain, or be endorsed to contain, the following provisions:

1. **Additional Insured** – COUNTY, its officers, officials, employees, agents and volunteers are to be covered as additional insureds on the CGL policy with respect to liability arising out of work or operations performed by or on behalf of the CONTRACTOR including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to the CONTRACTOR’S insurance at least as broad as ISO Form CG 20 10 11 85 or both CG 20 10, CG 20 26, CG 20 33, or CG 20 38; and CG 20 37 forms if later revisions used).
2. **Primary Coverage** – For any claims related to this contract, the CONTRACTOR’S insurance coverage shall be primary insurance primary coverage at least as broad as ISO CG 20 01 04 13 as respects the COUNTY, its officers, officials, employees, and volunteers. Any insurance or self-insurance maintained by the COUNTY, its officers, officials, employees, or volunteers shall be excess of the CONTRACTOR’S insurance and shall not contribute with it.
3. **Notice of Cancellation** – Each insurance policy required above shall provide that coverage shall not be canceled, except with notice to the COUNTY.
4. **Waiver of Subrogation Rights** – CONTRACTOR hereby grants to COUNTY a waiver of any right to subrogation which any insurer of said CONTRACTOR may acquire against the COUNTY by virtue of the payment of any loss under such insurance. CONTRACTOR agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation, but this provision applies regardless of whether or not the COUNTY has received a waiver of subrogation endorsement from the insurer.
5. **Deductibles and Self-Insured Retention** – Any deductibles or self-insured retentions must be declared to and approved by the COUNTY. The COUNTY may require the CONTRACTOR to purchase coverage with a lower deductible or retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention.



6. **Acceptability of Insurers** – Unless otherwise approved by Risk Management, insurance shall be written by insurers authorized to do business in the State of California and with a minimum A.M. Best’s Insurance Guide rating of “A- VII”.
7. **Verification of Coverage** – CONTRACTOR shall furnish the COUNTY with proof of insurance, original certificates and amendatory endorsements as required by this Agreement. The proof of insurance, certificates and endorsements are to be received and approved by the COUNTY before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive the CONTRACTOR’S obligation to provide them. The CONTRACTOR shall furnish evidence of renewal of coverage throughout the term of the Agreement. The COUNTY reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time.
8. **Failure to Procure Coverage** – In the event that any policy of insurance required under this Agreement does not comply with the requirements, is not procured, or is canceled and not replaced, COUNTY has the right but not the obligation or duty to terminate the Agreement. Maintenance of required insurance coverage is a material element of the Agreement and failure to maintain or renew such coverage or to provide evidence of renewal may be treated by COUNTY as a material breach of contract.
9. **Subcontractors** – CONTRACTOR shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and CONTRACTOR shall ensure that COUNTY is an additional insured on insurance required from subcontractors.
10. **Claims Made Policies** – If any of the required policies provide coverage on a claims-made basis:
  - i. The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work.
  - ii. Insurance must be maintained and evidence of insurance must be provided for at least five (5) years after completion of contract work.
  - iii. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, the CONTRACTOR must purchase “extended reporting” coverage for a minimum of five (5) years after completion of contract work.
11. **Special Risks or Circumstances** – COUNTY reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

Any change requiring additional types of insurance coverage or higher coverage limits must be made by amendment to this Agreement. CONTRACTOR agrees to execute any such amendment within thirty (30) days of receipt.

Any failure, actual or alleged, on the part of COUNTY to monitor or enforce compliance with any of the insurance and indemnification requirements will not be deemed as a waiver of any rights on the part of COUNTY.

