

1 CONTRACT FOR PROVISION OF
2 SURGE NURSING SERVICES

3 BETWEEN

4 COUNTY OF ORANGE

5 AND

6 EMERGENCY REGISTRY NURSING SERVICES, INC.

7 APRIL 23, 2020 THROUGH DECEMBER 31, 2020

8
9 THIS CONTRACT entered into this 23rd day of April (effective date), is by and between the
10 COUNTY OF ORANGE, a political subdivision of State of California (COUNTY), and Emergency
11 Registry Nursing Services a California for-profit corporation, (CONTRACTOR). COUNTY and
12 CONTRACTOR may sometimes be referred to herein individually as "Party" or collectively as
13 "Parties." This Contract shall be administered by the Director of the COUNTY's Health Care Agency or
14 an authorized designee ("ADMINISTRATOR").

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

17
18 WHEREAS, COUNTY wishes to contract with CONTRACTOR for the provision of Surge Nursing
19 services described herein to the residents of Orange County; and

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

22 NOW, THEREFORE, in consideration of the mutual covenants, benefits, and promises contained
23 herein, COUNTY and CONTRACTOR do hereby agree as follows:
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REFERENCED CONTRACT PROVISIONS

Term: April 23, 2020 through December 31, 2020

Maximum Obligation: \$200,000

CONTRACTOR DUNS Number:

15-509-2609

CONTRACTOR TAX ID Number:

55-0805523

Notices to COUNTY and CONTRACTOR:

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

CONTRACTOR: Emergency Registry Nursing Services Inc.
26500 Agoura Rd.
Calabasas, CA 91302
Jack Madha
jmadha@ernservices.com

I. ACRONYMS

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

1		
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3		
4	A. AB 109	Assembly Bill 109, 2011 Public Safety Realignment
5	B. AIDS	Acquired Immune Deficiency Syndrome
6	C. ARRA	American Recovery and Reinvestment Act of 2009
7	D. ASAM PPC	American Society of Addiction Medicine Patient Placement Criteria
8	E. ASI	Addiction Severity Index
9	F. ASRS	Alcohol and Drug Programs Reporting System
10	G. BHS	Behavioral Health Services
11	H. CalOMS	California Outcomes Measurement System
12	I. CalWORKs	California Work Opportunity and Responsibility for Kids
13	J. CAP	Corrective Action Plan
14	K. CCC	California Civil Code
15	L. CCR	California Code of Regulations
16	M. CESI	Client Evaluation of Self at Intake
17	N. CEST	Client Evaluation of Self and Treatment
18	O. CFDA	Catalog of Federal Domestic Assistance
19	P. CFR	Code of Federal Regulations
20	Q. CHPP	COUNTY HIPAA Policies and Procedures
21	R. CHS	Correctional Health Services
22	S. COI	Certificate of Insurance
23	T. CPA	Certified Public Accountant
24	U. CSW	Clinical Social Worker
25	V. DHCS	California Department of Health Care Services
26	W. D/MC	Drug/Medi-Cal
27	X. DPFS	Drug Program Fiscal Systems
28	Y. DRS	Designated Record Set
29	Z. EEOC	Equal Employment Opportunity Commission
30	AA. EHR	Electronic Health Records
31	AB. EOC	Equal Opportunity Clause
32	AC. ePHI	Electronic Protected Health Information
33	AD. EPSDT	Early and Periodic Screening, Diagnosis, and Treatment
34	AF. FFS	Fee For Service
35	AG. FSP	Full Service Partnership
36	AH. FTE	Full Time Equivalent
37	AI. GAAP	Generally Accepted Accounting Principles

1	AJ. HCA	County of Orange Health Care Agency
2	AK. HHS	Federal Health and Human Services Agency
3	AL. HIPAA	Health Insurance Portability and Accountability Act of 1996, Public
4		Law 104-191
5	AM. HITECH	Health Information Technology for Economic and Clinical Health
6		Act, Public Law 111-005
7	AN. HIV	Human Immunodeficiency Virus
8	AO. HSC	California Health and Safety Code
9	AP. IRIS	Integrated Records and Information System
10	AQ. ITC	Indigent Trauma Care
11	AR. LCSW	Licensed Clinical Social Worker
12	AS. MAT	Medication Assisted Treatment
13	AT. MFT	Marriage and Family Therapist
14	AU. MH	Mental Health
15	AV. MHP	Mental Health Plan
16	AW. MHS	Mental Health Specialist
17	AX. MHSA	Mental Health Services Act
18	AZ. MSN	Medical Safety Net
19	BA. NIH	National Institutes of Health
20	BB. NPI	National Provider Identifier
21	BC. NPPES	National Plan and Provider Enumeration System
22	BD. OCR	Federal Office for Civil Rights
23	BE. OIG	Federal Office of Inspector General
24	BF. OMB	Federal Office of Management and Budget
25	BG. OPM	Federal Office of Personnel Management
26	BH. P&P	Policy and Procedure
27	BI. PA DSS	Payment Application Data Security Standard
28	BJ. PATH	Projects for Assistance in Transition from Homelessness
29	BK. PC	California Penal Code
30	BL. PCI DSS	Payment Card Industry Data Security Standards
31	BM. PCS	Post-Release Community Supervision
32	BN. PHI	Protected Health Information
33	BO. PII	Personally Identifiable Information
34	BP. PRA	California Public Records Act
35	BQ. PSC	Professional Services Contract System
36	BR. SAPTBG	Substance Abuse Prevention and Treatment Block Grant
37	BS. SIR	Self-Insured Retention

1	BT. SMA	Statewide Maximum Allowable (rate)
2	BU. SOW	Scope of Work
3	BV. SUD	Substance Use Disorder
4	BW. UMDAP	Uniform Method of Determining Ability to Pay
5	BX. UOS	Units of Service
6	BY. USC	United States Code
7	BZ. WIC	Women, Infants and Children

8

9

II. ALTERATION OF TERMS

10 A. This Contract , together with Exhibits A, B, C attached hereto and incorporated herein, fully
11 expresses the complete understanding of COUNTY and CONTRACTOR with respect to the subject
12 matter of this Contract.

