

**AGREEMENT FOR SERVICES OF  
INDEPENDENT CONTRACTOR**

BETWEEN

COUNTY OF SANTA BARBARA  
DEPARTMENT OF BEHAVIORAL WELLNESS

AND

CASA PACIFICA CENTERS FOR  
CHILDREN AND FAMILIES

FOR

MENTAL HEALTH SERVICES

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

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

**THIS AGREEMENT** is made by and between the County of Santa Barbara, a political subdivision of the State of California (hereafter County or Department) and **Casa Pacifica Centers for Children and Families** with an address at 1722 S. Lewis Road, Camarillo, CA 93012 (hereafter Contractor) wherein Contractor agrees to provide and County agrees to accept the services specified herein (hereafter Agreement).

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

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

**1. DESIGNATED REPRESENTATIVE.**

Director at phone number 805-681-5220 is the representative of County and will administer this Agreement for and on behalf of County. Shawna Morris at phone number 805-366-4000 is the authorized representative for Contractor. Changes in designated representatives shall be made only after advance written notice to the other party.

**2. NOTICES.**

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

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

To Contractor:            Shawna Morris, CEO  
                                  Casa Pacifica  
                                  1722 S. Lewis Road  
                                  Camarillo, CA 93012  
                                  Phone: 805-366-4000  
                                  Fax: 805-987-7237

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

**3. SCOPE OF SERVICES.**

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

**4. TERM.**

Contractor shall commence performance on **July 1, 2021** and end performance upon completion, but no later than **June 30, 2022** unless otherwise directed by County or unless earlier terminated.

**5. COMPENSATION OF CONTRACTOR.**

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

**6. INDEPENDENT CONTRACTOR.**

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

**7. STANDARD OF PERFORMANCE.**

Contractor represents that it has the skills, expertise, and licenses/permits necessary to perform the services required under this Agreement. Accordingly, Contractor shall perform all such services in the manner and according to the standards observed by a competent practitioner of the same profession in which Contractor is engaged. All products of whatsoever nature, which Contractor delivers to County pursuant to this Agreement, shall be prepared in a first class and workmanlike manner and shall conform to the standards of quality normally observed by a person practicing in Contractor's profession. Contractor shall correct or revise any errors or omissions, at County's request without additional compensation. Permits and/or licenses shall be obtained and maintained by Contractor without additional compensation.

**8. DEBARMENT AND SUSPENSION.**

Contractor certifies to County that it and its employees and principals are not debarred, suspended, or otherwise excluded from or ineligible for, participation in federal, state, or county government contracts, including but not limited to exclusion from participation from federal health care programs under Sections 1128 or 1128A of the Social Security Act. Contractor certifies that it shall not contract with a subcontractor that is so debarred or suspended.

## **9. TAXES.**

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

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

Contractor covenants that Contractor presently has no employment or interest and shall not acquire any employment or interest, direct or indirect, including any interest in any business, property, or source of income, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. Contractor further covenants that in the performance of this Agreement, no person having any such interest shall be employed by Contractor. Contractor must promptly disclose to the County, in writing, any potential conflict of interest. County retains the right to waive a conflict of interest disclosed by Contractor if County determines it to be immaterial, and such waiver is only effective if provided by County to Contractor in writing. Contractor acknowledges that state laws on conflict of interest apply to this Agreement including, but not limited to, the Political Reform Act of 1974 (Gov. Code, § 81000 et seq.), Public Contract Code Section 10365.5, and Government Code Section 1090.

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

County shall be the owner of the following items incidental to this Agreement upon production, whether or not completed: all data collected, all documents of any type whatsoever, all photos, designs, sound or audiovisual recordings, software code, inventions, technologies, and other materials, and any material necessary for the practical use of such items, from the time of collection and/or production whether or not performance under this Agreement is completed or terminated prior to completion. Contractor shall not release any of such items to other parties except after prior written approval of County. Contractor shall be the legal owner and Custodian of Records for all County client files generated pursuant to this Agreement, and shall comply with all Federal and State confidentiality laws, including Welfare and Institutions Code (WIC) §5328; 42 United States Code (U.S.C.) § 290dd-2; and 45 Code of Federal Regulations (C.F.R.), Parts 160 – 164 setting forth the Health Insurance Portability and Accountability Act of 1996 (HIPAA). Contractor shall inform all of its officers, employees, and agents of the confidentiality provision of said laws. Contractor further agrees to provide County with copies of all County client file documents resulting from this Agreement without requiring any further written release of information. Within HIPAA guidelines, County shall have the unrestricted authority to publish, disclose, distribute, and/or otherwise use in whole or in part, any reports, data, documents or other materials prepared under this Agreement.

Unless otherwise specified in Exhibit A(s), Contractor hereby assigns to County all copyright, patent, and other intellectual property and proprietary rights to all data, documents, reports, photos, designs, sound or audiovisual recordings, software code, inventions, technologies, and other materials prepared or provided by Contractor pursuant to this Agreement (collectively referred to as “Copyrightable Works and Inventions”). County shall have the unrestricted authority to copy, adapt, perform, display, publish, disclose, distribute, create derivative works from, and otherwise use in whole or in part, any Copyrightable Works and Inventions. Contractor agrees to take such actions and execute and deliver such documents as may be needed to validate, protect and confirm the rights and assignments provided

hereunder. Contractor warrants that any Copyrightable Works and Inventions and other items provided under this Agreement will not infringe upon any intellectual property or proprietary rights of any third party. Contractor at its own expense shall defend, indemnify, and hold harmless County against any claim that any Copyrightable Works or Inventions or other items provided by Contractor hereunder infringe upon intellectual or other proprietary rights of a third party, and Contractor shall pay any damages, costs, settlement amounts, and fees (including attorneys' fees) that may be incurred by County in connection with any such claims. This Ownership of Documents and Intellectual Property provision shall survive expiration or termination of this Agreement.

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

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

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

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

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

- A.** Contractor shall make available for inspection, copying, evaluation, or audit, all of its premises; physical facilities, or such parts thereof as may be engaged in the performance of the Agreement; equipment; books; records, including but not limited to beneficiary records; prescription files; documents, working papers, reports, or other evidence; contracts; financial records and documents of account, computers; and other electronic devices, pertaining to any aspect of services and activities performed, or determination of amounts payable, under this Agreement (hereinafter referred to as "Records"), at any time by County, Department of Health Care Services (DHCS), Centers for Medicare & Medicaid Services (CMS), Department of General Services, Bureau of State Audits, Health and Human Services (HHS), Inspector General, U.S. Comptroller General, or other authorized federal or state agencies, or their designees ("Authorized Representative") (hereinafter referred to as "Audit").
- B.** Any such Audit shall occur at the Contractor's place of business, premises, or physical facilities during normal business hours, and to allow interviews of any employees who might reasonably have information related to such Records. Contractor shall maintain Records in accordance with the general standards applicable to such book or record keeping and shall follow accounting practices and procedures sufficient to evaluate the quality and quantity of services, accessibility and appropriateness of services, to ensure fiscal accountability, and 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. All records must be capable of verification by qualified auditors.

- C. This Audit right will exist for 10 years from: the close of the State fiscal year in which the Agreement was in effect or if any litigation, claim, negotiation, Audit, or other action involving the Records has been started before the expiration of the 10-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 10-year period, whichever is later.
- D. Contractor shall retain all records and documents originated or prepared pursuant to Contractor's or subcontractor's performance under this Agreement, including beneficiary grievance and appeal records identified in 42 C.F.R. § 438.416 and the data, information and documentation specified in 42 Code of Federal Regulations Sections 438.604, 438.606, 438.608, and 438.610 for the 10-year period as determined in Paragraph 14.C.
- E. If this Agreement is completely or partially terminated, the Records, relating to the work terminated shall be preserved and made available for the 10-year period as determined in Paragraph 14.C.
- F. Contractor shall ensure that each of its sites keep a record of the beneficiaries being treated at each site. Contractor shall keep and maintain records for each service rendered, to whom it was rendered, and the date of service, pursuant to Welfare & Institutions Code Section 14124.1 and 42 C.F.R. Sections 438.3(h) and 438.3(u). Contractor shall retain such records for the 10-year period as determined in Paragraph 14.C.
- G. Contractor 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 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.
- H. The Authorized Representatives may Audit Contractor at any time if there is a reasonable possibility of fraud or similar risk.
- I. Contractor agrees to include a similar right of Authorized Representatives to audit records and interview staff in any subcontract related to performance of this Agreement.
- J. If federal, state or County audit exceptions are made relating to this Agreement, Contractor shall reimburse all costs incurred by federal, state, and/or County governments associated with defending against the audit exceptions or performing any audits or follow-up audits, including but not limited to: audit fees, court costs, attorneys' fees based upon a reasonable hourly amount for attorneys in the community, travel costs, penalty assessments and all other costs of whatever nature. Immediately upon notification from County, Contractor shall reimburse the amount of the audit exceptions and any other related costs directly to County as specified by County in the notification. The provisions of the Records, Audit, and Review section shall survive any expiration or termination of this Agreement.

## **15. INDEMNIFICATION AND INSURANCE.**

Contractor agrees to the indemnification and insurance provisions as set forth in EXHIBIT C – Standard Indemnification and Insurance Provisions attached hereto and incorporated herein by reference.



**16. NONDISCRIMINATION.**

County hereby notifies Contractor that County's Unlawful Discrimination Ordinance (Article XIII of Chapter 2 of the Santa Barbara County Code) applies to this Agreement and is incorporated herein by this reference with the same force and effect as if the ordinance were specifically set out herein and Contractor agrees to comply with said ordinance. Contractor shall also comply with the nondiscrimination provisions set forth in EXHIBIT A-1 General Provisions: MHS to this Agreement.

**17. NONEXCLUSIVE AGREEMENT.**

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

**18. NON-ASSIGNMENT.**

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

**19. TERMINATION.**

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

1. **For Convenience.** County may terminate this Agreement in whole or in part upon thirty (30) days written notice. During the thirty (30) day period, Contractor shall, as directed by County, wind down and cease its services as quickly and efficiently as reasonably possible, without performing unnecessary services or activities and by minimizing negative effects on County from such winding down and cessation of services.
2. **For Nonappropriation of Funds.**
  - i. The parties acknowledge and agree that this Agreement is dependent upon the availability of County, State, and/or federal funding. If funding to make payments in accordance with the provisions of this Agreement is not forthcoming from the County, State and/or federal governments for the Agreement, or is not allocated or allotted to County by the County, State and/or federal governments for this Agreement for periodic payment in the current or any future fiscal period, then the obligations of County to make payments after the effective date of such non-allocation or non-funding, as provided in the notice, will cease and terminate.
  - ii. As permitted by applicable State and Federal laws regarding funding sources, if funding to make payments in accordance with the provisions of this Agreement is delayed or is reduced from the County, State, and/or federal governments for the Agreement, or is not allocated or allotted in full to County by the County, State, and/or federal governments for this Agreement for periodic payment in the current or any future fiscal period, then the obligations of County to make payments will be delayed or be reduced accordingly or County shall have the right to terminate the Agreement. If such funding is reduced, County in its sole discretion shall determine which aspects of the Agreement shall proceed and which Services shall be performed. In these situations, County will pay

Contractor for Services and Deliverables and certain of its costs. Any obligation to pay by County will not extend beyond the end of County's then-current funding period.

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

3. **For Cause.** Should Contractor default in the performance of this Agreement or materially breach any of its provisions, County may, at County's sole option, terminate or suspend this Agreement in whole or in part by written notice. Upon receipt of notice, Contractor shall immediately discontinue all services affected (unless the notice directs otherwise) and notify County as to the status of its performance. The date of termination shall be the date the notice is received by Contractor, unless the notice directs otherwise.

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

**C. Upon Termination.** Contractor shall deliver to County all data, estimates, graphs, summaries, reports, and all other property, records, documents or papers as may have been accumulated or produced by Contractor in performing this Agreement, whether completed or in process, except such items as County may, by written permission, permit Contractor to retain. Notwithstanding any other payment provision of this Agreement, County shall pay Contractor for satisfactory services performed to the date of termination to include a prorated amount of compensation due hereunder less payments, if any, previously made. In no event shall Contractor be paid an amount in excess of the full price under this Agreement nor for profit on unperformed portions of service. Contractor shall furnish to County such financial information as in the judgment of County is necessary to determine the reasonable value of the services rendered by Contractor. In the event of a dispute as to the reasonable value of the services rendered by Contractor, the decision of County shall be final. The foregoing is cumulative and shall not affect any right or remedy which County may have in law or equity.

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

County's Designated Representative may, without cause, order Contractor in writing to suspend, delay, or interrupt the services under this Agreement in whole or in part for up to 120 days. County shall incur no liability for suspension under this provision and suspension shall not constitute a breach of this Agreement.

## **21. SECTION HEADINGS.**

The headings of the several sections, and any Table of Contents appended hereto, shall be solely for convenience of reference and shall not affect the meaning, construction or effect hereof.

**22. SEVERABILITY.**

If any one or more of the provisions contained herein shall for any reason be held to be invalid, illegal or unenforceable in any respect, then such provision or provisions shall be deemed severable from the remaining provisions hereof, and such invalidity, illegality or unenforceability shall not affect any other provision hereof, and this Agreement shall be construed as if such invalid, illegal or unenforceable provision had never been contained herein.

**23. REMEDIES NOT EXCLUSIVE.**

No remedy herein conferred upon or reserved to County is intended to be exclusive of any other remedy or remedies, and each and every such remedy, to the extent permitted by law, shall be cumulative and in addition to any other remedy given hereunder or now or hereafter existing at law or in equity or otherwise.

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

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

**25. NO WAIVER OF DEFAULT.**

No delay or omission of County to exercise any right or power arising upon the occurrence of any event of default shall impair any such right or power or shall be construed to be a waiver of any such default or an acquiescence therein; and every power and remedy given by this Agreement to County shall be exercised from time to time and as often as may be deemed expedient in the sole discretion of County.

**26. ENTIRE AGREEMENT AND AMENDMENT.**

In conjunction with the matters considered herein, this Agreement contains the entire understanding and agreement of the parties and there have been no promises, representations, agreements, warranties or undertakings by any of the parties, either oral or written, of any character or nature hereafter binding except as set forth herein. This Agreement may be altered, amended or modified only by an instrument in writing, executed by the parties to this Agreement and by no other means. Each party waives their future right to claim, contest or assert that this Agreement was modified, canceled, superseded, or changed by any oral agreements, course of conduct, waiver or estoppel. Requests for changes to the terms and conditions of this agreement after April 1 of the Fiscal Year for which the change would be applicable shall not be considered. All requests for changes shall be in writing. Changes shall be made by an amendment pursuant to this section. Any amendments or modifications that do not materially change the terms of this Agreement (such as changes to the Designated Representative or Contractor's address for purposes of Notice) may be approved by the Director of the Department of Behavioral Wellness. Except as otherwise set forth herein this Agreement, the Board of Supervisors of the County of Santa Barbara must approve all other amendments and modifications.

**27. SUCCESSORS AND ASSIGNS.**

All representations, covenants and warranties set forth in this Agreement, by or on behalf of, or for the benefit of any or all of the parties hereto, shall be binding upon and inure to the benefit of such party, its successors and assigns.

**28. COMPLIANCE WITH LAW.**

Contractor shall, at its sole cost and expense, comply with all County, State and Federal ordinances and statutes now in force or which may hereafter be in force with regard to this Agreement. The judgment of any court of competent jurisdiction, or the admission of Contractor in any action or proceeding against Contractor, whether County is a party thereto or not, that Contractor has violated any such ordinance or statute, shall be conclusive of that fact as between Contractor and County.

**29. CALIFORNIA LAW AND JURISDICTION.**

This Agreement shall be governed by the laws of the State of California. Any litigation regarding this Agreement or its contents shall be filed in the County of Santa Barbara, if in state court, or in the federal district court nearest to Santa Barbara County, if in federal court.

**30. EXECUTION OF COUNTERPARTS.**

This Agreement may be executed in any number of counterparts and each of such counterparts shall for all purposes be deemed to be an original; and all such counterparts, or as many of them as the parties shall preserve undestroyed, shall together constitute one and the same instrument.

**31. AUTHORITY.**

All signatories and parties to this Agreement warrant and represent that they have the power and authority to enter into this Agreement in the names, titles and capacities herein stated and on behalf of any entities, persons, or firms represented or purported to be represented by such entity(ies), person(s), or firm(s) and that all formal requirements necessary or required by any state and/or federal law in order to enter into this Agreement have been fully complied with. Furthermore, by entering into this Agreement, Contractor hereby warrants that it shall not have breached the terms or conditions of any other contract or agreement to which Contractor is obligated, which breach would have a material effect hereon.

**32. SURVIVAL.**

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

**33. PRECEDENCE.**

In the event of conflict between the provisions contained in the numbered sections of this Agreement and the provisions contained in the Exhibits, the provisions of the Exhibits shall prevail over those in the numbered sections.

**34. COMPLIANCE WITH HIPAA.**

Contractor is expected to adhere to Health Insurance Portability and Accountability Act (HIPAA) regulations and to develop and maintain comprehensive patient confidentiality policies and procedures, provide annual training of all staff regarding those policies and procedures, and demonstrate reasonable effort to secure written and/or electronic data. The parties should anticipate that this Agreement will be modified as necessary for full compliance with HIPAA.

**35. COURT APPEARANCES.**

Upon request, Contractor shall cooperate with County in making available necessary witnesses for court hearings and trials, including Contractor's staff that have provided treatment to a client referred by County who is the subject of a court proceeding. County shall issue subpoenas for the required witnesses upon request of Contractor.

### 36. MANDATORY DISCLOSURE.

#### A. Prohibited Affiliations.

1. Contractor shall not knowingly have any prohibited types of relationships with the following:
  - i. An individual or entity that is debarred, suspended, or otherwise excluded from participating in procurement activities under the Federal Acquisition Regulation or from participating in nonprocurement activities under regulations issued under Executive Order No. 12549 or under guidelines implementing Executive Order No. 12549. (42 C.F.R. § 438.610(a)(1).)
  - ii. An individual or entity who is an affiliate, as defined in the Federal Acquisition Regulation at 48 C.F.R. Section 2.101, of a person described in this section. (42 C.F.R. § 438.610(a)(2).)
2. The Contractor and its subcontractors shall not have a relationship with an individual or entity that is excluded from participation in any Federal Health Care Program (as defined in Section 1128B(f) of the Social Security Act) under either Sections 1128, 1128A, 1156, or 18420(2) of the Social Security Act. (42 C.F.R. §§ 438.214(d)(1), 438.610(b), 42 U.S.C. § 1320c-5.)
3. The relationships described in paragraph A of this section, are as follows:
  - i. A director, officer, agent, managing employee, or partner of the Contractor. (42 U.S.C. § 1320a-7(b)(8)(A)(ii); 42 C.F.R. § 438.610(c)(1).)
  - ii. A subcontractor of the Contractor, as governed by 42 C.F.R. § 438.230. (42 C.F.R. § 438.610(c)(2).)
  - iii. A person with beneficial ownership of 5 percent or more of the Contractor's equity. (42 C.F.R. § 438.610(c)(3).)
  - iv. An individual convicted of crimes described in Section 1128(b)(8)(B) of the Social Security Act. (42 C.F.R. § 438.808(b)(2).)
  - v. A network provider or person with an employment, consulting, or other arrangement with the Contractor for the provision of items and services that are significant and material to the Contractor's obligations under this Contract. (42 C.F.R. § 438.610(c)(4).)
  - vi. The Contractor shall not employ or contract with, directly or indirectly, such individuals or entities for the furnishing of health care, utilization review, medical social work, administrative services, management, or provision of medical services (or the establishment of policies or provision of operational support for such services). (42 C.F.R. § 438.808(b)(3).)

#### B. Written Disclosures.

1. **Written Notice of Prohibited Affiliations.** The Contractor shall provide to County written disclosure of any Prohibited Affiliations identified by the Contractor or its subcontractors. (42 C.F.R. § 438.608(c)(1).)

2. **Ownership or Controlling Interests.** Pursuant to 42 C.F.R. § 455.104, Medicaid providers, other than an individual practitioner or group of practitioners; fiscal agents; and managed care entities (“Disclosing Entities”) must disclose certain information related to persons who have an “ownership or control interest” in the Disclosing Entity, as defined in 42 C.F.R. § 455.101. (For the purposes of this section “person with an ownership or control interest” means a person or corporation that – a. Has an ownership interest totaling five percent or more in a Disclosing Entity; b. Has an indirect ownership interest equal to five percent or more in a Disclosing Entity; c. Has a combination of direct and indirect ownership interests equal to five percent or more in a Disclosing Entity. d. Owns an interest of five percent or more in any mortgage, deed of trust, note, or other obligation secured by the Disclosing Entity if that interest equals at least five percent of the value of the property or assets of the Disclosing Entity.) The disclosure must include the following information:
- i. The name, address, date of birth, and Social Security Number of any **managing employee**, as that term is defined in 42 C.F.R. § 455.101. For purposes of this disclosure, Contractor may use the business address for any member of its Board of Supervisors.
  - ii. The name and address **of any person (individual or corporation) with an ownership or control interest** in the Disclosing Entity. The address for corporate entities must include as applicable primary business address, every business location, and P.O. Box address.
  - iii. Date of birth and Social Security Number (in the case of an individual).
  - iv. Other tax identification number (in the case of a corporation) with an ownership or control interest in the Disclosing Entity (or fiscal agent or managed care entity) or in any subcontractor in which the Disclosing Entity (or fiscal agent or managed care entity) has a five percent or more interest.
  - v. Whether the person (individual or corporation) with an ownership or control interest in the Disclosing Entity (or fiscal agent or managed care entity) is related to another person with ownership or control interest in the Disclosing Entity as a spouse, parent, child, or sibling; or whether the person (individual or corporation) with an ownership or control interest in any subcontractor in which the Disclosing has a five percent or more interest is related to another person with ownership or control interest in the Disclosing Entity as a spouse, parent, child, or sibling.
  - vi. The name of any other Disclosing Entity in which an owner of the Disclosing Entity has an ownership or control interest.
  - vii. Is an officer or director of a Disclosing Entity that is organized as a corporation.
  - viii. Is a partner in a Disclosing Entity that is organized as a partnership.

