

STATE OF CALIFORNIA
STANDARD AGREEMENT
 STD 213_DHCS (Rev. 06/16)

REGISTRATION NUMBER	AGREEMENT NUMBER 16-93231
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- This Agreement is entered into between the State Agency and the Contractor named below:

STATE AGENCY'S NAME	(Also known as DHCS, CDHS, DHS or the State)
Department of Health Care Services	
CONTRACTOR'S NAME	(Also referred to as Contractor)
County of Santa Barbara	
- The term of this Agreement is: January 1, 2017 through June 30, 2019
- The maximum amount of this Agreement is: \$ 885,750
Eight Hundred Eighty-Five Thousand, Seven Hundred Fifty Dollars
- The parties agree to comply with the terms and conditions of the following exhibits, which are by this reference made a part of this Agreement.

Exhibit A – Scope of Work	35 pages
Exhibit B – Budget Detail and Payment Provisions	7 pages
Exhibit B Attachment I – Budget (Year 1)	2 pages
Exhibit B Attachment II – Budget (Year 2)	2 pages
Exhibit B Attachment III – Budget (Year 3)	2 pages
Exhibit C * – General Terms and Conditions	<u>GTC 610</u>
Exhibit D (F) – Special Terms and Conditions (Attached hereto as part of this agreement)	26 pages
Exhibit E – Additional Provisions	4 pages
Exhibit F – HIPAA Business Associate Addendum	15 pages
Exhibit G – Travel Reimbursement Information	2 pages
Exhibit H– Contractor's Release	1 page
Exhibit I – Invoice Cover Letter Sample	1 page
Exhibit J – 8-Line Item Invoice Sample	1 page

See Exhibit E, Provision 1 for additional incorporated exhibits.

Items shown above with an Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at <http://www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx>.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		California Department of General Services Use Only
CONTRACTOR'S NAME (if other than an individual, state whether a corporation, partnership, etc.)		
County of Santa Barbara		
BY (Authorized Signature)	DATE SIGNED (Do not type)	
	12-14-16	
PRINTED NAME AND TITLE OF PERSON SIGNING		
Mona Miyasato, County Executive Officer		
ADDRESS		
c/o June English, 345 Camino del Remedio, Room 339 Santa Barbara, CA 93110		
STATE OF CALIFORNIA		
AGENCY NAME		
Department of Health Care Services		
BY (Authorized Signature)	DATE SIGNED (Do not type)	
	12-23-16	
PRINTED NAME AND TITLE OF PERSON SIGNING		
Don Rodriguez, Chief, Contract Management Unit		
ADDRESS		
1501 Capitol Avenue, Suite 71.2048, MS 1400, P.O. Box 997413, Sacramento, CA 95899-7413		

Exempt per: RTC 30461.6(m) & HSC 104150(c)

Exhibit A
Scope of Work

1. Service Overview

Contractor agrees to provide to the California Department of Health Care Services (DHCS) the services described herein.

Contractor will conduct breast and cervical cancer outreach, education, and support to California women and will continue to develop and maintain a diverse network of Primary Care Providers (PCP) for DHCS' Every Woman Counts (EWC) program. Responsibilities include specified activities for implementing the approved EWC curriculum, and Screening, Diagnostic, and Patient Navigation Services (PNS). This includes outreach and recruitment of Medi-Cal providers for EWC, quality control/assurance of provided services and data submission, and support and technical assistance to EWC providers. The contract objectives and required activities promote awareness and increase the number of women who are screened and re-screened for breast and cervical cancer. Ultimately, meeting the contract goals and objectives would lead to decreased morbidity and mortality from breast and cervical cancer, stimulate change in health care quality, and mobilize communities to enable all California women to receive timely, high quality breast and cervical cancer screening and diagnostic services.

2. Service Location

The services shall be performed at facilities within Region 5. The regions are defined in Exhibit N, Regional Map.

3. Service Hours

The services shall be provided during a 40-hour work week.

4. Project Representatives

A. The project representatives during the term of this Agreement will be:

Department of Health Care Services	County of Santa Barbara
Contract Manager: Jeff Bulacan	Project Director/Coordinator: June English
Telephone: (916) 552-9681	Telephone: (805) 681-4783
Fax: (916) 440-5310	Fax: (805) 681-5436
Email: Jeff.Bulacan@dhcs.ca.gov	Email: June.English@sbcphd.org

Exhibit A
Scope of Work

B. Direct all inquiries to:

Department of Health Care Services Cancer Detection and Treatment Branch Attention: Jeff Bulacan Mail Station Code 4601 1501 Capitol Avenue, Suite 71.4001 P.O. Box Number 997417 Sacramento, CA 95899-7417 Telephone: (916) 552-9681 Fax: (916) 449-5310 Email: Jeff.Bulacan@dhcs.ca.gov	County of Santa Barbara Attention: June English 345 Camino Del Remedio, Room 339 Santa Barbara, CA 93110 Telephone: (805) 681-4783 Fax: (805) 681-5436 Email: June.English@sbcphd.org
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C. Either party may make changes to the information above by giving written notice to the other party. Said changes shall not require an amendment to this Agreement.

5. Services to be Performed

A. Program Components

This contract focuses on the delivery of health care services in the following program components: 1) increase the number of women who access breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care; and 2) quality clinical services.

- 1) Increase the number of women who access breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.
 - a. Maintain program administrative functions to ensure EWC policies are met; program infrastructure is effective and efficient and to ensure screening provision and promotion activities are conducted.
 - b. Conduct monthly health education classes (HEC) to California women regionally to increase awareness about breast and cervical cancer screening, Medi-Cal, and Covered California through collaborations with state, local, nonprofit, and community based organizations (CBOs).
 - c. Participate in monthly community events (CE) to promote and increase awareness about breast and cervical cancer screening, Medi-Cal, and Covered California to California women regionally.
 - d. Recruit and maintain Community Health Workers (CHW) in the community to assist the Health Educator(s) (HE).

Exhibit A
Scope of Work

- e. Establish and maintain collaborative relationships with local, nonprofit and/or CBOs to promote and increase awareness about breast and cervical cancer screening, the EWC program services, Medi-Cal, and Covered California.

2) Quality Clinical Services:

The EWC clinical component will integrate the delivery of timely and appropriate screening, diagnostic, and PNS to California women as part of a comprehensive approach to chronic disease prevention and management by:

- a. Maintaining a diverse and comprehensive network of EWC providers throughout California.
- b. Delivering training and support to EWC providers to ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women.
- c. Monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.
- d. Implementing culturally sensitive PNS interventions to reduce barriers and ultimately eliminate disparities in clinical outcomes related to lack of timely access to quality cancer screening, diagnosis, and treatment services for all California women.

6. Americans with Disabilities Act

Contractor agrees to ensure that deliverables developed and produced, pursuant to this Agreement shall comply with the accessibility requirements of Section 508 of the Rehabilitation Act and the Americans with Disabilities Act of 1973 as amended (29 U.S.C. § 794 (d), and regulations implementing that act as set forth in Part 1194 of Title 36 of the Federal Code of Regulations. In 1998, Congress amended the Rehabilitation Act of 1973 to require Federal agencies to make their electronic and information technology (EIT) accessible to people with disabilities. California Government Code section 11135 codifies section 508 of the Act requiring accessibility of electronic and information technology.

7. Staffing

- A. The Contractor shall assign at a minimum a Health Educator and a Clinical Coordinator for each region.
- B. The Contractor shall designate a Project Director (PD) or Project Coordinator (PC) position with the overall responsibility for completing Scope of Work (SOW) deliverables and for local contract administration.

Exhibit A
Scope of Work

- C. The Contractor shall adhere to the Core Program Performance Indicators (CPPI) Requirements of the PD/PC, CC, HE positions, as well as meeting the minimum staff core competencies as indicated in the EWC Program Guide for each position. The Contractor must demonstrate sufficient staffing in order to meet the SOW objectives and required activities. The Contractor shall notify DHCS via the Transmittal Process if a staffing change is considered or anticipated and within 24 hours of making any staffing change. DHCS reserves the right to approve or disapprove changes in personnel. For more information about the Transmittal Process, refer to the EWC Program Guide.
- D. The Contractor shall have a contingency plan for staffing coverage due to vacancies, extended leaves, vacations, and absences.

8. Meetings, Trainings, and Site Visits

- A. All Regional Contractor (RC) staff are required to attend and participate in meetings and trainings scheduled by DHCS. DHCS will not reimburse Contractor for travel expenses for partial attendance unless DHCS grants prior written approval. Partial attendance is defined as attending (individual staff or entire region) less than the full scheduled meeting or training.
- B. Prior written approval is required for RC staff to travel out of their assigned region for education or administrative purposes. Refer to the EWC Program Guide regarding the transmittal process.
- C. DHCS will not reimburse the Contractor for expenses related to RC staff and travel activities not related to SOW.
- D. All meeting agendas, minutes, and/or e-mails must be uploaded into the Management Information System (MIS) as directed by DHCS in order to be reimbursed for activities.
- E. DHCS will perform, at their discretion, formal and/or informal site visits to each RC location. The Contractor will receive advance notice, not less than 48 hours prior to an informal site visit and 14 days prior to a formal site visit.

9. Progress Reports

- A. The Contractor must submit Progress Reports (PR) postmarked or e-mailed no later than the due dates specified in Exhibit A, Section 9.D. PRs are to be prepared in accordance with the information and format provided by DHCS. Faxed PRs are not acceptable.
- B. Failure to submit a timely PR may be cause for invoice payment(s) to be delayed.
- C. Payment of the Contractor's last/final invoice will be delayed until an acceptable last/final PR is received and approved by DHCS.

Exhibit A
Scope of Work

D. The Contractor shall submit one (1) original PR, which describes accomplishments during the report period to EWC in accordance with the following schedule:

	<u>From</u>	<u>To</u>	<u>Due Date</u>
1) First Report	01/01/17	06/30/17	07/31/17
2) Second Report	07/01/17	12/31/17	01/31/18
3) Third Report	01/01/18	06/30/18	07/31/18
4) Fourth Report	07/01/18	12/31/18	01/31/19
5) Fifth Report	01/01/19	06/30/19	07/31/19

E. The Contractor shall complete the EWC Evaluation and Needs Assessment instrument and other evaluation requirements, as directed by DHCS in accordance with the form and format prescribed by DHCS.

F. The Contractor shall coordinate and collaborate with DHCS to maximize statewide media/communication efforts, as directed and approved by DHCS.

G. The Contractor will be required to respond as necessary to any ad-hoc and/or final reports as designated by DHCS.

10. DHCS Responsibilities

By entering into this Agreement, DHCS agrees to:

A. Exercise administrative discretion in providing and ensuring proper oversight of this Agreement under State law.

B. Provide the Contractor with policy interpretation and guidance to ensure compliance with all aspects of these services in accordance with State and federal laws and requirements.

C. Make available training and technical support necessary for the Contractor to comply with the requirements, objectives, goals, and activities under this Agreement.

11. See the following pages for a detailed description of the services to be performed.

Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT 1: HEALTH EDUCATION			
Component Goal: Increase the number of women who access breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 1: Contractor's HE will maintain program administrative functions to ensure EWC policies are met; program infrastructure is effective and efficient and to ensure screening provision and promotion activities are conducted.			
Required Activities	Responsible Staff	Time Line	Deliverables
a. Comply with all EWC program policy and procedures and follow protocols to ensure compliance with requirements as outlined in the EWC Program Guide.	PD/PC HE	January 1, 2017 through June 30, 2017	1. MIS data entries 2. Semi-annual progress report narrative 3. Annual progress report narrative
b. Complete all mandatory documentation such as Semi-Annual Progress Report, Annual Progress Report, and all its required deliverables.	PD/PC HE	January 1, 2017 through June 30, 2017	1. MIS data entries 2. Semi-annual progress report narrative 3. Annual progress report narrative
c. Comply with all requests for documentation from the Health Program Consultant (HPC) and Contract Manager (CM) including during programmatic and fiscal onsite reviews and Corrective Action Plans (CAPs).	PD/PC HE	January 1, 2017 through June 30, 2017	1. Documents upon request
d. Assist in and provide feedback on the development of health education and outreach material, trainings, and future curricula.	PD/PC HE	On-going	1. Survey responses 2. Meeting agendas and minutes

PD/PC: Project Director/Project Coordinator
HE: Health Educator

CC: Clinical Coordinator
CHW: Community Health Worker

Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 2: By June 30, 2017, Contractor's HE will conduct monthly health education classes (HEC) to all California women statewide to increase awareness about breast and cervical cancer screening, Medi-Cal and the Affordable Care Act through collaborations with state, local, nonprofit, and community based organizations (CBO).			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>a. Recruit women between the ages 21-64.</p> <ul style="list-style-type: none"> • Include but not limited to the underserved, uninsured, underinsured, and newly insured women • From areas with the highest need based on breast and cervical cancer state and/or local data. • 75% of HEC participants shall be in this age range. <p>b. Schedule, at a minimum, three classes per month, or one class per week. HEC should average 10-14 participants.</p>	HE and/or CHW	January 1, 2017 through June 30, 2017	<ol style="list-style-type: none"> 1. MIS data entries 2. Schedule of HE classes 3. Class sign in sheet 4. Pre/post-tests results 5. Participation/consent forms

PD/PC: Project Director/Project Coordinator
HE: Health Educator

CC: Clinical Coordinator
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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.</p>			
<p>OBJECTIVE 2: By June 30, 2017, Contractor's HE will conduct monthly health education classes (HEC) to all California women statewide to increase awareness about breast and cervical cancer screening, Medi-Cal and the Affordable Care Act through collaborations with state, local, nonprofit, and community based organizations (CBO).</p>			
<p>c. Use the approved EWC curriculum and adhere to the main points of the curriculum which are to:</p> <ul style="list-style-type: none"> • Educate women about the importance of routine breast and cervical cancer screening • EWC program services and • Eligibility requirements for Medi-Cal, Covered California, and EWC <p>d. Present the curriculum in a participant-centered manner.</p>	HE and/or CHW	January 1, 2017 through June 30, 2017	<ol style="list-style-type: none"> 1. MIS data entries 2. Schedule of HE classes 3. Class flyer or advertisement 4. Class sign in sheet 5. Participation/consent forms
<p>e. Administer the participation and consent forms at every class.</p> <p>f. Review forms to identify eligible women for screening navigation pilot.</p> <p>g. Conduct screening navigation pilot with identified women.</p> <p>h. Document the results of the follow-up</p>	HE and/or CHW	January 1, 2017 through June 30, 2017	<ol style="list-style-type: none"> 1. MIS data entries 2. Participation/consent forms

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 2: By June 30, 2017, Contractor's HE will conduct monthly health education classes (HEC) to all California women statewide to increase awareness about breast and cervical cancer screening, Medi-Cal and the Affordable Care Act through collaborations with state, local, nonprofit, and community based organizations (CBO).			
Required Activities	Responsible Staff	Time Line	Deliverables
i. Distribute required EWC educational materials during the HECs as prescribed by the EWC Program Guide.	HE and/or CHW	January 1, 2017 through June 30, 2017	1. EWC materials distribution and log tracker.

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 3: By June 30, 2017, the HE and CHW will participate in monthly CE to promote and increase awareness about breast and cervical cancer screening, Medi-Cal, and Covered California to all California women statewide			
Required Activities	Responsible Staff	Time Line	Deliverables
a. Schedule and attend, at a minimum, two CE per month in areas with the highest need based on breast and cervical cancer state and/or local data.	HE and/or CHW	January 1, 2017 through June 30, 2017	1. MIS data entries 2. Schedule of community events 3. Sign in sheet
b. Educate and/or conduct outreach to women about breast and cervical cancer screening, the EWC program, Medi-Cal, and Covered California.	HE and/or CHW	January 1, 2017 through June 30, 2017	1. MIS data entries
c. Distribute required EWC educational materials during the CE as prescribed by the EWC Program Guide.	HE and/or CHW	January 1, 2017 through June 30, 2017	1. EWC materials distribution and log tracker.
d. Distribute and evaluate the breast and cervical cancer screening outreach materials targeting all California women.	HE CHW CC	January 1, 2017 through June 30, 2017	1. Outreach materials distributed 2. Tracking log and evaluation tool completed

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 4: By June 30, 2017, a minimum of three (3) CHW will be recruited and maintained in the community to assist the HE.			
Required Activities	Responsible Staff	Time Line	Deliverables
a. Recruit and maintain CHWs from areas with the highest need based on breast and cervical cancer state and/or local data.	PD/PC/HE	January 1, 2017 through June 30, 2017	1. Documentation of recruitment efforts. 2. State and/or local data utilized for recruitment efforts 3. CHW information
b. CHWs will perform the following duties including but not limited to: <ul style="list-style-type: none"> Teaching or assisting classes in their native language Teaching or assisting at outreach events Acting as an interpreter and/or Assisting with translation of documents, as needed 	CHW	January 1, 2017 through June 30, 2017	1. MIS data entries 2. Documentation of request from EWC state staff
c. New CHWs will be provided orientation training and if the CHW will be conducting HECs on their own, they must be assessed using the "CHW Readiness Checklist" and deemed competent prior to teaching as outlined in the EWC Program Guide.	PD/PC/HE	January 1, 2017 through June 30, 2017	1. MIS data entries 2. Orientating training agenda 3. CHW Orientation Checklist 4. CHW Readiness Checklist

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 4: By June 30, 2017, a minimum of three (3) CHW will be recruited and maintained in the community to assist the HE.			
Required Activities	Responsible Staff	Time Line	Deliverables
d. CHWs that are teaching HECs must be observed annually in a community setting and provided technical assistance to ensure participant-centered techniques are utilized, that the main points of the EWC curriculum are communicated, and the information shared is accurate and evidence-based.	PD/PC/HE	January 1, 2017 through June 30, 2017	Observation report which includes but limited to: 1. Date and location of the observation 2. Name of the CHW and observer 3. Technical assistance provided 4. Follow-up date
e. CHWs will take part in annual trainings to ensure their knowledge about breast and cervical cancer is current and evidence-based. f. CHWs will be provided on-going informational meetings as new EWC program policies are implemented and/or the EWC curriculum or educational materials are updated.	PD/PC/HE	January 1, 2017 through June 30, 2017	1. Schedule of Annual Training and training agenda 2. Informational training agenda

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 5: By June 30, 2017, a minimum of three (3) collaborative relationships will be established and maintained with local, nonprofit and/or CBOs to promote and increase awareness about breast and cervical cancer screening, the EWC program services, Medi-Cal and Covered California			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> a. Attend networking and collaborative events to meet possible collaborators. b. Schedule meetings with possible collaborators. c. At least one agency/organization must support the lesbian, gay, bisexual, transgender, and queer (and/or questioning) communities, or support women with disabilities, and an agency/originator that focuses on African American women. d. Schedule HEC or CE with collaborators. e. Maintain current list of collaborators. 	<p>PD/PC HE</p>	<p>January 1, 2017 through June 30, 2017</p>	<ul style="list-style-type: none"> 1. MIS data entries 2. Flyers 3. Meeting agenda, minutes, and/or meeting summary 4. Email of initial or subsequent contacts with collaborators

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 6: By June 30, 2017, Contractor's HE will assess and identify eligible women to contact, follow-up, address, and document screening barriers by conduct screening navigation.			
Required Activities	Responsible Staff	Time Line	Deliverables
a. After each HEC, review participant forms to identify eligible women. b. Contact women who are rarely or never screened by referring to the screening criteria as directed by the EWC Program Guide.	HE/CHW	January 1, 2017 through June 30, 2017	1. MIS data entries 2. Number of women contacted
c. Assess barriers and assist participants to address and overcome screening barriers by leveraging community resources and partnering with collaborators. d. Assist women whose needs are not covered by EWC and maintain a roster of accurate and up-to-date region-wide community medical, social, and public health resources of free and/or low cost breast and cervical cancer screening services for California women in conjunction with the Region's CC. e. Document the results of the follow-up	HE/CHW CC	January 1, 2017 through June 30, 2017	1. Document barriers 2. Number of women screened by EWC providers 3. Navigation Services Assessment Application entries 4. List of regional resources for free and/or low breast and cervical cancer screening services

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN) Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management			
OBJECTIVE 1: By June 30, 2017, the Contractor will maintain a diverse and comprehensive network of EWC providers throughout California			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> a. Collaborate and network with provider community and health systems to recruit, maintain, and support network of EWC providers in the Region. b. Assist Provider Service Unit (PSU) with provider enrollment. c. Maintain a current list of active provider sites in the database. Gather and maintain accurate and up-to-date information on providers including office contacts. d. Utilize the process for assessing gaps in providers' network to recruit/maintain PCPs under EWC guidance e. Provide EWC program orientation to new providers or providers with new staff. f. Track enrolled providers in MIS and On-line Provider Locator. 	CC	January 1, 2017 through June 30, 2017	<ul style="list-style-type: none"> 1. Informational transmittals 2. Communication with PSU regarding new provider enrollment 3. Enrolled Provider File including physical addresses and contacts, updated monthly in MIS 4. Reports of new PCP orientation and new staff orientation monthly. 5. Reports on providers enrolled utilizing the process for assessing gaps in providers' network under EWC guidance 6. Communication with PSU regarding status of the enrolled providers in MIS and On-line Provider Locator

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 2: Ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women by delivering training and support to EWC providers and monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> a. Provide ongoing technical assistance (TA) to enrolled providers and their staff. b. Ensure that PCPs are appropriately informed and, if necessary, receive timely training about changes in EWC policies and procedures through e-blasts, letters, phone calls, or in-person. c. Determine the number of Provider Site Reviews (PSR) based on provider performance reports (PPR) provided by EWC d. Conduct PSR at PCP physical sites, using EWC tools and protocols. e. Aggregate and analyze PSR outcomes during each reporting period, identify trends and actions taken to improve PCP performance 	CC	January 1, 2017 through June 30, 2017	<ul style="list-style-type: none"> 1. Reports of PCP TA 2. Reports of EWC program updates and information distribution to PCP as requested by EWC 3. Report of Completed Site Reviews 4. with minimum of twenty (20) PSRs per year per CC and ad hoc visits for quality issues, clinical concerns, provider performance issues, or patient complaints initiated by either EWC request and/or by the RC 5. Completed Site Review Tool (CDTB Breast and Cervical Data Entry Worksheets) monthly 6. Medical charts review documentation monthly 7. Site Review Supporting Documents monthly

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Exhibit A
Scope of Work
Year 1
(1/1/17-6/30/17)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 2: Ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women by delivering training and support to EWC providers and monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>f. Orient, train, troubleshoot, report, and evaluate the use of DETEC with EWC Providers; and document these activities in MIS.</p> <p>g. Work together with EWC Providers with identified patient safety concerns and compliance with EWC policies and/or clinical standards to determine essential elements that need to be included in the CAP.</p> <p>h. Monitor performances of providers and assist in implementation of CAP to improve provider performance, ensure CAP is fully implemented, and issue(s) has been resolved.</p> <p>i. Deliver ongoing CPPI training to providers who do not meet their CPPI scores.</p>	CC	<p>January 1, 2017 through June 30, 2017</p>	<ol style="list-style-type: none"> 1. Providers Report Card 2. Progress report which includes analysis of PSR outcomes during each reporting period, trends and actions taken to improve PCP performance 3. Progress report which includes information on orientation, training, troubleshooting, TA of use of DETEC, and documentation of related activities in MIS. 4. Occurrence Notification 5. CAP copies 6. Proof of CAP execution or documents showing unresolved issues 7. Correspondence with EWC regarding patient safety concerns or provider's non-compliance 8. PCP CPPI Training Reports 9. Semiannual Progress Report

PD/PC: Project Director/Project Coordinator
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Exhibit A
Scope of Work
Year 1
(1/1/17–6/30/17)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 2: Ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women by delivering training and support to EWC providers and monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> j. Provide a narrative report in each progress report describing the analysis, trends, and actions taken k. Monitor and assist with issues related to implementation of ACA such as transfer of care, transition from EWC to other health coverage, eligibility determination, covered services, and other issues in different EWC regions. l. Assist EWC with Provider Education activities. m. Recruit clinicians to attend live and on-line training courses 	CC	January 1, 2017 through June 30, 2017	<ul style="list-style-type: none"> 1. Site review tool 2. Tracking documentation for providers and individuals assisted with transition to comprehensive health coverage 3. # of recruited providers
<ul style="list-style-type: none"> n. Participate in Continuous Quality Improvement (CQI) projects. o. Participate in mandated meetings and conference calls to increase competence with EWC job functions. 	CC	January 1, 2017 through June 30, 2017	<ul style="list-style-type: none"> 1. Report of CQI Activities including but not limited to Error Remediation and other DETEC related activities 2. Submission of completed CQI activities by EWC determined deadline

PD/PC: Project Director/Project Coordinator
HE: Health Educator
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Exhibit A
 Scope of Work
 Year 1
 (1/1/17–6/30/17)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)</p> <p>Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.</p> <p>OBJECTIVE 2: Ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women by delivering training and support to EWC providers and monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.</p>			
<p>p. Document related activities in MIS.</p> <p>q. Responsible for gathering or facilitating the gathering of EWC Provider Survey information as directed by EWC staff.</p> <p>r. Responsible for providing adequate information on program activities for evaluation upon request by EWC staff.</p>	CC	January 1, 2017 through June 30, 2017	1. MIS reports

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Exhibit A
Scope of Work
Year 1
(1/1/17–6/30/17)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 3: EWC will fully implement culturally sensitive PNS interventions to reduce barriers and ultimately eliminate disparities in clinical outcomes related to lack of timely access to quality cancer screening, diagnosis, and treatment services for all California women.			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>a. Assist EWC Providers and recipients, public health partners and health care systems in navigation from screening to treatment services; such as Enhanced Case Management (ECM) and Treatment Referral Facilitation (TRF) and document these activities in MIS.</p> <p>b. Educate, act as a resource, troubleshoot, and report EWC-related clinical issues for EWC recipients and Providers. Includes investigation/research, follow-up, communication, and documentation of service requests for assistance in MIS.</p> <p>c. Manage, including language translation if needed, resolve, and document patient complaints received through the EWC Telephone Provider Locator, On-line Provider Locator, and by direct contact.</p>	CC	January 1, 2017 through June 30, 2017	<ol style="list-style-type: none"> 1. MIS entries on navigation services 2. MIS reports for PNS and tracking capabilities of EWC providers 3. Documentation of service complaints from EWC recipients and Providers in MIS monthly 4. Completed Patient Complaints Log monthly 5. E-mails to EWC documenting of any barrier to the resolution of the complaint on the local level 6. Progress Report which include narrative summary with types of complaints, identification of trends, and outcomes of complaint resolution.