13 B. Unless otherwise expressly stated in this Contract, no addition to, or alteration of the terms of
14 this Contract or any Exhibits, whether written or verbal, made by the Parties, their officers, employees
15 or agents shall be valid unless made in the form of a written amendment to this Contract, which has been
16 formally approved and executed by both Parties.

17

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III. ASSIGNMENT OF DEBTS

19 Unless this Contract is followed without interruption by another Contract between the Parties hereto
20 for the same services and substantially the same scope, at the termination of this Contract,
21 CONTRACTOR shall assign to COUNTY any debts owing to CONTRACTOR by or on behalf of
22 persons receiving services pursuant to this Contract. CONTRACTOR shall immediately notify by mail
23 each of the respective Parties, specifying the date of assignment, the County of Orange as assignee, and
24 the address to which payments are to be sent. Payments received by CONTRACTOR from or on behalf
25 of said persons, shall be immediately given to COUNTY.

26

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IV. COMPLIANCE

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

31 1. ADMINISTRATOR shall provide CONTRACTOR with a copy of the policies and
32 procedures relating to ADMINISTRATOR's Compliance Program, Code of Conduct and access to
33 General Compliance and Annual Provider Trainings.

34 2. CONTRACTOR has the option to provide ADMINISTRATOR with proof of its own
35 compliance program, code of conduct and any compliance related policies and procedures.
36 CONTRACTOR's compliance program, code of conduct and any related policies and procedures shall
37 be verified by ADMINISTRATOR's Compliance Department to ensure they include all required

1 elements by ADMINISTRATOR's Compliance Officer as described in this Compliance Paragraph to
2 this Contract. These elements include:

- 3 a. Designation of a Compliance Officer and/or compliance staff.
- 4 b. Written standards, policies and/or procedures.
- 5 c. Compliance related training and/or education program and proof of completion.
- 6 d. Communication methods for reporting concerns to the Compliance Officer.
- 7 e. Methodology for conducting internal monitoring and auditing.
- 8 f. Methodology for detecting and correcting offenses.
- 9 g. Methodology/Procedure for enforcing disciplinary standards.

10 3. If CONTRACTOR does not provide proof of its own compliance program to
11 ADMINISTRATOR, CONTRACTOR shall internally comply with ADMINISTRATOR's Compliance
12 Program and Code of Conduct, the CONTRACTOR shall submit to the ADMINISTRATOR within
13 thirty (30) calendar days of execution of this Contract a signed acknowledgement that CONTRACTOR
14 will internally comply with ADMINISTRATOR's Compliance Program and Code of Conduct.
15 CONTRACTOR shall have as many Covered Individuals it determines necessary complete
16 ADMINISTRATOR's annual compliance training to ensure proper compliance.

17 4. If CONTRACTOR elects to have its own compliance program, code of conduct and any
18 Compliance related policies and procedures reviewed by ADMINISTRATOR, then CONTRACTOR
19 shall submit a copy of its compliance program, code of conduct and all relevant policies and procedures
20 to ADMINISTRATOR within thirty (30) calendar days of execution of this Contract.
21 ADMINISTRATOR's Compliance Officer, or designee, shall review said documents within a
22 reasonable time, which shall not exceed forty-five (45) calendar days, and determine if contractor's
23 proposed compliance program and code of conduct contain all required elements to the
24 ADMINISTRATOR's satisfaction as consistent with the HCA's Compliance Program and Code of
25 Conduct. ADMINISTRATOR shall inform CONTRACTOR of any missing required elements and
26 CONTRACTOR shall revise its compliance program and code of conduct to meet
27 ADMINISTRATOR's required elements within thirty (30) calendar days after ADMINISTRATOR's
28 Compliance Officer's determination and resubmit the same for review by the ADMINISTRATOR.

29 5. Upon written confirmation from ADMINISTRATOR's compliance officer that the
30 CONTRACTOR's compliance program, code of conduct and any compliance related policies and
31 procedures contain all required elements, CONTRACTOR shall ensure that all Covered Individuals
32 relative to this Contract are made aware of CONTRACTOR's compliance program, code of conduct, related
33 policies and procedures and contact information for the ADMINISTRATOR's Compliance Program.

34 B. SANCTION SCREENING – CONTRACTOR shall screen all Covered Individuals employed or
35 retained to provide services related to this Contract monthly to ensure that they are not designated as
36 Ineligible Persons, as pursuant to this Contract. Screening shall be conducted against the General
37 Services Administration's Excluded Parties List System or System for Award Management, the Health

1 and Human Services/Office of Inspector General List of Excluded Individuals/Entities, and the
2 California Medi-Cal Suspended and Ineligible Provider List, the Social Security Administration's Death
3 Master File at date of employment, and/or any other list or system as identified by ADMINISTRATOR.

4 1. For purposes of this Compliance Paragraph, Covered Individuals includes all employees,
5 interns, volunteers, contractors, subcontractors, agents, and other persons who provide health care items
6 or services or who perform billing or coding functions on behalf of ADMINISTRATOR.
7 CONTRACTOR shall ensure that all Covered Individuals relative to this Contract are made aware of
8 ADMINISTRATOR's Compliance Program, Code of Conduct and related policies and procedures (or
9 CONTRACTOR's own compliance program, code of conduct and related policies and procedures if
10 CONTRACTOR has elected to use its own).

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

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

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

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

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

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

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

37

1 7. CONTRACTOR shall notify ADMINISTRATOR immediately if a Covered Individual or
2 entity is currently excluded, suspended or debarred, or is identified as such after being sanction
3 screened. Such individual or entity shall be immediately removed from participating in any activity
4 associated with this Contract. ADMINISTRATOR will determine appropriate repayment from, or
5 sanction(s) to CONTRACTOR for services provided by ineligible person or individual.
6 CONTRACTOR shall promptly return any overpayments within forty-five (45) business days after the
7 overpayment is verified by ADMINISTRATOR.