3. **Timing for Disclosure of Ownership and Controlling Interests.** Contractor shall complete a Disclosure of Ownership or Controlling Interest form provided by County upon submitting a provider application; before entering into or renewing its contract; annually, upon request during the re-validation of enrollment process under 42 C.F.R. Section 455.104; within 35 days after any change of ownership; or upon any person newly obtaining an interest of 5% or more of any mortgage, deed of trust, note or other obligation secured by Contractor, and that interest equals at least 5% of Contractor's property or assets.
4. **Business Transactions. (42 C.F.R. § 455.105).**
  - i. Contractor agrees to furnish to County or the Secretary of DHCS on request, information related to business transactions. Contractor shall submit, within 35 days of the date on a request by County or the Secretary of DHCS full and complete information about:
    - a. The ownership of any subcontractor with whom the provider has had business transactions totaling more than \$25,000 during the 12-month period ending on the date of the request; and
    - b. Any significant business transactions between the provider and any wholly owned supplier, or between the provider and any subcontractor, during the 5-year period ending on the date of the request.
5. **Crimes.**
  - i. **Violations of Criminal Law.** Contractor must disclose, in a timely manner, in writing to the County all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting this Agreement. Contractor is required to report certain civil, criminal, or administrative proceedings to the System for Award Management (SAM) located at [www.sam.gov](http://www.sam.gov). Failure to make required disclosures can result in any of the remedies for noncompliance described in 45 C.F.R. Section 75.371 and/or 2 C.F.R. § 200.338, including suspension or debarment. (See also 2 C.F.R. parts 180 and 376, and 31 U.S.C. § 3321.)
  - ii. **Persons Convicted of Crimes Related to Federal Health Care Programs.** Contractor shall submit the following disclosures to County regarding its owners, persons with controlling interest, agents, and managing employee's criminal convictions prior to entering into this Agreement and at any time upon County's request:
    - a. The identity of any person who is a managing employee of the Contractor who has been convicted of a crime related to federal health care programs. (42 C.F.R. § 455.106(a)(1), (2).)
    - b. The identity of any person who is an agent of the Contractor who has been convicted of a crime related to federal health care programs. (42 C.F.R. § 455.106(a)(1), (2).) For this purpose, the word "agent" has the meaning described in 42 C.F.R. Section 455.101.

- iii. **Timing for Disclosures of Crimes.** The Contractor shall supply disclosures regarding crimes before entering into the contract and at any time upon the County or DHCS' request.

**C. Lobbying.** Contractor shall complete a Certification Regarding Lobbying as set forth in Exhibit D, Attachment 1, and, if applicable, a Lobbying Restrictions and Disclosure Certification as set forth in Exhibit D, Attachment 2, of this Agreement.

1. 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. Code. 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.
2. Contractor also agrees by signing this Agreement that he or she shall require that the language of this certification be included in all lower-tier subcontracts, which exceed \$100,000 and that all such sub recipients shall certify and disclose accordingly.
3. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other award covered by 31 U.S.C. § 1352. Each tier shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the recipient.

**D. Remedies.**

1. **Denial of Federal Financial Participation (FFP) for Failure to Provide Timely Disclosures.**
  - i. FFP is not available in expenditures for services furnished by Contractors who fail to comply with a request made by the County or Secretary of DHCS under this section Mandatory Disclosures, or under 42 C.F.R. § 420.205 (Medicare requirements for disclosure).
  - ii. FFP will be denied in expenditures for services furnished during the period beginning on the day following the date the information was due to the County or the Secretary of DHCS and ending on the day before the date on which the information was supplied.
  - iii. A provider shall be required to reimburse those Medi-Cal funds received during any period for which material information was not reported, or reported falsely, to the County or DHCS (Welf. & Inst. Code § 14043.3).
2. **Other Remedies.** County or DHCS may pursue any remedies provided by law, including but not limited to, the right to withhold payments, disallow costs, or issue a CAP, pursuant to Cal. Health and Safety Code, Section 11817.8(h) for Contractor's failure to provide required disclosures.



**37. PROCUREMENT OF RECOVERED MATERIALS.**

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

**38. DOMESTIC PREFERENCES FOR PROCUREMENTS.**

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

**39. CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT.**

Contractor shall comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act (42 U.S.C. §§ 7401-7671q) and pursuant to the Federal Water Pollution Control Act, as amended (33 U.S.C. §§ 1251-1387). Contractor shall promptly disclose, in writing, to the COUNTY, the Federal Awarding Agency, and the Regional Office of the Environmental Protection Agency (EPA), whenever, in connection with the award, performance, or closeout of this contract or any subcontract thereunder, the Contractor has credible evidence that Contractor itself, a principal, employee, agent, or subcontractor of the Contractor has committed a violation of the Clean Air Act (42 U.S.C. §§ 7401-7671q) or the Federal Water Pollution Control Act, as amended (33 U.S.C. §§ 1251-1387).

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

The Contractor shall comply with the requirements of 2 C.F.R. Part 200 which are hereby incorporated by reference in this Agreement.

**41. PRIOR AGREEMENTS.**

Upon the effective date, this Agreement supersedes all prior agreements between County and Contractor related to the scope of work contained in this Agreement.

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SIGNATURE PAGE FOLLOWS

**SIGNATURE PAGE**

Agreement for Services of Independent Contractor between the **County of Santa Barbara** and **Casa Pacifica Centers for Children and Families**.

**IN WITNESS WHEREOF**, the parties have executed this Agreement to be effective on July 1, 2021.

**COUNTY OF SANTA BARBARA:**

By: \_\_\_\_\_  
BOB NELSON, CHAIR  
BOARD OF SUPERVISORS

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

**ATTEST:**

MONA MIYASATO  
COUNTY EXECUTIVE OFFICER  
CLERK OF THE BOARD

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

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

**CONTRACTOR:**

**CASA PACIFICA CENTERS FOR CHILDREN  
AND FAMILIES**

By: \_\_\_\_\_  
Authorized Representative

Name: \_\_\_\_\_

Title: \_\_\_\_\_

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

**APPROVED AS TO FORM:**

MICHAEL C. GHIZZONI  
COUNTY COUNSEL

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

**APPROVED AS TO ACCOUNTING FORM:**

BETSY M. SCHAFFER, CPA  
AUDITOR-CONTROLLER

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

**RECOMMENDED FOR APPROVAL:**

PAM FISHER, PSY.D., ACTING DIRECTOR  
DEPARTMENT OF BEHAVIORAL  
WELLNESS

By \_\_\_\_\_  
Acting Director

**APPROVED AS TO INSURANCE FORM:**

RAY AROMATORIO, RISK MANAGER  
DEPARTMENT OF RISK MANAGEMENT

By: \_\_\_\_\_  
Risk Manager

**THIS AGREEMENT INCLUDES THE FOLLOWING EXHIBITS:**

**EXHIBIT A - MHS STATEMENT OF WORK**

EXHIBIT A-1	General Provisions: MHS
EXHIBIT A-2	Family Urgent Response System (FURS)
ATTACHMENT A-1	FURS Staff Record Checks
EXHIBIT A-3	In-Home Therapeutic Programs
EXHIBIT A-4	Safe Alternative for Treating Youth (SAFTY)
EXHIBIT A-5	SB 163/Wraparound
EXHIBIT A-6	Short Term Residential Therapeutic Program (STRTP)

**EXHIBIT B - FINANCIAL PROVISIONS**

EXHIBIT B	Financial Provisions: MHS
EXHIBIT B-1	Schedule of Rates and Contract Maximum: MHS
EXHIBIT B-2	Contractor Budget

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

**EXHIBIT D - CERTIFICATIONS REGARDING LOBBYING**

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

**EXHIBIT A-1**

**GENERAL PROVISIONS**

**MENTAL HEALTH SERVICES (MHS)**

**STATEMENT OF WORK**

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

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**The following provisions shall apply to all programs operated under this Agreement, included as Exhibits A-1 through A-6, as though separately set forth in the scope of work specific to each Program.**

**1. PERFORMANCE.**

- A.** Contractor shall adhere to all applicable County, State, and Federal laws, including the applicable sections of the state Medicaid plan and waiver, in the performance of this Agreement, including but not limited to the statutes and regulations referenced therein and those set forth below. Contractor shall comply with any changes to these statutes and regulations that may occur during the Term of the Agreement and any new applicable statutes or regulations without the need for amendments to this Agreement. Contractor's performance shall be governed by and construed in accordance with, the following:
1. All laws and regulations, and all contractual obligations of the County under the County Mental Health Plan ("MHP") (Contract No. 17-94613) between the County Department of Behavioral Wellness (the Department) and the State Department of Health Care Services (DHCS), available at [www.countyofsb.org/behavioral-wellness](http://www.countyofsb.org/behavioral-wellness), including but not limited to subparagraphs C and F of the MHP, Exhibit E, Paragraph 7, and the applicable provisions of Exhibit D(F) to the MHP referenced in Paragraph 19.D of this Exhibit. Contractor shall comply with the MHP, Contract Number 17-94613, which is incorporated by this reference, until such time as an amended or new MHP Agreement is entered into between the Department and DHCS, which the parties anticipate will be substantially similar to the MHP Agreement, Contract Number 17-94613. Once the amended or new MHP Agreement is received, the parties will review any changes and determine whether the amended or new MHP Agreement require amendments to this Agreement;
  2. The Behavioral Wellness Steering Committee Vision and Guiding Principles, available at [www.countyofsb.org/behavioral-wellness](http://www.countyofsb.org/behavioral-wellness);
  3. All applicable laws and regulations relating to patients' rights, including but not limited to Welfare and Institutions Code Section 5325, California Code of Regulations, Title 9, Sections 862 through 868, and 42 Code of Federal Regulations Section 438.100;
  4. All applicable Medicaid laws, regulations, including applicable sub-regulatory guidance and contract provisions;
  5. California's Mental Health Services Act;
  6. California Code of Regulations Title 9, Division 1; and
  7. 42 C.F.R. § 438.900 *et seq.* requiring provision of services to be delivered in compliance with federal regulatory requirements related to parity in mental health and substance use disorder benefits.
- B.** Contractor shall be at all times currently enrolled with the California Department of Health Care Services as a Medicaid provider, consistent with the provider disclosure, screening and enrollment requirements of 42 C.F.R. part 455, subparts B and E.

## 2. STAFF.

- A. Contractor staff providing direct services to clients shall be trained and skilled at working with persons with serious mental illness (SMI), and shall adhere to professionally recognized evidence-based best practices for rehabilitation assessment, service planning, and service delivery. In addition, these staff shall receive Documentation Training in accordance with the *Behavioral Wellness Mandatory Trainings Policy and Procedure #5.008*, as may be amended, available at <https://www.countyofsb.org/behavioral-wellness/policies-procedures.sbc>.
- B. Contractor shall ensure that any staff identified on the Centers for Medicare & Medicaid Services (“CMS”) Exclusions List or other applicable list shall not provide services under this Agreement nor shall the cost of such staff be claimed to Medi-Cal. Contractor shall not employ or subcontract with providers excluded from participation in Federal health care programs under either sections 1128 or 1128A of the Social Security Act.
- C. All staff performing services under this Agreement with access to the Behavioral Wellness electronic medical record shall be reviewed and approved by Behavioral Wellness Quality Care Management (QCM) Division, in accordance with *Behavioral Wellness Policy and Procedure #4.015, Staff Credentialing and Re-Credentialing*.
- D. Contractor shall notify County of any staffing changes as part of the quarterly Staffing Report, in accordance with Section 4.A. (Staffing) below. Contractor shall notify County in writing at [bwellcontractsstaff@co.santa-barbara.ca.us](mailto:bwellcontractsstaff@co.santa-barbara.ca.us) within one business day for the unexpected termination of staff when staff separates from employment or is terminated from working under this Agreement, or within one week of the expected last day of employment or for staff planning a formal leave of absence.
- E. At any time prior to or during the term of this Agreement, the County may require that Contractor staff performing work under this Agreement undergo and pass, to the satisfaction of County, a background investigation, as a condition of beginning and continuing to work under this Agreement. County shall use its discretion in determining the method of background clearance to be used. The fees associated with obtaining the background information shall be at the expense of the Contractor, regardless if the Contractor’s staff passes or fails the background clearance investigation.
- F. County may request that Contractor’s staff be immediately removed from performing work under this Agreement for good cause during the term of the Agreement. Upon such request, Contractor shall remove such staff immediately.
- G. County may immediately deny or terminate County facility access, including all rights to County property, computer access, and access to County software, to Contractor’s staff that does not pass such investigation(s) to the satisfaction of the County, or whose conduct is incompatible with County facility access.
- H. Disqualification, if any, of Contractor staff, pursuant to this Section regarding Staff or any other provision of law, shall not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Agreement.

**3. LICENSES, PERMITS, REGISTRATIONS, ACCREDITATIONS, AND CERTIFICATIONS.**

- A.** Contractor shall obtain and maintain in effect during the term of this Agreement, all licenses, permits, registrations, accreditations, and certifications (including, but not limited to, certification as a Short-Doyle/Medi-Cal provider if Title XIX Short-Doyle/Medi-Cal services are provided hereunder), as required by all Federal, State, and local laws, ordinances, rules, regulations, manuals, guidelines, and directives, which are applicable to Contractor's facility(ies) and services under this Agreement. Contractor shall further ensure that all of its officers, employees, and agents, who perform services hereunder, shall obtain and maintain in effect during the term of this Agreement all licenses, permits, registrations, accreditations, and certificates which are applicable to their performance hereunder. A copy of such documentation shall be provided to Behavioral Wellness QCM Division, upon request.
- B.** In the event the license/certification status of any Contractor staff member cannot be confirmed, the staff member shall be prohibited from providing services under this Agreement.
- C.** If Contractor is a participant in the Short-Doyle/Medi-Cal program, Contractor shall keep fully informed of and in compliance with all current Short-Doyle/Medi-Cal Policy Letters, including, but not limited to, procedures for maintaining Medi-Cal certification of all its facilities, and the requirements of *Department of Behavioral Wellness' Policy and Procedure #4.005 – Site Certification for Specialty Mental Health Services*.

**4. REPORTS.**

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



4. The Measures described in Exhibit E, Program Goals, Outcomes and Measures, as applicable, or as otherwise agreed by Contractor and County. Amendments to Exhibit E do not require a formal amendment to this Agreement, but shall be agreed to in writing by Contractor and the Director of the Department of Behavioral Wellness or designee. In addition, Contractor may include any other data that demonstrate the effectiveness of Contractor's programs.

**C. Annual Mandatory Training Report.** Contractor shall submit evidence of completion of the Mandatory Trainings identified in the Section regarding Training Requirements on an annual basis to the County Systems Training Coordinator. Training materials, competency tests and sign-in sheets shall be submitted for each training no later than June 15th of each year unless requested earlier by County.

**D. Additional Reports.**

1. Contractor shall maintain records and make statistical reports as required by County and DHCS or other government agency, on forms provided by or acceptable to the requesting agency. In addition to reports required under this Agreement, upon County's request, Contractor shall make additional reports as required by County concerning Contractor's activities as they affect the services hereunder. County will be specific as to the nature of information requested and allow thirty (30) days for Contractor to respond.
2. As a condition of funding for Quality Assurance (QA) activities, Contractor QA staff shall provide a monthly report to QCM consisting of documentation reviews performed, associated findings, and corrective action. The QA reports shall be received by County no later than 25 calendar days following the end of the month being reported.

**5. BACKGROUND CHECKS.**

**A. Consent to Criminal Background Check, Fingerprinting (42 C.F.R. § 455.450, Welf. & Inst. Code § 14043.38).** Contractor consents to criminal background checks, including fingerprinting when required to do so by federal or state law. Within 30 days of a request from CMS or DHCS, Contractor, or any person with a 5% or more direct or indirect ownership interest in Contractor, shall submit a set of fingerprints in a form and manner determined by CMS or DHCS.

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

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

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

**7. SITE STANDARDS.**

- A.** Contractor agrees to comply with all Medi-Cal requirements, including, but not limited to those specified in the *Department of Behavioral Wellness' Policies and Procedures*, and be approved to provide Medi-Cal services based on Medi-Cal site certification, per *Department of Behavioral Wellness' Policy and Procedure #4.005- Site Certification for Specialty Mental Health Services*.
- B.** For programs located at Contractor's sites, Contractor shall develop and maintain a written disaster plan for the Program site and shall provide annual disaster training to staff that addresses, at a minimum: emergency staffing levels for the continuation of services under the Program, patient safety, facility safety, safety of medication storage and dispensing medication, and protection of client records, as required by this Agreement.

**8. CONFIDENTIALITY.**

- A.** Contractor, its employees, agents, or subcontractors agree to maintain the confidentiality of patient records pursuant to: Title 42 United State Code (USC) Section 290 dd-2; Title 42 Code of Federal Regulations (C.F.R.), Part 2; Title 42 C.F.R. Section 438.224; 45 C.F.R. Section 96.132(e), 45 C.F.R. Parts 160, 162, and 164; Title 22 California Code of Regulations (C.C.R.) Section 51009; Welfare & Institutions Code (W&IC) Section 5328 et seq. and Section 14100.2; Health and Safety Code (HSC) Sections 11812 and 11845.5; Civil Code Sections 56 – 56.37, 1798.80 – 1798.82, and 1798.85; and Paragraph 34 (Compliance with HIPAA) of this Agreement, as applicable. Patient records must comply with all appropriate State and Federal requirements.
- B.** Contractor shall ensure that no list of persons receiving services under this Agreement is published, disclosed, or used for any purpose except for the direct administration of services under this Agreement or other uses authorized by law that are not in conflict with requirements for confidentiality contained in the preceding codes.
- C.** Contractor shall comply with Exhibit F to the MHP to the extent Contractor is provided Personal Health Information (“PHI”), Personal Information (“PI”), or Personally Identifiable Information as defined in Exhibit F of the MHP from County to perform functions, services, or activities specified in this Agreement.
- D.** Contractor shall make itself and any subcontractors, employees or agents assisting Contractor in the performance of its obligations under this Agreement, available to County or DHCS at no cost to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against County, DHCS, its directors, officers or employees based upon claimed violation of HIPAA, or the HIPAA regulations, which involves inactions or actions by Contractor, except where Contractor or its subcontractor, employee or agent is a named adverse party.
- E.** Upon termination or expiration of this Agreement for any reason, Contractor shall return or destroy all PHI, PI and PII accessed in a database maintained by County, received by Contractor from County, or acquired or created by Contractor in connection with performing functions, services, or activities specified in this Agreement on behalf of County that Contractor still maintains in any form, and shall retain no copies of such PHI, PI or PII. If return or destruction is not feasible, Contractor shall notify County of the conditions that make the return or destruction infeasible, and County and Contractor shall determine the terms and conditions under which Contractor may retain the PHI, PI or PII.

Contractor shall continue to extend the protections of Exhibit F of the MHP to such PHI, PI and PII, and shall limit further use of such data to those purposes that make the return or destruction of such data infeasible. This paragraph shall also apply to Department PHI, PI and PII that is in the possession of subcontractors or agents of Contractor.

**9. CLIENT AND FAMILY MEMBER EMPOWERMENT.**

- A. Contractor agrees to support active involvement of clients and their families in treatment, recovery, and policy development.
- B. Contractor shall actively participate in the planning design, and execution of County's Quality Improvement Program as described in Cal. Code. Regs., Title 9, § 1810.440(a)(2)(A).
- C. Contractor shall adopt *Department of Behavioral Wellness' Policy and Procedures #4.020 Beneficiary Problem Resolution Process*, available at [www.countyofsb.org/behavioral-wellness](http://www.countyofsb.org/behavioral-wellness), to address client/family complaints in compliance with beneficiary grievance, appeal, and fair hearing procedures and timeframes as specified in 42 C.F.R. Section 438.400 through 42 C.F.R. Section 438.424.
- D. Contractor shall take a beneficiary's rights into account when providing services and comply with *Department of Behavioral Wellness' Policy and Procedure #3.000 Beneficiary Rights*.
- E. Contractor shall obtain and retain a written medication consent form signed by the beneficiary in accordance with *Department of Behavioral Wellness' Policy and Procedures #8.009 Psychiatric Medication Consent for Adults* to the extent Contractor is a "provider" as defined by the MHP.

**10. CULTURAL COMPETENCE.**

- A. **Report on Capacity.** Contractor shall report on its capacity to provide culturally competent services to culturally diverse clients and their families upon request from County, including:
  - 1. The number of bilingual and bicultural staff (as part of the quarterly staffing report), and the number of culturally diverse clients receiving Program services; and
  - 2. Efforts aimed at providing culturally competent services such as trainings provided to staff, changes or adaptations to service protocol, community education/outreach, etc.
- B. **Communicate in Preferred Language.** At all times, the Contractor's Program(s) shall be staffed with personnel who can communicate in the client preferred language, or Contractor shall provide interpretation services, including American Sign Language (ASL).
- C. **Bilingual Staff for Direct Service Positions.** Contractor will strive to fill direct service positions with bilingual staff in County's threshold language (Spanish) that is reflective of the specific needs of each region. Contractor percentage goals are calculated based on U.S. Census language data by region: Santa Barbara service area (including Goleta and Carpinteria) – 30%; Santa Maria service area (including Orcutt and Guadalupe) – 48%; and Lompoc service area (including Buellton and Solvang) – 33%.