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Exhibit A
Scope of Work
Year 1
(1/1/17–6/30/17)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 3: EWC will fully implement culturally sensitive PNS interventions to reduce barriers and ultimately eliminate disparities in clinical outcomes related to lack of timely access to quality cancer screening, diagnosis, and treatment services for all California women.			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> d. Investigate and respond to complaints within 30 days of receipt. e. Bring to the attention of the EWC staff any barrier to the resolution of complaints on the local level. f. Document service complaints from EWC recipients and Providers in MIS. g. Aggregate complaints received during each reporting period and provide a narrative summary that includes type of complaints, identification of trends, and outcomes of complaint resolution. h. Assist women whose needs are not covered by EWC and maintain a roster of accurate and up-to-date region-wide community medical, social, and public health resources of free and/or low cost breast and cervical cancer screening services for California women in conjunction with the Region's HE. 	CC	January 1, 2017 through June 30, 2017	<ul style="list-style-type: none"> 1. List of regional resources for free and/or low breast and cervical cancer screening services

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION				
Component Goal: Increase the number of women who access breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.				
OBJECTIVE 1: Contractor's HE will maintain program administrative functions to ensure EWC policies are met; program infrastructure is effective and efficient and to ensure screening provision and promotion activities are conducted.				
Required Activities	Responsible Staff	Time Line	Deliverables	
a. Comply with all EWC program policy and procedures and follow protocols to ensure compliance with requirements as outlined in the EWC Program Guide.	PD/PC HE	July 1, 2017 through June 30, 2019	1. MIS data entries 2. Semi-annual progress report narrative 3. Annual progress report narrative	
b. Complete all mandatory documentation such as Semi-Annual Progress Report, Annual Progress Report, and all its required deliverables.	PD/PC HE	January 31, 2017 through July 31, 2019	1. MIS data entries 2. Semi-annual progress narrative 3. Annual progress report narrative	
c. Comply with all requests for documentation from the HPC and CM including during programmatic and fiscal onsite reviews and Corrective Action Plans (CAPs).	PD/PC HE	July 1, 2017 through June 30, 2019	1. Documents upon request	
d. Assist in and provide feedback on the development of health education and outreach material, trainings, and future curricula.	PD/PC HE	On-going	1. Survey responses 2. Meeting agendas and minutes	

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Exhibit A
 Scope of Work
 Years 2 and 3
 (7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 2: Contractor's HE will conduct monthly HEC to all California women statewide to increase awareness about breast and cervical cancer screening, Medi-Cal, and Covered California through collaborations with state, local, nonprofit, and CBO.			
Required Activities	Responsible Staff	Time Line	Deliverables
a. Recruit women between the ages 21-64. <ul style="list-style-type: none"> • Include but not limited to the underserved, uninsured, underinsured, and newly insured women • From areas with the highest need based on breast and cervical cancer state and/or local data. • 75% of HEC participants shall be in this age range. b. Schedule, at a minimum, three classes per month, or one class per week. HEC should average 10-14 participants	HE and/or CHW	July 1, 2017 through June 30, 2019	1. MIS data entries 2. Schedule of HE classes 3. Class sign in sheet 4. Pre/post-tests results 5. Participation/consent forms

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 2: Contractor's HE will conduct monthly HEC to all California women statewide to increase awareness about breast and cervical cancer screening, Medi-Cal, and Covered California through collaborations with state, local, nonprofit, and CBO.			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>c. Use the approved EWC curriculum and adhere to the main points of the curriculum which are to:</p> <ul style="list-style-type: none"> • Educate women about the importance of routine breast and cervical cancer screening • EWC program services and • Eligibility requirements for Medi-Cal, Covered California, and EWC 	HE and/or CHW	July 1, 2017 through June 30, 2019	<ol style="list-style-type: none"> 1. MIS data entries 2. Schedule of HE classes 3. Class flyer or advertisement 4. Class sign in sheet 5. Participation/consent forms
<p>d. Present the curriculum in a participant-centered manner.</p>			
<p>e. Administer the participation and consent forms at every class.</p>	HE and/or CHW	July 1, 2017 through June 30, 2019	<ol style="list-style-type: none"> 1. MIS data entries 2. Participation/consent forms
<p>f. Distribute required EWC educational materials during the HECs as prescribed by the EWC Program Guide.</p>	HE and/or CHW	July 1, 2017 through June 30, 2019	<ol style="list-style-type: none"> 1. EWC materials distribution and log tracker.

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 3: The HE and CHW will participate in monthly CE to promote and increase awareness about breast and cervical cancer screening, Medi-Cal, and Covered California to all California women statewide			
Required Activities	Responsible Staff	Time Line	Deliverables
a. Schedule and attend, at a minimum, two CE per month in areas with the highest need based on breast and cervical cancer state and/or local data.	HE and/or CHW	July 1, 2017 through June 30, 2019	1. MIS data entries 2. Schedule of community events 3. Sign in sheet
b. Educate and/or conduct outreach to women about breast and cervical cancer screening, the EWC program, Medi-Cal, and Covered California.	HE and/or CHW	July 1, 2017 through June 30, 2019	1. MIS data entries
c. Distribute required EWC educational materials during the CE as prescribed by the EWC Program Guide.	HE and/or CHW	July 1, 2017 through June 30, 2019	1. EWC materials distribution and log tracker.
d. Distribute and evaluate the breast and cervical cancer screening outreach materials targeting all California women.	HE CHW CC	July 1, 2017 through June 30, 2019	1. Outreach materials distributed 2. Tracking log and evaluation tool completed

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 4: Annually, a minimum of six (6) CHWs will be recruited and maintained in the community to assist the HE.			
Required Activities	Responsible Staff	Time Line	Deliverables
a. Recruit and maintain CHWs from areas with the highest need based on breast and cervical cancer state and/or local data.	PD/PC/HE	July 1, 2017 through June 30, 2019	1. Documentation of recruitment efforts. 2. State and/or local data utilized for recruitment efforts 3. CHW information
b. CHWs will perform the following duties including but not limited to: <ul style="list-style-type: none"> • Teaching or assisting classes in their native language • Teaching or assisting at outreach events • Acting as an interpreter and/or • Assisting with translation of documents, as needed 	CHW	July 1, 2017 through June 30, 2019	1. MIS data entries 2. Documentation of request from EWC state staff
c. New CHWs will be provided orientation training and if the CHW will be conducting HECs on their own, they must be assessed using the "CHW Readiness Checklist" and deemed competent prior to teaching as outlined in the EWC Program Guide.	PD/PC/HE	July 1, 2017 through June 30, 2019	1. MIS data entries 2. Orientating training agenda 3. CHW Orientation Checklist 4. CHW Readiness Checklist

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 4: Annually, a minimum of six (6) CHWs will be recruited and maintained in the community to assist the HE.			
Required Activities	Responsible Staff	Time Line	Deliverables
d. CHWs that are teaching HECs must be observed annually in a community setting and provided technical assistance to ensure participant-centered techniques are utilized, that the main points of the EWC curriculum are communicated and the information shared is accurate and evidence-based.	PD/PC/HE	July 1, 2017 through June 30, 2019	Observation report which include but limited to: 1. Date and location of the observation 2. Name of the CHW and observer 3. Technical assistance provided 4. Follow-up date
e. CHWs will take part in annual trainings to ensure their knowledge about breast and cervical cancer is current and evidence-based. f. CHWs will be provided on-going informational meetings as new EWC program policies are implemented and/or the EWC curriculum or educational materials are updated.	PD/PC/HE	July 1, 2017 through June 30, 2019	1. Schedule of Annual Training and training agenda 2. Informational training agenda

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 5: Annually, a minimum of six (6) collaborative relationships will be established and maintained with local, nonprofit and/or CBOs to promote and increase awareness about breast and cervical cancer screening, the EWC program services, Medi-Cal, and Covered California.			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> a. Attend networking and collaborative events to meet possible collaborators. b. Schedule meetings with possible collaborators. c. At least one agency/organization must support the lesbian, gay, bisexual, transgender, and queer (and/or questioning) communities, or support women with disabilities, and an agency/originator that focuses on African American women. d. Schedule HEC or CE with collaborators. e. Maintain current list of collaborators. 	<p>PD/PC HE</p>	<p>July 1, 2017 through June 30, 2019</p>	<ul style="list-style-type: none"> 1. MIS data entries 2. Flyers 3. Meeting agenda, minutes, and/or meeting summary 4. Email of initial or subsequent contacts with collaborators

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT I: HEALTH EDUCATION			
Component Goal: Increase the number of women who use breast and cervical cancer screening services by raising awareness, educating women, and motivating women to complete screening exams as part of their routine health care.			
OBJECTIVE 6: Contractor's HE will assess and identify eligible women to contact, follow-up, address, and document screening barriers by conduct screening navigation.			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>a. After each HEC, review participant forms to identify eligible women.</p> <p>b. Contact women who are rarely or never screened by referring to the screening criteria as directed by the EWC Program Guide.</p>	HE/CHW	July 1, 2017 through June 30, 2019	<p>1. MIS data entries</p> <p>2. Number of women contacted</p>
<p>c. Assess barriers and assist participants to address and overcome screening barriers by leveraging community resources and partnering with collaborators.</p> <p>d. Assist women whose needs are not covered by EWC and maintain a roster of accurate and up-to-date region-wide community medical, social, and public health resources of free and/or low cost breast and cervical cancer screening services for California women in conjunction with the Region's CC.</p> <p>e. Document the results of the follow-up</p>	HE/CHW CC	January 1, 2017 through June 30, 2019	<p>1. Document barriers</p> <p>2. Number of women screened by EWC providers</p> <p>3. Navigation Services Assessment Application entries</p> <p>4. List of regional resources for free and/or low breast and cervical cancer screening services</p>

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN) Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management			
OBJECTIVE 1: The Contractor will maintain a diverse and comprehensive network of EWC providers throughout California			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> a. Collaborate and network with provider community and health systems to recruit, maintain, and support network of EWC providers in the Region. b. Assist PSU with provider enrollment. c. Maintain a current list of active provider sites in the database. Gather and maintain accurate and up-to-date information on providers including office contacts. d. Utilize the process for assessing gaps in providers' network to recruit/maintain PCPs under EWC guidance e. Provide EWC program orientation to new providers or providers with new staff. f. Track enrolled providers in MIS and On-line Provider Locator. 	CC	July 1, 2017 through June 30, 2019	<ul style="list-style-type: none"> 1. Informational transmittals 2. Communication with PSU regarding new provider enrollment 3. Enrolled Provider File including physical addresses and contacts, updated monthly in MIS 4. Reports of new PCP orientation and new staff orientation monthly. 5. Reports on providers enrolled utilizing the process for assessing gaps in providers' network under EWC guidance 6. Communication with PSU regarding status of the enrolled providers in MIS and On-line Provider Locator

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 2: Ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women by delivering training and support to EWC providers and monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.			
Required Activities	Responsible Staff	Time Line	Deliverables
<ul style="list-style-type: none"> a. Provide ongoing TA to enrolled providers and their staff. b. Ensure that PCPs are appropriately informed and, if necessary, receive timely training about changes in EWC policies and procedures through e-blasts, letters, phone calls, or in-person. c. Determine the number of Provider Site Reviews (PSR) based on provider performance reports (PPR) provided by EWC d. Conduct PSR at PCP physical sites, using EWC tools and protocols. e. Aggregate and analyze PSR outcomes during each reporting period, identify trends and actions taken to improve PCP performance f. Orient, train, troubleshoot, report, and evaluate the use of DETEC with EWC Providers; and document these activities in MIS. 	CC	July 1, 2017 through June 30, 2019	<ul style="list-style-type: none"> 1. Reports of PCP TA 2. Reports of EWC program updates and information distribution to PCP as requested by EWC 3. Report of Completed Site Reviews 4. with minimum of twenty (20) PSRs per year per CC and ad hoc visits for quality issues, clinical concerns, provider performance issues, or patient complaints initiated by either EWC request and/or by the RC 5. Completed Site Review Tool (CDTB Breast and Cervical Data Entry Worksheets) monthly 6. Medical charts review documentation monthly 7. Site Review Supporting Documents monthly

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Exhibit A
 Scope of VWork
 Years 2 and 3
 (7/1/17-6/30/19)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 2: Ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women by delivering training and support to EWC providers and monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.			
Required Activities	Responsible Staff	Time Line	Deliverables
g. Work together with EWC Providers with identified patient safety concerns, and non-compliance with EWC policies and/or clinical standards to determine essential elements that need to be included in the CAP. h. Monitor performances of providers and assist in implementation of CAP to improve provider performance, ensure CAP is fully implemented, and issue(s) has been resolved. i. Deliver ongoing CPPI training to providers who do not meet their CPPI scores. j. Provide a narrative report in each progress report describing the analysis, trends, and actions taken k. Monitor and assist with issues related to implementation of ACA such as transfer of care, transition from EWC to other health coverage, eligibility determination, covered services, and other issues in different EWC regions. l. Assist EWC with Provider Education activities.	CC	July 1, 2017 through June 30, 2019	1. Providers Report Card 2. Progress report which includes analysis of PSR outcomes during each reporting period, trends and actions taken to improve PCP performance 3. Progress report which includes information on orientation, training, troubleshooting, TA of use of DETEC, and documentation of related activities in MIS. 4. Occurrence Notification 5. CAP copies 6. Proof of CAP execution or documents showing unresolved issues 7. Correspondence with EWC regarding patient safety concerns or provider's non-compliance 8. PCP CPPI Training Reports 9. Semiannual Progress Report

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 2: Ensure timely and appropriate breast and cervical cancer screening and diagnostic services are provided to EWC recipients and California women by delivering training and support to EWC providers and monitoring for issues related to transition of women to comprehensive health coverage through regional representatives.			
Required Activities	Responsible Staff	Time Line	Deliverables
m. Recruit clinicians to attend live and on-line training courses	CC	July 1, 2017 through June 30, 2019	<ol style="list-style-type: none"> 1. Site review tool 2. Tracking documentation for providers and individuals assisted with transition to comprehensive health coverage 3. # of recruited providers
<ol style="list-style-type: none"> n. Participate in CQI projects. o. Participate in mandated meetings and conference calls to increase competence with EWC job functions. p. Document related activities in MIS. q. Responsible for gathering or facilitating the gathering of EWC Provider Survey information as directed by EWC staff. r. Responsible for providing adequate information on program activities for evaluation upon request by EWC staff. 	CC	July 1, 2017 through June 30, 2019	<ol style="list-style-type: none"> 1. Report of CQI Activities including but not limited to Error Remediation and other DETEC related activities 2. Submission of completed CQI activities by EWC determined deadline 3. MIS reports

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Exhibit A
Scope of Work
Years 2 and 3
(7/1/17-6/30/19)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 3: EWC will fully implement culturally sensitive PNS interventions to reduce barriers and ultimately eliminate disparities in clinical outcomes related to lack of timely access to quality cancer screening, diagnosis, and treatment services for all California women.			
Required Activities	Responsible Staff	Time Line	Deliverables
<p>a. Assist EWC Providers and recipients, public health partners and health care systems in navigation from screening to treatment services; such as Enhanced Case Management (ECM) and Treatment Referral Facilitation (TRF) and document these activities in MIS.</p> <p>b. Educate, act as a resource, trouble-shoot and report EWC-related clinical issues for EWC recipients and Providers. Includes investigation/research, follow-up, communication and documentation of service requests for assistance in MIS.</p> <p>c. Manage, including language translation if needed, resolve and document patient complaints received through the EWC Telephone Provider Locator, On-line Provider Locator, and by direct contact.</p> <p>d. Investigate and respond to complaints within 30 days of receipt.</p>	CC	July 1, 2017 through June 30, 2019	<ol style="list-style-type: none"> 1. MIS entries on navigation services 2. MIS reports for PNS and tracking capabilities of EWC providers 3. Documentation of service complaints from EWC recipients and Providers MIS monthly 4. Completed Patient Complains Log monthly 5. E-mails to EWC documenting of any barrier to the resolution of the complaint on the local level 6. Progress Report which include narrative summary with types of complaints, identification of trends, and outcomes of complaint resolution. 7. List of regional resources for free and/or low breast and cervical cancer screening services

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Exhibit A
 Scope of Work
 Years 2 and 3
 (7/1/17-6/30/19)

PROGRAM COMPONENT II: QUALITY CLINICAL SERVICES			
Component Goal: Screening, Diagnostic and Patient Navigation Services (SDPN)			
Integrate the delivery of timely and appropriate screening, diagnostic, referral and patient navigation services as a part of a comprehensive approach to chronic disease prevention and management.			
OBJECTIVE 3: EWC will fully implement culturally sensitive PNS interventions to reduce barriers and ultimately eliminate disparities in clinical outcomes related to lack of timely access to quality cancer screening, diagnosis, and treatment services for all California women.			
Required Activities	Responsible Staff	Time Line	Deliverables
e. Bring to the attention of the EWC staff any barrier to the resolution of the complaints on the local level. f. Document service complaints from EWC recipients and Providers in MIS. g. Aggregate complaints received during each reporting period and provide a narrative summary that includes type of complaints, identification of trends, and outcomes of complaint resolution. h. Assist women whose needs are not covered by EWC and maintain a roster of accurate and up-to-date region-wide community medical, social, and public health resources of free and/or low cost breast and cervical cancer screening services for California women in conjunction with the Region's HE.	CC	July 1, 2017 through June 30, 2019	

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Exhibit B
Budget Detail and Payment Provisions

1. Invoicing and Payment

A. For services satisfactorily rendered, and upon receipt and approval of the invoices, DHCS agrees to compensate the Contractor for actual expenditures incurred in accordance with the budget(s) attached hereto.

B. Invoices shall include the Contract Number and shall be submitted not more frequently than monthly in arrears to:

Jeff Bulacan
Department of Health Care Services
Medi-Cal Benefits Division
MS 4601
1501 Capitol Avenue
P.O. Box number 997417
Sacramento, CA 95899-7417

C. Invoices shall:

- 1) Be prepared on Contractor letterhead. If invoices are not on letterhead, invoices must be signed by an authorized official, employee, or agent certifying that the expenditures claimed represent actual expenses for the service performed under this Contract.
- 2) Bear the Contractor's name as shown on the Contract.
- 3) Identify the billing and/or performance period covered by the invoice.
- 4) Itemize costs for the billing period in the same or greater level of detail as indicated in this Contract. Subject to the terms of this Contract, reimbursement may only be sought for those costs and/or cost categories expressly identified as allowable in this Contract and approved by DHCS.
- 5) Be supported by appropriate documentation (e.g. vendor invoices or paid vouchers) that is retained on file by the Contractor. Contractor will submit supporting documentation with the invoice via e-mail attachment or other mutually agreed upon electronic submission method to the assigned DHCS Contract Manager upon request.

D. The Contractor will submit invoices to DHCS using Exhibit I entitled Invoice Cover Letter Sample, Exhibit J entitled 8-Line Item Invoice Sample, and Exhibit K entitled Additional Budget Detail Invoice Sample.

E. DHCS may, at its option, request a corrected invoice or return a disputed invoice for correction and resubmission prior to DHCS approving invoice for reimbursement or DHCS may reduce claimed itemized expenses that are not fully substantiated, cannot be verified as appropriate project expenses, are not in accordance with approved Budget, or are not in accordance with Exhibits I, J, and K. Disputed expenses may be withheld from payment until all billing disputes and/or errors are remedied.

F. Invoices must be submitted to DHCS no later than sixty (60) days after the end of the invoice period. DHCS, at its discretion, may disallow 10 percent of the invoice amount if the invoice has not been received ninety (90) days after the end of an invoice period.

G. DHCS has the option to audit any invoice during the term of this contract. The Contractor will be required to submit all supporting documentation that supports the selected invoice. Contractor shall submit all supporting documentation within 14 days of the audit notice from

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DHCS. DHCS may delay payment of Contractor's invoices pending receipt of the supporting documentation.

- H. Reimbursement amount(s) shall be determined by program performance. If the reimbursement amount is less than amounts already paid to the Contractor, the Contractor shall pay the excess amount back to DHCS upon demand, refer to this Exhibit B, Section 7 entitled Recovery of Overpayments.
- I. DHCS will only reimburse the Contractor for employee vacation and sick leave earned and accrued during contract term. DHCS will not reimburse the Contractor for vacation and/or sick leave taken after the termination of the contract, or earned before the start date of the contract.

2. Budget Contingency Clause

- A. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Contract does not appropriate sufficient funds for the program, this Contract shall be of no further force and effect. In this event, DHCS shall have no liability to pay any funds whatsoever to Contractor or to furnish any other considerations under this Contract and Contractor shall not be obligated to perform any provisions of this Contract.
- B. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, DHCS shall have the option to either cancel this Contract with no liability occurring to DHCS, or offer an agreement amendment to Contractor to reflect the reduced amount.