8 C. GENERAL COMPLIANCE TRAINING - ADMINISTRATOR shall make General
9 Compliance Training available to Covered Individuals.

10 1. CONTRACTORS that have acknowledged to comply with ADMINISTRATOR's
11 Compliance Program shall use its best efforts to encourage completion by all Covered Individuals;
12 provided, however, that at a minimum CONTRACTOR shall assign at least one (1) designated
13 representative to complete the General Compliance Training when offered.

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

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

17 4. ADMINISTRATOR will track training completion while CONTRACTOR shall provide
18 copies of training certification upon request.

19 5. Each Covered Individual attending a group training shall certify, in writing, attendance at
20 compliance training. ADMINISTRATOR shall provide instruction on group training completion while
21 CONTRACTOR shall retain the training certifications. Upon written request by ADMINISTRATOR,
22 CONTRACTOR shall provide copies of the certifications.

23 D. SPECIALIZED PROVIDER TRAINING – ADMINISTRATOR shall make Specialized
24 Provider Training, where appropriate, available to Covered Individuals.

25 1. CONTRACTOR shall ensure completion of Specialized Provider Training by all Covered
26 Individuals relative to this Contract. This includes compliance with federal and state healthcare
27 program regulations and procedures or instructions otherwise communicated by regulatory agencies;
28 including the Centers for Medicare and Medicaid Services or their agents.

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

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

32 4. ADMINISTRATOR will track online completion of training while CONTRACTOR shall
33 provide copies of the certifications upon request.

34 5. Each Covered Individual attending a group training shall certify, in writing, attendance at
35 compliance training. ADMINISTRATOR shall provide instructions on completing the training in a
36 group setting while CONTRACTOR shall retain the certifications. Upon written request by
37 ADMINISTRATOR, CONTRACTOR shall provide copies of the certifications.

1 E. MEDI-CAL BILLING, CODING, AND DOCUMENTATION COMPLIANCE STANDARDS

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

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

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

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

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

18 6. CONTRACTOR shall meet the HCA MHP Quality Management Program Standards and
19 participate in the quality improvement activities developed in the implementation of the Quality
20 Management Program.

21 7. CONTRACTOR shall comply with the provisions of the ADMINISTRATOR's Cultural
22 Competency Plan submitted and approved by the state. ADMINISTRATOR shall update the Cultural
23 Competency Plan and submit the updates to the State for review and approval annually. (CCR, Title 9,
24 §1810.410.subds.(c)-(d).
25

26 F. Failure to comply with the obligations stated in this Compliance Paragraph shall constitute a
27 breach of the Contract on the part of CONTRACTOR and grounds for COUNTY to terminate the
28 Contract. Unless the circumstances require a sooner period of cure, CONTRACTOR shall have thirty
29 (30) calendar days from the date of the written notice of default to cure any defaults grounded on this
30 Compliance Paragraph prior to ADMINISTRATOR's right to terminate this Contract on the basis of
31 such default.

32
33 **V. CONFIDENTIALITY**

34 A. CONTRACTOR shall maintain the confidentiality of all records, including billings and any
35 audio and/or video recordings, in accordance with all applicable federal, state and county codes and
36 regulations, as they now exist or may hereafter be amended or changed.
37

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

8 9 **VI. CONFLICT OF INTEREST**

10 CONTRACTOR shall exercise reasonable care and diligence to prevent any actions or conditions that
11 could result in a conflict with COUNTY interests. In addition to CONTRACTOR, this obligation shall
12 apply to CONTRACTOR's employees, agents, and subcontractors associated with the provision of
13 goods and services provided under this Contract. CONTRACTOR's efforts shall include, but not be
14 limited to establishing rules and procedures preventing its employees, agents, and subcontractors from
15 providing or offering gifts, entertainment, payments, loans or other considerations which could be
16 deemed to influence or appear to influence COUNTY staff or elected officers in the performance of
17 their duties.

18 19 **VII. DEBARMENT AND SUSPENSION CERTIFICATION**

20 A. CONTRACTOR certifies that it and its principals:

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

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

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

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

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

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

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

9 6. COUNTY reserves the right to immediately terminate the Contract in the event COUNTY
10 determines, in its sole discretion, that the assignee is not qualified or is otherwise unacceptable to
11 COUNTY for the provision of services under the Contract.

12 C. CONTRACTOR’s obligations undertaken pursuant to this Contract may be carried out by
13 means of subcontracts, provided such subcontractors are approved in advance by ADMINISTRATOR,
14 meet the requirements of this Contract as they relate to the service or activity under subcontract, include
15 any provisions that ADMINISTRATOR may require, and are authorized in writing by
16 ADMINISTRATOR prior to the beginning of service delivery.

17 1. After approval of the subcontractor, ADMNISTRATOR may revoke the approval of the
18 subcontractor upon five (5) calendar days’ written notice to CONTRACTOR if the subcontractor
19 subsequently fails to meet the requirements of this Contract or any provisions that ADMINISTRATOR
20 has required. ADMINISTRATOR may disallow subcontractor expenses reported by CONTRACTOR.

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

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

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

28 D. CONTRACTOR shall notify COUNTY in writing of any change in the CONTRACTOR’s
29 status with respect to name changes that do not require an assignment of the Contract. CONTRACTOR
30 is also obligated to notify COUNTY in writing if the CONTRACTOR becomes a party to any litigation
31 against COUNTY, or a party to litigation that may reasonably affect the CONTRACTOR’s performance
32 under the Contract, as well as any potential conflicts of interest between CONTRACTOR and County
33 that may arise prior to or during the period of Contract performance. While CONTRACTOR will be
34 required to provide this information without prompting from COUNTY any time there is a change in
35 CONTRACTOR’s name, conflict of interest or litigation status, CONTRACTOR must also provide an
36 update to COUNTY of its status in these areas whenever requested by COUNTY.