- D. Cultural Considerations When Providing Services.** Contractor shall provide services that consider the culture of mental illness, as well as the ethnic and cultural diversity of clients and families served; materials provided to the public must also be printed in Spanish (threshold language).
- E. Services and Programs in Spanish.** Services and programs offered in English must also be made available in Spanish, if clients identify Spanish as their preferred language, as specified in subsection B above.
- F.** As applicable, a measurable and documented effort must be made to conduct outreach to and to serve the underserved and the non-served communities of Santa Barbara County.
- G.** Contractor shall establish a process by which Spanish speaking staff who provide direct services in Spanish or interpretive services are tested for proficiency in speaking, reading, and writing in the Spanish language.

**11. COMPLIANCE PROGRAM.**

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

**12. NOTIFICATION REQUIREMENTS.**

- A.** Contractor shall maintain and share, as appropriate, a beneficiary health record in accordance with professional standards. (42 C.F.R. § 438.208(b)(5).) Contractor shall ensure that, in the course of coordinating care, each beneficiary's privacy is protected in accordance with this Agreement all federal and state privacy laws, including but not limited to 45 C.F.R. parts 160 and 164, subparts A and E, to the extent that such provisions are applicable. (42 C.F.R. § 438.208(b)(6).)
- B.** Contractor shall immediately notify Behavioral Wellness Quality Care Management (“QCM”) Division at 805-681-5113 in the event of:
  1. Known serious complaints against licensed/certified staff;
  2. Restrictions in practice or license/certification as stipulated by a State agency;
  3. Staff privileges restricted at a hospital;
  4. Other action instituted which affects staff license/certification or practice (for example, sexual harassment accusations); or

5. Any event triggering Incident Reporting, as defined in *Behavioral Wellness Policy and Procedure #4.004, Unusual Occurrence Incident Reporting*.
- C. Contractor shall immediately contact the Behavioral Wellness Compliance Hotline (805-884-6855) should any of the following occur:
1. Suspected or actual misappropriation of funds under Contractor's control;
  2. Legal suits initiated specific to the Contractor's practice;
  3. Initiation of criminal investigation of the Contractor; or
  4. HIPAA breach.
- D. For clients receiving direct services from both Behavioral Wellness and Contractor staff, Contractor shall immediately notify the client's Behavioral Wellness Case Manager or other Behavioral Wellness staff involved in the client's care, or the applicable Regional Manager should any of the following occur:
1. Side effects requiring medical attention or observation;
  2. Behavioral symptoms presenting possible health problems; or
  3. Any behavioral symptom that may compromise the appropriateness of the placement.
- E. Contractor may contact Behavioral Wellness Contracts Division at [bwellcontractsstaff@co.santa-barbara.ca.us](mailto:bwellcontractsstaff@co.santa-barbara.ca.us) for any contractual concerns or issues.
- F. "Immediately" means as soon as possible but in no event more than twenty-four (24) hours after the triggering event. Contractor shall train all personnel in the use of the Behavioral Wellness Compliance Hotline (805-884-6855).

### 13. MONITORING.

- A. Contractor agrees to abide by the *Department of Behavioral Wellness' Policies and Procedures* referenced in Section 17 (Additional Program Requirements) and to cooperate with the County's utilization review process which ensures medical necessity, appropriateness and quality of care. This review may include clinical record review, client survey, and other utilization review program monitoring practices. Contractor shall cooperate with these programs, and will furnish necessary assessment and Client Service Plan information, subject to Federal or State confidentiality laws and provisions of this Agreement.
- B. Contractor shall identify a senior staff member who will be the designated Behavioral Wellness QCM Division contact and will participate in any provider QCM meetings to review current and coming quality of care issues.

#### 1. Quality Assurance Requirements.

Contractor is permitted up to 2% of Medi-Cal program costs for quality assurance (QA) type activities. Quality assurance type activities include reviewing for compliance with:

- i. Medi-Cal documentation standards as identified in California Code of Regulations Title 9, Chapter 11 and DHCS Mental Health and Substance Abuse Disorder Information Notices;
- ii. Assessment guidelines as identified in the *Department of Behavioral Wellness Policy and Procedure #8.100 Mental Health Client Assessment*.

- iii. Client treatment plan requirements as identified in the *Department of Behavioral Wellness Policy and Procedure #8.101 Mental Health Client Treatment Plans*.
  - iv. Progress note requirements in the *Department of Behavioral Wellness Policy and Procedure #8.102 Mental Health Progress Notes*.
- C. Contractor shall provide a corrective action plan if deficiencies in Contractor’s compliance with the provisions of the MHP or this Agreement are identified by County.
- D. County shall monitor the performance of Contractor on an ongoing basis for compliance with the terms of this Agreement. County shall assign senior management staff as contract monitors to coordinate periodic review meetings with Contractor’s staff regarding quality of clinical services, fiscal and overall performance activity, and provider recertification requirements. County’s Care Coordinators, Quality Improvement staff, and the Program Managers or their designees shall conduct periodic on-site and/or electronic reviews of Contractor’s clinical documentation.
- E. Contractor shall allow DHCS, CMS, the Office of the Inspector General, the Comptroller General of the United States, and other authorized federal and state agencies, or their duly authorized designees, to evaluate Contractor's, and its subcontractors', performance under this Agreement, including the quality, appropriateness, and timeliness of services provided. This right shall exist for 10 years from the term end date of this Agreement or in the event the Contractor has been notified that an audit or investigation of this Agreement has been commenced, until such time as the matter under audit or investigation has been resolved, including the exhaustion of all legal remedies, whichever is later. (See 42 C.F.R. § 438.3(h).) If monitoring activities identify areas of non-compliance, Contractor will be provided with recommendations and a corrective action plan. Contractor shall be liable to County for any penalties assessed against County for Contractor’s failure to comply with the required corrective action.

**14. NONDISCRIMINATION.**

**A. State Nondiscrimination Provisions.**

1. **No Denial of Benefits on the Basis of Protected Classification.** During the performance of this Agreement, Contractor and its subcontractors shall not deny this Agreement's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, military and veteran status, or other protected category and will not use any policy or practice that has the effect of discriminating on such basis.
2. **No Discrimination on the Basis of Health or Protected Classification.** Consistent with the requirements of applicable federal law, such as 42 Code of Federal Regulations, sections 438.3(d)(3) and (4), and state law, the Contractor shall not, on the basis of health status or need for health care services, discriminate against Medi-Cal eligible individuals in Santa Barbara County who require an assessment or meet medical necessity criteria for specialty mental health services. Nor shall Contractor engage in any unlawful discriminatory practices in the admission of beneficiaries, assignments of accommodations, treatment, evaluation, employment of personnel, or in any other respect on the basis of race, color, gender, gender identity, religion, marital

status, national origin, age, sexual orientation, or mental or physical handicap or disability.

3. **No Discrimination against Handicapped Persons.** The Contractor shall comply with the provisions of Section 504 of the Rehabilitation Act of 1973, as amended, pertaining to the prohibition of discrimination against qualified handicapped persons in all federally assisted programs or activities, as detailed in regulations signed by the Secretary of Health and Human Services, effective June 2, 1977, and found in the Federal Register, Volume 42, No. 86, dated May 4, 1977.
4. **Determination of Medical Necessity.** Notwithstanding other provisions of this section, the Contractor may require a determination of medical necessity pursuant to California Code of Regulations, Title 9, Sections 1820.205, 1830.205 and/or 1830.210, prior to providing covered services to a beneficiary.
5. **No Discrimination under State Law.** Contractor shall ensure that the evaluation and treatment of employees and applicants for employment are free of such discrimination. Contractor and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code § 12900 et seq.), the regulations promulgated thereunder (Cal. Code Regs., tit. 2, § 11000 et seq.), the provisions of Article 9.5, Chapter 1, Part 1, Division 3, Title 2 of the Government Code (Gov. Code §§ 11135-11139.5), and the regulations or standards adopted by the awarding state agency to implement such article. Contractor shall permit access by representatives of the Department of Fair Employment and Housing and the awarding state agency upon reasonable notice at any time during normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or Agency shall require to ascertain compliance with this clause. Contractor and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement. (See Cal. Code Regs., tit. 2, § 11105.)

**B. Federal Nondiscrimination Provisions.**

1. 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.

2. 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.
3. 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.
4. 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 C.F.R. part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and of the rules, regulations, and relevant orders of the Secretary of Labor.
5. 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 C.F.R. 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.
6. 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 C.F.R. 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.



7. The Contractor shall include the provisions of Paragraphs 14(B)(1) through 14(B)(7) 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 C.F.R. 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. Section 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.

**C. Subcontracts.** The Contractor shall include the nondiscrimination and compliance provisions of this Agreement (Sections 14 and 19, respectively) in all subcontracts to perform work under this Agreement.

**15. COLLABORATIVE MEETINGS.**

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

**16. TRAINING REQUIREMENTS.**

- A. Contractor shall ensure that all staff providing services under this Agreement complete mandatory trainings, including through attendance at County-sponsored training sessions as available. The following trainings must be completed at hire and annually thereafter:
  - 1. HIPAA Privacy and Security;
  - 2. Consumer and Family Culture;
  - 3. Behavioral Wellness Code of Conduct;
  - 4. Cultural Competency;
  - 5. County Management Information System (MIS), including the Sharecare and Provider Upload Portal, for service staff who enter data into the system;
  - 6. MHSA Overview Training (only at hire, not annually); and
  - 7. Applicable evidence-based treatment models and programs as agreed between Contractor and County in writing.

- B. Training Requirements for Mental Health Staff** who provide direct service/document in Clinician’s Gateway. The following trainings must be completed at hire and annually thereafter:
1. Clinician’s Gateway (only at hire, not annually);
  2. Documentation;
  3. Assessment and Treatment Plan; and
  4. Child and Adolescent Needs and Strengths (CANS) assessment training and certification exam, if the service provider works with clients under the age of 21.

**17. ADDITIONAL PROGRAM REQUIREMENTS.**

- A. Beneficiary Handbook.** Contractor shall provide the County of Santa Barbara Beneficiary Handbook to each potential beneficiary and beneficiary in an approved method listed in the *Department of Behavioral Wellness’ Policy and Procedures #4.008 Beneficiary Information Materials* when first receiving Specialty Mental Health Services and upon request. Contractor shall document the date and method of delivery to the beneficiary in the beneficiary’s file. Contractor shall inform beneficiaries that information is available in alternate formats and how to access those formats. (1915(b) Medi-Cal Specialty Mental Health Services Waiver, § (2), subd. (d), at p. 26, attachments 3, 4; Cal. Code Regs., tit. 9, § 1810.360(e); 42 C.F.R. § 438.10.)
- B. Written Materials in English and Spanish.** Contractor shall provide all written materials for beneficiaries and potential beneficiaries, including provider directories, County of Santa Barbara Beneficiary Handbook, appeal and grievance notices, denial and termination notices, and Santa Barbara County’s mental health education materials, in English and Spanish as applicable. (42 C.F.R. § 438.10(d)(3).) Contractor shall maintain adequate supply of County-provided written materials and shall request additional written materials from County as needed.
- C. Maintain Provider Directory.** Contractor shall maintain a provider directory on its agency website listing licensed individuals employed by the provider to deliver [mental health] services; the provider directory must be updated at least monthly to include the following information:
1. Provider’s name;
  2. Provider's business address(es);
  3. Telephone number(s);
  4. Email address;
  5. Website as appropriate;
  6. Specialty in terms of training, experience and specialization, including board certification (if any);
  7. Services/ modalities provided;
  8. Whether the provider accepts new beneficiaries;
  9. The provider’s cultural capabilities;
  10. The provider’s linguistic capabilities;

11. Whether the provider's office has accommodations for people with physical disabilities;
  12. Type of practitioner;
  13. National Provider Identifier Number;
  14. California License number and type of license; and
  15. An indication of whether the provider has completed cultural competence training.
- D. Policy and Procedure #2.001.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #2.001 Network Adequacy Standards and Monitoring.*
- E. Policy and Procedure #3.000.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #3.000 Beneficiary Rights.*
- F. Policy and Procedure #3.004.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #3.004* on advance directives and the County's obligations for Physician Incentive Plans, as applicable.
- G. Policy and Procedure #4.000.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.000 Authorization of Outpatient Specialty Services.*
- H. Policy and Procedure #4.001.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.001 Authorization of Therapeutic Behavioral Services (TBS), applicable to providers providing children services.*
- I. Policy and Procedure #4.008.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.008 Beneficiary Information Materials.*
- J. Policy and Procedure #4.012.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.012 Contracted Provider Relations.*
- K. Policy and Procedure #4.014.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #4.014 Service Triage for Urgent and Emergency Conditions.*
- L. Policy and Procedure #5.008.** Mandatory Trainings Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #5.008 Mandatory Training.*
- M. Policy and Procedure #8.100.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #8.100 Mental Health Client Assessment.*
- N. Policy and Procedure #8.101.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #8.101 Mental Health Client Treatment Plans.*
- O. Policy and Procedure #8.102.** Contractor shall comply with *Department of Behavioral Wellness' Policy and Procedures #8.102 Mental Health Progress Notes.*
- P. Accessibility.** Contractor shall ensure that it provides physical access, reasonable accommodations, and accessible equipment for Medi-Cal beneficiaries with physical or mental disabilities. (42 C.F.R. § 438.206(b)(1) and (c)(3).)

- Q. Hours of Operation.** Contractor shall maintain hours of operation during which services are provided to Medi-Cal beneficiaries that are no less than the hours of operation during which Contractor offers services to non-Medi-Cal beneficiaries. If Contractor only offers services to Medi-Cal beneficiaries, maintain hours of operation which are comparable to the hours Contractor makes available for Medi-Cal services not covered by County or another Mental Health Plan.
- R. Access to Routine Appointments.** Contractor shall provide access to routine appointments (1st appointment within 10 business days). When not feasible, Contractor shall give the client the option to re-contact the County's Access team toll free at (888) 868-1649 and request another provider who may be able to serve the client within the 10 business day standard.
- S. Hold Harmless.** Contractor agrees to hold harmless the State and beneficiaries in the event the County cannot or does not pay for services performed by the Contractor.
- T. Client Service Plan.** Contractor shall complete a Client Service Plan and assessment for each client receiving Program services in accordance with the Behavioral Wellness Clinical Documentation Manual <https://www.countyofsb.org/behavioral-wellness/asset.c/5670>

**18. SIGNATURE PAD.**

- A.** County shall purchase one signature pad for the duration of the term of this Agreement for each physical address identified for Contractor in this Agreement. The signature pad will be compatible with the County's Electronic Health Record (EHR) Clinicians Gateway. Contractor shall use the electronic versions of the Client Assessment, Client Plan, and Medication Consent Form to ensure a complete client medical record exists within Clinicians Gateway. Contractor shall obtain client signatures on these electronic documents using the signature pads. Upon initial purchase, County shall install the signature pads on Contractor's hardware and provide a tutorial for Contractor's staff. Contractor shall be responsible for ongoing training of new staff.
- B.** In the event that Contractor damages or loses the signature pads provided by County, Contractor shall be responsible for purchasing a new Clinicians Gateway compatible signature pad as a replacement from the County inventory at the current cost of replacement. The expected life of a signature pad is a minimum of three years.

**19. STATE CONTRACT COMPLIANCE.**

- A.** This Agreement is subject to any additional statutes, restrictions, limitations, or conditions enacted by the Congress which may affect the provisions, terms, or funding of this Agreement in any manner. Either the County or Contractor may request consultation and discussion of new or changed statutes or regulations, including whether contract amendments may be necessary.
- B.** To the extent there is a conflict between federal or state law or regulation and a provision in the MHP or this Agreement, County and Contractor shall comply with the federal or state law or regulation and the conflicting Agreement provision shall no longer be in effect pursuant to the MHP, #17-94613 Exhibit E, Paragraph 7(A).
- C.** Contractor agrees that DHCS, through County, has the right to withhold payments until Contractor has submitted any required data and reports to DHCS, as identified in this Agreement and in accordance with Welf. Inst. Code § 14712(e) or other applicable statute.

- D.** The following provisions of the MHP, Exhibit D(F) are hereby incorporated by reference into this Agreement: Paragraphs 5 Subcontract Requirements, 7 Audit and Record Retention, 10 Intellectual Property Rights, 11 Air and Water Pollution, 13 Confidentiality of Information, 17 Human Subjects Use, 19 Debarment and Suspension Certification, 20 Smoke-Free Workplace Certification, 24 Officials Not to Benefit, and 32 Lobbying Restrictions and Disclosure Certification.
- E.** The DHCS may revoke this Agreement, in whole or in part, or may revoke the activities or obligations delegated to Contractor by the County, or pursue other remedies permitted by State or Federal law, if DHCS determines that Contractor has not performed satisfactorily. In such event, this Agreement shall be terminated in accordance with the Standard Terms and Conditions paragraph regarding Termination.

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**EXHIBIT A-2**  
**STATEMENT OF WORK: MHS**  
**FAMILY URGENT RESPONSE SYSTEM (FURS)**

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1. **PROGRAM SUMMARY.** In 2019, the California passed legislation requiring the state and counties to establish a coordinated Family Urgent Response System (FURS) (hereafter the “Program”) for current and former foster children, youth, nonminor dependents (NMD) (collectively referred to as “foster youth”) and their caregivers. (California Welfare & Institution Code (W&I) § 16526 et seq.)

FURS is a 24 hour per day, 7 days per week, 365 days per year (24/7/365) program for the provision of a coordinated, statewide, regional, and county-level system designed to provide collaborative and timely state-level phone-based response and county-level in-home, in the in-person mobile response in the time frame established based on the urgency of the call during situations of instability for the purposes of preserving the relationship of the caregiver and the child, youth, or NMD providing developmentally appropriate relationship conflict management and resolution skills, stabilizing the living situation, mitigating the distress of the caregiver or child, youth or NMD, connecting the caregiver and child, youth or NMD to the existing array of local services, and promoting a healthy and healing environment for children, youth, NMDs and families.

The Program shall provide a dedicated phone line to provide immediate phone response, triage services, follow-up support, and information and referral services available to current and former foster youth up to the age of 21 and their foster parents/caregivers. Once screened and triaged by a statewide hotline as deemed clinically appropriate, local FURS Response Team staff will be deployed in the time frame established based on the urgency of the call to provide mobile in-person/face-to-face trauma informed and culturally responsive crisis intervention, mediation, and support for foster youth and/or their foster parents/caregivers who are experiencing crisis, or emotional, physical, or behavioral distress that, without immediate support, risks disruption to the current living situation.

This Agreement between Contractor and County, administered by Department of Behavioral Wellness, provides reimbursement for Program specialty mental health services provided to County foster youth. In addition, Contractor has executed a contract with the County, administered by the Department of Social Services (DSS) for reimbursement of the Program’s operational expenses that are not Medi-Cal eligible.

A. 2615 S. Miller Street, Suite 106, Santa Maria CA 93455; and

B. 115 S. La Cumbre Ste 200, Santa Barbara CA 93105

2. **DEFINITIONS:**

A. **Caregiver.** A person responsible for meeting the daily care needs of a current or former foster child or youth, and who is entrusted to provide a loving and supportive environment for the child or youth to promote their healing from trauma. Caregiver is defined broadly and includes individuals beyond a parent who are acting in a caregiving role.

B. **Current or former foster child or youth.** Includes a child or youth adjudicated under Section 300, 601, or 602 and who is served by a county child welfare agency or probation department, and a child or youth who has exited foster care to reunification, guardianship, or adoption. A current or former foster child or youth shall be eligible for services until

they attain 21 years of age. There is no time restriction on when an exit must have occurred for a former foster youth. For example, a 17-year-old former foster youth adopted, reunified, or appointed a legal guardian at 2 years old can still access FURS.

- C. **Instability**. A situation of emotional tension or interpersonal conflict between a caregiver and a child or youth that may threaten their relationship and may lead to a disruption in the current living situation. Instability is defined broadly to include situations in which the child, youth, or caregiver feel they need support and does not require the child or youth to be the presenting problem or for the situation to rise to the level of a mental health crisis.
- D. **In-home**. The place where the child or youth and caregiver are located, preferably in the home, or at some other mutually agreeable location.
- E. **Mobile Response**. The provision of in-person, flexible, responsive, and supportive services where the caregiver and child or youth are located to provide them with support and prevent the need for a 911 call or law enforcement contact.

### 3. **PROGRAM GOALS.**

- A. Prevent, reduce, decrease placement disruptions and preserve the relationship between the foster youth and their caregiver;
- B. Prevent the need for a 911 call or law enforcement involvement and avoiding the criminalization of traumatized foster youth;
- C. Prevent psychiatric hospitalization and placement into congregate care;
- D. Promoting healing as a family;
- E. Provide current and former foster youth and their caregivers with immediate, trauma-informed support when they need it;
- F. Develop healthy conflict resolution and relationship skills of foster youth and their caregivers;
- G. Prevent placement moves;
- H. Provide a trauma-informed alternative for families who previously resorted to calling 911 or law enforcement;
- I. Reduce hospitalizations, law enforcement contacts, and placement in out-of-home facilities;
- J. Improve retention of current foster caregivers;
- K. Promote healing as a family and stability for youth in foster care, including youth in extended foster care; and
- L. Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

### 4. **OPERATIONS.** Contractor's operations shall include, but not be limited to, the following:

- A. Operate a 24/7/365 phone line to receive incoming, State referred calls, and provide a warm handoff to callers (Phone Line) from the State of California FURS hotline.