**EXHIBIT D**  
**CERTIFICATION REGARDING**  
**LOBBYING**

**Attachment 1**  
**State of California Department of Health Care Services**

**CERTIFICATION REGARDING LOBBYING**

The recipient certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making, awarding or entering into of this Federal contract, Federal grant, or cooperative agreement, and the extension, continuation, renewal, amendment, or modification of this Federal contract, grant, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency of the United States Government, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, or cooperative agreement, the undersigned must complete and submit Standard Form LLL, "Disclosure of Lobbying Activities" (Attachment 2) in accordance with its instructions.
3. The recipient must require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontractors, subgrants, and contracts under grants and cooperative agreements) of \$100,000 or more, and that all subrecipients must certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C., any person who fails to file the required certification will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

By signing or otherwise accepting the Agreement, the recipient certifies and files this Attachment 1. **CERTIFICATION REGARDING LOBBYING**, as required by Section 1352, Title 31, U.S.C., unless the conditions stated in paragraph 2 above exist. In such case, the awardee/contractor must complete and sign Attachment 2.

<p>CALM, Inc.</p> <hr/> <p>Name of Contractor</p>  <hr/> <p>Contract / Grant Number</p> <p>6/20/2025</p> <hr/> <p>Date</p>	<p>Adolfo Garcia</p> <hr/> <p>Printed Name of Person Signing for Contractor</p> <p><small>Signed by:</small></p> <p><i>Adolfo Garcia</i></p> <hr/> <p><small>6FBFC659361B407...</small></p> <p>Signature of Person Signing for Contractor</p> <hr/> <p>Chief Operating Officer</p> <hr/> <p>Title</p>
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After execution by or on behalf of Contractor, please return to:

Santa Barbara County Department of Behavioral Wellness Contracts Division  
 Attn: Contracts Manager  
 429 N. San Antonio Rd.  
 Santa Barbara, CA 93110

County reserves the right to notify the contractor in writing of an alternate submission address.

## Attachment 2

### CERTIFICATION REGARDING LOBBYING

Approved by OMB (0348-0046)  
Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

1. Type of Federal Action:		2. Status of Federal Action:		3. Report Type:	
—	a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	—	a. bid/offer/application b. initial award c. post-award		a. initial filing b. material change  For Material Change Only: Year_____ quarter_____ date of last report_____.
4. Name and Address of Reporting Entity:				5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:	
<input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier , if known:  Congressional District, If known:				Congressional District, If known:	
6. Federal Department/Agency				7. Federal Program Name/Description:	
				CDFA Number, if applicable:	
8. Federal Action Number, if known:				9. Award Amount, if known:	
10.a. Name and Address of Lobbying Registrant (If individual, last name, first name, MI):				b. Individuals Performing Services (including address if different from 10a. (Last name, First name, MI):	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person that fails to file the required disclosure shall be subject to a not more than \$100,000 for each such failure.					
Signature:					
Print Name:					
Title:					
Telephone Number:					
Date:					
<b>Federal Use Only</b>				Authorized for Local Reproduction Standard Form-LLL (Rev. 7-97)	

## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grant.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

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



**EXHIBIT E-1**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**PATHWAYS TO WELL-BEING**

Program Evaluation Pathways to Well-Being		
Program Goals	Outcomes	% (unless otherwise indicated)
Census Information	Unique Members Served	#
	Enrollments	#
	Discharges	#
1. <b>Symptom Acuity.</b> Reduce mental health and substance abuse symptoms resulting in reduced utilization of involuntary care and emergency rooms for mental health and physical health problems.	A. Incarcerations/Juvenile Hall	≤5
	B. <b>Of those with an incarceration:</b> Follow up after discharge from jail/juvenile hall within 7 days	≥95
	C. Psychiatric inpatient admissions	≤5
	D. <b>Of those with an inpatient admission:</b> Follow up after discharge from inpatient hospital within 7 days	≥95
	E. Crisis Services	≤10
	F. CANS (% completed)	≥95
	G. CANS Improvement in 3+ Domains (report % positive change by domain)	≥10 (in 3 of 6 domains)
	H. PSC (% completed)	≥95
2. <b>Stabilization in Community.</b> Assist members in their mental health recovery process and with developing the skills necessary to lead independent, healthy, and productive lives in the community	A. Stable/permanent housing	≥95
	B. Engaged in purposeful activity (educational, vocational, volunteer)	≥95
	C. <b>Of those who discharged:</b> % who transitioned to a lower level of care (or graduated / discharged because care no longer needed or medical necessity not met)	≥85
	D. <b>Of those who discharged:</b> % who transitioned to a higher level of care	≤15
	E. New out of primary home placements (county & out-of-county)	≤5

Contractor shall comply with amendments or modifications to Exhibit E(s) that do not alter the maximum contract amount of the Agreement and are authorized by the Director of the Department of Behavioral Wellness or designee in writing. This obligation shall apply without the need for an amendment of this Agreement.