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IX. DISPUTE RESOLUTION

1
2 A. The Parties shall deal in good faith and attempt to resolve potential disputes informally. If the
3 dispute concerning a question of fact arising under the terms of this Contract is not disposed of in a
4 reasonable period of time by the CONTRACTOR and the ADMINISTRATOR, such matter shall be
5 brought to the attention of the COUNTY Purchasing Agency by way of the following process:

6 1. CONTRACTOR shall submit to the COUNTY Purchasing Agency a written demand for a
7 final decision regarding the disposition of any dispute between the Parties arising under, related to, or
8
9 involving this Contract, unless COUNTY, on its own initiative, has already rendered such a final
10 decision.

11 2. CONTRACTOR's written demand shall be fully supported by factual information, and, if
12 such demand involves a cost adjustment to the Contract, CONTRACTOR shall include with the demand
13 a written statement signed by an authorized representative indicating that the demand is made in good
14 faith, that the supporting data are accurate and complete, and that the amount requested accurately
15 reflects the Contract adjustment for which CONTRACTOR believes COUNTY is liable.

16 B. Pending the final resolution of any dispute arising under, related to, or involving this Contract,
17 CONTRACTOR agrees to proceed diligently with the performance of services secured via this Contract,
18 including the delivery of goods and/or provision of services. CONTRACTOR's failure to proceed
19 diligently shall be considered a material breach of this Contract.

20 C. Any final decision of COUNTY shall be expressly identified as such, shall be in writing, and
21 shall be signed by a COUNTY Deputy Purchasing Agent or designee. If COUNTY fails to render a
22 decision within ninety (90) calendar days after receipt of CONTRACTOR's demand, it shall be deemed
23 a final decision adverse to CONTRACTOR's contentions.

24 D. This Contract has been negotiated and executed in the State of California and shall be governed
25 by and construed under the laws of the State of California. In the event of any legal action to enforce or
26 interpret this Contract, the sole and exclusive venue shall be a court of competent jurisdiction located in
27 Orange County, California, and the Parties hereto agree to and do hereby submit to the jurisdiction of
28 such court, notwithstanding Code of Civil Procedure Section 394. Furthermore, the Parties specifically
29 agree to waive any and all rights to request that an action be transferred for adjudication to another
30 county.

X. EMPLOYEE ELIGIBILITY VERIFICATION

31
32 CONTRACTOR attests that it shall fully comply with all federal and state statutes and regulations
33 regarding the employment of aliens and others and to ensure that employees, subcontractors, and
34 consultants performing work under this Contract meet the citizenship or alien status requirements set
35 forth in federal statutes and regulations. CONTRACTOR shall obtain, from all employees,
36 subcontractors, and consultants performing work hereunder, all verification and other documentation of
37

1 employment eligibility status required by federal or state statutes and regulations including, but not
2 limited to, the Immigration Reform and Control Act of 1986, 8 USC §1324 et seq., as they currently
3 exist and as they may be hereafter amended. CONTRACTOR shall retain all such documentation for all
4 covered employees, subcontractors, and consultants for the period prescribed by the law.

5 6 **XI. EXPENDITURE AND REVENUE REPORT**

7 A. No later than forty-five (45) calendar days following termination of this Contract,
8 CONTRACTOR shall submit to ADMINISTRATOR, for informational purposes only, an Expenditure
9 Report / Expenditure and Revenue Report for the preceding fiscal year, or portion thereof. Such report
10 shall be prepared in accordance with the procedure that is provided by ADMINISTRATOR and GAAP.

11 B. CONTRACTOR may be required to submit periodic Expenditure Reports / Expenditure and
12 Revenue Reports throughout the term of this Contract.

13 14 **XII. FACILITIES, PAYMENTS AND SERVICES**

15 CONTRACTOR agrees to provide the services, staffing, facilities, and supplies in accordance with
16 this Contract. COUNTY shall compensate, and authorize, when applicable, said services.
17 CONTRACTOR shall operate continuously throughout the term of this Contract with at least the
18 minimum number and type of staff which meet applicable federal and state requirements, and which are
19 necessary for the provision of the services hereunder.

20 21 **XIII. INDEMNIFICATION AND INSURANCE**

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

32 B. Prior to the provision of services under this Contract, CONTRACTOR agrees to purchase all
33 required insurance at CONTRACTOR's expense, including all endorsements required herein, necessary
34 to satisfy COUNTY that the insurance provisions of this Contract have been complied with.
35 CONTRACTOR agrees to keep such insurance coverage, Certificates of Insurance, and endorsements
36 on deposit with COUNTY during the entire term of this Contract. In addition, all subcontractors
37

1 performing work on behalf of CONTRACTOR pursuant to this Contract shall obtain insurance subject
2 to the same terms and conditions as set forth herein for CONTRACTOR.

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

12 D. All SIRs shall be clearly stated on the COI. Any SIR in an amount in excess of fifty thousand
13 dollars (\$50,000) shall specifically be approved by the CEO/Office of Risk Management upon review of
14 CONTRACTOR's current audited financial report. If CONTRACTOR's SIR is approved,
15 CONTRACTOR, in addition to, and without limitation of, any other indemnity provision(s) in this
16 Contract, agrees to all of the following:

17 1. In addition to the duty to indemnify and hold the COUNTY harmless against any and all
18 liability, claim, demand or suit resulting from CONTRACTOR's, its agents, employee's or
19 subcontractor's performance of this Contract, CONTRACTOR shall defend the COUNTY at its sole
20 cost and expense with counsel approved by Board of Supervisors against same; and

21 2. CONTRACTOR's duty to defend, as stated above, shall be absolute and irrespective of any
22 duty to indemnify or hold harmless; and

23 3. The provisions of California Civil Code Section 2860 shall apply to any and all actions to
24 which the duty to defend stated above applies, and the CONTRACTOR's SIR provision shall be
25 interpreted as though the CONTRACTOR was an insurer and the COUNTY was the insured.

26 E. If CONTRACTOR fails to maintain insurance acceptable to the COUNTY for the full term of
27 this Contract, the COUNTY may terminate this Contract.