3. Prompt Payment Clause

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

4. Amounts Payable

- A. The amounts payable under this Contract shall not exceed:
 - 1) \$177,150 for the budget period of 01/01/2017 through 06/30/2017.
 - 2) \$354,300 for the budget period of 07/01/2017 through 06/30/2018.
 - 3) \$354,300 for the budget period of 07/01/2018 through 06/30/2019.
- B. Reimbursement shall be made for allowable expenses up to the amount annually encumbered commensurate with the state fiscal year in which services are performed and/or goods are received.

5. Timely Submission of Final Invoice

- A. A final undisputed invoice shall be submitted for payment no more than sixty (60) calendar days following the expiration or termination date of this Contract, unless a later or alternate deadline is agreed to in writing by the Program Contract Manager. Said invoice should be clearly marked "Final Invoice", thus indicating that all payment obligations of DHCS under this Contract have ceased and that no further payments are due or outstanding.
- B. DHCS may, at its discretion, choose not to honor any delinquent final invoice if the Contractor fails to obtain prior written DHCS approval of an alternate final invoice submission deadline. Written DHCS approval shall be sought from the Program Contract Manager prior to the expiration or termination date of this Contract.

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Budget Detail and Payment Provisions

- C. The Contractor is hereby advised of its obligation to submit, with the final invoice, a “**Contractor’s Release (Exhibit H)**” acknowledging submission of the final invoice to DHCS and certifying the approximate percentage amount, if any, of recycled products used in performance of this Contract.

6. Expense Allowability / Fiscal Documentation

- A. Invoices, received from a Contractor and accepted and/or submitted by DHCS for payment, shall not be deemed evidence of allowable contract costs.
- B. Contractor shall maintain for review and audit and supply to DHCS upon request, adequate documentation of all expenses claimed pursuant to this Contract to permit a determination of expense allowability.
- C. If the allowability or appropriateness of an expense cannot be determined by DHCS because invoice detail, fiscal records, or backup documentation is nonexistent or inadequate according to generally accepted accounting principles or practices, all questionable costs may be disallowed and payment may be withheld by DHCS. Upon receipt of adequate documentation supporting a disallowed or questionable expense, reimbursement may resume for the amount substantiated and deemed allowable.
- D. If travel is a reimbursable expense, receipts must be maintained to support the claimed expenditures. For more information on allowable travel and per diem expenses and required documentation, see Exhibit G entitled, “Travel Reimbursement Information
- E. Costs and/or expenses deemed unallowable are subject to recovery by DHCS. See Section 7 in this exhibit entitled, “Recovery of Overpayments” for more information.

7. Recovery of Overpayments

- A. Contractor agrees that claims based upon a contractual agreement or an audit finding and/or an audit finding that is appealed and upheld, will be recovered by DHCS by one of the following options:
- 1) Contractor’s remittance to DHCS of the full amount of the audit exception within 30 days following DHCS’ request for repayment;
 - 2) A repayment schedule which is agreeable to both DHCS and the Contractor.
- B. DHCS reserves the right to select which option will be employed and the Contractor will be notified by DHCS in writing of the claim procedure to be utilized.
- C. Interest on the unpaid balance of the audit finding or debt will accrue at a rate equal to the monthly average of the rate received on investments in the Pooled Money Investment Fund commencing on the date that an audit or examination finding is mailed to the Contractor, beginning 30 days after Contractor’s receipt of DHCS’ demand for repayment.
- D. If the Contractor has filed a valid appeal regarding the report of audit findings, recovery of the overpayments will be deferred until a final administrative decision on the appeal has been reached. If the Contractor loses the final administrative appeal, Contractor shall repay, to DHCS, the over-claimed or disallowed expenses, plus accrued interest. Interest accrues from

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Budget Detail and Payment Provisions

the Contractor's first receipt of DHCS' notice requesting reimbursement of questioned audit costs or disallowed expenses.

8. Operating Expenses (including General Expenses)

Operating Expenses include office supplies, minor equipment (items less than \$5,000 in value with at least one year life expectancy) and equipment maintenance, postage and express shipment services, telecommunications, printing and reproduction/reprographics, training (including seminars, workshops, and conferences), and technology infrastructure services. For any costs not listed in this section, Contractor shall submit a transmittal request to DHCS for review and approval. Refer to EWC Program Guide for information about the transmittal request procedure.

- A. Contractor shall obtain prior DHCS approval via transmittal request for minor equipment and equipment maintenance expenses.
- B. Contractor shall obtain prior DHCS approval via transmittal request for training. Refer to Exhibit D(F), Section 12 for additional information.

9. Indirect Costs

Indirect Costs are defined as operating costs incurred during normal business operations (e.g., accounting costs for payroll and billing services, insurance, legal services, human resource costs, business services costs for equipment purchases, mail service, reproduction, janitorial costs, security costs, utilities, etc.)

In accordance with Revenue and Taxation Code Section 30461.6, Indirect Costs for contracts funded by DHCS' Every Woman Counts shall not exceed 12 percent of total direct costs. Also, in accordance with the State Contracting Manual, Section 3.06(B), Indirect Costs shall include 12 percent of only the first \$25,000 of each subcontract for the entire term of the contract, including any contract term amendments.

10. Supplanting

The Contractor shall ensure that DHCS-reimbursed expenses under this contract do not duplicate reimbursement of costs and services received from other sources. Any DHCS-reimbursed expenses found to duplicate reimbursement from other sources shall be subject to recovery of overpayment in accordance with this Exhibit B, Section 7 (Recovery of Overpayments).

The Contractor also agrees to comply with all other applicable Federal, state, and local laws, regulations, and policies governing the funds provided under this contract. The Contractor further agrees to utilize funds available under this Agreement to supplement rather than supplant funds otherwise available.

Supplanting means to deliberately reduce state or local funds because of the existence of Federal or other funding sources. An example would be when state funds are appropriated for a stated purpose and federal funds are awarded for the same purpose, the Contractor replaces its state funds with federal funds, thereby reducing the total amount available for the stated purpose.

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Budget Detail and Payment Provisions

11. Overtime

Overtime is not reimbursable under this contract. Overtime is defined as any time worked in excess of full-time equivalency reimbursed with DHCS funds.

12. Budget Justification Narrative

The Contractor shall submit a Budget Justification Narrative, in a format approved by DHCS, whenever changes are proposed to the Additional Budget Detail. The Budget Justification Narrative is a detailed narrative justification that provides an explanation of the purpose or need for each line on the Additional Budget Detail and also explanations for any increase or decrease in line item funding amounts. The Contractor shall submit proposed revisions to the Budget Justification Narrative's changes in bold underline. All changes shall be made accordingly per Exhibit E, Additional Provisions, Paragraph 2, Amendment Process.

13. Invoice Cover Letter

The Invoice Cover Letter shall be submitted under the letterhead of the Contractor in the format of Exhibit I. The Contractor will address the Invoice Cover Letter to the assigned DHCS Contract Manager. The Invoice Cover Letter will include the contract number, term of the contract, invoice number, invoice period, a contact name, telephone number, fax number, and e-mail address of the person who can answer billing questions or resolve billing disputes. The Invoice Cover Letter must have an original signature, in blue ink, by an authorized representative from the agency.

14. 8-Line Item Invoice

The Contractor must submit an original 8-Line Item Invoice, in the format of Exhibit J, along with the Invoice Cover Letter. The Contractor will address the invoice to the assigned DHCS Contract Manager. The 8-Line Item Invoice will include the contract number, term of the contract, invoice number, invoice period, the name of the appropriate authorized representative, agency name, complete address and telephone number. The 8-Line Item Invoice must have an original signature, in blue ink, by an authorized representative from the agency. The 8-Line Item Invoice must correspond to the Additional Budget Detail Invoice. The sum of the expenditure breakdown on the Additional Budget Detail Invoice for each of the 8-line items will be used to calculate the total expenditures per line item on each invoice. Note: Display breakdown of expenses on each 8-Line Item Invoice only as they pertain to any breakdowns shown on the contract's approved 8-Line Item Budget.

15. Additional Budget Detail Invoice

The Contractor must submit an original Additional Budget Detail Invoice, in the format of Exhibit K, along with the Invoice Cover Letter and the 8-Line Item Invoice. The Additional Budget Detail Invoice must have an original signature, in blue ink, by an authorized representative from the agency. The amounts used on the Additional Budget Detail Invoice must match exactly with the Additional Budget Detail. The Additional Budget Detail Invoice requested amounts must correspond to the 8-Line Item Invoice requested amounts. The expenditure breakdown shown on the Additional Budget Detail Invoice will be used to calculate the totals to be shown on the 8-Line Item Invoice.

A. Top Section

Exhibit B
Budget Detail and Payment Provisions

- 1) Address the Additional Budget Detail Invoice to your assigned DHCS Contract Manager.
- 2) Provide the contract number, term of the contract, invoice number, and period of invoice.
- 3) Indicate the date the invoice was prepared.
- 4) Provide the Project Coordinator or appropriate authorized representative name, agency name, and complete address.

B. Column 1 - Budget Categories

- 1) Category A - Personnel: This column must include the employee position title, last name, percent time, and monthly salary range. If a position is unfilled, enter the position title and indicate that the position is vacant.
- 2) Category B - Fringe Benefits: Provide the actual fringe benefits percentage rate billed for the invoice period. Note: Fringe Benefits may not exceed 45.256 percent of total Personnel Costs.
- 3) Category C - Operating Expenses: Include a breakdown of all line items as shown in the Additional Budget Detail.
- 4) Category D - Equipment: Include a breakdown of all line items as shown in the Additional Budget Detail. This is for equipment purchases valued at \$5,000 or more.
- 5) Category E - Travel: Include a breakdown of all line items as shown in the Additional Budget Detail.
- 6) Category F - Subcontracts: Include a breakdown of all line items as shown in the Additional Budget Detail.
- 7) Category G - Other Costs: Include a breakdown of all line items as shown in the Additional Budget Detail.
- 8) Category H - Indirect Costs: Provide the actual indirect cost percentage rate billed for the invoice period. Indirect Costs may not exceed the amounts specified in Section 9 of this Exhibit B.
- 9) Total Invoice Amount

C. Column 2 - Approved Budget: Insert the approved contract budget amount for each line item. Amounts entered in this column should be identical to the Additional Budget Detail for the appropriate fiscal year.

D. Column 3 - Actual Expenses This Period: Record the actual expenses for each line item during the invoice period. Expenses for each line must be shown. For budgeted lines without expenditures during the invoice period, signify with "\$0".

E. Column 4 - Cumulative Expenses to Date: Record the cumulative total of all expenses for each line item paid through and including the current invoice period.

F. Column 5 - Unexpended Balance: Record the difference between Column 2 (Approved Budget) and Column 4 (Cumulative Expenses to Date), Column 2 minus Column 4 equals Column 5.

16. Supplemental Invoices

The Contractor may submit one supplemental invoice for expenses that were disputed, disallowed, and/or not already included in the Contractor's regular monthly invoice. The Contractor shall submit the supplemental invoice within 30 days of receiving a STD 209 (Invoice Dispute Notification Form) from DHCS. For example, the Contractor submits regular monthly invoice and DHCS disputes a travel expense item not supported with a paid receipt, the Contractor may submit a supplemental invoice for the disputed travel expense item and a copy of the STD 209 form. If the supplemental invoice does not contain expenses that were disputed or disallowed, the Contractor shall submit the

Exhibit B

Budget Detail and Payment Provisions

supplemental invoice within 30 days from submitting the regular monthly invoice. The Contractor shall ensure that each supplemental invoice submitted includes sufficient supporting documentation to substantiate the claimed expenses and include a copy of the STD 209 form, if applicable. DHCS will reject any incomplete supplemental invoice submissions in their entirety including any supplemental invoices with insufficient supporting documentation.

17. Advance Payments

No advance payment is allowed under this contract.

Exhibit B, Attachment I
Budget (Year 1)
January 1, 2017 through June 30, 2017

	Budget Amount
A. PERSONNEL	\$87,736
B. FRINGE BENEFITS (Not to Exceed 45.2% of Total Salaries)	\$39,657
C. OPERATING EXPENSES	\$9,485
D. EQUIPMENT	\$0
E. TRAVEL AND PER DIEM (@ CalHR Rates)	\$2,858
F. SUBCONTRACTS/CONSULTANTS	\$18,434
G. OTHER COSTS	\$0
H. INDIRECT COSTS (Not to Exceed 12% of Total Direct Costs)	\$18,980
TOTAL	\$177,150

Exhibit B, Attachment I
Budget (Year 1)
January 1, 2017 through June 30, 2017

A. PERSONNEL	% FTE	B = Bi-weekly M = Monthly	Budget Amount
1. Project Coordinator/Health Educator	10%	B \$2,661 - \$3,268	\$4,235
2. Clinical Coordinator	100%	B \$2,798 - \$3,428	\$44,564
3. Health Educator	100%	B \$2,550 - \$2,995	\$38,937
TOTAL PERSONNEL, SALARIES			\$87,736
B. FRINGE BENEFITS (capped at 45.2% of Total Salaries)			\$39,657
TOTAL PERSONNEL EXPENSES			\$127,393
C. OPERATING EXPENSES			\$9,485
D. EQUIPMENT			\$0
E. TRAVEL AND PER DIEM (@ CalHR Rates)			\$2,858
F. SUBCONTRACT/CONSULTANTS			
1. Contracts with Community Health Workers in San Luis Obispo			\$7,000
2. Community Health Workers Hourly			\$11,434
TOTAL SUBCONTRACT/CONSULTANTS			\$18,434
G. OTHER COSTS			\$0
TOTAL DIRECT COSTS			\$158,170
H. INDIRECT COSTS (Not to exceed 12% of Total Direct Costs)			\$18,980
TOTAL BUDGET			\$177,150

Exhibit B, Attachment II
Budget (Year 2)
July 1, 2017 through June 30, 2018

	Budget Amount
A. PERSONNEL	\$177,227
B. FRINGE BENEFITS (Not to Exceed 45.2% of Total Salaries)	\$80,107
C. OPERATING EXPENSES	\$16,389
D. EQUIPMENT	\$0
E. TRAVEL AND PER DIEM (@ CalHR Rates)	\$5,734
F. SUBCONTRACTS/CONSULTANTS	\$36,882
G. OTHER COSTS	\$0
H. INDIRECT COSTS (Not to Exceed 12% of Total Direct Costs)	\$37,961
TOTAL	\$354,300

Exhibit B, Attachment II
Budget (Year 2)
July 1, 2017 through June 30, 2018

A. PERSONNEL	% FTE	B = Bi-weekly M = Monthly	Budget Amount
1. Project Coordinator/Health Educator	10%	B \$2,661 - \$3,301	\$8,555
2. Clinical Coordinator	100%	B \$2,798 - \$3,462	\$90,019
3. Health Educator	100%	B \$2,550 - \$3,025	\$78,653
TOTAL PERSONNEL, SALARIES			\$177,227
B. FRINGE BENEFITS (capped at 45.2% of Total Salaries)			\$80,107
TOTAL PERSONNEL EXPENSES			\$257,334
C. OPERATING EXPENSES			\$16,389
D. EQUIPMENT			\$0
E. TRAVEL AND PER DIEM (@ CalHR Rates)			\$5,734
F. SUBCONTRACT/CONSULTANTS			
1. Contracts with Community Health Workers in San Luis Obispo			\$14,000
2. Community Health Workers Hourly			\$22,882
TOTAL SUBCONTRACT/CONSULTANTS			\$36,882
G. OTHER COSTS			\$0
TOTAL DIRECT COSTS			\$316,339
H. INDIRECT COSTS (Not to exceed 12% of Total Direct Costs)			\$37,961
TOTAL BUDGET			\$354,300

Exhibit B, Attachment III
Budget (Year 3)
July 1, 2018 through June 30, 2019

	Budget Amount
A. PERSONNEL	\$179,000
B. FRINGE BENEFITS (Not to Exceed 45.2% of Total Salaries)	\$80,908
C. OPERATING EXPENSES	\$13,781
D. EQUIPMENT	\$0
E. TRAVEL AND PER DIEM (@ CalHR Rates)	\$5,750
F. SUBCONTRACTS/CONSULTANTS	\$36,900
G. OTHER COSTS	\$0
H. INDIRECT COSTS (Not to Exceed 12% of Total Direct Costs)	\$37,961
TOTAL	\$354,300

Exhibit B, Attachment III
Budget (Year 3)
July 1, 2018 through June 30, 2019

A. PERSONNEL	% FTE	B = Bi-weekly M = Monthly	Budget Amount
1. Project Coordinator/Health Educator	10%	B \$2,661 - \$3,334	\$8,641
2. Clinical Coordinator	100%	B \$2,798 - \$3,497	\$90,919
3. Health Educator	100%	B \$2,550 - \$3,055	\$79,440
TOTAL PERSONNEL, SALARIES			\$179,000
B. FRINGE BENEFITS (capped at 45.2% of Total Salaries)			\$80,908
TOTAL PERSONNEL EXPENSES			\$259,908
C. OPERATING EXPENSES			\$13,781
D. EQUIPMENT			\$0
E. TRAVEL AND PER DIEM (@ CalHR Rates)			\$5,750
F. SUBCONTRACT/CONSULTANTS			
1. Contracts with Community Health Workers in San Luis Obispo			\$14,000
2. Community Health Workers Hourly			\$22,900
TOTAL SUBCONTRACT/CONSULTANTS			\$36,900
G. OTHER COSTS			\$0
TOTAL DIRECT COSTS			\$316,339
H. INDIRECT COSTS (Not to exceed 12% of Total Direct Costs)			\$37,961
TOTAL BUDGET			\$354,300

Special Terms and Conditions

(For federally funded service contracts or agreements and grant agreements)

The use of headings or titles throughout this exhibit is for convenience only and shall not be used to interpret or to govern the meaning of any specific term or condition.

The terms "contract", "Contractor" and "Subcontractor" shall also mean, "agreement", "grant", "grant agreement", "Grantee" and "Subgrantee" respectively.

The terms "California Department of Health Care Services", "California Department of Health Services", "Department of Health Care Services", "Department of Health Services", "CDHCS", "DHCS", "CDHS", and "DHS" shall all have the same meaning and refer to the California State agency that is a party to this Agreement.

This exhibit contains provisions that require strict adherence to various contracting laws and policies. Some provisions herein are conditional and only apply if specified conditions exist (i.e., agreement total exceeds a certain amount; agreement is federally funded, etc.). The provisions herein apply to this Agreement unless the provisions are removed by reference on the face of this Agreement, the provisions are superseded by an alternate provision appearing elsewhere in this Agreement, or the applicable conditions do not exist.

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1. Federal Equal Opportunity Requirements

(Applicable to all federally funded agreements entered into by the Department of Health Care Services)

- a. The 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. The 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 shall 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. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Federal Government or 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 shall state the 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.
- b. The Contractor will, in all solicitations or advancements for employees placed by or on behalf of the 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.
- c. The 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 shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- d. The 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 the 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 CFR 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.
- e. The 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 regulation at 41 CFR part 60, "Office of the 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 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 Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- f. In the event of the 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 cancelled, terminated, or suspended in whole or in part and the 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 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

- g. The Contractor will include the provisions of Paragraphs a through g 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 regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or Section 503 of the Rehabilitation Act of 1973 or (38 U.S.C. 4212) of the Vietnam Era Veteran's Readjustment Assistance Act, so that such provisions will be binding upon each subcontractor or vendor. The 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 the Contractor becomes involved in, or is threatened with litigation by a subcontractor or vendor as a result of such direction by DHCS, the 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.

2. Travel and Per Diem Reimbursement

(Applicable if travel and/or per diem expenses are reimbursed with agreement funds.)

Reimbursement for travel and per diem expenses from DHCS under this Agreement shall, unless otherwise specified in this Agreement, be at the rates currently in effect, as established by the California Department of Human Resources (CalHR), for nonrepresented state employees as stipulated in DHCS' Travel Reimbursement Information Exhibit. If the CalHR rates change during the term of the Agreement, the new rates shall apply upon their effective date and no amendment to this Agreement shall be necessary. Exceptions to CalHR rates may be approved by DHCS upon the submission of a statement by the Contractor indicating that such rates are not available to the Contractor. No travel outside the State of California shall be reimbursed without prior authorization from DHCS. Verbal authorization should be confirmed in writing. Written authorization may be in a form including fax or email confirmation.

3. Procurement Rules

(Applicable to agreements in which equipment/property, commodities and/or supplies are furnished by DHCS or expenses for said items are reimbursed by DHCS with state or federal funds provided under the Agreement.)

a. Equipment/Property definitions

Wherever the term equipment and/or property is used, the following definitions shall apply:

- (1) **Major equipment/property:** A tangible or intangible item having a base unit cost of \$5,000 or more with a life expectancy of one (1) year or more and is either furnished by DHCS or the cost is reimbursed through this Agreement. Software and videos are examples of intangible items that meet this definition.
 - (2) **Minor equipment/property:** A tangible item having a base unit cost of less than \$5,000 with a life expectancy of one (1) year or more and is either furnished by DHCS or the cost is reimbursed through this Agreement.
- b. **Government and public entities** (including state colleges/universities and auxiliary organizations), whether acting as a contractor and/or subcontractor, may secure all commodities, supplies, equipment and services related to such purchases that are required in performance of this Agreement. Said procurements are subject to Paragraphs d through h of Provision 3. Paragraph c of Provision 3 shall also apply, if equipment/property purchases are delegated to subcontractors that are nonprofit organizations or commercial businesses.
- c. **Nonprofit organizations and commercial businesses**, whether acting as a contractor and/or subcontractor, may secure commodities, supplies, equipment/property and services related to such purchases for performance under this Agreement.

- (1) Equipment/property purchases shall not exceed \$50,000 annually.

To secure equipment/property above the annual maximum limit of \$50,000, the Contractor shall

make arrangements through the appropriate DHCS Program Contract Manager, to have all remaining equipment/property purchased through DHCS' Purchasing Unit. The cost of equipment/property purchased by or through DHCS shall be deducted from the funds available in this Agreement. Contractor shall submit to the DHCS Program Contract Manager a list of equipment/property specifications for those items that the State must procure. DHCS may pay the vendor directly for such arranged equipment/property purchases and title to the equipment/property will remain with DHCS. The equipment/property will be delivered to the Contractor's address, as stated on the face of the Agreement, unless the Contractor notifies the DHCS Program Contract Manager, in writing, of an alternate delivery address.