- i. Contractor shall establish a dedicated and published phone number, answering services cannot be used. Contractor must include protocols for obtaining interpreter services for limited English proficient and Deaf and Hard of Hearing callers to the Phone Line.
- 4. Maintain FURS Mobile Response and Stabilization Teams (FURS Response Team) consisting of FURS Specialist, FURS Parent Partners and Wraparound Program manager, who shall provide in-person responses, and shall be deployed to provide mobile in-person/face-to-face trauma informed and culturally responsive crisis intervention, mediation, and support for foster youth and/or their foster parents/caregivers who are experiencing crisis, or emotional, physical, or behavioral distress that, without immediate support, risks disruption to the current living situation.
- 5. The Phone Line and FURS Response Teams shall not include law enforcement.
- 6. In-person and over the phone follow up services within 72 hours after the initial face-to-face response to if additional services or supports are needed.
- 5. CLIENTS TARGET POPULATION AND REFERRAL.**
  - A. Clients served will be current or former foster youth and caregivers who are referred directly to Contractor through the State operated FURS Hotline (County clients).
- 6. SERVICES.** Contractor shall provide 24/7/365 phone response for calls coming in from the state FURS hotline to include but not limited to the following:
  - A. In person response whenever requested by the caller. Calls will be determined either “urgent” or “routine” based on the callers request for timely response.
    - 1. Urgent calls must be responded to within 1 hour, but not to exceed 3 hours in extenuating circumstances.
    - 2. Routine calls will be responded to within 24 hours.
  - B. Whether by phone or in person, services will include the following trauma informed, culturally and linguistically responsive interventions as well as the 72 hour follow up phone call:
    - 1. Brief mental health and substance use disorder screening;
    - 2. Strength based risk assessment;
    - 3. Crisis intervention;
    - 4. De-escalation and stabilization of the situation;
    - 5. Safety planning;
    - 6. Mediation;
    - 7. Coaching;
    - 8. Stress Reduction;
    - 9. Information and referrals and
    - 10. Linkages to needed services and resources.



- C. Utilize individuals with specialized training in trauma of children or youth and the foster care system on the FURS Response Team. Efforts should be made to include peer partners and those with lived experience in the FURS Response Team and to provide follow-up efforts whenever possible;
- D. Utilize the information provided by the State FURS hotline staff during the warm handoff to determine if and when a FURS Response Team will be sent to the family's home based on the urgency;
- E. Develop a plan to identify if the foster youth has an existing child and family team so that efforts can be coordinated to address the instability;
- F. Be responsible for making referrals to appropriate needed services as part of the Phone Line requirement;
- G. Provide the family with a plan of action to address identified additional support or ongoing stabilization needs and connect them to needed ongoing services through the existing local system of care;
- H. Provide in-home de-escalation, stabilization, and support services and supports, including all of the following:
  - 1. Establish in-person, face-to-face contact with the foster youth and caregiver.
  - 2. Identify the underlying causes of, and precursors to, the situation that led to the instability.
  - 3. Identify the caregiver interventions attempted and observe the foster youth and caregiver interaction.
  - 4. Diffuse the immediate situation.
  - 5. Coach and work with the caregiver and foster youth in order
    - a. to preserve the family unit and maintain the current living situation; or
    - b. create a temporary alternative plan if necessary.
  - 6. Establish connections to other county- or community-based supports and services to ensure continuity of care, including, but not limited to, linkage to additional trauma-informed and culturally and linguistically responsive family supportive services and foster youth and family wellness resources.
  - 7. After the initial face-to-face response, follow-up over the next 72 hours to determine if additional supports or services are needed.
  - 8. Identify any additional support or ongoing stabilization needs for the family and developing a plan for, or referral to, appropriate youth and family supportive services within the county.
- I. Contractor will develop a process for communication with Child Welfare Services, Probation Department and the Department of Behavioral Wellness within 24 business hours for any calls received/services provided to any foster youth receiving services from these agencies; and

**J.** If the foster youth is a Medi-Cal beneficiary who meets medical necessity criteria for Specialty Mental Health Services and is an active and open admissions in Clinician Gateway, Contractor shall provide any or all of the following services by credentialed staff if all Medi-Cal requirements are met. For clients who are not a Medi-Cal beneficiary, do not meet medical necessity criteria for Specialty Mental Health Services and are not an active and open admissions in Clinician Gateway, the Contractor shall provide only Crisis Intervention services.

1. **Collateral.** Collateral means a service activity to a significant support person in a beneficiary's life for the purpose of meeting the needs of the beneficiary in terms of achieving the goals of the beneficiary's client plan, as defined in Title 9 C.C.R. Section 1810.206. Collateral may include but is not limited to consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the beneficiary, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The beneficiary may or may not be present for this service activity.

i. A significant support person is a person, in the opinion of the beneficiary or the person providing services, who has or could have a significant role in the successful outcome of treatment, including but not limited to parents of a beneficiary, legal guardians or legal representatives of a beneficiary, a person living in the same household as the beneficiary, the beneficiary's spouse, and the relatives of the beneficiary, as defined in Title 9 CCR Section 1810.246.1.

2. **Crisis Intervention.** Crisis intervention means a service lasting less than 24 hours, to or on behalf of a client for a condition that requires a more timely response than a regularly scheduled visit, as defined in Title 9 C.C.R. Section 1810.209. Service activities include but are not limited to one or more of the following: assessment, collateral and therapy. Crisis intervention is distinguished from crisis stabilization by being delivered by providers who do not meet the crisis stabilization contact, site, and staffing requirements described in Sections 1840.338 and 1840.348. Crisis intervention services may either be face-to-face or by telephone with the beneficiary or the beneficiary's significant support person and may be provided anywhere in the community.

3. **Intensive Care Coordination (ICC).** ICC is a targeted case management service that facilitates assessment of, care planning for, and coordination of services to clients under age 21 who are eligible for the full scope of Medi-Cal services and who meet medical necessity criteria for this service. ICC services include assessing, service planning, and implementation; monitoring and adapting; and transition within the guidelines of the Katie A. Core Practice Model available at <https://www.countyofsb.org/behavioral-wellness/asset.c/2194>. ICC services are expanded to all Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) clients that qualify for IHBS/ICC.

ICC services are provided through the principles of the Core Practice Model (CPM), including the establishment of the Child and Family Team (CFT) to ensure facilitation of a collaborative relationship among a youth, his/her family and involved child-serving systems. The CFT is comprised of — as appropriate, both formal supports, such

as the care coordinator, providers, case managers from child-serving agencies, and natural supports, such as family members, neighbors, friends, and clergy and all ancillary individuals who work together to develop and implement the client plan and are responsible for supporting the child/youth and family in attaining their goals. ICC also provides an ICC coordinator who:

- i. Ensures that medically necessary services are accessed, coordinated and delivered in a strength-based, individualized, family/youth driven and culturally and linguistically competent manner and that services and supports are guided by the needs of the child/youth;
  - ii. Facilitates a collaborative relationship among the child/youth, his/her family and systems involved in providing services to the child/youth;
  - iii. Supports the parent/caregiver in meeting their child/youth's needs;
  - iv. Helps establish the CFT and provides ongoing support; and
  - v. Organizes and matches care across providers and child serving systems to allow the child/youth to be served in his/her community.
4. **Rehabilitation.** A service activity that includes, but is not limited to, assistance, improving, maintaining, or restoring functional skills, daily living skills, social and leisure skills, grooming and personal hygiene skills, meal preparation skills, obtaining support resources, and/or obtaining medication education, as defined in Title 9 CCR Section 1810.243.
  5. **Targeted Case Management.** Targeted case management means services that assist a client to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services, as defined in Title 9 CCR Section 1810.249. The service activities may include, but are not limited to, communication, coordination, and referral; monitoring service delivery to ensure client access to service and the service delivery system; monitoring of the client's progress; placement services; and plan development.
  6. **Therapy.** Therapy is a service activity that is a therapeutic intervention that focuses primarily on symptom reduction as a means to improve functional impairments, as defined in Title 9 CCR Section 1810.250. Therapy may be delivered to an individual or group and may include family therapy at which the client is present.
  7. **Therapeutic Behavioral Services (TBS).** These services are intensive, individualized, short-term outpatient treatment interventions for clients up to age 21 consisting of one-to-one therapeutic contacts between a mental health provider and a client designed to help clients and their parents/caregivers manage specific behaviors using short-term measurable goals based on the beneficiary's needs. Individuals receiving these services have serious emotional disturbances (SED), are experiencing a stressful transition or life crisis and need additional short-term, specific support services to accomplish outcomes specified in the written treatment plan. The mental health provider is on-site and is immediately available to intervene for a specified period of time, up to 24 hours per day, depending on the needs of the client.

8. Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.
7. **ADMISSIONS INTAKE.** Contractor shall open all County clients in the County Share Care system.
8. **STAFFING REQUIREMENTS.** Contractor shall adhere to the Program staffing requirements outlined below. Amendments to these requirements do not require a formal amendment to this Agreement, but shall be agreed to in writing by the Designated Representatives or Designees and shall not alter the maximum contract amount.
  - A. The Program shall be staffed by 4.85 Full Time Equivalent (FTE) staff, which shall be comprised of a:
    1. 2.0 FTE FURS Specialist who shall be licensed mental health professionals as described in Title 9, C.C.R. Sections 1810.223 and 1810.254. The FURS Specialists shall be available on-call and available to support and cover the 24/7 Phone Line and to respond to calls immediately via telephone as calls are transferred via a “warm handoff” from the State FURS Hotline and to participate as a responder in the 24/7 FURS Response Team for the purpose of providing supportive services to address situations of instability;
    2. 1.0 FTE FURS Parent Partner to participate as a responder in the 24/7 FURS Response Team for the purpose of providing supportive services to address situations of instability, preserve the relationship of the caregiver and the child or youth, develop healthy conflict resolution and relationship skills, promote healing as a family, be a peer support to caregivers, and stabilize the situation for foster youth;
    3. 0.50 FTE Program Clinical Coordinator who shall be a QMHW defined below, or licensed/waivered/registered mental health professionals as described in Title 9, C.C.R. Sections 1810.223 and 1810.254. The responsibilities of the Clinical Supervisors shall include but not be limited to clinical oversight of FURS Response Teams; development of Client Service Plans; review and approval of all case documentation; clinical training of staff; consultation regarding client cases; and individual supervision;
    4. 0.10 FTE Program Manager who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. Sections 1810.223 and 1810.254. Responsibilities of the Program Manager shall include but not be limited to budget development, staff management, ensuring compliance with applicable regulations, and ensuring Program fidelity.
    5. 1.0 FTE Overnight Coverage will be provided by Wraparound Program staff, pursuant to Exhibit A-5 provided from 7:30 p.m. through 9:00 a.m. and 7 days a week a week;
    6. 0.10 FTE Administrative Assistant I;
    7. 0.05 FTE Director Community Based Service; and
    8. 0.10 FTE Assistant Director Community Based Service who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. Sections 1810.223 and 1810.254.

**B.** Program staff shall be licensed mental health professionals or waived/registered professionals, as defined in Title 9 C.C.R. Sections 1810.223 and 1810.254.

1. Licensed mental health professional under 9 C.C.R. 1810.223 to include:
  - i. Licensed physicians;
  - ii. Licensed psychologists;
  - iii. Licensed clinical social workers;
  - iv. Licensed marriage and family therapists;
  - v. Licensed psychiatric technicians;
  - vi. Registered Nurse; and
  - vii. Licensed Vocational Nurse.
2. Waivered/Registered Professional under 9 CCR 1810.254 means an individual who:
  - i. An individual who has a waiver of psychologist licensure issued by the Department or has registered with the corresponding state licensing authority for psychologists; and
  - ii. Marriage and family therapists or clinical social workers to obtain supervised clinical hours for psychologist, marriage and family therapist or clinical social worker licensure.

**C. Graduate Student Interns/Trainees and Interns/Trainees.** Contractor may utilize interns or trainees as staff to provide services but only as is consistent with any and all applicable laws, regulations, and policies, as may be amended, and as follows:

1. Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waived/registered mental health professionals; and
2. Interns/Trainees who have graduated and are in the 90-day period prior to obtaining their associate number, if a Livescan is provided by the Contractor for the Intern/Trainee.
3. Assessment/Reassessment and Therapy services described above in Section 3 (Services) may only be provided by Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waived/registered professionals

**D. Qualified Mental Health Workers (QMHW)** is the equivalent to the County's job classification of Case Worker and meets the education requirements as an "Other Qualified Provider." The qualifications for a QMHW are set at the discretion of the County. A QMHW qualifies for the position by meeting one of the following employment standards:

1. Possession of a B.A. degree in social or behavioral sciences, including psychology, social work or sociology, and six (6) months of experience performing work on a full-time basis providing client care in a mental health setting; or

2. Possession of a high school diploma or equivalent degree and two (2) years of experience performing work on a full-time basis providing client care in a mental health setting and/or support services to mental health clients and their families

**9. DOCUMENTATION REQUIREMENTS AND REPORTING.**

- A.** Contractor shall maintain records in their electronic health record, collect data, and provide reports mandated by federal and state governments, and as they may be requested by County. Reports shall include, but are not limited to, the following:
1. A monthly project activity report that details participation statistics of activities as required.
  2. The report will include a list of calls received from the State FURS Hotline with the following information:
    - i. The date and time of call and issue;
    - ii. Name of foster youth involved;
    - iii. Type of response (ie: in person, phone, etc.);
    - iv. Referral to other agency(ies) if any;
    - v. Outcome and follow up findings; and
    - vi. Any other pertinent notes that will help the Department Social Services Worker (SSW) to prevent, reduce, decrease placement disruptions and preserve the relationship between the foster youth and their caregiver.
  3. Reports shall be sent electronically in an Excel format as provided by Behavioral Wellness by the fifteenth (15th) calendar day of each month following the month in which services were rendered.
  4. Contractor shall be subject to State or County monitoring activities necessary to assure compliance with regulations and contractual requirements.

**10. ADDITIONAL REQUIREMENTS.**

**A. Criminal Records Check.** Contractor shall ensure that all prospective and existing staff performing services as part of, related to, or in connection with this agreement shall have a criminal record check, and Contractor shall pay for any and all associated costs. The criminal record check shall consist of a California Department of Motor Vehicle check, and a Live Scan submitted to the California Department of Justice.

**B. Required Staff Records Check Form and Criminal Law Violation Notification.**

1. Contractor shall complete and submit the Staff Records Check form (attached hereto as Attachment A-1) as appropriate for existing and prospective staff.
2. Prospective Contractor staff may commence services only after the results of the Live Scan have been reported to County and County deems the person suitable for work pursuant to this Agreement. Failure by Contractor to comply with the criminal record check requirements may result in withholding of invoice payments until compliant.
3. Contractor shall provide written notice, within twenty-four (24) hours of Contractor's knowledge, of any new criminal law violation by staff.

**11. PROGRAM EVALUATION.**

**A.** CONTRACTOR shall meet the following Performance Measures:

1. 95% of calls will be responded to timely (within 1 hour, but not to exceed 3 hours in extenuating circumstances for urgent calls and within 24 hours for non-urgent calls).
2. 90% of calls will be successfully de-escalated without the need for law enforcement or hospitalization.
3. 90% of foster youth will maintain community placement (parent/guardian/home based family placement) at 72-hour follow-up.
4. 90% of participants surveyed will express overall satisfaction with the FURS response.

**12. COUNTY RESPONSIBILITY.**

**A.** Provide administrative oversight of the FURS Program.

**B.** Designated Behavioral Wellness liaison will be available to provide updates on the FURS system and participate in FURS monthly or quarterly meetings, as scheduled.

**Attachment A-1**  
**STATEMENT OF WORK: MHS**  
**FURS STAFF RECORDS CHECKS**

**ATTACHMENT A-1**

**STAFF (EMPLOYEES/VOLUNTEERS/SUB-CONTRACTORS) RECORD CHECKS**

Contractor or Agency Name \_\_\_\_\_

Name of Program \_\_\_\_\_

Contractor's Signature \_\_\_\_\_

Date \_\_\_\_\_

NAME	DOB (mm/dd/yyyy)	E=Employee S=Subcontractor V=Volunteer	DMV Record Check Date Completed	CRIMINAL RECORD DECLARATION Date Signed	Live Scan Date Rec'd	County Use Only Approval Y/N
		E <input type="checkbox"/> S <input type="checkbox"/> V <input type="checkbox"/>				Y <input type="checkbox"/> N <input type="checkbox"/>
		E <input type="checkbox"/> S <input type="checkbox"/> V <input type="checkbox"/>				Y <input type="checkbox"/> N <input type="checkbox"/>
		E <input type="checkbox"/> S <input type="checkbox"/> V <input type="checkbox"/>				Y <input type="checkbox"/> N <input type="checkbox"/>
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Santa Barbara County Probation Authorized Signature \_\_\_\_\_

Date \_\_\_\_\_

Santa Barbara County DSS Authorized Signature \_\_\_\_\_

Date \_\_\_\_\_



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**EXHIBIT A-3**  
**STATEMENT OF WORK: MHS**  
**IN-HOME THERAPEUTIC PROGRAMS**

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1. **PROGRAM SUMMARY.** Therapeutic Behavioral Services (“TBS”) are available to beneficiaries in accordance with the Department of Mental Health Information Notice 08-38, the TBS Coordination of Care Best Practices Manual, version 2 (October 2010), and the TBS Documentation Manual, version 2 (October 2009). In-Home Behavioral Services (IHBS), and Intensive Care Coordination (ICC) are In Home Therapeutic Services for children and youth with serious emotional disturbances (SED) under the age of 21 and who are eligible for a full array of Medi-Cal benefits without restrictions or limitations (“full scope Medi-Cal”), hereafter “clients”.

TBS/IHBS/ICC are designed to help clients and their parents or caregivers manage challenging behaviors utilizing short-term, measurable goals based on the individualized needs of the client and family. TBS/IHBS/ICC services are provided in conjunction with other mental health services. Contractor shall provide TBS/IHBS/ICC to clients in clients’ homes or communities throughout Santa Barbara County. TBS/IHBS/ICC headquarters shall be at:

- A. 2615 S. Miller St., Suite 106, Santa Maria, California.
- B. 115 S. La Cumbre Lane, Ste. 200, Santa Barbara, California.

2. **PROGRAM GOALS.** To maintain the client’s residential placement at the lowest appropriate level by resolving identified problem behaviors and achieving short-term treatment goals.
3. **SERVICES.** Contractor shall develop, support, and empower family units by identifying existing strengths and areas of need, and teaching problem solving skills.

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

- 1. **Intensive Care Coordination (ICC).** ICC is a targeted case management service that facilitates assessment of, care planning for, and coordination of services to clients under age 21 who are eligible for the full scope of Medi-Cal services and who meet medical necessity criteria for this service. ICC services include assessing, service planning, and implementation; monitoring and adapting; and transition within the guidelines of the Katie A. Core Practice Model available at <https://www.countyofsb.org/behavioral-wellness/asset.c/2194>. ICC services are expanded to all Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) clients that qualify for IHBS/ICC.

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

- i. Ensures that medically necessary services are accessed, coordinated and delivered in a strength-based, individualized, family/youth driven and culturally and linguistically competent manner and that services and supports are guided by the needs of the child/youth;
  - ii. Facilitates a collaborative relationship among the child/youth, his/her family and systems involved in providing services to the child/youth;
  - iii. Supports the parent/caregiver in meeting their child/youth's needs;
  - iv. Helps establish the CFT and provides ongoing support; and
  - v. Organizes and matches care across providers and child serving systems to allow the child/youth to be served in his/her community.
2. **Intensive Home Based Services (IHBS).** IHBS are intensive, individualized, strength-based, and needs-driven intervention activities for clients under age 21 and designed to ameliorate mental health conditions that interfere with a client's functioning. These activities are aimed at helping the client build skills necessary for successful functioning in the home and community and improve the client's family's ability to help the client successfully function in the home and community. IHBS are not traditional therapeutic services and are provided within the guidelines of the Katie A. Core Practice Model in accordance with the client's treatment plan. Service activities may include, but are not limited to assessment, plan development, therapy, rehabilitation and collateral. IHBS services are expanded to all EPSDT clients that qualify for IHBS.
3. **Therapeutic Behavioral Services (TBS).** These services are intensive, individualized, short-term outpatient treatment interventions for clients up to age 21 consisting of one-to-one therapeutic contacts between a mental health provider and a client designed to help clients and their parents/caregivers manage specific behaviors using short-term measurable goals based on the beneficiary's needs. Individuals receiving these services have serious emotional disturbances (SED), are experiencing a stressful transition or life crisis and need additional short-term, specific support services to accomplish outcomes specified in the written treatment plan. The mental health provider is on-site and is immediately available to intervene for a specified period of time, up to 24 hours per day, depending on the needs of the client.
4. Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

**4. OPERATIONS.**

- A. Staff Caseload.** TBS Specialists shall carry a caseload up to seven clients per full time equivalent (FTE) staff. Lead TBS Specialists are also expected to provide direct service to clients.
- B. Hours of Operation and Staff Coverage.** Staff shall be available to provide services up to 24 hours per day, as needed.