28 F. QUALIFIED INSURER

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

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

37

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

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

25 H. REQUIRED COVERAGE FORMS

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

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

30 I. REQUIRED ENDORSEMENTS

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

33 a. An Additional Insured endorsement using ISO form CG 20 26 04 13 or a form at least
34 as broad naming the *County of Orange, its elected and appointed officials, officers, agents and*
35 *employees* as Additional Insureds, or provide blanket coverage, which will state **AS REQUIRED BY**
36 **WRITTEN CONTRACT.**

1
2 b. A primary non-contributing endorsement using ISO form CG 20 01 04 13, or a form at
3 least as broad evidencing that the CONTRACTOR's insurance is primary and any insurance or self-
4 insurance maintained by the County of Orange shall be excess and non-contributing.

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

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

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

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

15 K. The Workers' Compensation policy shall contain a waiver of subrogation endorsement waiving
16 all rights of subrogation against the *County of Orange, its elected and appointed officials,*
17 *officers, agents and employees*, or provide blanket coverage, which will state ***AS REQUIRED BY***
18 ***WRITTEN CONTRACT.***

19 L. All insurance policies required by this Contract shall waive all rights of subrogation against the
20 County of Orange, its elected and appointed officials, officers, agents and employees when acting within
21 the scope of their appointment or employment.

22 M. The County of Orange shall be the loss payee on the Employee Dishonesty coverage. A Loss
23 Payee endorsement evidencing that the County of Orange is a Loss Payee shall accompany the
24 Certificate of Insurance. [*Only include this provision when Employee Dishonesty Insurance is*
25 *required*]. ***This is primarily used if an "advance" payment is given to the provider. This does not***
26 ***apply to provisional payments which are then reconciled to actual costs in the following month***

27 N. CONTRACTOR shall notify COUNTY in writing within thirty (30) days of any policy
28 cancellation and within ten (10) days for non-payment of premium and provide a copy of the
29 cancellation notice to COUNTY. Failure to provide written notice of cancellation shall constitute a
30 breach of CONTRACTOR's obligation hereunder and ground for COUNTY to suspend or terminate
31 this Contract.

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

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

37 Q. Insurance certificates should be forwarded to the agency/department address listed on the

1 solicitation.

2 R. If the Contractor fails to provide the insurance certificates and endorsements within seven (7)
3 days of notification by CEO/Purchasing or the agency/department purchasing division, award may be
4 made to the next qualified vendor.

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

9 T. COUNTY shall notify CONTRACTOR in writing of changes in the insurance requirements. If
10 CONTRACTOR does not deposit copies of acceptable Certificate of Insurance and endorsements with
11 COUNTY incorporating such changes within thirty (30) calendar days of receipt of such notice,
12 this Contract may be in breach without further notice to CONTRACTOR, and COUNTY shall be
13 entitled to all legal remedies.

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

17 V. SUBMISSION OF INSURANCE DOCUMENTS

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

19 a. Prior to the start date of this Contract.
20 b. No later than the expiration date for each policy.
21 c. Within thirty (30) calendar days upon receipt of written notice by COUNTY regarding
22 changes to any of the insurance requirements as set forth in the Coverage Subparagraph above.

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

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

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

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

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

1 financial, programmatic or any other type of audit of CONTRACTOR’s operations, whether or not the
2 cost of such operation or audit is reimbursed in whole or in part through this Contract.

3
4 **XV. LICENSES AND LAWS**

5 A. CONTRACTOR, its officers, agents, employees, affiliates, and subcontractors shall, throughout
6 the term of this Contract, maintain all necessary licenses, permits, approvals, certificates, accreditations,
7 waivers, and exemptions necessary for the provision of the services hereunder and required by the laws,
8 regulations and requirements of the United States, the State of California, COUNTY, and all other
9 applicable governmental agencies.

10 B. ENFORCEMENT OF CHILD SUPPORT OBLIGATIONS

11 1. CONTRACTOR certifies it is in full compliance with all applicable federal and State
12 reporting requirements regarding its employees and with all lawfully served Wage and Earnings
13 Assignment Orders and Notices of Assignments and will continue to be in compliance throughout the
14 term of the Contract with the County of Orange. Failure to comply shall constitute a material breach of
15 the Contract and failure to cure such breach within sixty (60) calendar days of notice from the
16 COUNTY shall constitute grounds for termination of the Contract.

17 2. CONTRACTOR agrees to furnish to ADMINISTRATOR within thirty (30) calendar days
18 of the award of this Contract:

19 a. In the case of an individual CONTRACTOR, his/her name, date of birth, social security
20 number, and residence address;

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

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

27
28 **XVI. LITERATURE, ADVERTISEMENTS, AND SOCIAL MEDIA**

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

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

1 C. If CONTRACTOR uses social media (such as Facebook, Twitter, YouTube or other publicly
2 available social media sites) in support of the services described within this Contract, CONTRACTOR
3 shall develop social media policies and procedures and have them available to ADMINISTRATOR
4 upon reasonable notice. CONTRACTOR shall inform ADMINISTRATOR of all forms of social media
5 used to either directly or indirectly support the services described within this Contract. CONTRACTOR
6 shall comply with COUNTY Social Media Use Policy and Procedures as they pertain to any social
7 media developed in support of the services described within this Contract. CONTRACTOR shall also
8 include any required funding statement information on social media when required by
9 ADMINISTRATOR.

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

12 **XVII. MAXIMUM OBLIGATION**

13 The Maximum Obligation of COUNTY for services provided in accordance with this Contract is as
14 specified in the Referenced Contract Provisions of this Contract.
15

16 **XVIII. MINIMUM WAGE LAWS**

17 A. Pursuant to the United States of America Fair Labor Standards Act of 1938, as amended, and
18 State of California Labor Code, §1178.5, CONTRACTOR shall pay no less than the greater of the
19 federal or California Minimum Wage to all its Covered Individuals (as defined within the “Compliance”
20 paragraph of this Contract) that directly or indirectly provide services pursuant to this Contract, in any
21 manner whatsoever. CONTRACTOR shall require and verify that all of its Covered Individuals
22 providing services pursuant to this Contract be paid no less than the greater of the federal or California
23 Minimum Wage.
24