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**EXHIBIT E-2**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**IN-HOME BEHAVIORAL SERVICES, INTENSIVE CARE COORDINATION, AND**  
**THERAPEUTIC BEHAVIORAL SERVICES COORDINATION & LINKAGE**

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RESERVED

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**EXHIBIT E-3**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**FULL-SERVICE PARTNERSHIP (FSP)**

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RESERVED

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**EXHIBIT E-4**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**IHBS, ICC, TBS AND LINKAGE**

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RESERVED

**EXHIBIT E-5**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**MANAGED CARE MENTAL HEALTH/BRIEF THERAPY**

Program Evaluation Managed Care Mental Health/Brief Therapy		
Program Goals	Outcomes	% (unless otherwise indicated)
Census Information	Unique Members Served	#
	Enrollments	#
	Discharges	#
1. <b>Symptom Acuity.</b> Reduce mental health and substance abuse symptoms resulting in reduced utilization of involuntary care.	A. Incarcerations/Juvenile Hall	≤5
	B. <b>Of those with an incarceration:</b> Follow up after discharge from jail/juvenile hall within 7 days	≥95
	C. Psychiatric inpatient admissions	N/A
	D. <b>Of those with an inpatient admission:</b> Follow up after discharge from inpatient hospital within 7 days	N/A
	E. Crisis Services	N/A
	F. CANS (% completed)	≥95
	G. CANS Improvement in 3+ Domains (report % positive change by domain)	≥10 (In 3 of 6)
	H. PSC (% completed)	≥95
2. <b>Stabilization in Community.</b> Assist members in their mental health recovery process and with developing the skills necessary to lead independent, healthy, and productive lives in the community	A. Stable/permanent housing	≥95
	B. Engaged in purposeful activity (educational, vocational, volunteer)	≥95
	C. <b>Of those who discharged:</b> % who transitioned to a lower level of care (or graduated / discharged because care no longer needed or medical necessity not met)	≥85
	D. <b>Of those who discharged:</b> % who transitioned to a higher level of care	≤15
	E. New out-of-primary home placements (county & out-of-county)	≤5

Contractor shall comply with amendments or modifications to Exhibit E(s) that do not alter the maximum contract amount of the Agreement and are authorized by the Director of the Department of Behavioral Wellness or designee in writing. This obligation shall apply without the need for an amendment of this Agreement.

**EXHIBIT E-6**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**MHS PEI EARLY CHILDHOOD MENTAL HEALTH**

<b>Program Evaluation</b> <b>MHSA PEI Early Childhood Mental Health</b>		
<b>Program Goals</b>	<b>Outcomes</b>	<b>% (unless otherwise indicated)</b>
Census Information	Unique Members Served	#
	Enrollments	#
	Discharges	#
<b>3. Symptom Acuity.</b> Reduce mental health and substance abuse symptoms resulting in reduced utilization of involuntary care.	I. Incarcerations/Juvenile Hall	N/A
	J. <b>Of those with an incarceration:</b> Follow up after discharge from jail/juvenile hall within 7 days	N/A
	K. Psychiatric inpatient admissions	N/A
	L. <b>Of those with an inpatient admission:</b> Follow up after discharge from inpatient hospital within 7 days	N/A
	M. Crisis Services	N/A
	N. CANS (% completed)	≥95
	O. CANS Improvement in 3+ Domains (report % positive change by domain)	≥10 (In 3 of 6)
	P. PSC (% completed)	≥95
<b>4. Stabilization in Community.</b> Assist members in their mental health recovery process and with developing the skills necessary to lead independent, healthy, and productive lives in the community	F. Stable/permanent housing	≥95
	G. Engaged in purposeful activity (educational, vocational, volunteer)	≥95
	H. <b>Of those who discharged:</b> % who transitioned to a lower level of care (or graduated / discharged because care no longer needed or medical necessity not met)	≥85
	I. <b>Of those who discharged:</b> % who transitioned to a higher level of care	≤15
	J. New out-of-primary home placements (county & out-of-county)	≤5