- (2) All equipment/property purchases are subject to Paragraphs d through h of Provision 3. Paragraph b of Provision 3 shall also apply, if equipment/property purchases are delegated to subcontractors that are either a government or public entity.
- (3) Nonprofit organizations and commercial businesses shall use a procurement system that meets the following standards:
 - (a) Maintain a code or standard of conduct that shall govern the performance of its officers, employees, or agents engaged in awarding procurement contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a procurement, or bid contract in which, to his or her knowledge, he or she has a financial interest.
 - (b) Procurements shall be conducted in a manner that provides, to the maximum extent practical, open, and free competition.
 - (c) Procurements shall be conducted in a manner that provides for all of the following:
 - [1] Avoid purchasing unnecessary or duplicate items.
 - [2] Equipment/property solicitations shall be based upon a clear and accurate description of the technical requirements of the goods to be procured.
 - [3] Take positive steps to utilize small and veteran owned businesses.
- d. Unless waived or otherwise stipulated in writing by DHCS, prior written authorization from the appropriate DHCS Program Contract Manager will be required before the Contractor will be reimbursed for any purchase of \$5,000 or more for commodities, supplies, equipment/property, and services related to such purchases. The Contractor must provide in its request for authorization all particulars necessary, as specified by DHCS, for evaluating the necessity or desirability of incurring such costs. The term "purchase" excludes the purchase of services from a subcontractor and public utility services at rates established for uniform applicability to the general public.
- e. In special circumstances, determined by DHCS (e.g., when DHCS has a need to monitor certain purchases, etc.), DHCS may require prior written authorization and/or the submission of paid vendor receipts for any purchase, regardless of dollar amount. DHCS reserves the right to either deny claims for reimbursement or to request repayment for any Contractor and/or subcontractor purchase that DHCS determines to be unnecessary in carrying out performance under this Agreement.
- f. The Contractor and/or subcontractor must maintain a copy or narrative description of the procurement system, guidelines, rules, or regulations that will be used to make purchases under this Agreement. The State reserves the right to request a copy of these documents and to inspect the purchasing practices of the Contractor and/or subcontractor at any time.
- g. For all purchases, the Contractor and/or subcontractor must maintain copies of all paid vendor invoices, documents, bids and other information used in vendor selection, for inspection or audit. Justifications supporting the absence of bidding (i.e., sole source purchases) shall also be maintained on file by the Contractor and/or subcontractor for inspection or audit.
- h. DHCS may, with cause (e.g., with reasonable suspicion of unnecessary purchases or use of inappropriate purchase practices, etc.), withhold, cancel, modify, or retract the delegated purchase authority granted under Paragraphs b and/or c of Provision 3 by giving the Contractor no less than 30 calendar days written notice.

4. Equipment/Property Ownership / Inventory / Disposition

(Applicable to agreements in which equipment/property is furnished by DHCS and/or when said items are purchased or reimbursed by DHCS with state or federal funds provided under the Agreement.)

- a. Wherever the term equipment and/or property is used in Provision 4, the definitions in Paragraph a of Provision 3 shall apply.

Unless otherwise stipulated in this Agreement, all equipment and/or property that is purchased/reimbursed with agreement funds or furnished by DHCS under the terms of this Agreement shall be considered state equipment and the property of DHCS.

- (1) **Reporting of Equipment/Property Receipt** - DHCS requires the reporting, tagging and annual inventorying of all equipment and/or property that is furnished by DHCS or purchased/reimbursed with funds provided through this Agreement.

Upon receipt of equipment and/or property, the Contractor shall report the receipt to the DHCS Program Contract Manager. To report the receipt of said items and to receive property tags, Contractor shall use a form or format designated by DHCS' Asset Management Unit. If the appropriate form (i.e., Contractor Equipment Purchased with DHCS Funds) does not accompany this Agreement, Contractor shall request a copy from the DHCS Program Contract Manager.

- (2) **Annual Equipment/Property Inventory** - If the Contractor enters into an agreement with a term of more than twelve months, the Contractor shall submit an annual inventory of state equipment and/or property to the DHCS Program Contract Manager using a form or format designated by DHCS' Asset Management Unit. If an inventory report form (i.e., Inventory/Disposition of DHCS-Funded Equipment) does not accompany this Agreement, Contractor shall request a copy from the DHCS Program Contract Manager. Contractor shall:

- (a) Include in the inventory report, equipment and/or property in the Contractor's possession and/or in the possession of a subcontractor (including independent consultants).
- (b) Submit the inventory report to DHCS according to the instructions appearing on the inventory form or issued by the DHCS Program Contract Manager.
- (c) Contact the DHCS Program Contract Manager to learn how to remove, trade-in, sell, transfer or survey off, from the inventory report, expired equipment and/or property that is no longer wanted, usable or has passed its life expectancy. Instructions will be supplied by either the DHCS Program Contract Manager or DHCS' Asset Management Unit.
- b. Title to state equipment and/or property shall not be affected by its incorporation or attachment to any property not owned by the State.
- c. Unless otherwise stipulated, DHCS shall be under no obligation to pay the cost of restoration, or rehabilitation of the Contractor's and/or Subcontractor's facility which may be affected by the removal of any state equipment and/or property.
- d. The Contractor and/or Subcontractor shall maintain and administer a sound business program for ensuring the proper use, maintenance, repair, protection, insurance and preservation of state equipment and/or property.
- (1) In administering this provision, DHCS may require the Contractor and/or Subcontractor to repair or replace, to DHCS' satisfaction, any damaged, lost or stolen state equipment and/or property. In the event of state equipment and/or miscellaneous property theft, Contractor and/or Subcontractor shall immediately file a theft report with the appropriate police agency or the California Highway Patrol and Contractor shall promptly submit one copy of the theft report to the DHCS Program Contract Manager.
- e. Unless otherwise stipulated by the Program funding this Agreement, equipment and/or property purchased/reimbursed with agreement funds or furnished by DHCS under the terms of this Agreement, shall only be used for performance of this Agreement or another DHCS agreement.

- f. Within sixty (60) calendar days prior to the termination or end of this Agreement, the Contractor shall provide a final inventory report of equipment and/or property to the DHCS Program Contract Manager and shall, at that time, query DHCS as to the requirements, including the manner and method, of returning state equipment and/or property to DHCS. Final disposition of equipment and/or property shall be at DHCS expense and according to DHCS instructions. Equipment and/or property disposition instructions shall be issued by DHCS immediately after receipt of the final inventory report. At the termination or conclusion of this Agreement, DHCS may at its discretion, authorize the continued use of state equipment and/or property for performance of work under a different DHCS agreement.

g. Motor Vehicles

(Applicable only if motor vehicles are purchased/reimbursed with agreement funds or furnished by DHCS under this Agreement.)

- (1) If motor vehicles are purchased/reimbursed with agreement funds or furnished by DHCS under the terms of this Agreement, within thirty (30) calendar days prior to the termination or end of this Agreement, the Contractor and/or Subcontractor shall return such vehicles to DHCS and shall deliver all necessary documents of title or registration to enable the proper transfer of a marketable title to DHCS.
- (2) If motor vehicles are purchased/reimbursed with agreement funds or furnished by DHCS under the terms of this Agreement, the State of California shall be the legal owner of said motor vehicles and the Contractor shall be the registered owner. The Contractor and/or a subcontractor may only use said vehicles for performance and under the terms of this Agreement.
- (3) The Contractor and/or Subcontractor agree that all operators of motor vehicles, purchased/reimbursed with agreement funds or furnished by DHCS under the terms of this Agreement, shall hold a valid State of California driver's license. In the event that ten or more passengers are to be transported in any one vehicle, the operator shall also hold a State of California Class B driver's license.
- (4) If any motor vehicle is purchased/reimbursed with agreement funds or furnished by DHCS under the terms of this Agreement, the Contractor and/or Subcontractor, as applicable, shall provide, maintain, and certify that, at a minimum, the following type and amount of automobile liability insurance is in effect during the term of this Agreement or any extension period during which any vehicle remains in the Contractor's and/or Subcontractor's possession:

Automobile Liability Insurance

- (a) The Contractor, by signing this Agreement, hereby certifies that it possesses or will obtain automobile liability insurance in the amount of \$1,000,000 per occurrence for bodily injury and property damage combined. Said insurance must be obtained and made effective upon the delivery date of any motor vehicle, purchased/reimbursed with agreement funds or furnished by DHCS under the terms of this Agreement, to the Contractor and/or Subcontractor.
- (b) The Contractor and/or Subcontractor shall, as soon as practical, furnish a copy of the certificate of insurance to the DHCS Program Contract Manager. The certificate of insurance shall identify the DHCS contract or agreement number for which the insurance applies.
- (c) The Contractor and/or Subcontractor agree that bodily injury and property damage liability insurance, as required herein, shall remain in effect at all times during the term of this Agreement or until such time as the motor vehicle is returned to DHCS.
- (d) The Contractor and/or Subcontractor agree to provide, at least thirty (30) days prior to the expiration date of said insurance coverage, a copy of a new certificate of insurance evidencing continued coverage, as indicated herein, for not less than the remainder of the term of this Agreement, the term of any extension or continuation thereof, or for a period of not less than one (1) year.
- (e) The Contractor and/or Subcontractor, if not a self-insured government and/or public entity, must provide evidence, that any required certificates of insurance contain the following provisions:

- [1] The insurer will not cancel the insured's coverage without giving thirty (30) calendar days prior written notice to the State (California Department of Health Care Services).
 - [2] The State of California, its officers, agents, employees, and servants are included as additional insureds, but only with respect to work performed for the State under this Agreement and any extension or continuation of this Agreement.
 - [3] The insurance carrier shall notify the California Department of Health Care Services (DHCS), in writing, of the Contractor's failure to pay premiums; its cancellation of such policies; or any other substantial change, including, but not limited to, the status, coverage, or scope of the required insurance. Such notices shall contain a reference to each agreement number for which the insurance was obtained.
- (f) The Contractor and/or Subcontractor is hereby advised that copies of certificates of insurance may be subject to review and approval by the Department of General Services (DGS), Office of Risk and Insurance Management. The Contractor shall be notified by DHCS, in writing, if this provision is applicable to this Agreement. If DGS approval of the certificate of insurance is required, the Contractor agrees that no work or services shall be performed prior to obtaining said approval.
- (g) In the event the Contractor and/or Subcontractor fails to keep insurance coverage, as required herein, in effect at all times during vehicle possession, DHCS may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event.

5. Subcontract Requirements

(Applicable to agreements under which services are to be performed by subcontractors including independent consultants.)

- a. Prior written authorization will be required before the Contractor enters into or is reimbursed for any subcontract for services costing \$5,000 or more. Except as indicated in Paragraph a(3) herein, when securing subcontracts for services exceeding \$5,000, the Contractor shall obtain at least three bids or justify a sole source award.
 - (1) The Contractor must provide in its request for authorization, all information necessary for evaluating the necessity or desirability of incurring such cost.
 - (2) DHCS may identify the information needed to fulfill this requirement.
 - (3) Subcontracts performed by the following entities or for the service types listed below are exempt from the bidding and sole source justification requirements:
 - (a) A local governmental entity or the federal government,
 - (b) A State college or State university from any State,
 - (c) A Joint Powers Authority,
 - (d) An auxiliary organization of a California State University or a California community college,
 - (e) A foundation organized to support the Board of Governors of the California Community Colleges,
 - (f) An auxiliary organization of the Student Aid Commission established under Education Code § 69522,
 - (g) Firms or individuals proposed for use and approved by DHCS' funding Program via acceptance of an application or proposal for funding or pre/post contract award negotiations,
 - (h) Entities and/or service types identified as exempt from advertising and competitive bidding in State Contracting Manual Chapter 5 Section 5.80 Subsection B.2. View this publication at the following Internet address: <http://www.dgs.ca.gov/ols/Resources/StateContractManual.aspx>.
- b. DHCS reserves the right to approve or disapprove the selection of subcontractors and with advance written notice, require the substitution of subcontractors and require the Contractor to terminate subcontracts entered into in support of this Agreement.

- (1) Upon receipt of a written notice from DHCS requiring the substitution and/or termination of a subcontract, the Contractor shall take steps to ensure the completion of any work in progress and select a replacement, if applicable, within 30 calendar days, unless a longer period is agreed to by DHCS.
- c. Actual subcontracts (i.e., written agreement between the Contractor and a subcontractor) of \$5,000 or more are subject to the prior review and written approval of DHCS. DHCS may, at its discretion, elect to waive this right. All such waivers shall be confirmed in writing by DHCS.
 - d. Contractor shall maintain a copy of each subcontract entered into in support of this Agreement and shall, upon request by DHCS, make copies available for approval, inspection, or audit.
 - e. DHCS assumes no responsibility for the payment of subcontractors used in the performance of this Agreement. Contractor accepts sole responsibility for the payment of subcontractors used in the performance of this Agreement.
 - f. The Contractor is responsible for all performance requirements under this Agreement even though performance may be carried out through a subcontract.
 - g. The Contractor shall ensure that all subcontracts for services include provision(s) requiring compliance with applicable terms and conditions specified in this Agreement.
 - h. The Contractor agrees to include the following clause, relevant to record retention, in all subcontracts for services:

 "(Subcontractor Name) agrees to maintain and preserve, until three years after termination of (Agreement Number) and final payment from DHCS to the Contractor, to permit DHCS or any duly authorized representative, to have access to, examine or audit any pertinent books, documents, papers and records related to this subcontract and to allow interviews of any employees who might reasonably have information related to such records."
 - i. Unless otherwise stipulated in writing by DHCS, the Contractor shall be the subcontractor's sole point of contact for all matters related to performance and payment under this Agreement.
 - j. Contractor shall, as applicable, advise all subcontractors of their obligations pursuant to the following numbered provisions of this Exhibit: 1, 2, 3, 4, 5, 6, 7, 8, 10, 11, 12, 13, 14, 17, 19, 20, 24, 32 and/or other numbered provisions herein that are deemed applicable.

6. Income Restrictions

Unless otherwise stipulated in this Agreement, the Contractor agrees that any refunds, rebates, credits, or other amounts (including any interest thereon) accruing to or received by the Contractor under this Agreement shall be paid by the Contractor to DHCS, to the extent that they are properly allocable to costs for which the Contractor has been reimbursed by DHCS under this Agreement.

7. Audit and Record Retention

(Applicable to agreements in excess of \$10,000.)

- a. The Contractor and/or Subcontractor shall maintain books, records, documents, and other evidence, accounting procedures and practices, sufficient to properly reflect all direct and indirect costs of whatever nature claimed to have been incurred in the performance of this Agreement, including any matching costs and expenses. The foregoing constitutes "records" for the purpose of this provision.
- b. The Contractor's and/or subcontractor's facility or office or such part thereof as may be engaged in the performance of this Agreement and his/her records shall be subject at all reasonable times to inspection, audit, and reproduction.
- c. Contractor agrees that DHCS, the Department of General Services, the Bureau of State Audits, or their designated representatives including the Comptroller General of the United States shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this

Agreement. Contractor agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Contractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (GC 8546.7, CCR Title 2, Section 1896).

- d. The Contractor and/or Subcontractor shall preserve and make available his/her records (1) for a period of three years from the date of final payment under this Agreement, and (2) for such longer period, if any, as is required by applicable statute, by any other provision of this Agreement, or by subparagraphs (1) or (2) below.
 - (1) If this Agreement is completely or partially terminated, the records relating to the work terminated shall be preserved and made available for a period of three years from the date of any resulting final settlement.
 - (2) If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.
- e. The Contractor and/or Subcontractor shall comply with the above requirements and be aware of the penalties for violations of fraud and for obstruction of investigation as set forth in Public Contract Code § 10115.10, if applicable.
- f. The Contractor and/or Subcontractor may, at its discretion, following receipt of final payment under this Agreement, reduce its accounts, books and records related to this Agreement to microfilm, computer disk, CD ROM, DVD, or other data storage medium. Upon request by an authorized representative to inspect, audit or obtain copies of said records, the Contractor and/or Subcontractor must supply or make available applicable devices, hardware, and/or software necessary to view, copy and/or print said records. Applicable devices may include, but are not limited to, microfilm readers and microfilm printers, etc.
- g. The Contractor shall, if applicable, comply with the Single Audit Act and the audit reporting requirements set forth in OMB Circular A-133.

8. Site Inspection

The State, through any authorized representatives, has the right at all reasonable times to inspect or otherwise evaluate the work performed or being performed hereunder including subcontract supported activities and the premises in which it is being performed. If any inspection or evaluation is made of the premises of the Contractor or Subcontractor, the Contractor shall provide and shall require Subcontractors to provide all reasonable facilities and assistance for the safety and convenience of the authorized representatives in the performance of their duties. All inspections and evaluations shall be performed in such a manner as will not unduly delay the work.

9. Federal Contract Funds

(Applicable only to that portion of an agreement funded in part or whole with federal funds.)

- a. It is mutually understood between the parties that this Agreement may have been written before ascertaining the availability of congressional appropriation of funds, for the mutual benefit of both parties, in order to avoid program and fiscal delays which would occur if the Agreement were executed after that determination was made.
- b. This agreement is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the fiscal years covered by the term of this Agreement. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by the Congress or any statute enacted by the Congress which may affect the provisions, terms or funding of this Agreement in any manner.

- c. It is mutually agreed that if the Congress does not appropriate sufficient funds for the program, this Agreement shall be amended to reflect any reduction in funds.
- d. DHCS has the option to invalidate or cancel the Agreement with 30-days advance written notice or to amend the Agreement to reflect any reduction in funds.

10. Intellectual Property Rights

a. Ownership

- (1) Except where DHCS has agreed in a signed writing to accept a license, DHCS shall be and remain, without additional compensation, the sole owner of any and all rights, title and interest in all Intellectual Property, from the moment of creation, whether or not jointly conceived, that are made, conceived, derived from, or reduced to practice by Contractor or DHCS and which result directly or indirectly from this Agreement.
- (2) For the purposes of this Agreement, Intellectual Property means recognized protectable rights and interest such as: patents, (whether or not issued) copyrights, trademarks, service marks, applications for any of the foregoing, inventions, trade secrets, trade dress, logos, insignia, color combinations, slogans, moral rights, right of publicity, author's rights, contract and licensing rights, works, mask works, industrial design rights, rights of priority, know how, design flows, methodologies, devices, business processes, developments, innovations, good will and all other legal rights protecting intangible proprietary information as may exist now and/or here after come into existence, and all renewals and extensions, regardless of whether those rights arise under the laws of the United States, or any other state, country or jurisdiction.
 - (a) For the purposes of the definition of Intellectual Property, "works" means all literary works, writings and printed matter including the medium by which they are recorded or reproduced, photographs, art work, pictorial and graphic representations and works of a similar nature, film, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, educational materials, interactive videos and any other materials or products created, produced, conceptualized and fixed in a tangible medium of expression. It includes preliminary and final products and any materials and information developed for the purposes of producing those final products. Works does not include articles submitted to peer review or reference journals or independent research projects.
- (3) In the performance of this Agreement, Contractor will exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this Agreement. In addition, under this Agreement, Contractor may access and utilize certain of DHCS' Intellectual Property in existence prior to the effective date of this Agreement. Except as otherwise set forth herein, Contractor shall not use any of DHCS' Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of DHCS. **Except as otherwise set forth herein, neither the Contractor nor DHCS shall give any ownership interest in or rights to its Intellectual Property to the other Party.** If during the term of this Agreement, Contractor accesses any third-party Intellectual Property that is licensed to DHCS, Contractor agrees to abide by all license and confidentiality restrictions applicable to DHCS in the third-party's license agreement.
- (4) Contractor agrees to cooperate with DHCS in establishing or maintaining DHCS' exclusive rights in the Intellectual Property, and in assuring DHCS' sole rights against third parties with respect to the Intellectual Property. If the Contractor enters into any agreements or subcontracts with other parties in order to perform this Agreement, Contractor shall require the terms of the Agreement(s) to include all Intellectual Property provisions. Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to DHCS all rights, title and interest in Intellectual Property made, conceived, derived from, or reduced to practice by the subcontractor, Contractor or DHCS and which result directly or indirectly from this Agreement or any subcontract.
- (5) Contractor further agrees to assist and cooperate with DHCS in all reasonable respects, and execute all documents and, subject to reasonable availability, give testimony and take all further acts reasonably necessary to acquire, transfer, maintain, and enforce DHCS' Intellectual Property rights and interests.

b. Retained Rights / License Rights

- (1) Except for Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or DHCS and which result directly or indirectly from this Agreement, Contractor shall retain title to all of its Intellectual Property to the extent such Intellectual Property is in existence prior to the effective date of this Agreement. Contractor hereby grants to DHCS, without additional compensation, a permanent, non-exclusive, royalty free, paid-up, worldwide, irrevocable, perpetual, non-terminable license to use, reproduce, manufacture, sell, offer to sell, import, export, modify, publicly and privately display/perform, distribute, and dispose Contractor's Intellectual Property with the right to sublicense through multiple layers, for any purpose whatsoever, to the extent it is incorporated in the Intellectual Property resulting from this Agreement, unless Contractor assigns all rights, title and interest in the Intellectual Property as set forth herein.
- (2) Nothing in this provision shall restrict, limit, or otherwise prevent Contractor from using any ideas, concepts, know-how, methodology or techniques related to its performance under this Agreement, provided that Contractor's use does not infringe the patent, copyright, trademark rights, license or other Intellectual Property rights of DHCS or third party, or result in a breach or default of any provisions of this Exhibit or result in a breach of any provisions of law relating to confidentiality.

c. Copyright

- (1) Contractor agrees that for purposes of copyright law, all works [as defined in Paragraph a, subparagraph (2)(a) of this provision] of authorship made by or on behalf of Contractor in connection with Contractor's performance of this Agreement shall be deemed "works made for hire". Contractor further agrees that the work of each person utilized by Contractor in connection with the performance of this Agreement will be a "work made for hire," whether that person is an employee of Contractor or that person has entered into an agreement with Contractor to perform the work. Contractor shall enter into a written agreement with any such person that: (i) all work performed for Contractor shall be deemed a "work made for hire" under the Copyright Act and (ii) that person shall assign all right, title, and interest to DHCS to any work product made, conceived, derived from, or reduced to practice by Contractor or DHCS and which result directly or indirectly from this Agreement.
- (2) All materials, including, but not limited to, visual works or text, reproduced or distributed pursuant to this Agreement that include Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or DHCS and which result directly or indirectly from this Agreement, shall include DHCS' notice of copyright, which shall read in 3mm or larger typeface: "© [Enter Current Year e.g., 2010, etc.], California Department of Health Care Services. This material may not be reproduced or disseminated without prior written permission from the California Department of Health Care Services." This notice should be placed prominently on the materials and set apart from other matter on the page where it appears. Audio productions shall contain a similar audio notice of copyright.

d. Patent Rights

With respect to inventions made by Contractor in the performance of this Agreement, which did not result from research and development specifically included in the Agreement's scope of work, Contractor hereby grants to DHCS a license as described under Section b of this provision for devices or material incorporating, or made through the use of such inventions. If such inventions result from research and development work specifically included within the Agreement's scope of work, then Contractor agrees to assign to DHCS, without additional compensation, all its right, title and interest in and to such inventions and to assist DHCS in securing United States and foreign patents with respect thereto.

e. Third-Party Intellectual Property

Except as provided herein, Contractor agrees that its performance of this Agreement shall not be dependent upon or include any Intellectual Property of Contractor or third party without first: (i) obtaining DHCS' prior written approval; and (ii) granting to or obtaining for DHCS, without additional compensation, a license, as described in Section b of this provision, for any of Contractor's or third-party's Intellectual Property in existence prior to the effective date of this Agreement. If such a license upon these terms is unattainable, and DHCS determines that the Intellectual Property should be included in or is required

for Contractor's performance of this Agreement, Contractor shall obtain a license under terms acceptable to DHCS.

f. Warranties

(1) Contractor represents and warrants that:

- (a) It is free to enter into and fully perform this Agreement.
- (b) It has secured and will secure all rights and licenses necessary for its performance of this Agreement.
- (c) Neither Contractor's performance of this Agreement, nor the exercise by either Party of the rights granted in this Agreement, nor any use, reproduction, manufacture, sale, offer to sell, import, export, modification, public and private display/performance, distribution, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or DHCS and which result directly or indirectly from this Agreement will infringe upon or violate any Intellectual Property right, non-disclosure obligation, or other proprietary right or interest of any third-party or entity now existing under the laws of, or hereafter existing or issued by, any state, the United States, or any foreign country. There is currently no actual or threatened claim by any such third party based on an alleged violation of any such right by Contractor.
- (d) Neither Contractor's performance nor any part of its performance will violate the right of privacy of, or constitute a libel or slander against any person or entity.
- (e) It has secured and will secure all rights and licenses necessary for Intellectual Property including, but not limited to, consents, waivers or releases from all authors of music or performances used, and talent (radio, television and motion picture talent), owners of any interest in and to real estate, sites, locations, property or props that may be used or shown.
- (f) It has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to DHCS in this Agreement.
- (g) It has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.
- (h) It has no knowledge of any outstanding claims, licenses or other charges, liens, or encumbrances of any kind or nature whatsoever that could affect in any way Contractor's performance of this Agreement.