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

28 C. Notwithstanding the minimum wage requirements provided for in this clause, CONTRACTOR,
29 where applicable, shall comply with the prevailing wage and related requirements, as provided for in
30 accordance with the provisions of Article 2 of Chapter 1, Part 7, Division 2 of the Labor Code of the
31 State of California (§§1770, et seq.), as it now exists or may hereafter be amended.
32

33 **XIX. NONDISCRIMINATION**

34 A. EMPLOYMENT

35 1. During the term of this Contract, CONTRACTOR and its Covered Individuals (as defined
36 in the “Compliance” paragraph of this Contract) shall not unlawfully discriminate against any employee
37 or applicant for employment because of his/her race, religious creed, color, national origin, ancestry,

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

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

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

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

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

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

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

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

- 5 1. Denying a Client or potential Client any service, benefit, or accommodation.
- 6 2. Providing any service or benefit to a Client which is different or is provided in a different
7 manner or at a different time from that provided to other Clients.
- 8 3. Restricting a Client in any way in the enjoyment of any advantage or privilege enjoyed by
9 others receiving any service and/or benefit.
- 10 4. Treating a Client differently from others in satisfying any admission requirement or
11 condition, or eligibility requirement or condition, which individuals must meet in order to be provided
12 any service and/or benefit.
- 13 5. Assignment of times or places for the provision of services.

14 C. COMPLAINT PROCESS – CONTRACTOR shall establish procedures for advising all Clients
15 through a written statement that CONTRACTOR’s and/or subcontractor’s Clients may file all
16 complaints alleging discrimination in the delivery of services with CONTRACTOR, subcontractor, and
17 ADMINISTRATOR.

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

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

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

31 E. RETALIATION – Neither CONTRACTOR nor subcontractor, nor its employees or agents shall
32 intimidate, coerce or take adverse action against any person for the purpose of interfering with rights
33 secured by federal or state laws, or because such person has filed a complaint, certified, assisted or
34 otherwise participated in an investigation, proceeding, hearing or any other activity undertaken to
35 enforce rights secured by federal or state law.

36 F. In the event of non-compliance with this paragraph or as otherwise provided by federal and
37 state law, this Contract may be canceled, terminated or suspended in whole or in part and

1 CONTRACTOR or subcontractor may be declared ineligible for further contracts involving federal,
2 state or COUNTY funds.

3
4 **XX. NOTICES**

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

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

10 2. When faxed, transmission confirmed;

11 3. When sent by Email; or

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

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

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

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

24
25 **XXI. NOTIFICATION OF DEATH**

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

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

31 1. TELEPHONE NOTIFICATION – CONTRACTOR shall notify ADMINISTRATOR by
32 telephone immediately upon becoming aware of the death due to non-terminal illness of any person
33 served pursuant to this Contract; notice need only be given during normal business hours.

34 2. WRITTEN NOTIFICATION

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

1 b. TERMINAL ILLNESS – CONTRACTOR shall notify ADMINISTRATOR by written
2 report hand delivered, faxed, sent via encrypted email, within forty-eight (48) hours of becoming aware
3 of the death due to terminal illness of any person served pursuant to this Contract.

4 c. When notification via encrypted email is not possible or practical CONTRACTOR may
5 hand deliver or fax to a known number said notification.

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

10
11 **XXII. NOTIFICATION OF PUBLIC EVENTS AND MEETINGS**

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

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

19
20 **XXIII. RECORDS MANAGEMENT AND MAINTENANCE**

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

24 B. CONTRACTOR shall ensure appropriate financial records related to cost reporting,
25 expenditure, revenue, billings, etc., are prepared and maintained accurately and appropriately.

26 C. CONTRACTOR shall ensure all appropriate state and federal standards of documentation,
27 preparation, and confidentiality of records related to Client records are met at all times.

28 D. CONTRACTOR shall retain all financial records for a minimum of ten (10) years from the
29 commencement of the contract, unless a longer period is required due to legal proceedings such as
30 litigations and/or settlement of claims.

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

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

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

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

4
5 **XXIV. RESEARCH AND PUBLICATION**

6 CONTRACTOR shall not utilize information and/or data received from COUNTY, or arising out
7 of, or developed, as a result of this Contract for the purpose of personal or professional research, or for
8 publication.

9
10 **XXV. SEVERABILITY**

11 If a court of competent jurisdiction declares any provision of this Contract or application thereof to
12 any person or circumstances to be invalid or if any provision of this Contract contravenes any federal,
13 state or county statute, ordinance, or regulation, the remaining provisions of this Contract or the
14 application thereof shall remain valid, and the remaining provisions of this Contract shall remain in full
15 force and effect, and to that extent the provisions of this Contract are severable.

16
17 **XXVI. SPECIAL PROVISIONS**

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

- 20 1. Making cash payments to intended recipients of services through this Contract.
- 21 2. Lobbying any governmental agency or official. CONTRACTOR shall file all certifications
22 and reports in compliance with this requirement pursuant to Title 31, USC, §1352 (e.g., limitation on
23 use of appropriated funds to influence certain federal contracting and financial transactions).
- 24 3. Fundraising.
- 25 4. Purchase of gifts, meals, entertainment, awards, or other personal expenses for
26 CONTRACTOR’s staff, volunteers, interns, consultants, subcontractors, and members of the Board of
27 Directors or governing body.
- 28 5. Reimbursement of CONTRACTOR’s members of the Board of Directors or governing
29 body for expenses or services.
- 30 6. Making personal loans to CONTRACTOR’s staff, volunteers, interns, consultants,
31 subcontractors, and members of the Board of Directors or governing body, or its designee or authorized
32 agent, or making salary advances or giving bonuses to CONTRACTOR’s staff.
- 33 7. Paying an individual salary or compensation for services at a rate in excess of the current
34 Level I of the Executive Salary Schedule as published by the OPM. The OPM Executive Salary
35 Schedule may be found at www.opm.gov.
- 36 8. Severance pay for separating employees.
- 37 9. Paying rent and/or lease costs for a facility prior to the facility meeting all required building

1 codes and obtaining all necessary building permits for any associated construction.