**C. Communications.** Contractor shall facilitate, coordinate, and participate in Behavioral Wellness Treatment Team (“Treatment Team”) meetings to review each client’s progress and services every thirty (30) days. Treatment Team participants will include Behavioral Wellness staff, the client’s parent or guardian, client (participation is preferred), and anyone else who may be able to contribute to the Client Service Plan.

**5. ELIGIBILITY CRITERIA.** ICC/IHBS/TBS shall be offered in a manner that complies with the requirements for Medi-Cal reimbursement. In order to qualify for reimbursement, a client must meet the eligibility and membership criteria described below:

**C. ICC/IHBS Eligibility.** Any client who is a full-scope Medi-Cal beneficiary under the age of 21 and meets specialty mental health medical necessity criteria, as described in Title 9 C.C.R. Sections 1820.205, 1830.205, and 1830.210, and who meets any of the following criteria:

1. Are at risk of losing placement due to mental health;
2. Are receiving or are being considered for Therapeutic Behavioral Services;
3. Are receiving or are being considered for Wraparound (SB-163) or Spirit;
4. Have been discharged within 90 days from a psychiatric hospital;
5. Have experienced two (2) or more mental health hospitalizations in the last twelve (12) months;
6. Have experienced two or more placement changes, within twenty-four (24) months due to behavioral health needs; or
7. Other clinical reasons that indicate client needs intensive mental health services and care coordination.

**B.** When a client meets this criteria, Contractor shall provide (or offer) IHBS to the client. Contractor shall also provide (or offer) ICC to clients who receive IHBS at minimum every three (3) months.

**C. TBS Eligibility.** To be eligible for TBS, client must meet the following criteria:

1. Client must be a full-scope Medi-Cal beneficiary, under 21 years of age, and
2. Meet medical necessity criteria as described in Title 9, C.C.R., sections 1820.205, 1830.205, and 1830.210.
3. **Membership in the Certified Class:** TBS client must meet one of the following in order to qualify as a member of the certified class:
  - i. Client is placed in a residential facility at the STRTP-level or higher, and/or a locked treatment facility for treatment of mental health needs.
  - ii. Client is being considered by Behavioral Wellness Clinical Staff for placement in the facilities described in Section 5.B.1;
  - iii. Client has experienced at least one emergency psychiatric hospitalization related to client’s current presenting disability within the last twenty-four (24) months; or
  - iv. Client previously received TBS while a member of this certified class.

4. **Need for TBS.** Upon the determination that the client is a member of the qualified class, Contractor shall determine the client's need for TBS based upon the following criteria:
  - i. Client is receiving other specialty mental health services; and
  - ii. In the clinical judgment of the Contractor, it is highly likely that, without the additional short-term support of TBS, either:
    - a. The client will need to be placed out-of-home, or into a higher level of residential placement, including acute care, because of a change in the client's behaviors or symptoms which jeopardize continued placement in the current facility; or
    - b. The client needs this additional support to transition to a home, foster home, or lower level of residential placement. Although the client may be stable in the current residential placement, a change in behavior or symptoms is expected and TBS are needed to stabilize the client in the new environment. Contractor must document the basis for the expectation that the behavior or symptoms will change.
  
5. **PROGRAM CAPACITY.** Contractor shall provide TBS/IHBS/ICC to an average monthly census of 47 to 60 clients with a maximum capacity of 60 clients. Should numbers fall below 47 the Contractor shall notify the County.
  
6. **REFERRALS.** Clients shall be referred by the Treatment Team. Each referral shall include a Referral Packet which includes the following:
  - A. Completed TBS/IHBS/ICC Referral form.
  - B. A client face sheet.
  - C. A progress note which clearly states the following items:
    1. The case has been clinically reviewed by the Treatment Team, and the parent or legal guardian participated in that review, or the parent/guardian requested or approved TBS/IHBS/ICC;
    2. The client either (1) is in danger of placement at an STRTP or psychiatric hospital, or (2) requires services to successfully transition from an STRTP or hospital to a lower level placement; and
    3. The specific behaviors that the clinician believes that ICC/IHBS/TBS should address.
  - D. Client's Medi-Cal Eligibility Database Sheet (MEDS).
  - E. Behavioral Wellness Client Service Plan will initially be authorized for TBS/IHBS/ICC for no more than a maximum of 90 days, and reviewed by Behavioral Wellness and the Treatment Team every 30 days.
    1. All services extending beyond 90 days will need Behavioral Wellness Clinician justification and approval by the Behavioral Wellness Division Manager.
  - F. Client Service Plan must clearly state that IHBS/TBS shall be reauthorized every sixty (60) days at the regular TBS/IHBS/ICC Treatment Team review meeting.
  - G. A copy of the client's most recent comprehensive assessment and/or assessment update.

- H. Consent for Release of Patient Information or Records, signed by parent or legal guardian.
7. **DISCHARGE PLAN.** The Treatment Team shall work closely with each client and with Program staff to establish a written discharge plan that is responsive to the client’s needs and personal goals.
8. **DISCHARGE CRITERIA.** From the onset of services, a titration plan is incorporated in the TBS/IHBS/ICC Treatment Plan to support the client/family in independently managing behaviors so that service delivery from the Contractor will decrease as discharge approaches.
- A. The appropriateness for client discharge shall be determined on a case by case basis. Criteria for discharge shall include:
1. Treatment goals have been sufficiently met;
  2. The determination that the treatment goals have not been met, as determined by the Treatment Team and Program staff;
    - i. The client and family shall be provided with appropriate continuity of care and coordination of care through transition or referrals to more appropriate treatment;
  3. The determination that significant progress has been made, even if not all goals have been met, such that the client no longer requires the intensive level of services provided by the Program; and
  4. Client/family circumstances change and client is no longer eligible for services.
- B. Contractor shall follow Behavioral Wellness’ policy and procedures regarding discharges in conformity with Behavioral Wellness’ role as the County Mental Health Plan.
9. **STAFFING REQUIREMENTS.** Contractor shall adhere to the Program staffing requirements outlined below. Amendments to these requirements do not require a formal amendment to this Agreement, but shall be agreed to in writing by the Designated Representatives or Designees and shall not alter the maximum contract amount. ICC/IHBS/TBS services must be provided under the direction of a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. 1810.223 and 1810.254 or a Qualified Mental Health Workers (“QMHW”) described below.
- A. Contractor shall provide 20.30 Full Time Equivalent (FTE) staff consisting of the following:
1. 2.0 FTE Clinical Supervisors who shall be licensed mental health professionals as described in Title 9, C.C.R. 1810.223 and 1810.254. The responsibilities of the Clinical Supervisors shall include but not be limited to clinical oversight of treatment teams; development of Client Service Plans; review and approval of all case documentation; clinical training of staff; consultation regarding client cases; and individual supervision;
  2. 2.0 FTE TBS Program Lead;
  3. 1.0 FTE TBS Clinical Coordinator who shall be a QMHW, or licensed/waivered/registered mental health professionals as described in Title 9 C.C.R. Sections 1810.223 and 1810.254;
  4. 12.0 FTE TBS Specialists who shall be QMHWs or licensed/waivered/registered mental health professionals as described in Title 9, C.C.R. Sections 1810.223 and

1810.254. Responsibilities of TBS Specialists shall include but not be limited to individual Targeted Case Management; implementation and execution of the client's Client Service Plan; one-to-one client interventions; daily reporting of developments regarding the client's case; and providing consultation to and coaching parents on behavior management;

5. 1.0 FTE Program Manager who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. Sections 1810.223 and 1810.254. Responsibilities of the Program Manager shall include but not be limited to budget development, staff management, ensuring compliance with applicable regulations, and ensuring Program fidelity;
  6. 1.0 FTE Administrative Support staff;
  7. 0.20 FTE Office Coordinator;
  8. 0.55 FTE Director Community Based Service; and
  9. 0.55 FTE Assistant Director Community Based Service who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. Sections 1810.223 and 1810.254.
- B. Program staff shall be licensed mental health professionals or waived/registered professionals, as defined in Title 9 C.C.R. Sections 1810.223 and 1810.254.**
1. Licensed mental health professional under 9 C.C.R. 1810.223 include:
    - i. Licensed physicians;
    - ii. Licensed psychologists;
    - iii. Licensed clinical social workers;
    - iv. Licensed marriage and family therapists;
    - v. Licensed psychiatric technicians;
    - vi. Registered Nurse; and
    - vii. Licensed Vocational Nurse.
  2. Waivered/Registered Professional under 9 C.C.R. 1810.254 means an individual who:
    - i. Has a waiver of psychologist licensure issued by DHCS or
    - ii. Has registered with the corresponding state licensing authority for psychologists.
- C. Graduate Student Interns/Trainees and Interns/Trainees.** Contractor may utilize interns or trainees as staff to provide services but only as is consistent with any and all applicable laws, regulations, and policies, as may be amended, and as follows:
4. Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waived/registered mental health professionals; and
  5. Interns/Trainees who have graduated and are in the 90-day period prior to obtaining their associate number, if a Livescan is provided by the Contractor for the Intern/Trainee.

6. Assessment/Reassessment and Therapy services described above in Section 3 (Services) may only be provided by Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waived/registered professionals

**E. Qualified Mental Health Workers (QMHW)** is the equivalent to the County's job classification of Case Worker and meets the education requirements as an "Other Qualified Provider." The qualifications for a QMHW are set at the discretion of the County. A QMHW qualifies for the position by meeting one of the following employment standards:

3. Possession of a B.A. degree in social or behavioral sciences, including psychology, social work or sociology, and six (6) months of experience performing work on a full-time basis providing client care in a mental health setting; or
4. Possession of a high school diploma or equivalent degree and two (2) years of experience performing work on a full-time basis providing client care in a mental health setting and/or support services to mental health clients and their families.

**10. DOCUMENTATION REQUIREMENTS.** Contractor shall document and maintain ICC/IHBS/TBS Assessments and Client Service Plans in accordance with any and all State requirements. The County shall complete the ICC/IHB/TBS Assessment and Client Service Plan within 30 days prior to initiating services or activating referrals.

**A. ICC/HBS/TBS Client Service Plan.** The Treatment Team shall complete a Client Service Plan in collaboration with Contractor for each client receiving Program services in accordance with the Behavioral Wellness Clinical Documentation Manual available at <http://countyofsb.org/behavioral-wellness>. The Client Service Plan shall provide overall direction for the collaborative work of the client, the Program and the Treatment Team. 1.

**B. TBS Client Plan.** The TBS Client Treatment Plan is intended to provide clinical direction for one or a series of short-term intervention(s) to address very specific behaviors and/or symptoms of the client as identified by the assessment process. TBS must be identified as an intervention on the overall Behavioral Wellness Treatment Plan; TBS is not a stand-alone service.

1. TBS Client Plans must include all of the following:
  - i. Specific behaviors and/or symptoms that jeopardize the residential placement or transition to a lower level of residential placement;
  - ii. Specific plan of intervention for each of the targeted behaviors or symptoms identified in the Mental Health Assessment and the Behavioral Wellness Treatment Plan;
  - iii. Specific description of the changes in the behaviors and/or symptoms that the interventions are intended to produce, including a time frame for those changes; and
  - iv. Specific outcome measures that can be used to demonstrate the effectiveness of the intervention at regular levels and documentation of changes in planned interventions when the original plans are not achieving expected results.

- ii. For clients between ages 18 and 21, Contractor staff notes regarding any special considerations that should be considered shall be included in the TBS Client Plan, such as the identification of an adult case manager.
- iii. When applicable, TBS Client Plans must include a plan for transition to adult services when the client turns 21 years old and is no longer eligible for TBS. This transition plan shall address the skills and strategies that assisting parents/caregivers will need to provide for continuity of care when client's TBS is discontinued.

**C. TBS Client Plan Addendum.** A TBS Client Plan Addendum shall be used to document the following:

- 1. Significant changes in the client's environment since the initial development of the TBS Client Plan; and
- 2. When TBS has not been effective and the client is not progressing as expected towards the identified goals, there must be documented evidence in the client chart and Discharge Plan and any additional information indicating the consideration of alternative interventions or treatment options.

**D. TBS Progress Notes.** Progress notes are required each day TBS is delivered and must include a comprehensive summary covering the time that services were provided. The Contractor shall ensure each Progress Note clearly documents the following:

- 1. Occurrences of specific behaviors and/or symptoms that threaten the stability of the current residential placement or prevent transition to a lower level of residential placement;
- 2. Delivery of significant interventions identified in the TBS Client Plan; and
- 3. Progress in stabilizing behaviors and/or symptoms by changing or eliminating maladaptive behaviors and replacing them with adaptive behaviors.

**11. TBS NON-REIMBURSEABLE CIRCUMSTANCES.** TBS are not reimbursable under the following conditions:

- A.** For the convenience of the client's family/caregivers, physician, or teacher;
- B.** To provide supervision or to assure compliance with terms and conditions of probation;
- C.** To ensure the client's physical safety or the safety of others (e.g. suicide watch);
- D.** To address conditions that are not a part of the client's mental health condition;
- E.** For clients who can sustain non-impulsive, self-directed behavior, handle themselves appropriately in social situations with peers, and who are able to appropriately handle transactions during the day; or
- F.** For clients who will never be able to sustain non-impulsive self-directed behavior and engage in appropriate community activities without full-time supervision; or when the beneficiary is an inpatient of a hospital, psychiatric health facility, nursing facility, Institute for Mental Disease (IMD), or crisis residential facility.



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**EXHIBIT A-4**  
**STATEMENT OF WORK: MHS**  
**SAFE ALTERNATIVES FOR TREATING YOUTH (SAFTY)**

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1. **PROGRAM SUMMARY.** The Safe Alternatives for Treating Youth (SAFTY) Program (hereafter “the Program”) is a mobile crisis response program for children, youth, and their families throughout Santa Barbara County. The Program shall operate a crisis line that receives crisis calls from 8am -8pm, 7 days per week, and is available to provide quick and accessible specialized crisis intervention, in-home support, and linkage to appropriate services for families. The Program aims to keep children and youth in their homes and communities, to prevent psychiatric hospitalization of youth, and to avoid detention in juvenile facilities by helping families develop skills and plans for managing crisis in the future. Services delivered through this program shall be provided to individuals in need regardless of whether or not they are full-scope Medi-Cal beneficiaries. The Program will be located at the following locations:
  - A. 115 S La Cumbre Lane, Suite 200, Santa Barbara, California; and
  - B. 2615 S. Miller, Suite 106, Santa Maria, California.
2. **PROGRAM GOALS.**
  - A. Keep children and youth out of psychiatric hospitals;
  - B. Keep children in their homes and communities;
  - C. Prevent psychiatric hospitalization due to an emergency or urgent psychiatric condition by helping families to use skills or access natural supports through the use of safety planning:
    1. An emergency psychiatric condition is one in which the client, due to a mental disorder, is a current danger to self or others, or immediately unable to provide for or utilize the essentials of life, i.e., food, shelter or clothing, and requires psychiatric inpatient hospital or psychiatric health facility services.
    2. An urgent condition is a situation experienced by a client that, without timely intervention, is highly likely to result in an immediate emergency psychiatric condition.
  - D. Prevent detention in juvenile facilities due to an emergency psychiatric condition or urgent condition; and
  - E. When necessary, transition to inpatient hospitalization will be as smooth as possible for client and their family.
3. **SERVICES.** Contractor shall develop, support, and empower family units by identifying existing strengths and areas of need, and teaching problem solving skills.
  - A. Contractor shall provide the following services, as needed to Program clients:
    1. **Assessment/Reassessment.** Assessment means a service activity designed to evaluate the current status of a client’s mental, emotional, or behavioral health, as defined in Title 9 C.C.R. Section 1810.204. Assessment includes, but is not limited to, one or more of the following: mental health status determination, analysis of the client’s clinical history, analysis of relevant cultural issues and history, diagnosis, and use of mental health testing procedures.

2. **Collateral.** Collateral means a service activity to a significant support person in a beneficiary's life for the purpose of meeting the needs of the beneficiary in terms of achieving the goals of the beneficiary's client plan, as defined in Title 9 C.C.R. Section 1810.206. Collateral may include but is not limited to consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the beneficiary, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The beneficiary may or may not be present for this service activity.
  - i. A significant support person is a person, in the opinion of the client or the person providing services, who has or could have a significant role in the successful outcome of treatment, including but not limited to parents of a client, legal guardians or legal representatives of a client, a person living in the same household as the client, the client's spouse, and the relatives of the client, as defined in Title 9 C.C.R. Section 1810.246.1.
3. **Crisis Intervention.** Crisis intervention means a service lasting less than 24 hours, to or on behalf of a client for a condition that requires a more timely response than a regularly scheduled visit, as defined in Title 9 C.C.R. Section 1810.209. Service activities include but are not limited to one or more of the following: assessment, collateral and therapy. Crisis intervention is distinguished from crisis stabilization by being delivered by providers who do not meet the crisis stabilization contact, site, and staffing requirements described in Sections 1840.338 and 1840.348. Crisis intervention services may either be face-to-face or by telephone with the beneficiary or the beneficiary's significant support person and may be provided anywhere in the community.
4. **Plan Development.** Plan Development means a service activity that consists of development of client plans, approval of client plans, and/or monitoring of a beneficiary's progress.
5. **Rehabilitation.** A service activity that includes, but is not limited to, assistance, improving, maintaining, or restoring functional skills, daily living skills, social and leisure skills, grooming and personal hygiene skills, meal preparation skills, obtaining support resources, and/or obtaining medication education, as defined in Title 9 C.C.R. Section 1810.243.
6. **Targeted Case Management.** Targeted case management means services that assist a client to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services, as defined in Title 9 C.C.R. Section 1810.249. The service activities may include, but are not limited to, communication, coordination, and referral; monitoring service delivery to ensure client access to service and the service delivery system; monitoring of the client's progress; placement services; and plan development.
7. **Therapy.** Therapy is a service activity that is a therapeutic intervention that focuses primarily on symptom reduction as a means to improve functional impairments, as defined in Title 9 C.C.R. Section 1810.250. Therapy may be delivered to an individual or group and may include family therapy at which the client is present.

8. Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

#### 4. OPERATIONS.

##### A. Service Intensity.

1. Contractor shall provide crisis intervention services, as needed, to clients as defined in Section 5 (Clients), in response to a crisis call or referral; and
2. Contractor shall provide mental health services to clients in certain circumstances, as described below:
  - i. **Client is a Full Scope Medi-Cal Beneficiary, needing County mental health services but not currently enrolled with Behavioral Wellness Clinics.** The Contractor shall provide immediate crisis resolution and then provide follow-up mental health services to ensure stabilization, crisis prevention, safety planning, or related case management services until new services at the County are initiated. Contractor may provide these services up to 30 days after initial crisis call to ensure crisis stabilization and linkage to Behavioral Wellness services. Contractor may provide additional services beyond the 30 days after initial crisis call to ensure stabilization and linkage to Behavioral Wellness with prior notification to Behavioral Wellness Regional Management staff;
  - ii. **Client is not a Full Scope Medi-Cal Beneficiary and Client does not meet Severe Emotional Disturbance (SED) criteria.** Contractor may provide up to three (3) follow-up telephone service calls or necessary follow up in order to ensure crisis stabilization and linkage to appropriate mental health provider following a crisis response, with Behavioral Wellness funding up to the subsidy amount specified in Exhibit B-1 (MHS Schedule of Rates and Contract Maximum);
  - iii. **Crisis Call for clients enrolled with Behavioral Wellness.** Contractor shall provide crisis stabilization and immediately link the client back to client's Behavioral Wellness Clinic home; and
  - iv. **Medi-Cal clients referred by Behavioral Wellness clinical team or Behavioral Wellness contracted providers for proactive services.** Contractor shall provide up to six (6) services to provide a safety clearance of the home, develop a safety plan, stabilize the home situation and link the client back to the Behavioral Wellness Clinic or contract provider for continued services.
    - a. The Client Service Plan shall provide overall direction for the collaborative work with the client, the Contractor, and the Behavioral Wellness Treatment Team, as applicable.

- B. Treatment Location.** Contractor shall answer the crisis line and provide telephone crisis response, as appropriate. If the call requires a face-to-face intervention, Contractor staff shall respond to the client's location to provide the intervention.

**C. Hours of Operation.** The Contractor staff shall be available to respond to crisis telephone calls and provide face-to-face interventions, as needed, 8 am to 8 pm, 7 days per week. In the event an in-person response is required, Contractor shall arrive at client's location within one hour of dispatch

**D. Communication.** Any intervention provided to a client who has an open case file (episode) with Behavioral Wellness must be communicated to the client's Behavioral Wellness lead clinician.

**5. CLIENTS.** Contractor shall provide crisis intervention services to any individual between the ages of 0 – 21 years. County will provide reimbursement for:

**A.** Individuals who have an open case file (episode) entered by Contractor into County's MIS system; and

**B.** Medi-Cal beneficiaries diagnosed as needing specialty mental health services as described in Title 9, C.C.R. Division 1, Chapter 11 plan participants that the County has determined qualify for services from Behavioral Wellness' System of Care; or

**C.** All other individuals between the ages of 0 – 21 years, subject to the limitations established in Exhibit B (MHS Financial Provisions) and B-1 (MHS Schedule of Rates and Contract Maximum) for Non Medi-Cal funding.

**6. REFERRALS.**

**A.** County Behavioral Wellness Access and Behavioral Wellness Clinics;

**B.** 2-1-1 Information Line and Suicide hotline referrals;

**C.** Law enforcement, including Probation;

**D.** Group homes;

**E.** Schools;

**F.** Parents or client; and

**G.** Emergency Departments.

**7. DISCHARGE DOCUMENTATION.** Contractor shall document the client's discharge plan in the client record.

**8. STAFFING REQUIREMENTS.** Contractor shall adhere to the Program staffing requirements outlined below. Amendments to these requirements do not require a formal amendment to this Agreement, but shall be agreed to in writing by the Designated Representatives or Designees and shall not alter the maximum contract amount.