(2) DHCS MAKES NO WARRANTY THAT THE INTELLECTUAL PROPERTY RESULTING FROM THIS AGREEMENT DOES NOT INFRINGE UPON ANY PATENT, TRADEMARK, COPYRIGHT OR THE LIKE, NOW EXISTING OR SUBSEQUENTLY ISSUED.

g. Intellectual Property Indemnity

- (1) Contractor shall indemnify, defend and hold harmless DHCS and its licensees and assignees, and its officers, directors, employees, agents, representatives, successors, and users of its products, ("Indemnitees") from and against all claims, actions, damages, losses, liabilities (or actions or proceedings with respect to any thereof), whether or not rightful, arising from any and all actions or claims by any third party or expenses related thereto (including, but not limited to, all legal expenses, court costs, and attorney's fees incurred in investigating, preparing, serving as a witness in, or defending against, any such claim, action, or proceeding, commenced or threatened) to which any of the Indemnitees may be subject, whether or not Contractor is a party to any pending or threatened litigation, which arise out of or are related to (i) the incorrectness or breach of any of the representations, warranties, covenants or agreements of Contractor pertaining to Intellectual Property; or (ii) any Intellectual Property infringement, or any other type of actual or alleged infringement claim, arising out of DHCS' use, reproduction, manufacture, sale, offer to sell, distribution, import, export, modification, public and private performance/display, license, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by

Contractor or DHCS and which result directly or indirectly from this Agreement. This indemnity obligation shall apply irrespective of whether the infringement claim is based on a patent, trademark or copyright registration that issued after the effective date of this Agreement. DHCS reserves the right to participate in and/or control, at Contractor's expense, any such infringement action brought against DHCS.

- (2) Should any Intellectual Property licensed by the Contractor to DHCS under this Agreement become the subject of an Intellectual Property infringement claim, Contractor will exercise its authority reasonably and in good faith to preserve DHCS' right to use the licensed Intellectual Property in accordance with this Agreement at no expense to DHCS. DHCS shall have the right to monitor and appear through its own counsel (at Contractor's expense) in any such claim or action. In the defense or settlement of the claim, Contractor may obtain the right for DHCS to continue using the licensed Intellectual Property; or, replace or modify the licensed Intellectual Property so that the replaced or modified Intellectual Property becomes non-infringing provided that such replacement or modification is functionally equivalent to the original licensed Intellectual Property. If such remedies are not reasonably available, DHCS shall be entitled to a refund of all monies paid under this Agreement, without restriction or limitation of any other rights and remedies available at law or in equity.
- (3) Contractor agrees that damages alone would be inadequate to compensate DHCS for breach of any term of this Intellectual Property Exhibit by Contractor. Contractor acknowledges DHCS would suffer irreparable harm in the event of such breach and agrees DHCS shall be entitled to obtain equitable relief, including without limitation an injunction, from a court of competent jurisdiction, without restriction or limitation of any other rights and remedies available at law or in equity.

h. Federal Funding

In any agreement funded in whole or in part by the federal government, DHCS may acquire and maintain the Intellectual Property rights, title, and ownership, which results directly or indirectly from the Agreement; except as provided in 37 Code of Federal Regulations part 401.14; however, the federal government shall have a non-exclusive, nontransferable, irrevocable, paid-up license throughout the world to use, duplicate, or dispose of such Intellectual Property throughout the world in any manner for governmental purposes and to have and permit others to do so.

i. Survival

The provisions set forth herein shall survive any termination or expiration of this Agreement or any project schedule.

11. Air or Water Pollution Requirements

Any federally funded agreement and/or subcontract in excess of \$100,000 must comply with the following provisions unless said agreement is exempt under 40 CFR 15.5.

- a. Government contractors agree to comply with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act [42 U.S.C. 1857(h)], section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15).
- b. Institutions of higher education, hospitals, nonprofit organizations and commercial businesses agree to comply with all applicable standards, orders, or requirements issued under the Clean Air Act (42 U.S.C. 7401 et seq.), as amended, and the Federal Water Pollution Control Act (33 U.S.C. 1251 et seq.), as amended.

12. Prior Approval of Training Seminars, Workshops or Conferences

Contractor shall obtain prior DHCS approval of the location, costs, dates, agenda, instructors, instructional materials, and attendees at any reimbursable training seminar, workshop, or conference conducted pursuant to this Agreement and of any reimbursable publicity or educational materials to be made available for distribution. The Contractor shall acknowledge the support of the State whenever publicizing the work under this Agreement in any media. This provision does not apply to necessary staff meetings or training sessions held for the staff of the Contractor or Subcontractor to conduct routine business matters.

13. Confidentiality of Information

- a. The Contractor and its employees, agents, or subcontractors shall protect from unauthorized disclosure names and other identifying information concerning persons either receiving services pursuant to this Agreement or persons whose names or identifying information become available or are disclosed to the Contractor, its employees, agents, or subcontractors as a result of services performed under this Agreement, except for statistical information not identifying any such person.
- b. The Contractor and its employees, agents, or subcontractors shall not use such identifying information for any purpose other than carrying out the Contractor's obligations under this Agreement.
- c. The Contractor and its employees, agents, or subcontractors shall promptly transmit to the DHCS Program Contract Manager all requests for disclosure of such identifying information not emanating from the client or person.
- d. The Contractor shall not disclose, except as otherwise specifically permitted by this Agreement or authorized by the client, any such identifying information to anyone other than DHCS without prior written authorization from the DHCS Program Contract Manager, except if disclosure is required by State or Federal law.
- e. For purposes of this provision, identity shall include, but not be limited to name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or a photograph.
- f. As deemed applicable by DHCS, this provision may be supplemented by additional terms and conditions covering personal health information (PHI) or personal, sensitive, and/or confidential information (PSCI). Said terms and conditions will be outlined in one or more exhibits that will either be attached to this Agreement or incorporated into this Agreement by reference.

14. Documents, Publications and Written Reports

(Applicable to agreements over \$5,000 under which publications, written reports and documents are developed or produced. Government Code Section 7550.)

Any document, publication or written report (excluding progress reports, financial reports and normal contractual communications) prepared as a requirement of this Agreement shall contain, in a separate section preceding the main body of the document, the number and dollar amounts of all contracts or agreements and subcontracts relating to the preparation of such document or report, if the total cost for work by nonemployees of the State exceeds \$5,000.

15. Dispute Resolution Process

- a. A Contractor grievance exists whenever there is a dispute arising from DHCS' action in the administration of an agreement. If there is a dispute or grievance between the Contractor and DHCS, the Contractor must seek resolution using the procedure outlined below.
 - (1) The Contractor should first informally discuss the problem with the DHCS Program Contract Manager. If the problem cannot be resolved informally, the Contractor shall direct its grievance together with any evidence, in writing, to the program Branch Chief. The grievance shall state the issues in dispute, the legal authority or other basis for the Contractor's position and the remedy sought. The Branch Chief shall render a decision within ten (10) working days after receipt of the written grievance from the Contractor. The Branch Chief shall respond in writing to the Contractor indicating the decision and reasons therefore. If the Contractor disagrees with the Branch Chief's decision, the Contractor may appeal to the second level.
 - (2) When appealing to the second level, the Contractor must prepare an appeal indicating the reasons for disagreement with Branch Chief's decision. The Contractor shall include with the appeal a copy of the Contractor's original statement of dispute along with any supporting evidence and a copy of the Branch Chief's decision. The appeal shall be addressed to the Deputy Director of the division in which the branch is organized within ten (10) working days from receipt of the Branch Chief's

decision. The Deputy Director of the division in which the branch is organized or his/her designee shall meet with the Contractor to review the issues raised. A written decision signed by the Deputy Director of the division in which the branch is organized or his/her designee shall be directed to the Contractor within twenty (20) working days of receipt of the Contractor's second level appeal.

- b. If the Contractor wishes to appeal the decision of the Deputy Director of the division in which the branch is organized or his/her designee, the Contractor shall follow the procedures set forth in Health and Safety Code Section 100171.
- c. Unless otherwise stipulated in writing by DHCS, all dispute, grievance and/or appeal correspondence shall be directed to the DHCS Program Contract Manager.
- d. There are organizational differences within DHCS' funding programs and the management levels identified in this dispute resolution provision may not apply in every contractual situation. When a grievance is received and organizational differences exist, the Contractor shall be notified in writing by the DHCS Program Contract Manager of the level, name, and/or title of the appropriate management official that is responsible for issuing a decision at a given level.

16. Financial and Compliance Audit Requirements

- a. The definitions used in this provision are contained in Section 38040 of the Health and Safety Code, which by this reference is made a part hereof.
- b. Direct service contract means a contract or agreement for services contained in local assistance or subvention programs or both (see Health and Safety [H&S] Code Section 38020). Direct service contracts shall not include contracts, agreements, grants, or subventions to other governmental agencies or units of government nor contracts or agreements with regional centers or area agencies on aging (H&S Code Section 38030).
- c. The Contractor, as indicated below, agrees to obtain one of the following audits:
 - (1) ***If the Contractor is a nonprofit organization (as defined in H&S Code Section 38040) and receives \$25,000 or more from any State agency under a direct service contract or agreement;*** the Contractor agrees to obtain an annual single, organization wide, financial and compliance audit. Said audit shall be conducted according to Generally Accepted Auditing Standards. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the Contractor's fiscal year, **and/or**
 - (2) ***If the Contractor is a nonprofit organization (as defined in H&S Code Section 38040) and receives less than \$25,000 per year from any State agency under a direct service contract or agreement,*** the Contractor agrees to obtain a biennial single, organization wide financial and compliance audit, unless there is evidence of fraud or other violation of state law in connection with this Agreement. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the Contractor's fiscal year, **and/or**
 - (3) ***If the Contractor is a State or Local Government entity or Nonprofit organization (as defined by the Federal Office of Management and Budget [OMB] Circular A-133) and expends \$500,000 or more in Federal awards,*** the Contractor agrees to obtain an annual single, organization wide, financial and compliance audit according to the requirements specified in OMB Circular A-133 entitled "Audits of States, Local Governments, and Non-Profit Organizations". An audit conducted pursuant to this provision will fulfill the audit requirements outlined in Paragraphs c(1) and c(2) above. The audit shall be completed by the end of the ninth month following the end of the audit period. The requirements of this provision apply if:
 - (a) The Contractor is a recipient expending Federal awards received directly from Federal awarding agencies, or
 - (b) The Contractor is a subrecipient expending Federal awards received from a pass-through entity such as the State, County or community based organization.

- (4) If the Contractor submits to DHCS a report of an audit other than an OMB A-133 audit, the Contractor must also submit a certification indicating the Contractor has not expended \$500,000 or more in federal funds for the year covered by the audit report.
- d. Two copies of the audit report shall be delivered to the DHCS program funding this Agreement. The audit report must identify the Contractor's legal name and the number assigned to this Agreement. The audit report shall be due within 30 days after the completion of the audit. Upon receipt of said audit report, the DHCS Program Contract Manager shall forward the audit report to DHCS' Audits and Investigations Unit if the audit report was submitted under Section 16.c(3), unless the audit report is from a City, County, or Special District within the State of California whereby the report will be retained by the funding program.
 - e. The cost of the audits described herein may be included in the funding for this Agreement up to the proportionate amount this Agreement represents of the Contractor's total revenue. The DHCS program funding this Agreement must provide advance written approval of the specific amount allowed for said audit expenses.
 - f. The State or its authorized designee, including the Bureau of State Audits, is responsible for conducting agreement performance audits which are not financial and compliance audits. Performance audits are defined by Generally Accepted Government Auditing Standards.
 - g. Nothing in this Agreement limits the State's responsibility or authority to enforce State law or regulations, procedures, or reporting requirements arising thereto.
 - h. Nothing in this provision limits the authority of the State to make audits of this Agreement, provided however, that if independent audits arranged for by the Contractor meet Generally Accepted Governmental Auditing Standards, the State shall rely on those audits and any additional audit work and shall build upon the work already done.
 - i. The State may, at its option, direct its own auditors to perform either of the audits described above. The Contractor will be given advance written notification, if the State chooses to exercise its option to perform said audits.
 - j. The Contractor shall include a clause in any agreement the Contractor enters into with the audit firm doing the single organization wide audit to provide access by the State or Federal Government to the working papers of the independent auditor who prepares the single organization wide audit for the Contractor.
 - k. Federal or state auditors shall have "expanded scope auditing" authority to conduct specific program audits during the same period in which a single organization wide audit is being performed, but the audit report has not been issued. The federal or state auditors shall review and have access to the current audit work being conducted and will not apply any testing or review procedures which have not been satisfied by previous audit work that has been completed.

The term "expanded scope auditing" is applied and defined in the U.S. General Accounting Office (GAO) issued Standards for *Audit of Government Organizations, Programs, Activities and Functions*, better known as the "yellow book".

17. Human Subjects Use Requirements

(Applicable only to federally funded agreements/grants in which performance, directly or through a subcontract/subaward, includes any tests or examination of materials derived from the human body.)

By signing this Agreement, Contractor agrees that if any performance under this Agreement or any subcontract or subagreement includes any tests or examination of materials derived from the human body for the purpose of providing information, diagnosis, prevention, treatment or assessment of disease, impairment, or health of a human being, all locations at which such examinations are performed shall meet the requirements of 42 U.S.C. Section 263a (CLIA) and the regulations thereunder.

18. Novation Requirements

If the Contractor proposes any novation agreement, DHCS shall act upon the proposal within 60 days after receipt of the written proposal. DHCS may review and consider the proposal, consult and negotiate with the Contractor, and accept or reject all or part of the proposal. Acceptance or rejection of the proposal may be made orally within the 60-day period and confirmed in writing within five days of said decision. Upon written acceptance of the proposal, DHCS will initiate an amendment to this Agreement to formally implement the approved proposal.

19. Debarment and Suspension Certification

(Applicable to all agreements funded in part or whole with federal funds.)

- a. By signing this Agreement, the Contractor/Grantee agrees to comply with applicable federal suspension and debarment regulations including, but not limited to 7 CFR Part 3017, 45 CFR 76, 40 CFR 32 or 34 CFR 85.
- b. By signing this Agreement, the Contractor certifies to the best of its knowledge and belief, that it and its principals:
 - (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency;
 - (2) Have not within a three-year period preceding this application/proposal/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) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (3) 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 Paragraph b(2) herein; and
 - (4) Have not within a three-year period preceding this application/proposal/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.
 - (5) Shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under federal regulations (i.e., 48 CFR part 9, subpart 9.4), debarred, suspended, declared ineligible, or voluntarily excluded from participation in such transaction, unless authorized by the State.
 - (6) Will include a clause entitled, "Debarment and Suspension Certification" that essentially sets forth the provisions herein, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- c. If the Contractor is unable to certify to any of the statements in this certification, the Contractor shall submit an explanation to the DHCS Program Contract Manager.
- d. The terms and definitions herein have the meanings set out in the Definitions and Coverage sections of the rules implementing Federal Executive Order 12549.
- e. If the Contractor knowingly violates this certification, in addition to other remedies available to the Federal Government, the DHCS may terminate this Agreement for cause or default.

20. Smoke-Free Workplace Certification

(Applicable to federally funded agreements/grants and subcontracts/subawards, that provide health, day care, early childhood development services, education or library services to children under 18 directly or through local governments.)

- a. Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by federal programs either directly or through state or local governments, by federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed.
- b. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible party.
- c. By signing this Agreement, Contractor or Grantee certifies that it will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act. The prohibitions herein are effective December 26, 1994.
- d. Contractor or Grantee further agrees that it will insert this certification into any subawards (subcontracts or subgrants) entered into that provide for children's services as described in the Act.

21. Covenant Against Contingent Fees

(Applicable only to federally funded agreements.)

The Contractor warrants that no person or selling agency has been employed or retained to solicit/secure this Agreement upon an agreement of understanding for a commission, percentage, brokerage, or contingent fee, except *bona fide* employees or *bona fide* established commercial or selling agencies retained by the Contractor for the purpose of securing business. For breach or violation of this warranty, DHCS shall have the right to annul this Agreement without liability or in its discretion to deduct from the Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage, and brokerage or contingent fee.

22. Payment Withholds

(Applicable only if a final report is required by this Agreement. Not applicable to government entities.)

Unless waived or otherwise stipulated in this Agreement, DHCS may, at its discretion, withhold 10 percent (10%) of the face amount of the Agreement, 50 percent (50%) of the final invoice, or \$3,000 whichever is greater, until DHCS receives a final report that meets the terms, conditions and/or scope of work requirements of this Agreement.

23. Performance Evaluation

(Not applicable to grant agreements.)

DHCS may, at its discretion, evaluate the performance of the Contractor at the conclusion of this Agreement. If performance is evaluated, the evaluation shall not be a public record and shall remain on file with DHCS. Negative performance evaluations may be considered by DHCS prior to making future contract awards.

24. Officials Not to Benefit

No members of or delegate of Congress or the State Legislature shall be admitted to any share or part of this Agreement, or to any benefit that may arise therefrom. This provision shall not be construed to extend to this Agreement if made with a corporation for its general benefits.

25. Four-Digit Date Compliance

(Applicable to agreements in which Information Technology (IT) services are provided to DHCS or if IT equipment is procured.)

Contractor warrants that it will provide only Four-Digit Date Compliant (as defined below) Deliverables and/or services to the State. "Four Digit Date compliant" Deliverables and services can accurately process, calculate, compare, and sequence date data, including without limitation date data arising out of or relating to leap years and changes in centuries. This warranty and representation is subject to the warranty terms and conditions of this Contract and does not limit the generality of warranty obligations set forth elsewhere herein.

26. Prohibited Use of State Funds for Software

(Applicable to agreements in which computer software is used in performance of the work.)

Contractor certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.

27. Use of Small, Minority Owned and Women's Businesses

(Applicable to that portion of an agreement that is federally funded and entered into with institutions of higher education, hospitals, nonprofit organizations or commercial businesses.)

Positive efforts shall be made to use small businesses, minority-owned firms and women's business enterprises, whenever possible (i.e., procurement of goods and/or services). Contractors shall take all of the following steps to further this goal.

- (1) Ensure that small businesses, minority-owned firms, and women's business enterprises are used to the fullest extent practicable.
- (2) Make information on forthcoming purchasing and contracting opportunities available and arrange time frames for purchases and contracts to encourage and facilitate participation by small businesses, minority-owned firms, and women's business enterprises.
- (3) Consider in the contract process whether firms competing for larger contracts intend to subcontract with small businesses, minority-owned firms, and women's business enterprises.
- (4) Encourage contracting with consortiums of small businesses, minority-owned firms and women's business enterprises when a contract is too large for one of these firms to handle individually.
- (5) Use the services and assistance, as appropriate, of such organizations as the Federal Small Business Administration and the U.S. Department of Commerce's Minority Business Development Agency in the solicitation and utilization of small businesses, minority-owned firms and women's business enterprises.

28. Alien Ineligibility Certification

(Applicable to sole proprietors entering federally funded agreements.)

By signing this Agreement, the Contractor certifies that he/she is not an alien that is ineligible for state and local benefits, as defined in Subtitle B of the Personal Responsibility and Work Opportunity Act. (8 U.S.C. 1601, et seq.)

29. Union Organizing

(Applicable only to grant agreements.)

Grantee, by signing this Agreement, hereby acknowledges the applicability of Government Code Sections 16645 through 16649 to this Agreement. Furthermore, Grantee, by signing this Agreement, hereby certifies that:

- a. No state funds disbursed by this grant will be used to assist, promote or deter union organizing.
- b. Grantee shall account for state funds disbursed for a specific expenditure by this grant, to show those funds were allocated to that expenditure.
- c. Grantee shall, where state funds are not designated as described in b herein, allocate, on a pro-rata basis, all disbursements that support the grant program.
- d. If Grantee makes expenditures to assist, promote or deter union organizing, Grantee will maintain records sufficient to show that no state funds were used for those expenditures, and that Grantee shall provide those records to the Attorney General upon request.

30. Contract Uniformity (Fringe Benefit Allowability)

(Applicable only to nonprofit organizations.)

Pursuant to the provisions of Article 7 (commencing with Section 100525) of Chapter 3 of Part 1 of Division 101 of the Health and Safety Code, DHCS sets forth the following policies, procedures, and guidelines regarding the reimbursement of fringe benefits.

- a. As used herein fringe benefits shall mean an employment benefit given by one's employer to an employee in addition to one's regular or normal wages or salary.
- b. As used herein, fringe benefits do not include:
 - (1) Compensation for personal services paid currently or accrued by the Contractor for services of employees rendered during the term of this Agreement, which is identified as regular or normal salaries and wages, annual leave, vacation, sick leave, holidays, jury duty and/or military leave/training.
 - (2) Director's and executive committee member's fees.
 - (3) Incentive awards and/or bonus incentive pay.
 - (4) Allowances for off-site pay.
 - (5) Location allowances.
 - (6) Hardship pay.
 - (7) Cost-of-living differentials
- c. Specific allowable fringe benefits include:
 - (1) Fringe benefits in the form of employer contributions for the employer's portion of payroll taxes (i.e., FICA, SUI, SDI), employee health plans (i.e., health, dental and vision), unemployment insurance, worker's compensation insurance, and the employer's share of pension/retirement plans, provided they are granted in accordance with established written organization policies and meet all legal and Internal Revenue Service requirements.
- d. To be an allowable fringe benefit, the cost must meet the following criteria:
 - (1) Be necessary and reasonable for the performance of the Agreement.
 - (2) Be determined in accordance with generally accepted accounting principles.
 - (3) Be consistent with policies that apply uniformly to all activities of the Contractor.
- e. Contractor agrees that all fringe benefits shall be at actual cost.

f. Earned/Accrued Compensation

- (1) Compensation for vacation, sick leave and holidays is limited to that amount earned/accrued within the agreement term. Unused vacation, sick leave and holidays earned from periods prior to the agreement term cannot be claimed as allowable costs. See Provision f (3)(a) for an example.
- (2) For multiple year agreements, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the Agreement. Holidays cannot be carried over from one agreement year to the next. See Provision f (3)(b) for an example.
- (3) For single year agreements, vacation, sick leave and holiday compensation that is earned/accrued but not paid, due to employee(s) not taking time off within the term of the Agreement, cannot be claimed as an allowable cost. See Provision f (3)(c) for an example.

(a) **Example No. 1:**

If an employee, John Doe, earns/accrues three weeks of vacation and twelve days of sick leave each year, then that is the maximum amount that may be claimed during a one year agreement. If John Doe has five weeks of vacation and eighteen days of sick leave at the beginning of an agreement, the Contractor during a one-year budget period may only claim up to three weeks of vacation and twelve days of sick leave as actually used by the employee. Amounts earned/accrued in periods prior to the beginning of the Agreement are not an allowable cost.

(b) **Example No. 2:**

If during a three-year (multiple year) agreement, John Doe does not use his three weeks of vacation in year one, or his three weeks in year two, but he does actually use nine weeks in year three; the Contractor would be allowed to claim all nine weeks paid for in year three. The total compensation over the three-year period cannot exceed 156 weeks (3 x 52 weeks).

(c) **Example No. 3:**

If during a single year agreement, John Doe works fifty weeks and used one week of vacation and one week of sick leave and all fifty-two weeks have been billed to DHCS, the remaining unused two weeks of vacation and seven days of sick leave may not be claimed as an allowable cost.