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

- 4 1. Funding travel or training (excluding mileage or parking).
- 5 2. Making phone calls outside of the local area unless documented to be directly for the
6 purpose of Client care.
- 7 3. Payment for grant writing, consultants, certified public accounting, or legal services.
- 8 4. Purchase of artwork or other items that are for decorative purposes and do not directly
9 contribute to the quality of services to be provided pursuant to this Contract.

10
11 **XXVII. STATUS OF CONTRACTOR**

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

23
24 **XXVIII. TERM**

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

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

33
34 **XXIX. TERMINATION**

35 A. CONTRACTOR shall be responsible for meeting all programmatic and administrative
36 contracted objectives and requirements as indicated in this Contract. CONTRACTOR shall be subject
37 to the issuance of a CAP for the failure to perform to the level of contracted objectives, continuing to not

1 meet goals and expectations, and/or for non-compliance. If CAPs are not completed within timeframe
2 as determined by ADMINISTRATOR notice, payments may be reduced or withheld until CAP is
3 resolved and/or the Contract could be terminated.

4 B. COUNTY may terminate this Contract immediately, upon written notice, on the occurrence of
5 any of the following events:

6 1. The loss by CONTRACTOR of legal capacity.
7 2. Cessation of services.
8 3. The delegation or assignment of CONTRACTOR's services, operation or administration to
9 another entity without the prior written consent of COUNTY.

10 4. The neglect by any physician or licensed person employed by CONTRACTOR of any duty
11 required pursuant to this Contract.

12 5. The loss of accreditation or any license required by the Licenses and Laws Paragraph of
13 this Contract.

14 6. The continued incapacity of any physician or licensed person to perform duties required
15 pursuant to this Contract.

16 7. Unethical conduct or malpractice by any physician or licensed person providing services
17 pursuant to this Contract; provided, however, COUNTY may waive this option if CONTRACTOR
18 removes such physician or licensed person from serving persons treated or assisted pursuant to this
19 Contract.

20 C. CONTINGENT FUNDING

21 1. Any obligation of COUNTY under this Contract is contingent upon the following:

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

24 b. Inclusion of sufficient funding for the services hereunder in the applicable budget(s)
25 approved by the Board of Supervisors.

26 2. In the event such funding is subsequently reduced or terminated, COUNTY may suspend,
27 terminate or renegotiate this Contract upon thirty (30) calendar days' written notice given
28 CONTRACTOR. If COUNTY elects to renegotiate this Contract due to reduced or terminated funding,
29 CONTRACTOR shall not be obligated to accept the renegotiated terms.

30 D. In the event this Contract is suspended or terminated prior to the completion of the term as
31 specified in the Referenced Contract Provisions of this Contract, ADMINISTRATOR may, at its
32 sole discretion, reduce the Not To Exceed Amount of this Contract to be consistent with the reduced
33 term of the Contract.

34 E. In the event this Contract is terminated CONTRACTOR shall do the following:

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

37 2. Obtain immediate clarification from ADMINISTRATOR of any unsettled issues of contract

1 performance during the remaining contract term.

2 3. Until the date of termination, continue to provide the same level of service required by this
3 Contract.

4 4. If Clients are to be transferred to another facility for services, furnish ADMINISTRATOR,
5 upon request, all Client information and records deemed necessary by ADMINISTRATOR to effect an
6 orderly transfer.

7 5. Assist ADMINISTRATOR in effecting the transfer of Clients in a manner consistent with
8 Client's best interests.

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

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

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

19 9. Provide written notice of termination of services to each Client being served under this
20 Contract, within fifteen (15) calendar days of receipt of termination notice. A copy of the notice of
21 termination of services must also be provided to ADMINISTRATOR within the fifteen (15) calendars
22 day period.

23 F. COUNTY may terminate this Contract, without cause, upon thirty (30) calendar days' written
24 notice. The rights and remedies of COUNTY provided in this Termination Paragraph shall not be
25 exclusive, and are in addition to any other rights and remedies provided by law or under this Contract.

26
27 **XXX. THIRD PARTY BENEFICIARY**


28 Neither Party hereto intends that this Contract shall create rights hereunder in third parties
29 including, but not limited to, any subcontractors or any Clients provided services pursuant to this
30 Contract.


31
32 **XXXI. WAIVER OF DEFAULT OR BREACH**

33 Waiver by COUNTY of any default by CONTRACTOR shall not be considered a waiver of any
34 subsequent default. Waiver by COUNTY of any breach by CONTRACTOR of any provision of this
35 Contract shall not be considered a waiver of any subsequent breach. Waiver by COUNTY of any
36 default or any breach by CONTRACTOR shall not be considered a modification of the terms of this
37 Contract.

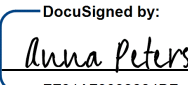
1 IN WITNESS WHEREOF, the Parties have executed this Contract, in the County of Orange, State
2 of California.

3
4 EMERGENCY REGISTRY NURSING SERVICES, INC.

5
6 BY:  DocuSigned by:
7 _____ DATED: 4/24/2020
8 E98DEF60AEC747B...
9 TITLE: Executive Vice president

10
11 BY:  DocuSigned by:
12 _____ DATED: 4/27/2020
13 F45325BE02054DE...
14 TITLE: CFO

15
16
17 COUNTY OF ORANGE

18
19 BY:  DocuSigned by:
20 _____ DATED: 4/27/2020
21 FF91A79093884BF...
22 PURCHASING AGENT/DESIGNEE

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34
35 If the contracting party is a corporation, two (2) signatures are required: one (1) signature by the Chairman of the Board, the
36 President or any Vice President; and one (1) signature by the Secretary, any Assistant Secretary, the Chief Financial Officer
37 or any Assistant Treasurer. If the contract is signed by one (1) authorized individual only, a copy of the corporate resolution
or by-laws whereby the Board of Directors has empowered said authorized individual to act on its behalf by his or her
signature alone is required by ADMINISTRATOR.