**A.** Contractor shall provide 11.80 Full Time Equivalent (FTE) staff consisting of the following:

1. 4.50 FTE Crisis Care Specialists I who shall be Qualified Mental Health Workers (QMHWs), or licensed/waivered/registered mental health professionals as described in Title 9, C.C.R. Sections 1810.223 and 1810.254.

2. 3.0 FTE Crisis Care Specialists II who shall be Qualified Mental Health Workers (QMHWs), or licensed/waivered/registered mental health professionals as described in Title 9, C.C.R. Sections 1810.223 and 1810.254.

3. 0.10 Assistant Director of Community Services who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. 1810.223 and 1810.254;
  4. 1.0 FTE Clinical Supervisor who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. Sections 1810.223 and 1810.254;
  5. 1.0 FTE Program Manager who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. 1810.223 and 1810.254;
  6. 0.30 FTE Office Coordinator;
  7. 1.0 FTE Lead Crisis Care Specialist;
  8. 0.70 FTE Administrative Support staff; and
  9. 0.20 FTE Director of Community Based Services Clinical Director
- B. Program staff shall be licensed mental health professionals or waivered/registered professionals, as defined in Title 9 C.C.R. Sections 1810.223 and 1810.254.**
1. Licensed mental health professionals under 9 C.C.R. 1810.223 include:
    - i. Licensed physicians;
    - ii. Licensed psychologists;
    - iii. Licensed clinical social workers;
    - iv. Licensed marriage and family therapists;
    - v. Licensed psychiatric technicians;
    - vi. Registered Nurses; and
    - vii. Licensed Vocational Nurses.
  2. Waivered/Registered Professionals under 9 C.C.R. 1810.254 include:
    - i. An individual who has a waiver of psychologist licensure issued by the Department or has registered with the corresponding state licensing authority for psychologists; and
    - ii. Marriage and family therapists or clinical social workers to obtain supervised clinical hours for psychologist, marriage and family therapist or clinical social worker licensure.
- C. Graduate Student Interns/Trainees and Interns/Trainees.** Contractor may utilize interns or trainees as staff to provide services but only as is consistent with any and all applicable laws, regulations, and policies, as may be amended, and as follows:
1. Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waivered/registered mental health professionals; and
  2. Interns/Trainees who have graduated and are in the 90-day period prior to obtaining their associate number, if a Livescan is provided by the Contractor for the Intern/Trainee.

3. Assessment/Reassessment and Therapy services described above in Section 3 (Services) may only be provided by Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waived/registered professionals.

**D. Qualified Mental Health Workers (QMHW).** QMHW is the equivalent to the County's job classification of Case Worker and meets the education requirements as an "Other Qualified Provider." The qualifications for a QMHW are set at the discretion of the County. A QMHW qualifies for the position by meeting one of the following employment standards:

1. Possession of a B.A. degree in social or behavioral sciences, including psychology, social work or sociology, and six (6) months of experience performing work on a full-time basis providing client care in a mental health setting; or
2. Possession of a high school diploma or equivalent degree and two (2) years of experience performing work on a full-time basis providing client care in a mental health setting and/or support services to mental health clients and their families.

#### **10. DOCUMENTATION REQUIREMENTS.**

**A. Client Service Plan.** The Behavioral Wellness Treatment Team in collaboration with Contractor shall complete a Client Service Plan for clients who have a case file (episode) open to the Behavioral Wellness Children's clinic in accordance with the Behavioral Wellness Clinical Documentation Manual available at <http://countyofsb.org/behavioral-wellness>.

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**EXHIBIT A-5**  
**STATEMENT OF WORK: MHS**  
**SB 163/WRAPAROUND**

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- 1. PROGRAM SUMMARY.** Senate Bill (SB) 163/"Wraparound Services" as defined in W & I Code Sections 18250 *et seq.* are intensive services for children and adolescents who would otherwise be placed in an STRTP intended to provide alternatives to group home care through the development of expanded family-based services programs (hereafter "the Program"). The County of Santa Barbara's Program is designed to serve children (hereafter "clients") and their families who are at risk for high level out-of-county residential placement. Any new or expanded Wraparound Program should have access to the State and county Aid to Families with Dependent Children-Foster Care (AFDC-FC) share of the group home rate for each wraparound slot.

This Agreement between Contractor and County, administered by Department of Behavioral Wellness, provides reimbursement for Program specialty mental health services provided to County clients. The Program operates on a community-based wraparound model, utilizing a "whatever it takes" approach to identify and integrate thoughtful, responsive and creative interventions for clients and their families. In addition, Contractor has executed a contract with the County, administered by the Department of Social Services (DSS) for reimbursement of the Program's operational expenses that are not Medi-Cal eligible. Collaboration between County and Contractor allows the Program to provide a full-service partnership for clients, where clients receive a full spectrum of services in order to achieve the goals identified in their individualized Client Service Plan. The Program shall be headquartered at:

- A. 2615 S. Miller St, Suite 106, Santa Maria, California; and
- B. 115 S. La Cumbre Lane, Ste. 200 Santa Barbara, California.

**2. PROGRAM GOALS.**

- A. Maintain the client in their homes and communities whenever possible;
- B. Support the client's ability to adapt and cope with changing life circumstances;
- C. Define and refine client's family strengths, culture, vision and needs;
- D. Prioritize client's family needs to create a plan that will help meet those needs; and
- E. Carry out the Client Service Plan one need at a time until the client no longer requires Program supports because the client's family's vision has been achieved.

**3. SERVICES.** The Contractor shall provide the following mental health services, as defined below, to clients and their families throughout Santa Barbara County:

- A. Contractor shall provide the following services, as needed to Program clients:
  - 1. **Assessment/Reassessment.** Assessment means a service activity designed to evaluate the current status of a client's mental, emotional, or behavioral health, as defined in Title 9 C.C.R. Section 1810.204. Assessment includes, but is not limited to, one or more of the following: mental health status determination, analysis of the client's clinical history, analysis of relevant cultural issues and history, diagnosis, and use of mental health testing procedures.

- i. Contractor shall complete the Child & Adolescent Needs & Strengths (CANS) for each client. The CANS must be administered by trained clinical staff (County/CBO) at:
    - a. Intake;
    - b. Every 6 months thereafter; and
    - c. Discharge.
  - ii. The CANS must be shared with Child Welfare Services (CWS)/Probation with a Release of Information for open CWS/Probation clients.
  - iii. Annual training and certification of clinicians is required for use of the CANS. In order to be certified in the CANS, clinicians must demonstrate reliability on a case vignette of .70 or greater. Online training and certification is provided at [www.canstraining.com](http://www.canstraining.com).
  - iv. CANS must be reported on the CBO Quarterly Reports to include the percentage of completed CANS with the expectation of 100% and the positive change in at least half (3 out of 6) of the following CANS domains:
    - a. Functioning;
    - b. School;
    - c. Behavioral/Emotional;
    - d. Strength Behavior;
    - e. Risk Behavior; and
    - f. Caregiver Needs and Strengths.
  - v. The Contractor shall oversee completion of the Pediatric Symptom Checklist (PSC) to be completed by the child's parent/guardian at:
    - a. Intake;
    - b. Every 6 months thereafter; and
    - c. Discharge.
  - vi. Contractor shall report on the CBO quarterly report the percentage of parents/guardians completing the PSC, with an expectation that 100% of all parents complete the document at intake and every 6 months.
2. **Collateral.** Collateral means a service activity to a significant support person in a beneficiary's life for the purpose of meeting the needs of the beneficiary in terms of achieving the goals of the beneficiary's client plan, as defined in Title 9 C.C.R. Section 1810.206. Collateral may include but is not limited to consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the beneficiary, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The beneficiary may or may not be present for this service activity.



- i. A significant support person is a person, in the opinion of the client or the person providing services, who has or could have a significant role in the successful outcome of treatment, including but not limited to parents of a client, legal guardians or legal representatives of a client, a person living in the same household as the client, the client's spouse, and the relatives of the client, as defined in Title 9 CCR Section 1810.246.1.
3. **Crisis Intervention.** Crisis intervention means a service lasting less than 24 hours, to or on behalf of a client for a condition that requires a more timely response than a regularly scheduled visit, as defined in Title 9 C.C.R. Section 1810.209. Service activities include but are not limited to one or more of the following: assessment, collateral and therapy. Crisis intervention is distinguished from crisis stabilization by being delivered by providers who do not meet the crisis stabilization contact, site, and staffing requirements described in Sections 1840.338 and 1840.348. Crisis intervention services may either be face-to-face or by telephone with the beneficiary or the beneficiary's significant support person and may be provided anywhere in the community.
4. **Intensive Care Coordination (ICC).** ICC is a targeted case management service that facilitates assessment of, care planning for, and coordination of services to clients under age 21 who are eligible for the full scope of Medi-Cal services and who meet medical necessity criteria for this service. ICC services include assessing, service planning, and implementation; monitoring and adapting; and transition within the guidelines of the Katie A. Core Practice Model available at <https://www.countyofsb.org/behavioral-wellness/asset.c/2194>. ICC services are expanded to all Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) clients that qualify for IHBS/ICC.

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

- i. Ensures that medically necessary services are accessed, coordinated and delivered in a strength-based, individualized, family/youth driven and culturally and linguistically competent manner and that services and supports are guided by the needs of the child/youth;
- ii. Facilitates a collaborative relationship among the child/youth, his/her family and systems involved in providing services to the child/youth;
- iii. Supports the parent/caregiver in meeting their child/youth's needs;
- iv. Helps establish the CFT and provides ongoing support; and
- v. Organizes and matches care across providers and child serving systems to allow the child/youth to be served in his/her community.

5. **Intensive Home Based Services (IHBS).** IHBS are intensive, individualized, strength-based, and needs-driven intervention activities for clients under age 21 and designed to ameliorate mental health conditions that interfere with a client's functioning. These activities are aimed at helping the client build skills necessary for successful functioning in the home and community and improve the client's family's ability to help the client successfully function in the home and community. IHBS are not traditional therapeutic services and are provided within the guidelines of the Katie A. Core Practice Model in accordance with the client's treatment plan. Service activities may include, but are not limited to assessment, plan development, therapy, rehabilitation and collateral. IHBS services are expanded to all EPSDT clients that qualify for IHBS.
6. **Plan Development.** Plan Development means a service activity that consists of development of client plans, approval of client plans, and/or monitoring of a beneficiary's progress.
7. **Rehabilitation.** A service activity that includes, but is not limited to, assistance, improving, maintaining, or restoring functional skills, daily living skills, social and leisure skills, grooming and personal hygiene skills, meal preparation skills, obtaining support resources, and/or obtaining medication education, as defined in Title 9 C.C.R. Section 1810.243.
8. **Targeted Case Management.** Targeted case management means services that assist a client to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services, as defined in Title 9 C.C.R. Section 1810.249. The service activities may include, but are not limited to, communication, coordination, and referral; monitoring service delivery to ensure client access to service and the service delivery system; monitoring of the client's progress; placement services; and plan development.
9. **Therapy.** Therapy is a service activity that is a therapeutic intervention that focuses primarily on symptom reduction as a means to improve functional impairments, as defined in Title 9 C.C.R. Section 1810.250. Therapy may be delivered to an individual or group and may include family therapy at which the client is present.
10. **FURS Coverage.** Provide on-call overnight coverage for the FURS Program, described in Exhibit A-2.
11. Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

#### 4. OPERATIONS

##### A. Service Intensity.

1. Services shall be authorized by County on a case by case basis for twelve to eighteen (12 – 18) months upon client's admission into the Program; and

2. Services beyond the initial treatment period will be provided in accordance with the Behavioral Wellness Client Service Plan.

**B. Treatment Location.** Services shall be provided in the community.

**C. Staff to Client Caseload Ratios.**

1. Family Facilitators shall carry a caseload of up to eight to ten (8 – 10) clients per one (1.0) full time equivalent (FTE) staff member.
2. Parent Partners shall carry a caseload of up to eight to ten (8 – 10) clients per one (1.0) FTE staff member.
3. Child and Family Specialists (CFS) shall carry a caseload of up to three to five (3– 5) clients per one (1.0) FTE staff member.

**D. Hours of Operation and Staff Coverage.** Program staff shall be available 24 hours per day, 7 days per week, and 365 days per year.

**E. Communications.** Contractor shall participate as a representative on the Wraparound Implementation Team (WIT) Core Group, a subcommittee of the Interagency Placement Committee (IPC). The WIT Core Group shall meet weekly, or as otherwise determined by the group. Contractor shall also participate in Quarterly WIT Leadership Meetings where contract, program, and compliance issues (among others) are considered from an upper management perspective.

**5. CLIENTS AND PROGRAM CAPACITY.**

**A.** Contractor shall provide Program services to individuals, aged 0 – 21 years, diagnosed with serious emotional disturbance (SED) or Medi-Cal beneficiaries diagnosed as needing specialty mental health services as described in Title 9 C.C.R., Division 1, Chapter 11 who are at risk for, or returning from, out-of-home placement, and their families.

**B.** Contractor shall provide the services described in Section 3 (Services) to an average caseload of 25 clients (range of 22 to 27 clients at any given time).

**6. REFERRALS.** The IPC WIT Core Group shall make the determination if a client is accepted into the Program. Clients are referred for consideration by DSS/CSW, or Santa Barbara County Probation. The referring agency shall complete an SB163 Referral Form for each client, available at: <https://www.countyofsb.org/behavioral-wellness/asset.c/4394>, incorporated herein by reference, and shall present the client’s case at the IPC WIT Core Group meetings for review and approval by quorum voting of core members.

**7. DISCHARGE PLANNING.** The client’s discharge and transition plan shall be completed by the Child and Family Team described in Section 8 (Staffing Requirements), which is comprised of Contractor’s staff, client and family, referring agency, Behavioral Wellness Treatment Team, and other resource partners, as needed. The client’s discharge plan shall be responsive to the client’s needs and personal goals.

**A. Discharge Criteria.** The appropriateness for client discharge shall be determined on a case by case basis by the IPC WIT Core Group. Contractor shall follow Behavioral Wellness’ policy and procedures regarding discharges in conformity with Behavioral Wellness’ role as the Mental Health Plan. Criteria for discharge include:

1. Treatment goals have been sufficiently met;
2. The determination that the treatment goals have not been met as determined by the Child and Family Team with input from Behavioral Wellness. The client and family shall be provided with referrals to more appropriate treatment;
3. The determination that significant progress has been made, even if not all goals have been met, such that the client and family no longer require the intensive level of services provided by the Program;
4. The client's request to terminate services;
5. Client and family relocating outside of the Program's service area; or
6. Client's case is closed to Probation or DSS/CWS making them ineligible to receive SB 163 Services.

**8. STAFFING REQUIREMENTS.** Contractor shall adhere to the Program staffing requirements outlined below. Amendments to these requirements do not require a formal amendment to this Agreement, but shall be agreed to in writing by the Designated Representatives or Designees and shall not alter the maximum contract amount.

**A.** Contractor shall provide 8.05 Full Time Equivalent (FTE) staff consisting of the following:

1. 2.50 FTE Child and Family Specialist who shall be Qualified Mental Health Workers (QMHWs), or licensed/waivered/registered mental health professionals as described in Title 9, C.C.R. Sections 1810.223 and 1810.254;
2. 1.0 FTE Clinical Supervisor who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. Sections 1810.223 and 1810.254;
3. 0.40 FTE Program Manager who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. 1810.223 and 1810.254;
4. 1.0 FTE Family Facilitator;
5. 0.50 FTE Lead Child and Family Specialist;
6. 0.50 FTE Lead Wraparound Program Liaison;
7. 0.50 FTE Lead Family Facilitator;
8. 1.0 FTE Parent Partner;
9. 0.40 FTE Administrative Assistant I;
10. 0.15 FTE Office Coordinator;
11. 0.05 FTE Director of Community Services;
12. 0.05 FTE Assistant Director of Community Services who shall be a licensed/waivered/registered mental health professional as described in Title 9, C.C.R. 1810.223 and 1810.254; and

**B.** Program staff shall be licensed mental health professionals or waived/registered professionals, as defined in Title 9 C.C.R. Sections 1810.223 and 1810.254.

1. Licensed mental health professionals under 9 C.C.R. 1810.223 include:
  - i. Licensed physicians;

- ii. Licensed psychologists;
  - iii. Licensed clinical social workers;
  - iv. Licensed marriage and family therapists;
  - v. Licensed psychiatric technicians;
  - vi. Registered Nurses; and
  - vii. Licensed Vocational Nurses.
2. Waivered/Registered Professionals under 9 C.C.R. 1810.254 include:
- i. An individual who has a waiver of psychologist licensure issued by the Department or has registered with the corresponding state licensing authority for psychologists; and
  - ii. Marriage and family therapists or clinical social workers to obtain supervised clinical hours for psychologist, marriage and family therapist or clinical social worker licensure.

**C. Graduate Student Interns/Trainees and Interns/Trainees.** Contractor may utilize interns or trainees as staff to provide services but only as is consistent with any and all applicable laws, regulations, and policies, as may be amended, and as follows:

- 1. Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waivered/registered mental health professionals; and
- 2. Interns/Trainees who have graduated and are in the 90-day period prior to obtaining their associate number, if a Livescan is provided by the Contractor for the Intern/Trainee.
- 3. Assessment/Reassessment and Therapy services described above in Section 3 (Services) may only be provided by Graduate student Interns/Trainees who are under the direct supervision of Contractor's licensed mental health professionals or waivered/registered professionals.

**D. Qualified Mental Health Workers (QMHW)** is the equivalent to the County's job classification of Case Worker and meets the education requirements as an "Other Qualified Provider." The qualifications for a QMHW are set at the discretion of the County. A QMHW qualifies for the position by meeting one of the following employment standards:

- 1. Possession of a B.A. degree in social or behavioral sciences, including psychology, social work or sociology, and six (6) months of experience performing work on a full-time basis providing client care in a mental health setting; or
- 2. Possession of a high school diploma or equivalent degree and two (2) years of experience performing work on a full-time basis providing client care in a mental health setting and/or support services to mental health clients and their families.

**9. DOCUMENTATION REQUIREMENTS.**

- A. Client Service Plan.** The Behavioral Wellness Treatment Team in collaboration with Contractor shall complete a Client Service Plan for clients who have a case file (episode) open to the Behavioral Wellness Children’s clinic in accordance with the Behavioral Wellness Clinical Documentation Manual available at <http://countyofsb.org/behavioral-wellness>.
- B. Behavioral Wellness Client Service Plan.**
1. Upon approval of the Assessment, the Contractor shall complete a Behavioral Wellness Treatment Plan for each client receiving services. All Client Service Plans must be completed within 60 days of referral.
  2. For clients referred to the Program that are open to Behavioral Wellness, the Behavioral Wellness Treatment Team shall complete a Behavioral Wellness Client Service Plan in collaboration with Contractor for each client receiving Program services within 10 days of referral. The Behavioral Wellness Client Service Plan shall provide overall direction for the collaborative work of the client, the Program and the Behavioral Wellness Treatment Team, as applicable.
- C. SB163 Plan of Care (POC), the client Treatment Plan.** The SB163 Plan of Care (POC) shall be completed by the Contractor with input from Behavioral Wellness and the approval of IPC WIT. The POC shall include individualized strengths and needs of the family including identified goals that are informed by the Behavioral Wellness Client Service Plan to guide interventions to meet those needs.

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**EXHIBIT A-6**  
**STATEMENT OF WORK: MHS**  
**SHORT-TERM RESIDENTIAL THERAPEUTIC PROGRAM (STRTP)**

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1. **PROGRAM SUMMARY.** The Short Term Residential Therapeutic Program (STRTP) Mental Health Services Program (hereafter “the Program”) is designed to provide mental health services to children (hereafter “clients”) who are residents of Santa Barbara County and have been temporarily placed in Contractor facility in Camarillo, California. Santa Barbara County clients may be placed at Contractor’s facilities by Santa Barbara County Child Welfare Services (CWS) and or Probation.

Contractor shall operate a STRTP, certified by the California Department of Social Services, Community Care and Licensing Division. This STRTP shall serve clients ages 9 through 19 years of age, and shall have a capacity of 53 clients. This facility shall be certified as an STRTP. The Program shall be located at:

A. 1722 South Lewis Road, Camarillo, California.

2. **PROGRAM GOALS.** The goal of the Program is to provide the appropriate level of mental health services support for children who have been removed from their homes by Santa Barbara County CWS.

3. **SERVICES.** Contractor shall develop, support, and empower family units by identifying existing strengths and areas of need, and teaching problem solving skills.

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

1. **Assessment/Reassessment.** Assessment means a service activity designed to evaluate the current status of a client’s mental, emotional, or behavioral health, as defined in Title 9 C.C.R. Section 1810.204. Assessment includes, but is not limited to, one or more of the following: mental health status determination, analysis of the client’s clinical history, analysis of relevant cultural issues and history, diagnosis, and use of mental health testing procedures.:

- i. Contractor shall complete the Child & Adolescent Needs & Strengths (CANS) for each client. The CANS must be administered by trained clinical staff (County/CBO) at:
  - a. Intake;
  - b. Every 6 months thereafter; and
  - c. Discharge.
- ii. The CANS must be shared with CWS/Probation with a Release of Information for open Child Welfare Services/Probation clients.
- iii. Annual training and certification of clinicians is required for use of the CANS. In order to be certified in the CANS, clinicians must demonstrate reliability on a case vignette of .70 or greater. Online training and certification is provided at [www.canstraining.com](http://www.canstraining.com).