31. **Suspension or Stop Work Notification**

- a. DHCS may, at any time, issue a notice to suspend performance or stop work under this Agreement. The initial notification may be a verbal or written directive issued by the funding Program's Contract Manager. Upon receipt of said notice, the Contractor is to suspend and/or stop all, or any part, of the work called for by this Agreement.
- b. Written confirmation of the suspension or stop work notification with directions as to what work (if not all) is to be suspended and how to proceed will be provided within 30 working days of the verbal notification. The suspension or stop work notification shall remain in effect until further written notice is received from DHCS. The resumption of work (in whole or part) will be at DHCS' discretion and upon receipt of written confirmation.
 - (1) Upon receipt of a suspension or stop work notification, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize or halt the incurrence of costs allocable to the performance covered by the notification during the period of work suspension or stoppage.
 - (2) Within 90 days of the issuance of a suspension or stop work notification, DHCS shall either:
 - (a) Cancel, extend, or modify the suspension or stop work notification; or
 - (b) Terminate the Agreement as provided for in the Cancellation / Termination clause of the Agreement.

- c. If a suspension or stop work notification issued under this clause is canceled or the period of suspension or any extension thereof is modified or expires, the Contractor may resume work only upon written concurrence of funding Program's Contract Manager.
- d. If the suspension or stop work notification is cancelled and the Agreement resumes, changes to the services, deliverables, performance dates, and/or contract terms resulting from the suspension or stop work notification shall require an amendment to the Agreement.
- e. If a suspension or stop work notification is not canceled and the Agreement is cancelled or terminated pursuant to the provision entitled Cancellation / Termination, DHCS shall allow reasonable costs resulting from the suspension or stop work notification in arriving at the settlement costs.
- f. DHCS shall not be liable to the Contractor for loss of profits because of any suspension or stop work notification issued under this clause.

32. Lobbying Restrictions and Disclosure Certification

(Applicable to federally funded agreements in excess of \$100,000 per Section 1352 of the 31, U.S.C.)

a. Certification and Disclosure Requirements

- (1) Each person (or recipient) who requests or receives a contract or agreement, subcontract, grant, or subgrant, which is subject to Section 1352 of the 31, U.S.C., and which exceeds \$100,000 at any tier, shall file a certification (in the form set forth in Attachment 1, consisting of one page, entitled "Certification Regarding Lobbying") that the recipient has not made, and will not make, any payment prohibited by Paragraph b of this provision.
- (2) Each recipient shall file a disclosure (in the form set forth in Attachment 2, entitled "Standard Form-LLL 'disclosure of Lobbying Activities'") if such recipient has made or has agreed to make any payment using nonappropriated 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 Paragraph b of this provision if paid for with appropriated funds.
- (3) Each recipient shall 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 such person under Paragraph a(2) herein. An event that materially affects the accuracy of the information reported includes:
 - (a) 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;
 - (b) A change in the person(s) or individuals(s) influencing or attempting to influence a covered federal action; or
 - (c) 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) Each person (or recipient) who requests or receives from a person referred to in Paragraph a(1) of this provision a contract or agreement, subcontract, grant or subgrant exceeding \$100,000 at any tier under a contract or agreement, or grant shall file a certification, and a disclosure form, if required, to the next tier above.
- (5) All disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the person referred to in Paragraph a(1) of this provision. That person shall forward all disclosure forms to DHCS Program Contract Manager.

b. Prohibition

Section 1352 of Title 31, U.S.C., 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 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.

1

Attachment 1
State of California
Department of Health Care Services

CERTIFICATION REGARDING LOBBYING

The undersigned 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 shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities" in accordance with its instructions.

(3) The undersigned shall 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 shall 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 shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

_____	_____
Name of Contractor	Printed Name of Person Signing for Contractor
_____	_____
Contract / Grant Number	Signature of Person Signing for Contractor
_____	_____
Date	Title

After execution by or on behalf of Contractor, please return to:
California Department of Health Care Services

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

Attachment 2

CERTIFICATION REGARDING LOBBYING

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

Approved by OMB
0348-0046

<p>1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: Year ____ quarter ____ date of last report ____.</p>
<p>4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier ____, if known: Congressional District, If known:</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, If known:</p>	
<p>6. Federal Department/Agency</p>	<p>7. Federal Program Name/Description: CDFA Number, if applicable: ____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known: \$</p>	
<p>10.a. Name and Address of Lobbying Registrant (If individual, last name, first name, MI):</p>	<p>b. Individuals Performing Services (including address if different from 10a. (Last name, First name, MI):</p>	
<p>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.</p>	<p>Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____</p>	
<p>Federal Use Only</p>		<p>Authorized for Local Reproduction Standard Form-LLL (Rev. 7-97)</p>

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 followup 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 grants.
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
Additional Provisions

1. Additional Incorporated Exhibits

A. The following additional exhibits are attached, incorporated herein, and made a part hereof by this reference:

1) Exhibit K	Additional Budget Detail Invoice Sample	1 page
2) Exhibit L	DHCS 1203 – Contractor Equipment Purchased with DHCS Funds	2 pages
3) Exhibit M	DHCS 1204 – Inventory/Disposition of DHCS-funded Equipment	2 pages
4) Exhibit N	EWC Regional Map	1 page
5) Exhibit O	Core Program Performance Indicators (CPPI)	1 page

B. The following documents and any subsequent updates are not attached, but are incorporated herein and made a part hereof by this reference. The Contractor is required to fully comply with the directives in each document incorporated by reference herein and each update thereto. These documents may be updated periodically by DHCS, as required by program directives, or changes in law or policy. Unless otherwise indicated, DHCS shall provide the Contractor with copies of said documents at or before the agreement is presented to the Contractor for review, acceptance, and signature and will require acknowledgement of receipt. Periodic updates to the below listed documents that are not electronically accessible via the Internet or other mechanism will be presented to the Contractor under separate cover and acknowledgement of receipt will be required. DHCS will maintain on file, all documents referenced herein and any subsequent updates.

- 1) EWC Program Guide

2. Amendment Process

Should either party, during the term of this Agreement, desire a change or amendment to the terms of this Agreement, such changes or amendments shall be proposed in writing to the other party, who will respond in writing as to whether the proposed changes/amendments are accepted or rejected. If accepted and after negotiations are concluded, the agreed upon changes shall be made through the State's official agreement amendment process. No amendment will be considered binding on either party until it is formally approved by the both parties and the Department of General Services (DGS), if DGS approval is required.

3. Cancellation / Termination

- A. This Agreement may be cancelled by DHCS without cause upon 30 calendar days advance written notice to the Contractor.
- B. DHCS reserves the right to cancel or terminate this Agreement immediately for cause. The Contractor may submit a written request to terminate this Agreement only if DHCS substantially fails to perform its responsibilities as provided herein.
- C. The term "for cause" shall mean that the Contractor fails to meet the terms, conditions, and/or responsibilities of this Agreement.

Exhibit E
Additional Provisions

- D. Agreement termination or cancellation shall be effective as of the date indicated in DHCS' notification to the Contractor. The notice shall stipulate any final performance, invoicing or payment requirements.
- E. Upon receipt of a notice of termination or cancellation, the Contractor shall take immediate steps to stop performance and to cancel or reduce subsequent agreement costs.
- F. In the event of early termination or cancellation, the Contractor shall be entitled to payment for all allowable costs authorized under this Agreement and incurred up to the date of termination or cancellation, including authorized non-cancelable obligations, provided such expenses do not exceed the stated maximum amounts payable.

4. Avoidance of Conflicts of Interest by Contractor

- A. DHCS intends to avoid any real or apparent conflict of interest on the part of the Contractor, subcontractors, or employees, officers and directors of the Contractor or subcontractors. Thus, DHCS reserves the right to determine, at its 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 the Contractor to submit additional information or a plan for resolving the conflict, subject to DHCS review and prior approval.
- B. Conflicts of interest include, but are not limited to:
 - 1) An instance where the Contractor or any of its subcontractors, or any employee, officer, or director of the Contractor or any subcontractor has an interest, financial or otherwise, whereby the use or disclosure of information obtained while performing services under the Agreement would allow for private or personal benefit or for any purpose that is contrary to the goals and objectives of the Agreement.
 - 2) An instance where the Contractor's or any subcontractor's employees, officers, or directors use their positions 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.
- C. If DHCS is or becomes aware of a known or suspected conflict of interest, the Contractor will be given an opportunity to submit additional information or to resolve the conflict. A Contractor with a suspected conflict of interest will have five (5) working days from the date of notification of the conflict by DHCS to provide complete information regarding the suspected conflict. If a conflict of interest is determined to exist by DHCS and cannot be resolved to the satisfaction of DHCS, the conflict will be grounds for terminating the Agreement. DHCS may, at its discretion upon receipt of a written request from the Contractor, authorize an extension of the timeline indicated herein.

5. Insurance Requirements

The Contractor agrees to furnish to DHCS a letter certifying that it possesses and/or will obtain self-insurance in an amount that is sufficient to cover bodily injury and property damage liability combined that might arise under this Agreement. Self insurance coverage shall include coverage for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal injury, and other applicable liability that may arise under this Agreement. The liability insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Contractor's limit of liability.

Exhibit E
Additional Provisions

6. Freeze Exemptions

- A. Contractor agrees that any hiring freeze adopted during the term of this Agreement shall not be applied to the positions funded, in whole or part, by this Agreement.
- B. Contractor agrees not to implement any personnel policy, which may adversely affect performance or the positions funded, in whole or part, by this Agreement.
- C. Contractor agrees that any travel freeze or travel limitation policy adopted during the term of this Agreement shall not restrict travel funded, in whole or part, by this Agreement.
- D. Contractor agrees that any purchasing freeze or purchase limitation policy adopted during the term of this Agreement shall not restrict or limit purchases funded, in whole or part, by this Agreement.

7. Publicity

Contractor agrees to submit to DHCS, prior to release, copies of all proposed publicity produced under and/or pertaining to this contract. DHCS reserves the right to modify or withdraw said publicity.

Contractor will provide publications, presentations and other public releases resulting from work performed under this contract to DHCS for review at least thirty (30) calendar days prior to publication and will identify the proposed recipient(s). During the first fifteen (15) calendar days of such review period, DHCS may provide notice to the Contractor that it intends to rebut some or all aspects of the presentation, publication or other public release. DHCS will then have thirty (30) calendar days from the date of notice to prepare and submit such rebuttal to the Contractor. Contractor shall address DHCS's rebuttal within five working days and submit a revised presentation, publication, or other public release for DHCS' approval. Any of the above referenced time periods may be modified upon agreement of both Parties. Neither Party may unreasonably deny such requests.

8. Acknowledgment of State Participation

- A. Contractor shall acknowledge the financial support of DHCS funds whenever any findings, data, and materials developed pursuant to this contract are used in any publications and/or whenever Contractor creates any product or publicity (e.g., conference brochure, a film, videotape, manual, book, pamphlet, flyers, etc.) funded by this contract, in the following manner: *"This _____ was made possible by funds received from California Department of Health Care Services' Every Woman Counts program."*
- B. Contractor shall coordinate with, promote, or advertise the Every Woman Counts toll-free number (1-800-511-2300) or other toll-free numbers as directed by DHCS. As directed by DHCS, Contractor shall include said number(s) in informational materials such as brochures, pamphlets, posters, curricula, training guides, etc. developed under this contract.
- C. At DHCS' sole discretion, DHCS may require the Contractor to use one of the following disclaimers in any publication, presentation or other public release:
 - 1. "This project was funded by the <Agency>. The contents may not necessarily reflect the official views or policies of the State of California."

Exhibit E
Additional Provisions

2. "This project was funded by the <Agency>. The contents do not represent the official views or policies of the State of California."

Exhibit F
HIPAA Business Associate Addendum

I. Recitals

- A. This Contract (Agreement) has been determined to constitute a business associate relationship under the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 ("HIPAA"), the Health Information Technology for Economic and Clinical Health Act, Public Law 111-005 ("the HITECH Act"), 42 U.S.C. section 17921 et seq., and their implementing privacy and security regulations at 45 CFR Parts 160 and 164 ("the HIPAA regulations").
- B. The Department of Health Care Services ("DHCS") wishes to disclose to Business Associate certain information pursuant to the terms of this Agreement, some of which may constitute Protected Health Information ("PHI"), including protected health information in electronic media ("ePHI"), under federal law, and personal information ("PI") under state law.
- C. As set forth in this Agreement, Contractor, here and after, is the Business Associate of DHCS acting on DHCS' behalf and provides services, arranges, performs or assists in the performance of functions or activities on behalf of DHCS and creates, receives, maintains, transmits, uses or discloses PHI and PI. DHCS and Business Associate are each a party to this Agreement and are collectively referred to as the "parties."
- D. The purpose of this Addendum is to protect the privacy and security of the PHI and PI that may be created, received, maintained, transmitted, used or disclosed pursuant to this Agreement, and to comply with certain standards and requirements of HIPAA, the HITECH Act and the HIPAA regulations, including, but not limited to, the requirement that DHCS must enter into a contract containing specific requirements with Contractor prior to the disclosure of PHI to Contractor, as set forth in 45 CFR Parts 160 and 164 and the HITECH Act, and the Final Omnibus Rule as well as the Alcohol and Drug Abuse patient records confidentiality law 42 CFR Part 2, and any other applicable state or federal law or regulation. 42 CFR section 2.1(b)(2)(B) allows for the disclosure of such records to qualified personnel for the purpose of conducting management or financial audits, or program evaluation. 42 CFR Section 2.53(d) provides that patient identifying information disclosed under this section may be disclosed only back to the program from which it was obtained and used only to carry out an audit or evaluation purpose or to investigate or prosecute criminal or other activities, as authorized by an appropriate court order.
- E. The terms used in this Addendum, but not otherwise defined, shall have the same meanings as those terms have in the HIPAA regulations. Any reference to statutory or regulatory language shall be to such language as in effect or as amended.

II. Definitions

- A. Breach shall have the meaning given to such term under HIPAA, the HITECH Act, the HIPAA regulations, and the Final Omnibus Rule.
- B. Business Associate shall have the meaning given to such term under HIPAA, the HITECH Act, the HIPAA regulations, and the final Omnibus Rule.
- C. Covered Entity shall have the meaning given to such term under HIPAA, the HITECH Act, the HIPAA regulations, and Final Omnibus Rule.
- D. Electronic Health Record shall have the meaning given to such term in the HITECH Act, including, but not limited to, 42 U.S.C Section 17921 and implementing regulations.

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- E. Electronic Protected Health Information (ePHI) means individually identifiable health information transmitted by electronic media or maintained in electronic media, including but not limited to electronic media as set forth under 45 CFR section 160.103.
- F. Individually Identifiable Health Information means health information, including demographic information collected from an individual, that is created or received by a health care provider, health plan, employer or health care clearinghouse, and relates to the past, present or future physical or mental health or condition of an individual, the provision of health care to an individual, or the past, present, or future payment for the provision of health care to an individual, that identifies the individual or where there is a reasonable basis to believe the information can be used to identify the individual, as set forth under 45 CFR section 160.103.
- G. Privacy Rule shall mean the HIPAA Regulation that is found at 45 CFR Parts 160 and 164.
- H. Personal Information shall have the meaning given to such term in California Civil Code section 1798.29.
- I. Protected Health Information means individually identifiable health information that is transmitted by electronic media, maintained in electronic media, or is transmitted or maintained in any other form or medium, as set forth under 45 CFR section 160.103.
- J. Required by law, as set forth under 45 CFR section 164.103, means a mandate contained in law that compels an entity to make a use or disclosure of PHI that is enforceable in a court of law. This includes, but is not limited to, court orders and court-ordered warrants, subpoenas or summons issued by a court, grand jury, a governmental or tribal inspector general, or an administrative body authorized to require the production of information, and a civil or an authorized investigative demand. It also includes Medicare conditions of participation with respect to health care providers participating in the program, and statutes or regulations that require the production of information, including statutes or regulations that require such information if payment is sought under a government program providing public benefits.
- K. Secretary means the Secretary of the U.S. Department of Health and Human Services ("HHS") or the Secretary's designee.
- L. Security Incident means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of PHI or PI, or confidential data that is essential to the ongoing operation of the Business Associate's organization and intended for internal use; or interference with system operations in an information system.
- M. Security Rule shall mean the HIPAA regulation that is found at 45 CFR Parts 160 and 164.
- N. Unsecured PHI shall have the meaning given to such term under the HITECH Act, 42 U.S.C. section 17932(h), any guidance issued pursuant to such Act, and the HIPAA regulations.

III. Terms of Agreement

A. Permitted Uses and Disclosures of PHI by Business Associate

Permitted Uses and Disclosures. Except as otherwise indicated in this Addendum, Business Associate may use or disclose PHI only to perform functions, activities or services specified in this Agreement, for, or on behalf of DHCS, provided that such use or disclosure would not violate the HIPAA regulations, if done by DHCS. Any such use or disclosure must, to the extent practicable, be limited to the limited data set, as defined in 45 CFR section 164.514(e)(2), or, if needed, to the minimum necessary to accomplish

Exhibit F
HIPAA Business Associate Addendum

the intended purpose of such use or disclosure, in compliance with the HITECH Act and any guidance issued pursuant to such Act, the HIPAA regulations, the Final Omnibus Rule and 42 CFR Part 2.

1. **Specific Use and Disclosure Provisions.** Except as otherwise indicated in this Addendum, Business Associate may:
 - a. **Use and disclose for management and administration.** Use and disclose PHI for the proper management and administration of the Business Associate provided that such disclosures are required by law, or the Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and will be used or further disclosed only as required by law or for the purpose for which it was disclosed to the person, and the person notifies the Business Associate of any instances of which it is aware that the confidentiality of the information has been breached.
 - b. **Provision of Data Aggregation Services.** Use PHI to provide data aggregation services to DHCS. Data aggregation means the combining of PHI created or received by the Business Associate on behalf of DHCS with PHI received by the Business Associate in its capacity as the Business Associate of another covered entity, to permit data analyses that relate to the health care operations of DHCS.

B. Prohibited Uses and Disclosures

1. Business Associate shall not disclose PHI about an individual to a health plan for payment or health care operations purposes if the PHI pertains solely to a health care item or service for which the health care provider involved has been paid out of pocket in full and the individual requests such restriction, in accordance with 42 U.S.C. section 17935(a) and 45 CFR section 164.522(a).
2. Business Associate shall not directly or indirectly receive remuneration in exchange for PHI, except with the prior written consent of DHCS and as permitted by 42 U.S.C. section 17935(d)(2).

C. Responsibilities of Business Associate

Business Associate agrees:

1. **Nondisclosure.** Not to use or disclose Protected Health Information (PHI) other than as permitted or required by this Agreement or as required by law.
2. **Safeguards.** To implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the PHI, including electronic PHI, that it creates, receives, maintains, uses or transmits on behalf of DHCS, in compliance with 45 CFR sections 164.308, 164.310 and 164.312, and to prevent use or disclosure of PHI other than as provided for by this Agreement. Business Associate shall implement reasonable and appropriate policies and procedures to comply with the standards, implementation specifications and other requirements of 45 CFR section 164, subpart C, in compliance with 45 CFR section 164.316. Business Associate shall develop and maintain a written information privacy and security program that includes administrative, technical and physical safeguards appropriate to the size and complexity of the Business Associate's operations and the nature and scope of its activities, and which incorporates the requirements of section 3, Security, below. Business Associate will provide DHCS with its current and updated policies.

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HIPAA Business Associate Addendum

3. **Security.** To take any and all steps necessary to ensure the continuous security of all computerized data systems containing PHI and/or PI, and to protect paper documents containing PHI and/or PI. These steps shall include, at a minimum:
- a. Complying with all of the data system security precautions listed in Attachment A, the Business Associate Data Security Requirements;
 - b. Achieving and maintaining compliance with the HIPAA Security Rule (45 CFR Parts 160 and 164), as necessary in conducting operations on behalf of DHCS under this Agreement;
 - c. Providing a level and scope of security that is at least comparable to the level and scope of security established by the Office of Management and Budget in OMB Circular No. A-130, Appendix III - Security of Federal Automated Information Systems, which sets forth guidelines for automated information systems in Federal agencies; and
 - d. In case of a conflict between any of the security standards contained in any of these enumerated sources of security standards, the most stringent shall apply. The most stringent means that safeguard which provides the highest level of protection to PHI from unauthorized disclosure. Further, Business Associate must comply with changes to these standards that occur after the effective date of this Agreement.

Business Associate shall designate a Security Officer to oversee its data security program who shall be responsible for carrying out the requirements of this section and for communicating on security matters with DHCS.

- D. **Mitigation of Harmful Effects.** To mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of PHI by Business Associate or its subcontractors in violation of the requirements of this Addendum.

E. **Business Associate's Agents and Subcontractors.**

1. To enter into written agreements with any agents, including subcontractors and vendors, to whom Business Associate provides PHI or PI received from or created or received by Business Associate on behalf of DHCS, that impose the same restrictions and conditions on such agents, subcontractors and vendors that apply to Business Associate with respect to such PHI and PI under this Addendum, and that comply with all applicable provisions of HIPAA, the HITECH Act the HIPAA regulations, and the Final Omnibus Rule, including the requirement that any agents, subcontractors or vendors implement reasonable and appropriate administrative, physical, and technical safeguards to protect such PHI and PI. Business associates are directly liable under the HIPAA Rules and subject to civil and, in some cases, criminal penalties for making uses and disclosures of protected health information that are not authorized by its contract or required by law. A business associate also is directly liable and subject to civil penalties for failing to safeguard electronic protected health information in accordance with the HIPAA Security Rule. A "business associate" also is a subcontractor that creates, receives, maintains, or transmits protected health information on behalf of another business associate. Business Associate shall incorporate, when applicable, the relevant provisions of this Addendum into each subcontract or subaward to such agents, subcontractors and vendors, including the requirement that any security incidents or breaches of unsecured PHI or PI be reported to Business Associate.

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HIPAA Business Associate Addendum

2. In accordance with 45 CFR section 164.504(e)(1)(ii), upon Business Associate's knowledge of a material breach or violation by its subcontractor of the agreement between Business Associate and the subcontractor, Business Associate shall:
 - a. Provide an opportunity for the subcontractor to cure the breach or end the violation and terminate the agreement if the subcontractor does not cure the breach or end the violation within the time specified by DHCS; or
 - b. Immediately terminate the agreement if the subcontractor has breached a material term of the agreement and cure is not possible.

F. Availability of Information to DHCS and Individuals. To provide access and information:

1. To provide access as DHCS may require, and in the time and manner designated by DHCS (upon reasonable notice and during Business Associate's normal business hours) to PHI in a Designated Record Set, to DHCS (or, as directed by DHCS), to an Individual, in accordance with 45 CFR section 164.524. Designated Record Set means the group of records maintained for DHCS that includes medical, dental and billing records about individuals; enrollment, payment, claims adjudication, and case or medical management systems maintained for DHCS health plans; or those records used to make decisions about individuals on behalf of DHCS. Business Associate shall use the forms and processes developed by DHCS for this purpose and shall respond to requests for access to records transmitted by DHCS within fifteen (15) calendar days of receipt of the request by producing the records or verifying that there are none.
2. If Business Associate maintains an Electronic Health Record with PHI, and an individual requests a copy of such information in an electronic format, Business Associate shall provide such information in an electronic format to enable DHCS to fulfill its obligations under the HITECH Act, including but not limited to, 42 U.S.C. section 17935(e).
3. If Business Associate receives data from DHCS that was provided to DHCS by the Social Security Administration, upon request by DHCS, Business Associate shall provide DHCS with a list of all employees, contractors and agents who have access to the Social Security data, including employees, contractors and agents of its subcontractors and agents.

G. Amendment of PHI. To make any amendment(s) to PHI that DHCS directs or agrees to pursuant to 45 CFR section 164.526, in the time and manner designated by DHCS.