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**EXHIBIT E-7**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**MEDI-CAL EARLY CHILDHOOD SPECIALTY MENTAL HEALTH**

Program Evaluation Medi-Cal Early Childhood Specialty Mental Health		
Program Goals	Outcomes	% (unless otherwise indicated)
Census Information	Unique Members Served	#
	Enrollments	#
	Discharges	#
5. <b>Symptom Acuity.</b> Reduce mental health and substance abuse symptoms resulting in reduced utilization of involuntary care.	Q. Incarcerations/Juvenile Hall	N/A
	R. <b>Of those with an incarceration:</b> Follow up after discharge from jail/juvenile hall within 7 days	N/A
	S. Psychiatric inpatient admissions	N/A
	T. <b>Of those with an inpatient admission:</b> Follow up after discharge from inpatient hospital within 7 days	N/A
	U. Crisis Services	N/A
	V. CANS (% completed)	≥95
	W. CANS Improvement in 3+ Domains (report % positive change by domain)	≥10 (In 3 of 6)
	X. PSC (% completed)	≥95
6. <b>Stabilization in Community.</b> Assist members in their mental health recovery process and with developing the skills necessary to lead independent, healthy, and productive lives in the community	K. Stable/permanent housing	≥95
	L. Engaged in purposeful activity (educational, vocational, volunteer)	≥95
	M. <b>Of those who discharged:</b> % who transitioned to a lower level of care (or graduated / discharged because care no longer needed or medical necessity not met)	≥85
	N. <b>Of those who discharged:</b> % who transitioned to a higher level of care	≤15
	O. New out-of-primary home placements (county & out-of-county)	≤5

Contractor shall comply with amendments or modifications to Exhibit E(s) that do not alter the maximum contract amount of the Agreement and are authorized by the Director of the Department of Behavioral Wellness or designee in writing. This obligation shall apply without the need for an amendment of this Agreement.

**EXHIBIT E-8**  
**PROGRAM GOALS, OUTCOMES, AND MEASURES**  
**INTENSIVE IN-HOME**

<b>Program Evaluation Intensive In-Home</b>		
<b>Program Goals</b>	<b>Outcomes</b>	<b>% (unless otherwise indicated)</b>
Census Information	Unique Members Served	#
	Enrollments	#
	Discharges	#
7. <b>Symptom Acuity.</b> Reduce mental health and substance abuse symptoms resulting in reduced utilization of involuntary care.	Y. Incarcerations/Juvenile Hall	≤5
	Z. <b>Of those with an incarceration:</b> Follow up after discharge from jail/juvenile hall within 7 days	≥95
	AA. Psychiatric inpatient admissions	≤5
	BB. <b>Of those with an inpatient admission:</b> Follow up after discharge from inpatient hospital within 7 days	≥95
	CC. Crisis Services	≤10
	DD. CANS (% completed)	≥95
	EE. CANS Improvement in 3+ Domains (report % positive change by domain)	≥10 (In 3 of 6)
	FF. PSC (% completed)	≥95
8. <b>Stabilization in Community.</b> Assist members in their mental health recovery process and with developing the skills necessary to lead independent, healthy, and productive lives in the community	P. Stable/permanent housing	≥95
	Q. Engaged in purposeful activity (educational, vocational, volunteer)	≥95
	R. <b>Of those who discharged:</b> % who transitioned to a lower level of care (or graduated / discharged because care no longer needed or medical necessity not met)	≥85
	S. <b>Of those who discharged:</b> % who transitioned to a higher level of care	≤15
	T. New out-of-primary home placements (county & out-of-county)	<u>N/A</u>

Contractor shall comply with amendments or modifications to Exhibit E(s) that do not alter the maximum contract amount of the Agreement and are authorized by the Director of the Department of Behavioral Wellness or designee in writing. This obligation shall apply without the need for an amendment of this Agreement.