- iv. CANS must be reported on the CBO Quarterly Reports to include the percentage of completed CANS with the expectation of 100% and the positive change in at least half (3 out of 6) of the following CANS domains:
    - a. Functioning;
    - b. School;
    - c. Behavioral/Emotional;
    - d. Strength Behavior;
    - e. Risk Behavior; and
    - f. Caregiver Needs and Strengths.
  - v. The Contractor shall oversee completion of the Pediatric Symptom Checklist (PSC) to be completed by the child's parent/guardian at:
    - a. Intake;
    - b. Every 6 months thereafter; and
    - c. Discharge.
  - vi. Contractor shall report on the CBO quarterly report the percentage of parents/guardians completing the PSC, with an expectation that 100% of all parents complete the document at intake and every 6 months.
2. **Collateral.** Collateral means a service activity to a significant support person in a beneficiary's life for the purpose of meeting the needs of the beneficiary in terms of achieving the goals of the beneficiary's client plan, as defined in Title 9 C.C.R. Section 1810.206. Collateral may include but is not limited to consultation and training of the significant support person(s) to assist in better utilization of specialty mental health services by the beneficiary, consultation and training of the significant support person(s) to assist in better understanding of mental illness, and family counseling with the significant support person(s). The beneficiary may or may not be present for this service activity.
- 1. A significant support person is a person, in the opinion of the client or the person providing services, who has or could have a significant role in the successful outcome of treatment, including but not limited to parents of a client, legal guardians or legal representatives of a client, a person living in the same household as the client, the client's spouse, and the relatives of the client, as defined in Title 9 C.C.R. Section 1810.246.1.
3. **Crisis Intervention.** Crisis intervention means a service lasting less than 24 hours, to or on behalf of a client for a condition that requires a more timely response than a regularly scheduled visit, as defined in Title 9 C.C.R. Section 1810.209. Service activities include but are not limited to one or more of the following: assessment, collateral and therapy. Crisis intervention is distinguished from crisis stabilization by being delivered by providers who do not meet the crisis stabilization contact, site, and staffing requirements described in Sections 1840.338 and 1840.348. Crisis intervention services may either be face-to-face or by telephone with the beneficiary or the beneficiary's significant support person and may be provided anywhere in the community.



4. **Medication Support Services.** Medication support services are services that include prescribing, administering, dispensing and monitoring of psychiatric medications or biologicals that are necessary to alleviate the symptoms of mental illness, as defined in Title 9 C.C.R. Section 1810.225. Service activities may include but are not limited to, evaluation of the need for medication; evaluation of clinical effectiveness and side effects; the obtaining of informed consent; instruction in the use, risks and benefits of and alternatives for medication; and collateral and plan development related to the delivery of the service and/or assessment of the client.
5. **Plan Development.** Plan Development means a service activity that consists of development of client plans, approval of client plans, and/or monitoring of a beneficiary's progress.
6. **Rehabilitation.** A service activity that includes, but is not limited to, assistance, improving, maintaining, or restoring functional skills, daily living skills, social and leisure skills, grooming and personal hygiene skills, meal preparation skills, obtaining support resources, and/or obtaining medication education, as defined in Title 9 C.C.R. Section 1810.243.
7. **Targeted Case Management.** Targeted case management means services that assist a client to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services, as defined in Title 9 C.C.R. Section 1810.249. The service activities may include, but are not limited to, communication, coordination, and referral; monitoring service delivery to ensure client access to service and the service delivery system; monitoring of the client's progress; placement services; and plan development.
8. **Therapy.** Therapy is a service activity that is a therapeutic intervention that focuses primarily on symptom reduction as a means to improve functional impairments, as defined in Title 9 C.C.R. Section 1810.250. Therapy may be delivered to an individual or group and may include family therapy at which the client is present.
9. Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

#### 4. OPERATIONS.

##### A. Service Intensity.

1. **Short Term Residential Therapeutic Program (STRTP).** Services at the STRTP shall be provided in accordance with the client's individualized Client Service Plan and certification for referral into Contractor's residential treatment facility. The average length of treatment in the STRTP is not to exceed six (6) months; however, decisions to extend treatment beyond 6-months can be approved by Santa Barbara CWS in collaboration with the client's Child and Family Team (CFT).

- B. **Hours of Operation and Coverage.** Staff shall be available to provide Program service 24 hours per day, 7 days per week, as needed.

5. **CLIENTS.** Contractor shall be reimbursed for Program services provided to Santa Barbara County clients between the ages of 9-19 years, who are Medi-Cal beneficiaries and determined to meet medical necessity for specialty mental health services as defined in 9 C.C.R. 1830.210.
6. **REFERRALS.**
  - A. **Short Term Residential Therapeutic Program.** Behavioral Wellness shall authorize the client's placement into Contractor's STRTP. Program services as described in Section 3 (Services) shall be authorized on a case by case basis upon client's placement into the facility by the Behavioral Wellness QCM Division.
    1. Contractor shall accept clients referred by County placing agencies for services within the scope of Contractor's practice. Placing agencies include Social Services and Probation. If Contractor believes a client is inappropriate for its service, or if space is not available in the Program, Contractor shall promptly notify the referring agency.
    2. **Initial Referral.**
      - i. County shall submit referral packet to Contractor, with documentation required by Contractor for placement.
      - ii. Contractor shall notify County if placement has been accepted within five (5) business days.
      - iii. Upon client admission into Program and until a Treatment Plan is assigned, the Contractor is authorized to provide the following services during the first 30 days of placement:
        - a. Assessment
        - b. Crisis Intervention; and
        - c. Medication Support.
    3. Contractor shall submit clinical records and reauthorization requests ten (10) days prior to the reauthorization due date.
    4. At the discretion of the Department of Behavioral Wellness, TBS/IHBS/ICC services as described in Exhibit A-6, Section 3 (Services) may be pre-authorized by the QCM Division on a case by case basis upon client's placement into the facility, for clients meeting class and eligibility criteria as described in Section 5.
    5. Contractor understands that County shall authorize the level of care, the specific services and the duration and frequency of services for any County clients placed with Contractor. County shall only reimburse Contractor for services authorized by the Department of Behavioral Wellness QCM Division prior to service provision.
7. **DISCHARGE PLAN.** Within 30 days of anticipated discharge date, Contractor shall initiate contact with the Behavioral Wellness Treatment Team to coordinate discharge planning. Discharge planning shall be a coordinated effort between the Contractor, Behavioral Wellness Treatment Team and the client in order to establish a written discharge plan that is responsive to the client's needs and personal goals. Contractor shall provide transportation to the joint treatment sessions during the client's transition to a clinic. Contractor shall follow Behavioral Wellness policy and procedures available at <http://countyofsb.org/behavioral-wellness> regarding discharges in conformity with the Behavioral Wellness Mental Health Plan.

8. **DISCHARGE CRITERIA.** The appropriateness for client discharge shall be determined on a case by case basis. Criteria for discharge include:
- A. Treatment goals have been sufficiently met;
  - B. The determination that the treatment goals have not been met, as determined by the Behavioral Wellness Treatment Team and Contractor. The Behavioral Wellness Treatment Team and Contractor shall provide the client and family with referrals to more appropriate treatment;
  - C. The determination that significant progress has been made, even if not all goals have been met, such that the client no longer requires the intensive level of services provided by the Program; or
  - D. Relocation of the client and family outside of Santa Barbara County.
9. **STAFFING.** The Program is staffed with a combination of clinicians, post-doctoral fellows, therapists and interns, who provide services to Behavioral Wellness clients residing at the STRTP, in accordance with State Department of Social Services Community Care Licensing Division requirements available at [www.dhcs.ca.gov](http://www.dhcs.ca.gov).
10. **DOCUMENTATION REQUIREMENTS.**
- A. The Behavioral Wellness Treatment Team shall complete a Client Service Plan in collaboration with Contractor for each client receiving Residential Treatment Program services prior to placement at the STRTP group, in accordance with the Behavioral Wellness Clinical Documentation Manual at <http://countyofsb.org/behavioral-wellness>.
  - B. The Treatment Plan shall provide overall direction for the collaborative work of the client, the Program, and the Department of Behavioral Wellness Treatment Team.
  - C. The Treatment Plan shall meet Medi-Cal and other applicable Federal, State and local laws, rules, manuals, policies, guidelines, and directives. The Treatment Plan shall include:
    - 1. Client's recovery goals, which guide the service delivery process;
    - 2. Objectives describing the skills and behaviors that the client will be able to learn as a result of the Program's behavioral interventions; and
    - 3. Interventions planned to help the client reach their goals.

**EXHIBIT B**  
**FINANCIAL PROVISIONS**

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**EXHIBIT B**  
**FINANCIAL PROVISIONS- MHS**

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(Applicable to programs described in Exhibits A2 - A6)  
(With attached Exhibit B-1 MHS, Schedule of Rates and Contract Maximum)

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

**I. PAYMENT FOR SERVICES.**

- A. Performance of Services.** Contractor shall be compensated on a cost reimbursement basis, subject to the limitations described in this Agreement and all exhibits hereto, for provision of the Units of Service (UOS) or other deliverables as established in Exhibit B-1-MHS based on satisfactory performance of the services described in the Exhibit A(s).
- B. Medi-Cal Billable Services.** The services provided by Contractor's Program described in the Exhibit A(s) that are covered by the Medi-Cal Program will be reimbursed by County from Federal Financial Participation (FFP) and State and local matching funds as specified in Exhibit B-1-MHS and subject to Section I.F (Funding Sources) of this Exhibit B MHS.
- C. Non-Medi-Cal Billable Services.** County recognizes that some of the services provided by Contractor's Program, described in the Exhibit A(s), may not be reimbursable by Medi-Cal, and such services may be reimbursed by other County, State, and Federal funds to the extent specified in Exhibit B-1-MHS and pursuant to Section I.F (Funding Sources) of this Exhibit B MHS. Funds for these services are included within the Maximum Contract Amount, and are subject to the same requirements as funds for services provided pursuant to the Medi-Cal program.
- D. Medi-Cal Subsidy.** County may provide a subsidy to Contractor, as specified in Exhibit B-1-MHS for Non-Medi-Cal services provided in Medi-Cal programs. Subsidy shall not be used to reimburse disallowed costs including those in excess of budgeted amounts, improper costs, and any audit exceptions or adjustments. Reallocation of subsidy is at the discretion of the Behavioral Wellness Director or designee. Contractor shall make written application to Behavioral Wellness Director or designee, in advance and no later than April 1 of each Fiscal Year, to reallocate subsidy as outlined in Exhibit B-1-MHS between programs. Behavioral Wellness Director or designee reserves the right to approve a subsidy reallocation in the year-end cost settlement.
- E. Limitations on Use of Funds Received Pursuant to this Agreement.** Contractor shall use the funds provided by County exclusively for the purposes of performing the services described in Exhibit A(s) to this Agreement. Expenses shall comply with the requirements established in OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and all other applicable regulations. Violation of this provision or use of County funds for purposes other than those described in the Exhibit A(s) shall constitute a material breach of this Agreement.

**F. Funding Sources.** The Behavioral Wellness Director or designee may reallocate between funding sources at their discretion, including to utilize and maximize any additional funding or FFP provided by local, State, or Federal law, regulation, policy, procedure, or program. The Behavioral Wellness Director or designee also reserves the right to reallocate between funding sources in the year end cost settlement. Reallocation of funding sources does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

**G. Beneficiary Liability for Payment.**

1. Contractor shall not submit a claim to, or demand or otherwise collect reimbursement from, the beneficiary or persons acting on behalf of the beneficiary for any specialty mental health or related administrative services provided under this Agreement, except to collect other health insurance coverage, share of cost, and co-payments. (Cal. Code Regs., tit. 9, § 1810.365 (a).)
2. Contractor shall not hold beneficiaries liable for debts in the event that County becomes insolvent; for costs of covered services for which the State does not pay County; for costs of covered services for which the State or County does not pay to Contractor; for costs of covered services provided under a contract, referral or other arrangement rather than from the County; or for payment of subsequent screening and treatment needed to diagnose the specific condition of or stabilize a beneficiary. (42 C.F.R. § 438.106 and Cal. Code Regs. tit 9, § 1810.365(c).)
3. Contractor shall not bill beneficiaries, for covered services, any amount greater than would be owed if the Contractor provided the services directly. (42 C.F.R. § 483.106(c).)

**H.** DHCS assumes no responsibility for the payment to Contractor for services used in the performance of this Agreement. County accepts sole responsibility for the payment of Contractors in the performance of this Agreement per the terms of this Agreement.

**II. MAXIMUM CONTRACT AMOUNT.**

The Maximum Contract Amount of this Agreement shall not exceed **\$3,745,338** in Mental Health funding, and shall consist of County, State, and/or Federal funds as shown in Exhibit B-1-MHS and subject to the provisions in Section I (Payment for Services). Notwithstanding any other provision of this Agreement, in no event shall County pay Contractor more than this Maximum Contract Amount for Contractor's performance hereunder without a properly executed amendment.

**III. OPERATING BUDGET AND PROVISIONAL RATE.**

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

**B. Provisional Rate.** County agrees to reimburse Contractor at a Provisional Rate (the “Provisional Rate”) during the term of this Agreement. For recurring contracts, the Provisional Rate shall be established by using the historical data from prior fiscal periods. The Provisional Rate for all new contracts will be based on actual cost or the County Maximum Allowable rate. Quarterly, or at any time during the term of this Agreement, Behavioral Wellness Director or designee shall have the option to adjust the Provisional Rate to a rate based on allowable costs less all applicable revenues and the volume of services provided in prior quarters. Adjustment of the Provisional Rate does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.

#### **IV. ACCOUNTING FOR REVENUES.**

**A. Accounting for Revenues.** Contractor shall comply with all County, State, and Federal requirements and procedures, including, but not limited to, those described in California Welfare and Institutions Code (WIC) Sections 5709, 5710 and 14710, relating to: (1) the determination and collection of patient/client fees for services hereunder based on Uniform Method for Determining Ability to Pay (UMDAP), (2) the eligibility of patients/clients for Medi-Cal, Medicare, private insurance, or other third party revenue, and (3) the collection, reporting and deduction of all patient/client and other revenue for patients/clients receiving services hereunder. Grants, and any other revenue, interest and return resulting from services/activities and/or funds paid by County to Contractor shall also be accounted for in the Operating Budget. Contributions designated in Exhibit B-1-MHS shall be offset from invoices and the annual cost report, unless otherwise negotiated with the County and approved in writing.

**B. Internal Procedures.** Contractor shall maintain internal financial controls which adequately ensure proper billing and collection procedures. Contractor shall pursue payment from all potential sources in sequential order, with Medi-Cal as payor of last resort. All fees paid by or on behalf of patients/clients receiving services under this Agreement shall be utilized by Contractor only for the delivery of service units specified in the Exhibit A(s) to this Agreement.

#### **V. REALLOCATION OF PROGRAM FUNDING.**

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

## VI. BILLING AND PAYMENT PROCEDURES AND LIMITATIONS.

### A. Submission of Claims and Invoices.

1. Submission of Claims and Invoices for Medi-Cal Services. Services are to be entered into the Clinician's Gateway System based on timeframes prescribed in the Behavioral Wellness Clinical Documentation Manual. Late service data and claims may only be submitted in accordance with State and federal regulations. Behavioral Wellness shall provide to Contractor a report that: i) summarizes the Medi-Cal UOS approved to be claimed for the month, multiplied by the provisional rate in effect at the time of service, ii) states the amount owed by County, and iii) includes the Agreement number. Contractor shall review the report and indicate concurrence that the report will be the basis for Contractor's provisional payment for the month. Contractor shall indicate concurrence within two (2) business days electronically to the County designated representative or to:

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

Santa Barbara County Department of Behavioral Wellness  
ATTN: Accounts Payable  
429 North San Antonio Road  
Santa Barbara, CA 93110-1316

Contractor agrees that it shall be solely liable and responsible for all data and information submitted to the County and submitted by the County to the State on behalf of Contractor.

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

The Behavioral Wellness Director or designee shall review the monthly claim(s) and invoices to confirm accuracy of the data submitted. County shall make provisional payment for approved claims within thirty (30) calendar days of the generation of said claim(s) and invoice by County subject to the contractual limitations set forth in this Agreement and all exhibits hereto.



- B. Subsidy Payments.** This section applies to providers with programs that have subsidy funding allocations. For each program with subsidy funding comprising 5% or less of the total program funding allocation set forth in Exhibit B-1-MHS, payment of subsidy will occur at cost settlement after the year end cost report has been submitted and costs are determined to be in compliance with contract terms and State and Federal regulations. For providers with more than 5% total subsidy funding in any program, the final subsidy payment, or up to a maximum of 20% of total subsidy funding allocated for the given program in Exhibit B-1-MHS, will be withheld until the year end cost report has been submitted and costs are determined to be in compliance with contract terms and State and Federal regulations.
- C. Monthly Financial Statements.** Within 15 calendar days of the end of the month in which services are delivered, Contractor shall submit monthly financial statements reflecting the previous month's and cumulative year to date direct and indirect costs and other applicable revenues for Contractor's programs described in the Exhibit A(s). If a program has both Medi-Cal billable costs and Non-Medi-Cal billable costs, Contractor shall separately identify Non-Medi-Cal billable costs on their financial statements.
- D. Withholding of Payment for Non-submission of Service Data and Other Information.** If any required service data, invoice, financial statement or report is not submitted by Contractor to County within the time limits described in this Agreement or if any such information is incomplete, incorrect, or is not completed in accordance with the requirements of this Agreement, then payment shall be withheld until County is in receipt of complete and correct data and such data has been reviewed and approved by Behavioral Wellness Director or designee. Behavioral Wellness Director or designee shall review such submitted service data within sixty (60) calendar days of receipt.
- E. Withholding of Payment for Unsatisfactory Clinical Documentation.** Behavioral Wellness Director or designee shall have the option to deny payment for services when documentation of clinical services does not meet minimum Federal, State and County written standards. County may also deny payment for services that are provided without a current client service plan.
- F. Claims Submission Restrictions.**
1. 12-Month Billing Limit. Unless otherwise determined by State or federal regulations (e.g. Medi-Medi cross-over), all original (or initial) claims for eligible individual persons under this Agreement must be received by County within 12 months from the month of service to avoid denial for late billing.
  2. No Payment for Services Provided Following Expiration/ Termination of Agreement. Contractor shall have no claim against County for payment of any funds or reimbursement, of any kind whatsoever, for any service provided by Contractor after the expiration or other termination of this Agreement. Should Contractor receive any such payment, it shall immediately notify County and shall immediately repay all such funds to County. Payment by County for services rendered after expiration/termination of this Agreement shall not constitute a waiver of County's right to recover such payment from Contractor. This provision shall survive the expiration or other termination of this Agreement.

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

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

## **VII. COST REPORT.**

**A. Submission of Cost Report.** Within three weeks of the release of the cost report template by the Department of Health Care Services (DHCS) but no sooner than 30 days after the end of the fiscal year, Contractor shall provide County with an accurate and complete Annual Cost Report (original cost report) with a statement of expenses and revenue and other supporting schedules for the applicable prior fiscal year. The Annual Cost Report shall be prepared by Contractor in accordance with all applicable Federal, State and County requirements and generally accepted accounting principles. Contractor shall allocate direct and indirect costs to and between programs, cost centers, services, and funding sources in accordance with such requirements and consistent with prudent business practice. All revenues received by Contractor shall be reported in its annual Cost Report, and shall be used to offset gross cost. Contractor shall maintain source documentation to support the claimed costs, revenues and allocations which shall be available at any time to Behavioral Wellness Director or designee upon reasonable notice. A final (reconciled) cost report is also due approximately 1 to 2 years after submission of the original cost report. The specific deadline for the final cost report is determined by the State. Contractor shall submit a final (reconciled) cost report within three weeks of the County's formal request.

**B. Cost Report to be Used for Settlement.** The Cost Report shall be the financial and statistical report submitted by Contractor to County, and shall serve as the basis for settlement with Contractor as set forth in Section VIII (Pre-audit Cost Report Settlements) below. Contractor shall document that costs are reasonable and allowable and directly or indirectly related to the services to be provided hereunder.

**C. Penalties.** Failure of Contractor to submit accurate and complete Annual Cost Report(s) within 45 days after the due date set in Section VII.A (Submission of Cost Report) above or the expiration or termination date of this Agreement shall result in:

1. A Late Penalty of ONE HUNDRED DOLLARS (\$100) for each day that the accurate and complete Annual Cost Report(s) are not submitted. The Late Penalty shall be assessed separately on each outstanding Annual Cost Report. The Late Penalty shall commence on the forty-sixth (46<sup>th</sup>) day after the deadline or the expiration or termination date of this Agreement. The late fee will be invoiced separately or deducted from future payments due to Contractor under this Agreement or a subsequent agreement.

2. In the event that Contractor does not submit accurate and complete Annual Cost Report(s) by the one-hundred and fifth (105<sup>th</sup>) day after the due date set in Section VII.A (Submission of Cost Report) or the expiration or termination date of this Agreement, then all amounts paid by County to Contractor in the Fiscal Year for which the Annual Cost Report(s) are outstanding shall be repaid by Contractor to County within 90 days. Further, County may terminate any current contracts entered into with Contractor for programs covered by the outstanding Annual Cost Reports.
3. In addition, County may withhold payments of additional funds owed to Contractor until the cost report that is due has been submitted if Contractor does not submit the cost report by the reporting deadline.