H. Internal Practices. To make Business Associate's internal practices, books and records relating to the use and disclosure of PHI received from DHCS, or created or received by Business Associate on behalf of DHCS, available to DHCS or to the Secretary of the U.S. Department of Health and Human Services in a time and manner designated by DHCS or by the Secretary, for purposes of determining DHCS' compliance with the HIPAA regulations. If any information needed for this purpose is in the exclusive possession of any other entity or person and the other entity or person fails or refuses to furnish the information to Business Associate, Business Associate shall so certify to DHCS and shall set forth the efforts it made to obtain the information.

Exhibit F

HIPAA Business Associate Addendum

- I. **Documentation of Disclosures.** To document and make available to DHCS or (at the direction of DHCS) to an Individual such disclosures of PHI, and information related to such disclosures, necessary to respond to a proper request by the subject Individual for an accounting of disclosures of PHI, in accordance with the HITECH Act and its implementing regulations, including but not limited to 45 CFR section 164.528 and 42 U.S.C. section 17935(c). If Business Associate maintains electronic health records for DHCS as of January 1, 2009, Business Associate must provide an accounting of disclosures, including those disclosures for treatment, payment or health care operations, effective with disclosures on or after January 1, 2014. If Business Associate acquires electronic health records for DHCS after January 1, 2009, Business Associate must provide an accounting of disclosures, including those disclosures for treatment, payment or health care operations, effective with disclosures on or after the date the electronic health record is acquired, or on or after January 1, 2011, whichever date is later. The electronic accounting of disclosures shall be for disclosures during the three years prior to the request for an accounting.
- J. **Breaches and Security Incidents.** During the term of this Agreement, Business Associate agrees to implement reasonable systems for the discovery and prompt reporting of any breach or security incident, and to take the following steps:
1. **Notice to DHCS.** (1) To notify DHCS **immediately** upon the discovery of a suspected security incident that involves data provided to DHCS by the Social Security Administration. This notification will be **by telephone call plus email or fax** upon the discovery of the breach. (2) To notify DHCS **within 24 hours by email or fax** of the discovery of unsecured PHI or PI in electronic media or in any other media if the PHI or PI was, or is reasonably believed to have been, accessed or acquired by an unauthorized person, any suspected security incident, intrusion or unauthorized access, use or disclosure of PHI or PI in violation of this Agreement and this Addendum, or potential loss of confidential data affecting this Agreement. A breach shall be treated as discovered by Business Associate as of the first day on which the breach is known, or by exercising reasonable diligence would have been known, to any person (other than the person committing the breach) who is an employee, officer or other agent of Business Associate.

Notice shall be provided to the DHCS Program Contract Manager, the DHCS Privacy Officer and the DHCS Information Security Officer. If the incident occurs after business hours or on a weekend or holiday and involves data provided to DHCS by the Social Security Administration, notice shall be provided by calling the DHCS EITS Service Desk. Notice shall be made using the "DHCS Privacy Incident Report" form, including all information known at the time. Business Associate shall use the most current version of this form, which is posted on the DHCS Privacy Office website (www.dhcs.ca.gov, then select "Privacy" in the left column and then "Business Use" near the middle of the page) or use this link:

<http://www.dhcs.ca.gov/formsandpubs/laws/priv/Pages/DHCSBusinessAssociatesOnly.aspx>

Upon discovery of a breach or suspected security incident, intrusion or unauthorized access, use or disclosure of PHI or PI, Business Associate shall take:

- a. Prompt corrective action to mitigate any risks or damages involved with the breach and to protect the operating environment; and
- b. Any action pertaining to such unauthorized disclosure required by applicable Federal and State laws and regulations.

Exhibit F

HIPAA Business Associate Addendum

2. **Investigation and Investigation Report.** To immediately investigate such security incident, breach, or unauthorized access, use or disclosure of PHI or PI. If the initial report did not include all of the requested information marked with an asterisk, then within 72 hours of the discovery, Business Associate shall submit an updated "DHCS Privacy Incident Report" containing the information marked with an asterisk and all other applicable information listed on the form, to the extent known at that time, to the DHCS Program Contract Manager, the DHCS Privacy Officer, and the DHCS Information Security Officer:
3. **Complete Report.** To provide a complete report of the investigation to the DHCS Program Contract Manager, the DHCS Privacy Officer, and the DHCS Information Security Officer within ten (10) working days of the discovery of the breach or unauthorized use or disclosure. If all of the required information was not included in either the initial report, or the Investigation Report, then a separate Complete Report must be submitted. The report shall be submitted on the "DHCS Privacy Incident Report" form and shall include an assessment of all known factors relevant to a determination of whether a breach occurred under applicable provisions of HIPAA, the HITECH Act, the HIPAA regulations and/or state law. The report shall also include a full, detailed corrective action plan, including information on measures that were taken to halt and/or contain the improper use or disclosure. If DHCS requests information in addition to that listed on the "DHCS Privacy Incident Report" form, Business Associate shall make reasonable efforts to provide DHCS with such information. If necessary, a Supplemental Report may be used to submit revised or additional information after the completed report is submitted, by submitting the revised or additional information on an updated "DHCS Privacy Incident Report" form. DHCS will review and approve or disapprove the determination of whether a breach occurred, is reportable to the appropriate entities, if individual notifications are required, and the corrective action plan.
4. **Notification of Individuals.** If the cause of a breach of PHI or PI is attributable to Business Associate or its subcontractors, agents or vendors, Business Associate shall notify individuals of the breach or unauthorized use or disclosure when notification is required under state or federal law and shall pay any costs of such notifications, as well as any costs associated with the breach. The notifications shall comply with the requirements set forth in 42 U.S.C. section 17932 and its implementing regulations, including, but not limited to, the requirement that the notifications be made without unreasonable delay and in no event later than 60 calendar days. The DHCS Program Contract Manager, the DHCS Privacy Officer, and the DHCS Information Security Officer shall approve the time, manner and content of any such notifications and their review and approval must be obtained before the notifications are made.
5. **Responsibility for Reporting of Breaches.** If the cause of a breach of PHI or PI is attributable to Business Associate or its agents, subcontractors or vendors, Business Associate is responsible for all required reporting of the breach as specified in 42 U.S.C. section 17932 and its implementing regulations, including notification to media outlets and to the Secretary. If a breach of unsecured PHI involves more than 500 residents of the State of California or its jurisdiction, Business Associate shall notify the Secretary of the breach immediately upon discovery of the breach. If Business Associate has reason to believe that duplicate reporting of the same breach or incident may occur because its subcontractors, agents or vendors may report the breach or incident to DHCS in addition to Business Associate, Business Associate shall notify DHCS, and DHCS and Business Associate may take appropriate action to prevent duplicate reporting. The breach reporting requirements of this paragraph are in addition to the reporting requirements set forth in subsection 1, above.
6. **DHCS Contact Information.** To direct communications to the above referenced DHCS staff, the Contractor shall initiate contact as indicated herein. DHCS reserves the right to make changes to the

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 HIPAA Business Associate Addendum

contact information below by giving written notice to the Contractor. Said changes shall not require an amendment to this Addendum or the Agreement to which it is incorporated.

DHCS Program Contract Manager	DHCS Privacy Officer	DHCS Information Security Officer
See the Scope of Work exhibit for Program Contract Manager information	Privacy Officer c/o: Office of HIPAA Compliance Department of Health Care Services P.O. Box 997413, MS 4722 Sacramento, CA 95899-7413 Email: privacyofficer@dhcs.ca.gov Telephone: (916) 445-4646 Fax: (916) 440-7680	Information Security Officer DHCS Information Security Office P.O. Box 997413, MS 6400 Sacramento, CA 95899-7413 Email: iso@dhcs.ca.gov Fax: (916) 440-5537 Telephone: EITS Service Desk (916) 440-7000 or (800) 579-0874

K. Termination of Agreement. In accordance with Section 13404(b) of the HITECH Act and to the extent required by the HIPAA regulations, if Business Associate knows of a material breach or violation by DHCS of this Addendum, it shall take the following steps:

1. Provide an opportunity for DHCS to cure the breach or end the violation and terminate the Agreement if DHCS does not cure the breach or end the violation within the time specified by Business Associate; or
2. Immediately terminate the Agreement if DHCS has breached a material term of the Addendum and cure is not possible.

L. Due Diligence. Business Associate shall exercise due diligence and shall take reasonable steps to ensure that it remains in compliance with this Addendum and is in compliance with applicable provisions of HIPAA, the HITECH Act and the HIPAA regulations, and that its agents, subcontractors and vendors are in compliance with their obligations as required by this Addendum.

M. Sanctions and/or Penalties. Business Associate understands that a failure to comply with the provisions of HIPAA, the HITECH Act and the HIPAA regulations that are applicable to Business Associate may result in the imposition of sanctions and/or penalties on Business Associate under HIPAA, the HITECH Act and the HIPAA regulations.

IV. Obligations of DHCS

DHCS agrees to:

A. Notice of Privacy Practices. Provide Business Associate with the Notice of Privacy Practices that DHCS produces in accordance with 45 CFR section 164.520, as well as any changes to such notice. Visit the DHCS Privacy Office to view the most current Notice of Privacy Practices at: <http://www.dhcs.ca.gov/formsandpubs/laws/priv/Pages/default.aspx> or the DHCS website at www.dhcs.ca.gov (select "Privacy in the left column and "Notice of Privacy Practices" on the right side of the page).

B. Permission by Individuals for Use and Disclosure of PHI. Provide the Business Associate with any changes in, or revocation of, permission by an Individual to use or disclose PHI, if such changes affect the Business Associate's permitted or required uses and disclosures.

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HIPAA Business Associate Addendum

- C. *Notification of Restrictions.*** Notify the Business Associate of any restriction to the use or disclosure of PHI that DHCS has agreed to in accordance with 45 CFR section 164.522, to the extent that such restriction may affect the Business Associate's use or disclosure of PHI.
- D. *Requests Conflicting with HIPAA Rules.*** Not request the Business Associate to use or disclose PHI in any manner that would not be permissible under the HIPAA regulations if done by DHCS.

V. Audits, Inspection and Enforcement

- A.** From time to time, DHCS may inspect the facilities, systems, books and records of Business Associate to monitor compliance with this Agreement and this Addendum. Business Associate shall promptly remedy any violation of any provision of this Addendum and shall certify the same to the DHCS Privacy Officer in writing. The fact that DHCS inspects, or fails to inspect, or has the right to inspect, Business Associate's facilities, systems and procedures does not relieve Business Associate of its responsibility to comply with this Addendum, nor does DHCS':
 - 1. Failure to detect or
 - 2. Detection, but failure to notify Business Associate or require Business Associate's remediation of any unsatisfactory practices constitute acceptance of such practice or a waiver of DHCS' enforcement rights under this Agreement and this Addendum.
- B.** If Business Associate is the subject of an audit, compliance review, or complaint investigation by the Secretary or the Office of Civil Rights, U.S. Department of Health and Human Services, that is related to the performance of its obligations pursuant to this HIPAA Business Associate Addendum, Business Associate shall notify DHCS and provide DHCS with a copy of any PHI or PI that Business Associate provides to the Secretary or the Office of Civil Rights concurrently with providing such PHI or PI to the Secretary. Business Associate is responsible for any civil penalties assessed due to an audit or investigation of Business Associate, in accordance with 42 U.S.C. section 17934(c).

VI. Termination

- A. *Term.*** The Term of this Addendum shall commence as of the effective date of this Addendum and shall extend beyond the termination of the contract and shall terminate when all the PHI provided by DHCS to Business Associate, or created or received by Business Associate on behalf of DHCS, is destroyed or returned to DHCS, in accordance with 45 CFR 164.504(e)(2)(ii)(I).
- B. *Termination for Cause.*** In accordance with 45 CFR section 164.504(e)(1)(ii), upon DHCS' knowledge of a material breach or violation of this Addendum by Business Associate, DHCS shall:
 - 1. Provide an opportunity for Business Associate to cure the breach or end the violation and terminate this Agreement if Business Associate does not cure the breach or end the violation within the time specified by DHCS; or
 - 2. Immediately terminate this Agreement if Business Associate has breached a material term of this Addendum and cure is not possible.

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HIPAA Business Associate Addendum

- C. *Judicial or Administrative Proceedings.*** Business Associate will notify DHCS if it is named as a defendant in a criminal proceeding for a violation of HIPAA. DHCS may terminate this Agreement if Business Associate is found guilty of a criminal violation of HIPAA. DHCS may terminate this Agreement if a finding or stipulation that the Business Associate has violated any standard or requirement of HIPAA, or other security or privacy laws is made in any administrative or civil proceeding in which the Business Associate is a party or has been joined.
- D. *Effect of Termination.*** Upon termination or expiration of this Agreement for any reason, Business Associate shall return or destroy all PHI received from DHCS (or created or received by Business Associate on behalf of DHCS) that Business Associate still maintains in any form, and shall retain no copies of such PHI. If return or destruction is not feasible, Business Associate shall notify DHCS of the conditions that make the return or destruction infeasible, and DHCS and Business Associate shall determine the terms and conditions under which Business Associate may retain the PHI. Business Associate shall continue to extend the protections of this Addendum to such PHI, and shall limit further use of such PHI to those purposes that make the return or destruction of such PHI infeasible. This provision shall apply to PHI that is in the possession of subcontractors or agents of Business Associate.

VII. Miscellaneous Provisions

- A. *Disclaimer.*** DHCS makes no warranty or representation that compliance by Business Associate with this Addendum, HIPAA or the HIPAA regulations will be adequate or satisfactory for Business Associate's own purposes or that any information in Business Associate's possession or control, or transmitted or received by Business Associate, is or will be secure from unauthorized use or disclosure. Business Associate is solely responsible for all decisions made by Business Associate regarding the safeguarding of PHI.
- B. *Amendment.*** The parties acknowledge that federal and state laws relating to electronic data security and privacy are rapidly evolving and that amendment of this Addendum may be required to provide for procedures to ensure compliance with such developments. The parties specifically agree to take such action as is necessary to implement the standards and requirements of HIPAA, the HITECH Act, the HIPAA regulations and other applicable laws relating to the security or privacy of PHI. Upon DHCS' request, Business Associate agrees to promptly enter into negotiations with DHCS concerning an amendment to this Addendum embodying written assurances consistent with the standards and requirements of HIPAA, the HITECH Act, the HIPAA regulations or other applicable laws. DHCS may terminate this Agreement upon thirty (30) days written notice in the event:
1. Business Associate does not promptly enter into negotiations to amend this Addendum when requested by DHCS pursuant to this Section; or
 2. Business Associate does not enter into an amendment providing assurances regarding the safeguarding of PHI that DHCS in its sole discretion, deems sufficient to satisfy the standards and requirements of HIPAA and the HIPAA regulations.
- C. *Assistance in Litigation or Administrative Proceedings.*** Business Associate shall make itself and any subcontractors, employees or agents assisting Business Associate in the performance of its obligations under this Agreement, available to DHCS at no cost to DHCS to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against DHCS, its directors, officers or employees based upon claimed violation of HIPAA, the HIPAA regulations or other laws relating to security and privacy, which involves inactions or actions by the Business Associate, except where Business Associate or its subcontractor, employee or agent is a named adverse party.

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- D. **No Third-Party Beneficiaries.** Nothing express or implied in the terms and conditions of this Addendum is intended to confer, nor shall anything herein confer, upon any person other than DHCS or Business Associate and their respective successors or assignees, any rights, remedies, obligations or liabilities whatsoever.
- E. **Interpretation.** The terms and conditions in this Addendum shall be interpreted as broadly as necessary to implement and comply with HIPAA, the HITECH Act, the HIPAA regulations and applicable state laws. The parties agree that any ambiguity in the terms and conditions of this Addendum shall be resolved in favor of a meaning that complies and is consistent with HIPAA, the HITECH Act and the HIPAA regulations.
- F. **Regulatory References.** A reference in the terms and conditions of this Addendum to a section in the HIPAA regulations means the section as in effect or as amended.
- G. **Survival.** The respective rights and obligations of Business Associate under Section VI.D of this Addendum shall survive the termination or expiration of this Agreement.
- H. **No Waiver of Obligations.** No change, waiver or discharge of any liability or obligation hereunder on any one or more occasions shall be deemed a waiver of performance of any continuing or other obligation, or shall prohibit enforcement of any obligation, on any other occasion.

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Attachment A
Business Associate Data Security Requirements

I. Personnel Controls

- A. *Employee Training.*** All workforce members who assist in the performance of functions or activities on behalf of DHCS, or access or disclose DHCS PHI or PI must complete information privacy and security training, at least annually, at Business Associate's expense. Each workforce member who receives information privacy and security training must sign a certification, indicating the member's name and the date on which the training was completed. These certifications must be retained for a period of six (6) years following contract termination.
- B. *Employee Discipline.*** Appropriate sanctions must be applied against workforce members who fail to comply with privacy policies and procedures or any provisions of these requirements, including termination of employment where appropriate.
- C. *Confidentiality Statement.*** All persons that will be working with DHCS PHI or PI must sign a confidentiality statement that includes, at a minimum, General Use, Security and Privacy Safeguards, Unacceptable Use, and Enforcement Policies. The statement must be signed by the workforce member prior to access to DHCS PHI or PI. The statement must be renewed annually. The Contractor shall retain each person's written confidentiality statement for DHCS inspection for a period of six (6) years following contract termination.
- D. *Background Check.*** Before a member of the workforce may access DHCS PHI or PI, a thorough background check of that worker must be conducted, with evaluation of the results to assure that there is no indication that the worker may present a risk to the security or integrity of confidential data or a risk for theft or misuse of confidential data. The Contractor shall retain each workforce member's background check documentation for a period of three (3) years following contract termination.

II. Technical Security Controls

- A. *Workstation/Laptop encryption.*** All workstations and laptops that process and/or store DHCS PHI or PI must be encrypted using a FIPS 140-2 certified algorithm which is 128bit or higher, such as Advanced Encryption Standard (AES). The encryption solution must be full disk unless approved by the DHCS Information Security Office.
- B. *Server Security.*** Servers containing unencrypted DHCS PHI or PI must have sufficient administrative, physical, and technical controls in place to protect that data, based upon a risk assessment/system security review.
- C. *Minimum Necessary.*** Only the minimum necessary amount of DHCS PHI or PI required to perform necessary business functions may be copied, downloaded, or exported.
- D. *Removable media devices.*** All electronic files that contain DHCS PHI or PI data must be encrypted when stored on any removable media or portable device (i.e. USB thumb drives, floppies, CD/DVD, smartphones, backup tapes etc.). Encryption must be a FIPS 140-2 certified algorithm which is 128bit or higher, such as AES.
- E. *Antivirus software.*** All workstations, laptops and other systems that process and/or store DHCS PHI or PI must install and actively use comprehensive anti-virus software solution with automatic updates scheduled at least daily.

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HIPAA Business Associate Addendum

- F. **Patch Management.** All workstations, laptops and other systems that process and/or store DHCS PHI or PI must have critical security patches applied, with system reboot if necessary. There must be a documented patch management process which determines installation timeframe based on risk assessment and vendor recommendations. At a maximum, all applicable patches must be installed within 30 days of vendor release.
- G. **User IDs and Password Controls.** All users must be issued a unique user name for accessing DHCS PHI or PI. Username must be promptly disabled, deleted, or the password changed upon the transfer or termination of an employee with knowledge of the password, at maximum within 24 hours. Passwords are not to be shared. Passwords must be at least eight characters and must be a non-dictionary word. Passwords must not be stored in readable format on the computer. Passwords must be changed every 90 days, preferably every 60 days. Passwords must be changed if revealed or compromised. Passwords must be composed of characters from at least three of the following four groups from the standard keyboard:
- Upper case letters (A-Z)
 - Lower case letters (a-z)
 - Arabic numerals (0-9)
 - Non-alphanumeric characters (punctuation symbols)
- H. **Data Destruction.** When no longer needed, all DHCS PHI or PI must be cleared, purged, or destroyed consistent with NIST Special Publication 800-88, Guidelines for Media Sanitization such that the PHI or PI cannot be retrieved.
- I. **System Timeout.** The system providing access to DHCS PHI or PI must provide an automatic timeout, requiring re-authentication of the user session after no more than 20 minutes of inactivity.
- J. **Warning Banners.** All systems providing access to DHCS PHI or PI must display a warning banner stating that data is confidential, systems are logged, and system use is for business purposes only by authorized users. User must be directed to log off the system if they do not agree with these requirements.
- K. **System Logging.** The system must maintain an automated audit trail which can identify the user or system process which initiates a request for DHCS PHI or PI, or which alters DHCS PHI or PI. The audit trail must be date and time stamped, must log both successful and failed accesses, must be read only, and must be restricted to authorized users. If DHCS PHI or PI is stored in a database, database logging functionality must be enabled. Audit trail data must be archived for at least 3 years after occurrence.
- L. **Access Controls.** The system providing access to DHCS PHI or PI must use role based access controls for all user authentications, enforcing the principle of least privilege.

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- M. *Transmission encryption.*** All data transmissions of DHCS PHI or PI outside the secure internal network must be encrypted using a FIPS 140-2 certified algorithm which is 128bit or higher, such as AES. Encryption can be end to end at the network level, or the data files containing PHI can be encrypted. This requirement pertains to any type of PHI or PI in motion such as website access, file transfer, and E-Mail.
- N. *Intrusion Detection.*** All systems involved in accessing, holding, transporting, and protecting DHCS PHI or PI that are accessible via the Internet must be protected by a comprehensive intrusion detection and prevention solution.

III. Audit Controls

- A. *System Security Review.*** All systems processing and/or storing DHCS PHI or PI must have at least an annual system risk assessment/security review which provides assurance that administrative, physical, and technical controls are functioning effectively and providing adequate levels of protection. Reviews should include vulnerability scanning tools.
- B. *Log Reviews.*** All systems processing and/or storing DHCS PHI or PI must have a routine procedure in place to review system logs for unauthorized access.
- C. *Change Control.*** All systems processing and/or storing DHCS PHI or PI must have a documented change control procedure that ensures separation of duties and protects the confidentiality, integrity and availability of data.

IV. Business Continuity / Disaster Recovery Controls

- A. *Emergency Mode Operation Plan.*** Contractor must establish a documented plan to enable continuation of critical business processes and protection of the security of electronic DHCS PHI or PI in the event of an emergency. Emergency means any circumstance or situation that causes normal computer operations to become unavailable for use in performing the work required under this Agreement for more than 24 hours.
- B. *Data Backup Plan.*** Contractor must have established documented procedures to backup DHCS PHI to maintain retrievable exact copies of DHCS PHI or PI. The plan must include a regular schedule for making backups, storing backups offsite, an inventory of backup media, and an estimate of the amount of time needed to restore DHCS PHI or PI should it be lost. At a minimum, the schedule must be a weekly full backup and monthly offsite storage of DHCS data.

V. Paper Document Controls

- A. *Supervision of Data.*** DHCS PHI or PI in paper form shall not be left unattended at any time, unless it is locked in a file cabinet, file room, desk or office. Unattended means that information is not being observed by an employee authorized to access the information. DHCS PHI or PI in paper form shall not be left unattended at any time in vehicles or planes and shall not be checked in baggage on commercial airplanes.
- B. *Escorting Visitors.*** Visitors to areas where DHCS PHI or PI is contained shall be escorted and DHCS PHI or PI shall be kept out of sight while visitors are in the area.
- C. *Confidential Destruction.*** DHCS PHI or PI must be disposed of through confidential means, such as cross cut shredding and pulverizing.

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HIPAA Business Associate Addendum

- D. **Removal of Data.** DHCS PHI or PI must not be removed from the premises of the Contractor except with express written permission of DHCS.
- E. **Faxing.** Faxes containing DHCS PHI or PI shall not be left unattended and fax machines shall be in secure areas. Faxes shall contain a confidentiality statement notifying persons receiving faxes in error to destroy them. Fax numbers shall be verified with the intended recipient before sending the fax.
- F. **Mailing.** Mailings of DHCS PHI or PI shall be sealed and secured from damage or inappropriate viewing of PHI or PI to the extent possible. Mailings which include 500 or more individually identifiable records of DHCS PHI or PI in a single package shall be sent using a tracked mailing method which includes verification of delivery and receipt, unless the prior written permission of DHCS to use another method is obtained.

Travel Reimbursement Information
 (Lodging and Per Diem Reimbursement Increase – Effective for travel on/after July 1, 2016)

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract. The terms "contract" and/or "subcontract" have the same meaning as "grantee" and/or "subgrantee" where applicable.
 - a. Reimbursement for travel and/or per diem shall be at the rates established for nonrepresented/excluded state employees. Exceptions to California Department of Human Resources (CalHR) lodging rates may be approved by the Department of Health Care Services (DHCS) upon the receipt of a statement on/with an invoice indicating that State employee travel rates are not available.
 - b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract or subcontract employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of assignments. Headquarters may be individually established for each traveler and approved verbally or in writing by the program funding the agreement. Verbal approval shall be followed up in writing or email.
 - c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on Page 2 of this document to determine the reimbursement allowance. All lodging reimbursement claims must be supported by a receipt*. If a contractor does not or cannot present receipts, lodging expenses will not be reimbursed.

(1) Lodging (with receipts*):

Travel Location / Area	Reimbursement Rate
All counties (except the counties identified below)	\$ 90.00 plus tax
Counties of Sacramento, Napa, Riverside	\$ 95.00 plus tax
Marin	\$110.00 plus tax
Counties of Los Angeles (except City of Santa Monica), Orange, Ventura and Edwards AFB	\$120.00 plus tax
Counties of Monterey and San Diego	\$125.00 plus tax
Counties of Alameda, San Mateo, and Santa Clara	\$140.00 plus tax
City of Santa Monica	\$150.00 plus tax
San Francisco	\$250.00 plus tax

Reimbursement for actual lodging expenses that exceed the above amounts may be allowed with the advance approval of the Deputy Director of DHCS or his or her designee. Receipts are required.

*Receipts from Internet lodging reservation services such as Priceline.com which require prepayment for that service, ARE NOT ACCEPTABLE LODGING RECEIPTS and are not reimbursable without a valid lodging receipt from a lodging establishment.

- (2) Meal/Supplemental Expenses: With substantiating receipts, a contractor may claim actual expenses incurred up to the following maximum reimbursement rates for each full 24-hour period of travel.

Meal / Expense	Reimbursement Rate
Breakfast	\$ 7.00
Lunch	\$ 11.00
Dinner	\$ 23.00
Incidental expenses	\$ 5.00

- d. Out-of-state travel may only be reimbursed if such travel is necessitated by the scope or statement of work and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors/subcontractors must have prior DHCS written or verbal approval. Verbal approval shall be confirmed in writing (email or memo).

- e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on Page 2 of this document.
 - f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.
2. If any of the reimbursement rates stated herein is changed by CalHR, no formal contract amendment will be required to incorporate the new rates. However, DHCS shall inform the contractor, in writing, of the revised travel reimbursement rates and the applicable effective date of any rate change.

At DHCS' discretion, changes or revisions made by DHCS to this exhibit, excluding travel reimbursement policies established by CalHR may be applied retroactively to any agreement to which a Travel Reimbursement Information exhibit is attached, incorporated by reference, or applied by DHCS program policy. Changes to the travel reimbursement rates stated herein may not be applied earlier than the date a rate change is approved by CalHR.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
4. **Auto mileage reimbursement:** If a contractor uses his/her or a company car for transportation, the rate of reimbursement will be 0.54 cents maximum per mile. If a contractor uses his/her or a company car "in lieu of" airfare, the air coach fare will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the State. Gasoline and routine automobile repair expenses are not reimbursable.
5. The contractor is required to furnish details surrounding each period of travel. Travel expense reimbursement detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc. Reimbursement for travel expenses may be withheld pending receipt of adequate travel documentation.
6. Contractors are to consult with the program funding the contract to obtain specific invoicing procedures.

Per Diem Reimbursement Guide

Length of travel period	And this condition exists...	Meal allowed with receipt
Less than 24 hours	▶ Trip begins at or before 6:00 a.m. and ends at or after 9:00 a.m.....	Breakfast
	▶ Trip ends at least one hour after the regularly scheduled workday ends or begins at or before 4:00 p.m. and ends after 7:00 p.m.	Dinner
<i>Lunch or incidentals cannot be claimed on one-day trips.</i>		
24 hours or more	▶ Trip begins at or before 6:00 a.m.....	Breakfast
	▶ Trip begins at or before 11:00 a.m.....	Lunch
	▶ Trip begins at or before 5:00 p.m.....	dinner
More than 24 hours	▶ Trip ends at or after 8:00 a.m.....	Breakfast
	▶ Trip ends at or after 2:00 p.m.....	Lunch
	▶ Trip ends at or after 7:00 p.m.....	Dinner
<p>The following meals may not be claimed for reimbursement: meals provided by the State, meals included in hotel expenses or conference fees, meals included in transportation costs such as airline tickets, or meals that are otherwise provided. Snacks and/or continental breakfasts such as rolls, juice, and coffee are not considered to be a meal.</p> <p>No meal expense may be claimed for reimbursement more than once in any given 24-hour period.</p>		

Contractor's Release

Instructions to Contractor:

With final invoice(s) submit one (1) original and one (1) copy. The original must bear the original signature of a person authorized to bind the Contractor. The additional copy may bear photocopied signatures.

Submission of Final Invoice

Pursuant to contract number 16-93231 entered into between the Department of Health Care Services (DHCS) and the Contractor (identified below), the Contractor does acknowledge that final payment has been requested via invoice number(s) _____, in the amount(s) of \$ _____ and dated _____.

If necessary, enter "See Attached" in the appropriate blocks and attach a list of invoice numbers, dollar amounts and invoice dates.

Release of all Obligations

By signing this form, and upon receipt of the amount specified in the invoice number(s) referenced above, the Contractor does hereby release and discharge the State, its officers, agents and employees of and from any and all liabilities, obligations, claims, and demands whatsoever arising from the above referenced contract.

Repayments Due to Audit Exceptions / Record Retention

By signing this form, Contractor acknowledges that expenses authorized for reimbursement does not guarantee final allowability of said expenses. Contractor agrees that the amount of any sustained audit exceptions resulting from any subsequent audit made after final payment will be refunded to the State.

All expense and accounting records related to the above referenced contract must be maintained for audit purposes for no less than three years beyond the date of final payment, unless a longer term is stated in said contract.

Recycled Product Use Certification

By signing this form, Contractor certifies under penalty of perjury that a minimum of 0% unless otherwise specified in writing of post consumer material, as defined in the Public Contract Code Section 12200, in products, materials, goods, or supplies offered or sold to the State regardless of whether it meets the requirements of Public Contract Code Section 12209. Contractor specifies that printer or duplication cartridges offered or sold to the State comply with the requirements of Section 12156(e).

Reminder to Return State Equipment/Property (If Applicable)

(Applies only if equipment was provided by DHCS or purchased with or reimbursed by contract funds)

Unless DHCS has approved the continued use and possession of State equipment (as defined in the above referenced contract) for use in connection with another DHCS agreement, Contractor agrees to promptly initiate arrangements to account for and return said equipment to DHCS, at DHCS' expense, if said equipment has not passed its useful life expectancy as defined in the above referenced contract.

Patents / Other Issues

By signing this form, Contractor further agrees, in connection with patent matters and with any claims that are not specifically released as set forth above, that it will comply with all of the provisions contained in the above referenced contract, including, but not limited to, those provisions relating to notification to the State and related to the defense or prosecution of litigation.

ONLY SIGN AND DATE THIS DOCUMENT WHEN ATTACHING IT TO THE FINAL INVOICE

Contractor's Legal Name (as on contract): County of Santa Barbara

Signature of Contractor or Official Designee: _____ Date: _____

Printed Name/Title of Person Signing: _____

Distribution: Accounting (Original) Program

Exhibit I

INVOICE COVER LETTER SAMPLE

Date

Department of Health Care Services
Cancer Detection and Treatment Branch
Contract Manager: Jeff Bulacan
MS-4601
P.O. Box 997417
Sacramento, CA 95899-7417

DHCS Contract Number: 16-93231
Term of contract: January 1, 2017 through June 30, 2019
Invoice Number: XX
Period of Invoice: January 1, 20XX through January 31, 20XX

Enclosed for your review:

Invoice # _____ in the amount of \$_____

This invoice is for services rendered pursuant to the terms and conditions established in the above referenced contract.

Please make all payments to: Contractor Name
Contractor Number/Street Address
Contractor City/Zip

Sincerely,

(Name of Authorized Representative)
(Title of Authorized Representative)

Enclosures

cc:

Exhibit J

8 Line-Item Invoice Sample

Date: _____

Department of Health Care Services
 Cancer Detection and Treatment Branch
 Contract Manager: (name)
 MS-4601
 P.O. Box 997377
 Sacramento, CA 95899-7417

Check for Final Invoice ()
 Contract Number:
 Term of Contract:
 Period of Invoice:
 Invoice Number:

Accountant _____
 Agency Name: _____
 Address: _____
 Telephone #: _____

BUDGET CATEGORIES	ACTUAL EXPENSES THIS PERIOD
A. PERSONNEL	
B. FRINGE BENEFITS (at ___% OF PERSONNEL)	
C. OPERATING EXPENSES	
D. EQUIPMENT Equipment items that have both a unit cost of \$5,000 or more, and a life expectancy of one year or more, are invoiced under this line item.	
E. TRAVEL AND PER DIEM (at State DPA Rates)	
F. SUBCONTRACTS If this line item exceeds \$50,000, list all known subcontractors by name and show their expenditure amounts separately. On the Subcontracts line item in the Additional Budget Detail Invoice, display each Subcontractors' personnel costs, operating expenses, equipment costs, other costs, indirect costs and total costs.	
G. OTHER COSTS If this line item exceeds \$50,000, itemize the major expenses that make up this line item.	
H. INDIRECT EXPENSES (≤12% of Total Direct Expenses)	
TOTAL PAYMENT REQUESTED	

I certify that this claim is in all respects true, correct, and supportable by available documentation and in compliance with all terms, conditions, laws, and regulations governing its payment.

 Agency Authorized Signature

 Date

Exhibit K
 ADDITIONAL BUDGET DETAIL INVOICE SAMPLE

Department of Health Care Services
 Cancer Detection & Treatment Branch
 Contract Manager:
 MS 4601
 P.O. Box 997417
 Sacramento, CA 95899-7417

Check if Final Invoice ()
 Contract Number:
 Term of Contract:
 Period of Invoice:
 Invoice Number:

Date:
 Agency Contact:
 Agency Name:
 (Address)

BUDGET CATEGORIES (1)			APPROVED BUDGET (2)	ACTUAL EXPENSES THIS PERIOD (3)	CUMULATIVE EXPENSES TO DATE (4)	UNEXPENDED BALANCE (5)
A. PERSONNEL	% of Time	Salary Range				
1. Position Title (Name)	100%	\$ - \$				
2. Position Title (Name)	100%	\$ - \$				
3. Position Title (Name)	100%	\$ - \$				
B. FRINGE BENEFITS (% of Personnel)						
C. OPERATING EXPENSES						
1. General Expenses						
2. Space Rent/Lease [Sample calculation - 150sq. ft x "X" FTEs x \$1.75/sq.ft. x 12 mos.]						
3. Printing/Photo Copying						
D. EQUIPMENT						
(For budgeting purposes only, include equipment items with a unit cost of \$5,000 or more, with a life expectancy of one year or more. Itemize if total is equal to or exceeds \$50,000. If total exceeds \$50,000, contractor must follow guidelines referenced in Exhibit D(F) 3.c.1)						
E. TRAVEL						
F. SUBCONTRACTS						
(Itemize if total is equal to or more than \$50,000. Include the name of each subcontractor if known.)						
G. OTHER COSTS						
(Itemize costs here if the line item total exceeds \$50,000. List the major expenses that make up this line item.)						
TOTAL DIRECT COSTS						
H. INDIRECT COSTS (12% of Total Direct Costs)						
TOTAL INVOICE AMOUNT						

Authorized Agency Signature _____

Date _____

INSTRUCTIONS FOR DHCS 1203 (Please read carefully.)

The information on this form will be used by the Department of Health Care Services (DHCS) Asset Management (AM) to tag contract equipment and/or property (see definitions A and B) which is purchased with DHCS funds and is used to conduct state business under this contract. After the Standard Agreement has been approved and each time state/ DHCS equipment and/or property has been received, the DHCS Program Contract Manager is responsible for obtaining the information from the Contractor and submitting this form to DHCS AM. The DHCS Program Contract Manager is responsible for ensuring the information is complete and accurate. (See *Health Administrative Manual (HAM)*, Section 2-1060 and Section 9-2310.)

Upon receipt of this form from the DHCS Program Contract Manager, AM will fill in the first column with the assigned state/ DHCS property tag, if applicable, for each item (see definitions A and B). AM will return the original form to the DHCS Program Contract Manager, along with the appropriate property tags. The DHCS Program Contract Manager will then forward the property tags and the original form to the Contractor and retain one copy until the termination of this contract. The Contractor should place property tags in plain sight and, to the extent possible, on the item's front left-hand corner. The manufacturer's brand name and model number are not to be covered by the property tags.

1. If the item was shipped via the DHCS warehouse and was issued a state/ DHCS property tag by warehouse staff, fill in the assigned property tag. If the item was shipped directly to the Contractor, leave the first column blank.
2. Provide the quantity, description, purchase date, base unit cost, and serial number (if applicable) for each item of:
 - A. **Major Equipment:**
 - Tangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more.
 - Intangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more (e.g., software, video).

These items are issued green numbered state/ DHCS property tags.
 - B. **Minor Equipment/Property:** Specific tangible items with a life expectancy of one (1) year or more that have a base unit cost less than \$5,000. **These items are issued green unnumbered "BLANK" state/ DHCS property tags** with the exception of the following, which are issued numbered tags: Personal Digital Assistant (PDA), PDA/cell phone combination (Blackberries), laptops, desktop personal computers, LAN servers, routers, and switches. **NOTE:** It is DHCS policy not to tag modular furniture. (See your Federal rules, if applicable.)
3. Provide the DHCS Purchase Order (STD 65) number if the items were purchased by DHCS.
4. If a vehicle is being reported, provide the Vehicle Identification Number (VIN) and the vehicle license number to DHCS Vehicle Services. (See HAM, Section 2-10050.)
5. If all items being reported do not fit on one form, make copies and write the number of pages being sent in the upper right-hand corner (e.g., "Page 1 of 3.") The DHCS Program Contract Manager should retain one copy and send the original to: Department of Health Care Services, Asset Management, MS 1405, P.O. Box 997413, 1501 Capitol Avenue, Sacramento, CA 95899-7413.
6. Property tags that have been lost or destroyed must be replaced. Replacement property tags can be obtained by contacting AM at (916) 650-0150.
7. Use the version on the DHCS Intranet forms site. The DHCS 1203 consists of one page for completion and one page with information and instructions.

INSTRUCTIONS FOR DHCS 1204 (Please read carefully.)

The information on this form will be used by the Department of Health Care Services (DHCS) Asset Management (AM) to; (a) conduct an inventory of DHCS equipment and/or property (see definitions A and B) in the possession of the Contractor and/or Subcontractors, and (b) dispose of these same items. Report all items, regardless of the items' ages, per number 1 below, purchased with DHCS funds and used to conduct state business under this contract. (See *Health Administrative Manual (HAM)*, Section 2-1060 and Section 9-2310.)

The DHCS Program Contract Manager is responsible for obtaining information from the Contractor for this form. The DHCS Program Contract Manager is responsible for the accuracy and completeness of the information and for submitting it to AM.

Inventory: List all DHCS tagged equipment and/or property on this form and submit it within 30 days prior to the three-year anniversary of the contract's effective date, if applicable. **The inventory should be based on previously submitted DHCS 1203s**, "Contractor Equipment Purchased with DHCS Funds." AM will contact the DHCS Program Contract Manager if there are any discrepancies.

Disposal: (*Definition: Trade in, sell, junk, salvage, donate, or transfer; also, items lost, stolen, or destroyed (as by fire).*) The DHCS 1204 should be completed, along with a "Property Survey Report" (STD. 152) or a "Property Transfer Report" (STD. 158), whenever items need to be disposed of; (a) during the term of this contract and (b) 30 calendar days before the termination of this contract. After receipt of this form, the AM will contact the DHCS Program Contract Manager to arrange for the appropriate disposal/transfer of the items.

1. List the state/ DHCS property tag, quantity, description, purchase date, base unit cost, and serial number (if applicable) for each item of;

A. Major Equipment: **(These items were issued green numbered state/ DHCS property tags.)**

- Tangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more.
- Intangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more (e.g., software, video.)

B. Minor Equipment/Property:

Specific tangible items with a life expectancy of one (1) year or more that have a base unit cost less than \$5,000. The minor equipment and/or property items were issued green unnumbered "BLANK" state/ DHCS property tags with the exception of the following, which are issued numbered tags: Personal Digital Assistant (PDA), PDA/cell phone combination (Blackberries), laptops, desktop personal computers, LAN servers, routers, and switches.

2. If a vehicle is being reported, provide the Vehicle Identification Number (VIN) and the vehicle license number to DHCS Vehicle Services. (See HAM, Section 2-10050.)

3. If all items being reported do not fit on one page, make copies and write the number of pages being sent in the upper right-hand corner (e.g. "Page 1 of 3.")

4. The DHCS Program Contract Manager should retain one copy and send the original to: Department of Health Care Services, Asset Management, MS 1405, P.O. Box 997413, 1501 Capitol Avenue, Sacramento, CA 95899-7413.

5. Use the version on the DHCS Intranet forms site. The DHCS 1204 consists of one page for completion and one page with information and instructions.

For more information on completing this form, call AM at (916) 650-0150.

Every Woman Counts

California Department of Health Care Services | Cancer Detection and Treatment Branch



Exhibit N - Regional Map

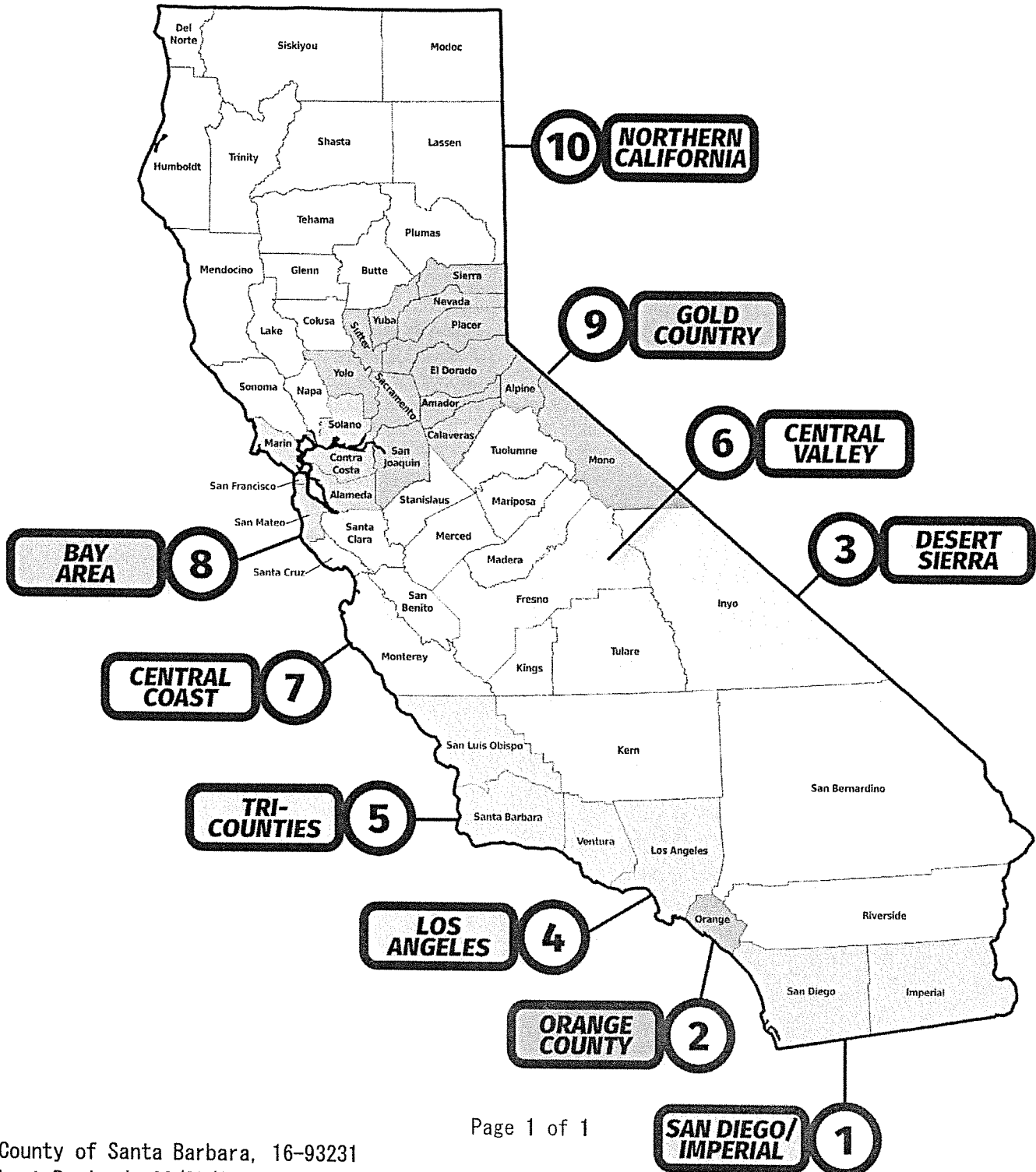


Exhibit O

Core Program Performance Indicators (CPPI)*				
Indicator Type	CDC DQIG Item	SOW Objectives	Program Performance Indicator	CDC Standard (Benchmark)
Screening	6.a.	Objective 1: Health Education	Initial Program Pap Tests; Rarely or Never Screened	≥ 20%
	19.e.		Screening Mammograms Provided to Women ~ 50 Years of Age	≥ 75%
Clinical	11.a.	Objective 2: Quality Clinical Services	Abnormal Screening Results with Complete Follow-Up	≥ 90%
	16.d.		Abnormal Screening Results; Time from Screening to Diagnosis > 90 Days	≤ 25%
	17.		Treatment Started for Diagnosis of HSIL, CIN II, CIN III, CIS, Invasive	≥ 90%
	18.d.		HSIL, CIN II, CIN III, CIS; Time from Diagnosis to Treatment > 90 Days	≤ 20%
Clinical	18.g.	Objective 2: Quality Clinical Services	Invasive Carcinoma; Time from Diagnosis to Treatment > 60 Days	≤ 20%
	20.a.		Abnormal Screening Results with Complete Follow-Up	≥ 90%
	25.d.		Abnormal Screening Results; Time from Screening to Diagnosis > 60 Days	≤ 25%
	26.		Treatment Started for Breast Cancer	≥ 90%
Breast Cancer Diagnostic Indicators	27.d.	Quality Clinical Services	Breast Cancer; Time from Diagnosis to Treatment > 60 Days	≤ 20%

* CDC Core Program Performance Indicators from the Data Quality Indicator Guide (DQIG)