**D. Audited Financial Reports.** Contractor is required to obtain an annual financial statement audit and submit to County a copy of their audited annual financial statement, including management comments. This report shall be submitted within thirty (30) days after the report is received by Contractor.

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

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

**A. Pre-audit Cost Report Settlements.** Based on the original and final/reconciled Annual Cost Report(s) submitted pursuant to this Exhibit B MHS Section VII (Cost Report) and State approved UOS, at the end of each Fiscal Year or portion thereof that this Agreement is in effect, the County will perform pre-audit cost report settlement(s). Such settlements will be subject to the terms and conditions of this Agreement and any other applicable State and/or Federal statutes, regulations, policies and procedures, or requirements pertaining to cost reporting and settlements for applicable Federal and/or State programs. In no event shall the settlement exceed the maximum amount of this Agreement. Settlement for services shall be adjusted to the lower of:

1. Contractor's published charge(s) to the general public, as approved by the Contractor's governing board; unless the Contractor is a Nominal Fee Provider. This federal published charges rule is applicable only for the outpatient, rehabilitative, case management and 24-hour services.
2. The Contractor's actual costs.
3. The County Maximum Allowable rate, unless Director or designee approves in writing in the year end cost settlement, that use of the County Maximum Allowable rate was waived for settlement purposes.

**B. Issuance of Findings.** County's issuance of its pre-audit cost report settlement findings shall take place no later than one-hundred-twenty (120) calendar days after Contractor's submission of the original and final/reconciled cost reports.

C. **Payment.** In the event that Contractor adjustments based on any of the above methods indicate an amount due the County, Contractor shall pay County by direct payment within thirty (30) days or from deductions or withholding of future payments due to Contractor under this Agreement or a subsequent agreement, if any, at the sole discretion of the Behavioral Wellness Director or designee.

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

A. **Audit by Responsible Auditing Party.** At any time during the term of this Agreement or after the expiration or termination of this Agreement, in accordance with State and Federal law including but not limited to WIC Section 14170 et seq., authorized representatives from the County, State or Federal governments (Responsible Auditing Party) may conduct an audit or site review of Contractor regarding the mental health services/activities provided under this Agreement.

B. **Settlement.** Settlement of the audit findings will be conducted according to the Responsible Auditing Party's procedures in place. In the case of a State Medi-Cal audit, the State and County will perform a post-audit Medi-Cal settlement that is based on State audit findings. Such settlement will take place when the State initiates its settlement action which customarily is after the issuance of the audit report by the State and before the State's audit appeal process. However, if the Responsible Auditing Party stays its collection of any amounts due or payable because of the audit findings, County will also stay its settlement of the same amounts due or payable until the Responsible Auditing Party initiates its settlement action with County. If an audit adjustment is appealed then the County may, at its own discretion, notify Contractor but stay collection of amounts due until resolution of the State administrative appeals process.

C. **Invoice for Amounts Due.** County shall issue an invoice to Contractor for any amount due to the County after the Responsible Auditing Party issues an audit report. The amount on the County invoice is due by Contractor to County thirty (30) calendar days from the date of the invoice.

D. **Appeal.** Contractor may appeal any such audit findings in accordance with the audit appeal process established by the Responsible Auditing Party performing the audit.

**EXHIBIT B-1- MHS**  
**SCHEDULE OF RATES AND CONTRACT MAXIMUM**  
 (Applicable to programs described in Exhibit A2-A6)

**EXHIBIT B-1 MH**  
**DEPARTMENT OF BEHAVIORAL WELLNESS**  
**SCHEDULE OF RATES AND CONTRACT MAXIMUM**

**CONTRACTOR NAME:** Casa Pacifica **FISCAL YEAR:** 21-22

Contracted Services(1)	Service Type	Mode	Service Description	Unit of Service	Service Function Code	County Maximum Allowable Rate(4)
Medi-Cal Billable Services	Outpatient Services	15	Targeted Case Management	Minutes	01	\$2.64
			Intensive Care Coordination	Minutes	07	\$2.64
			Collateral	Minutes	10	\$3.41
			*MHS- Assessment	Minutes	30	\$3.41
			MHS - Plan Development	Minutes	31	\$3.41
			*MHS- Therapy (Family, Individual)	Minutes	11, 40	\$3.41
			MHS - Rehab (Family, Individual, Group)	Minutes	12, 41, 51	\$3.41
			MHS - IHBS	Minutes	57	\$3.41
			MHS - TBS	Minutes	58	\$3.41
			Medication Support and Training	Minutes	62	\$6.29
Crisis Intervention	Minutes	70	\$5.06			

	PROGRAMS					TOTAL
	Therapeutic Behavioral Services	Wraparound	SAFTY	Short Term Residential Therapeutic Program (STRIP)	Family Urgent Response System (FURS)	
GROSS COST:	\$ 1,873,586	\$ 1,467,239	\$ 1,091,324	\$ 25,000	\$ 414,271	\$ 4,871,420
LESS REVENUES COLLECTED BY CONTRACTOR:						
PATIENT FEES						\$ -
CONTRIBUTIONS						\$ -
OTHER (LIST): DSS		\$ 753,239			\$ 372,843	\$ 1,126,082
OTHER (LIST):						\$ -
TOTAL CONTRACTOR REVENUES	\$ -	\$ 753,239	\$ -			\$ 753,239
<b>MAXIMUM CONTRACT AMOUNT PAYABLE:</b>	<b>\$ 1,873,586</b>	<b>\$ 714,000</b>	<b>\$ 1,091,324</b>	<b>\$ 25,000</b>	<b>\$ 41,428</b>	<b>\$ 3,745,338</b>

SOURCES OF FUNDING FOR MAXIMUM ANNUAL CONTRACT AMOUNT (2)						
MEDI-CAL (3)	\$ 1,779,907	\$ 678,300	\$ 829,406	\$ 23,750	\$ 20,714	\$ 3,332,077
NON-MEDI-CAL						\$ -
SUBSIDY	\$ 93,679		\$ 261,918	\$ 1,250		\$ 356,847
OTHER (LIST): DSS		\$ 35,700			\$ 20,714	\$ 56,414
<b>MAXIMUM CONTRACT AMOUNT PAYABLE:</b>	<b>\$ 1,873,586</b>	<b>\$ 714,000</b>	<b>\$ 1,091,324</b>	<b>\$ 25,000</b>	<b>\$ 41,428</b>	<b>\$ 3,745,338</b>

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

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

- (1) Additional services may be provided if authorized by the Director of the Department of Behavioral Wellness or designee. The authorization of additional services does not alter the Maximum Contract Amount and does not require an amendment to this Agreement.
- (2) The Director or designee may reallocate between funding sources at his/her discretion during the term of the contract, including to utilize and maximize any additional funding or FFP provided by local, State, or Federal law, regulation, policy, procedure, or program. The Director or designee also reserves the right to reallocate between funding sources in the year end cost settlement. Reallocation of funding sources does not alter the Maximum Contract Amount and does not require an amendment to the contract.
- (3) Source of Medi-Cal match is State and Local Funds including but not limited to Realignment, MHSA, General Fund, Grants, Other Departmental and SB 163.
- (4) Director or designee may increase the CMA based on operating needs. Modifications to the CMA do not alter the Maximum Contract Amount and do not require an amendment to the contract.

\* MHS Assessment and MHS Therapy services may only be provided by licensed, registered or waived Mental Health clinicians, or graduate student interns under direct supervision of a licensed, registered or waived Mental Health clinician. Interns/Trainees who have graduated and are in the 90-day period prior to obtaining their associate number are eligible to provide assessment and therapy services if a Livescan is provided by the Contractor for the Intern/Trainee.

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

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

AGENCY NAME: CASA PACIFICA

COUNTY FISCAL YEAR: 2021-2022

Gray Shaded cells contain formulas, do not overwrite

LINE #	COLUMN#	1	2	2	3	4	5	6	7	9	10	11	12	13
I. REVENUE SOURCES:		TOTAL AGENCY/ ORGANIZATION BUDGET	COUNTY BEHAVIORAL WELLNESS PROGRAMS TOTALS	Therapeutic Behavioral Services	Wraparound	SAFTY	Short Term Residential Therapeutic Program (STRTP)	Family Urgent Response System (FURS)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)	
1	Contributions	\$ 2,100,000	\$ 130,820			\$ 130,820								
2	Foundations/Trusts		\$ -											
3	Miscellaneous Revenue		\$ -											
4	Behavioral Wellness Funding	\$ 4,116,285	\$ 3,724,624	\$1,873,586	\$ 714,000	\$1,091,324	\$ 25,000	\$ 20,714						
5	Other Government Funding	\$ 15,950,000	\$ -											
6	DSS SB 163	\$ 773,140	\$ 393,557					\$393,557						
7	Other (Insurance Carriers)	\$ 6,150,000	\$ -											
8	Total Other Revenue	\$ 29,089,425	\$ 4,249,001	\$1,873,586	\$ 714,000	\$1,222,144	\$ 25,000	\$414,271	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
II. Client and Third Party Revenues:														
9	Client Fees		\$ -											
10	SSI		\$ -											
11	Total Client and Third Party Revenues	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
12	GROSS PROGRAM REVENUE BUDGET	\$ 29,089,425	\$ 4,249,001	\$1,873,586	\$ 714,000	\$1,222,144	\$ 25,000	\$414,271	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

III. DIRECT COSTS	TOTAL AGENCY/ ORGANIZATION BUDGET	COUNTY BEHAVIORAL WELLNESS PROGRAMS TOTALS	Therapeutic Behavioral Services	Wraparound	SAFTY	Short Term Residential Therapeutic Program (STRTP)	Family Urgent Response System (FURS)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)	Enter PROGRAM NAME (Fac/Prog)
III.A. Salaries and Benefits Object Level												
13 Salaries (Complete Staffing Schedule)	\$ 15,476,442	\$ 2,400,866	\$1,048,264	\$ 393,792	\$ 700,188	\$ 14,300	\$244,322	\$ -	-	\$ -	-	\$ -
14 Employee Benefits	\$ 2,462,898	\$ 408,147	\$ 178,205	\$ 66,945	\$ 119,032	\$ 2,431	\$ 41,535					
15 Payroll Taxes	\$ 1,111,176	\$ 183,666	\$ 80,192	\$ 30,125	\$ 53,564	\$ 1,094	\$ 18,691					
16 Salaries and Benefits Subtotal	\$ 19,050,516	\$ 2,992,680	\$1,306,661	\$ 490,862	\$ 872,785	\$ 17,825	\$304,547	\$ -	\$ -	\$ -	\$ -	\$ -
III.B Services and Supplies Object Level												
17 Advertising and recruiting	\$ 149,324	\$ 2,568	\$ 701	\$ 544	\$ 1,048	\$ -	\$ 275					
18 Auto expense	\$ 399,106	\$ 97,611	\$ 35,840	\$ 28,511	\$ 28,963	\$ 654	\$ 3,643					
19 Computer expenses	\$ 351,374	\$ 128,000	\$ 55,249	\$ 28,752	\$ 39,475	\$ 800	\$ 3,724					
20 Conferences and meetings	\$ 88,443	\$ 6,809	\$ 4,150	\$ 435	\$ 2,000	\$ 70	\$ 154					
21 Dues and subscriptions	\$ 1,258	\$ 320	\$ 250	\$ -	\$ 70	\$ -	\$ -					
22 Education and Training	\$ 168,673	\$ 19,079	\$ 7,433	\$ 1,000	\$ 1,083	\$ 100	\$ 9,463					
23 Equipment maint. and rental	\$ 21,152	\$ 1,650	\$ 750	\$ 250	\$ 650	\$ -	\$ -					
24 Insurance	\$ 321,984	\$ 70,089	\$ 32,730	\$ 12,277	\$ 20,195	\$ 400	\$ 4,486					
25 Office expenses	\$ 43,026	\$ 4,671	\$ 2,270	\$ 1,000	\$ 442	\$ -	\$ 959					
26 Outside services	\$ 464,254	\$ 5,445	\$ 595	\$ 3,111	\$ 51	\$ 65	\$ 1,622					
27 Quality Assurance (Limited to 2% of Direct Costs)*	\$ 493,853	\$ 69,879	\$ 31,945	\$ 12,172	\$ 18,273	\$ 426	\$ 7,063					
28 Printing	\$ 3,500	\$ 320	\$ -	\$ -	\$ 320	\$ -	\$ -					
29 Rent	\$ 495,031	\$ 200,300	\$ 101,919	\$ 31,168	\$ 47,348	\$ 1,000	\$ 18,865					
30 Repairs and maintenance	\$ 418,306	\$ 15,214	\$ 10,570	\$ 1,000	\$ 2,720	\$ -	\$ 924					
31 Supplies	\$ 202,954	\$ 8,785	\$ 7,885	\$ 110	\$ 460	\$ 50	\$ 280					
32 Taxes and licenses	\$ 68,574	\$ 1,660	\$ 787	\$ -	\$ 548	\$ -	\$ 325					
33 Telephone	\$ 249,845	\$ 44,751	\$ 13,249	\$ 6,000	\$ 23,752	\$ 250	\$ 1,500					
34 Transportation and travel	\$ 74,991	\$ 19,268	\$ 13,817	\$ 2,500	\$ 1,098	\$ 100	\$ 1,753					
35 Utilities	\$ 252,395	\$ 5,687	\$ 2,405	\$ 1,178	\$ 1,452	\$ -	\$ 652					
36 Services and Supplies Subtotal	\$ 6,136,022	\$ 702,106	\$ 322,545	\$ 130,008	\$ 189,949	\$ 3,915	\$ 55,688	\$ -	\$ -	\$ -	\$ -	\$ -
III.C. Client Expense Object Level Total (Not Medi-Cal Reimbursable)		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
37		\$ -										
38 SUBTOTAL DIRECT COSTS	\$ 25,186,538	\$ 3,694,786	\$1,629,206	\$ 620,870	\$1,062,734	\$ 21,740	\$360,236	\$ -	\$ -	\$ -	\$ -	\$ -
IV. INDIRECT COSTS												
39 Administrative Indirect Costs (Reimbursement limited to 15%)	5,170,000	\$ 554,215	\$ 244,380	\$ 93,130	\$ 159,410	\$ 3,260	\$ 54,035					
40 GROSS DIRECT AND INDIRECT COSTS	\$ 30,356,538	\$ 4,249,001	\$1,873,586	\$ 714,000	\$1,222,144	\$ 25,000	\$414,271	\$ -	\$ -	\$ -	\$ -	\$ -

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



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**EXHIBIT C**  
**INDEMNIFICATION AND INSURANCE REQUIREMENTS**  
(For Professional Contracts version 2014 04 04)

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INDEMNIFICATION

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

NOTIFICATION OF ACCIDENTS AND SURVIVAL OF INDEMNIFICATION PROVISIONS

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

INSURANCE

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

A. Minimum Scope of Insurance

Coverage shall be at least as broad as:

1. **Commercial General Liability (CGL):** Insurance Services Office (ISO) Form CG 00 01 covering CGL on an "occurrence" basis, including products-completed operations, personal & advertising injury, with limits no less than \$1,000,000 per occurrence and \$2,000,000 in the aggregate.
2. **Automobile Liability:** ISO Form Number CA 00 01 covering any auto (Code 1), or if Contractor has no owned autos, hired, (Code 8) and non-owned autos (Code 9), with limit no less than \$1,000,000 per accident for bodily injury and property damage.
3. **Workers' Compensation:** as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than \$1,000,000 per accident for bodily injury or disease.
4. **Professional Liability (Errors and Omissions)** Insurance appropriate to the Contractor's profession, with limit of no less than \$1,000,000 per occurrence or claim, \$2,000,000 aggregate.

If the Contractor maintains higher limits than the minimums shown above, the County requires and shall be entitled to coverage for the higher limits maintained by the Contractor. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the County.

## B. Other Insurance Provisions

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

1. **Additional Insured** – County, its officers, officials, employees, agents and volunteers are to be covered as additional insureds on the CGL policy with respect to liability arising out of work or operations performed by or on behalf of the Contractor including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to the Contractor’s insurance at least as broad as ISO Form CG 20 10 11 85 or if not available, through the addition of both CG 20 10 and CG 20 37 if a later edition is used).
2. **Primary Coverage** – For any claims related to this Agreement, the Contractor’s insurance coverage shall be primary insurance as respects the County, its officers, officials, employees, agents and volunteers. Any insurance or self-insurance maintained by the County, its officers, officials, employees, agents or volunteers shall be excess of the Contractor’s insurance and shall not contribute with it.
3. **Notice of Cancellation** – Each insurance policy required above shall provide that coverage shall not be canceled, except with notice to the County.
4. **Waiver of Subrogation Rights** – Contractor hereby grants to County a waiver of any right to subrogation which any insurer of said Contractor may acquire against the County by virtue of the payment of any loss under such insurance. Contractor agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation, but this provision applies regardless of whether or not the County has received a waiver of subrogation endorsement from the insurer.
5. **Deductibles and Self-Insured Retention** – Any deductibles or self-insured retentions must be declared to and approved by the County. The County may require the Contractor to purchase coverage with a lower deductible or retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention.
6. **Acceptability of Insurers** – Unless otherwise approved by Risk Management, insurance shall be written by insurers authorized to do business in the State of California and with a minimum A.M. Best’s Insurance Guide rating of “A- VII”.
7. **Verification of Coverage** – Contractor shall furnish the County with proof of insurance, original certificates and amendatory endorsements as required by this Agreement. The proof of insurance, certificates and endorsements are to be received and approved by the County before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive the Contractor’s obligation to provide them. The Contractor shall furnish evidence of renewal of coverage throughout the term of the Agreement. The County reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time.

8. **Failure to Procure Coverage** – In the event that any policy of insurance required under this Agreement does not comply with the requirements, is not procured, or is canceled and not replaced, County has the right but not the obligation or duty to terminate the Agreement. Maintenance of required insurance coverage is a material element of the Agreement and failure to maintain or renew such coverage or to provide evidence of renewal may be treated by County as a material breach of contract.
9. **Subcontractors** – Contractor shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and Contractor shall ensure that County is an additional insured on insurance required from subcontractors.
10. **Claims Made Policies** – If any of the required policies provide coverage on a claims-made basis:
  - i. The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work.
  - ii. Insurance must be maintained and evidence of insurance must be provided for at least five (5) years after completion of contract work.
  - iii. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, the Contractor must purchase “extended reporting” coverage for a minimum of five (5) years after completion of contract work.
11. **Special Risks or Circumstances** – County reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

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

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

# **EXHIBIT D**

# **LOBBYING CERTIFICATIONS**

**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:

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

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

### CERTIFICATION REGARDING LOBBYING

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

<p>1. Type of Federal Action:  <input type="checkbox"/> a. contract                  b. grant                  c. cooperative agreement                  d. loan                  e. loan guarantee                  f. loan insurance</p>	<p>2. Status of Federal Action:  <input type="checkbox"/> a. bid/offer/application                  b. initial award                  c. post-award</p>	<p>3. Report Type:  <input type="checkbox"/> a. initial filing                  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><b>Federal Use Only</b></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 follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under 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**

**PROGRAM GOALS,**

**OUTCOMES, AND MEASURES**



**EXHIBIT E – MHS  
PROGRAM GOALS, OUTCOMES AND MEASURES\***

Program Evaluation						
Program Goals	Outcomes	CASA PACIFICA (all outcomes are in %)				
		IIIH	SAFTY	STRTP	TBS	Wraparound
1. Reduce mental health and substance abuse symptoms resulting in reduced utilization of involuntary care and emergency rooms for mental health and physical health problems	A. Incarcerations/Juvenile Hall	≤5	≤5	≤10	≤5	≤5
	B. Psychiatric inpatient admissions	≤5	≤5	≤10	≤5	≤5
	C. Physical health hospitalizations	N/A	N/A	N/A	N/A	N/A
	D. Physical health emergency care	N/A	N/A	N/A	N/A	N/A
2. Assist clients in their mental health recovery process and with developing the skills necessary to lead healthy and productive lives in the community	A. Stable/permanent housing	≥95	≥95	≥95	≥95	≥95
	B. Engaged in purposeful activity (educational, vocational, volunteer)	≥95	≥95	≥95	≥95	≥95
	C. <b>Of those who discharged (#dc = denominator), % who transitioned to a higher level of care</b>	≤15	≤15	≤15	≤15	≤15
	D. <b>Of those who discharged (#dc = denominator), % who transitioned to a lower level of care (or graduated / discharged because care no longer needed or medical necessity not met)</b>	≥85	≥85	≥85	≥85	≥85
	E. Incidents requiring a higher level of supervision	N/A	N/A	N/A	N/A	N/A
	F. Percent of clients who “showed improvement” on the Milestones of Recovery (MORS)	N/A	N/A	N/A	N/A	N/A
3. Provide mental health (and/or substance abuse) services for children and their families in order to prevent out-of-home and out-of-county placements	A. New out-of-primary home placements (county & out-of-county)	N/A	N/A	≤5	N/A	≤5
	B. CANS (% completed)	N/A	N/A	100	N/A	100
	C. CANS Improvement in 3+ Domains (report % positive change by domain)	N/A	N/A	≥10 (In 3 of 6)	N/A	≥10 (In 3 of 6)
	D. PSC (% completed)	N/A	N/A	100	N/A	100
	E. Other	N/A	N/A	N/A	N/A	N/A

\* Amendments to this Exhibit E may be made by written agreement by the parties and do not require a formal amendment to the Agreement.