EXHIBIT A
 TO CONTRACT FOR THE PROVISION OF SURGE NURSING SERVICES
 BETWEEN
 COUNTY OF ORANGE
 AND
 EMERGENCY REGISTRY NURSING SERVICES
 APRIL 23, 2020 THROUGH DECEMBER 31, 2020

I. PAYMENTS

COUNTY shall pay CONTRACTOR at the agreed upon rates for Surge Nursing Services:

Surge Nursing Services	Hourly Rates
Bachelor of Science in Nursing (BSN)	\$90.00
Registered Nurse (RN)	\$80.00
Licensed Vocational Nurse (LVN)	\$50.00
Medical Assistant (MA) X-Ray Tech (Limited Permit to include Digital Radiography)	\$45.00
Certified Nursing Assistant	\$30.00

A. CONTRACTOR and ADMINSTRATOR agree that additional Surge Nursing Services may be needed throughout the term of the Contract. Should additional Surge Nursing Services be needed, than those services listed, ADMINISTRATOR will approve the Surge Nursing Service on a case-by-case basis and determine an appropriate hourly rate.

B. CONTRACTOR's billings shall be on a form approved or provided by ADMINISTRATOR and shall include information required by ADMINISTRATOR. COUNTY should release payments to CONTRACTOR no later than twenty-one (21) business days after receipt of the correctly completed billing form.

C. All billings to COUNTY shall be supported at CONTRACTOR's facility, by source documentation including, but are not limited to, ledgers, books, vouchers, journals, time sheets, payrolls, appointment schedules, Client data cards, schedules for allocating costs, invoices, bank statements, canceled checks, receipts, receiving records, and records of services provided. ADMINISTRATOR may require CONTRACTOR to submit documentation in support of the weekly billing.

D. All invoices must include address of where services were provided.

E. ADMINISTRATOR may withhold or delay any payment or partial payment if CONTRACTOR fails to comply with any provision of this Contract, including, but are not limited to, CONTRACTOR's

1 obligations with respect to data collection, reporting requirements, correcting deficiencies, or delays in
2 progressing satisfactorily in achieving all the terms of the Contract.

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

6 G. ADMINISTRATOR and CONTRACTOR may mutually agree, in writing, to modify the
7 Payments Paragraph of this Exhibit A to the Contract.

8 9 **II. RECORDS**

10 A. ACTIVITY RECORDS – CONTRACTOR shall maintain adequate records of its services
11 provided in sufficient detail to permit an evaluation of services. Records shall include sign in sheets for
12 events, flyers or other promotional materials, as well as an activity log for technical assistance.

13 B. FINANCIAL RECORDS – CONTRACTOR shall prepare and maintain accurate and complete
14 financial records of its costs and operating expenses. Such records shall reflect the actual costs of the
15 type of service for which payment is claimed. Any apportionment of or distribution of costs, including
16 indirect costs, to or between programs or cost centers of CONTRACTOR shall be documented, and
17 shall be made in accordance with generally accepted principles of accounting.

18 19 **III. REPORTS**

20 A. CONTRACTOR shall submit, on forms provided or approved by ADMINISTRATOR,
21 financial and/or programmatic reports if requested by ADMINISTRATOR concerning
22 CONTRACTOR's activities as they relate to the Contract. ADMINISTRATOR will be specific as to
23 the nature of the information requested and allow thirty (30) calendar days for CONTRACTOR to
24 respond.

25 B. FISCAL – Weekly reports, submitted with CONTRACTOR's billings, which shall include, at a
26 minimum, the number of activities and contacts achieved and number of staff hours worked, but not be
27 limited to the following unless otherwise agreed to in writing by ADMINISTRATOR.

28 C. CONTRACTOR shall electronically submit a weekly expenditure report to ADMINISTRATOR
29 and designated COUNTY staff, in support of the weekly invoice. These reports shall be on a form
30 provided or approved by ADMINISTRATOR, and shall include the units of service provided and actual
31 costs for each of CONTRACTOR's program(s) or cost center(s) described in the Service paragraph of
32 this Exhibit A to the Contract. Reports are due to ADMINISTRATOR no later than the twentieth (20th)
33 calendar day of the month following the month in which services were performed under the Contract,
34 unless otherwise agreed to in writing by ADMINISTRATOR.

35 D. PROGRAMMATIC – Periodic programmatic reports on forms provided or approved by
36 ADMINISTRATOR, which shall include, a description of CONTRACTOR's progress in implementing
37 the provisions of this Contract; any pertinent facts or interim findings; staff changes; and status of

1 licenses and/or certifications. CONTRACTOR shall report on whether or not it is progressing
2 satisfactorily in achieving all the terms of the Contract, and if not, shall specify what steps will be
3 taken to achieve satisfactory progress. These periodic programmatic reports shall be submitted
4 according to the timeline specified by ADMINISTRATOR.

5 E. ADDITIONAL REPORTS – CONTRACTOR shall make additional reports, as required by
6 ADMINISTRATOR, concerning CONTRACTOR’s activities as they affect the services hereunder.
7 ADMINISTRATOR will be specific as to the nature of information requested and allow thirty (30)
8 calendar days for CONTRACTOR to respond.

9 F. All records and reports submitted to ADMINISTRATOR shall become the property of
10 COUNTY.

11 G. ADMINISTRATOR and CONTRACTOR may mutually agree, in writing, to modify the
12 Reports Paragraph of this Exhibit A to the Contract.

13
14 **IV. SERVICES**

15 **A. TARGET POPULATION**

16 Public Health Services Radiology Technician services shall be provided to all exposed or susceptible
17 residents or visitors in Orange County as directed by HCA.

18 **B. SERVICES TO BE PROVIDED**

19 CONTRACTOR shall provide services that include the following:

20 1. CONTRACTOR shall provide Radiology Technician Services including performing
21 radiographic procedures at a skilled level for the purpose of obtaining prescribed diagnostic
22 radiographic images, processing work in an electronic health record, and effectively coordinating
23 radiology services with other clinic staff.

24 **C. PERFORMANCE OBJECTIVES**

25 CONTRACTOR shall ensure that the following performance objectives are met:

26 1. CONTRACTOR shall provide appropriately licensed and experienced radiology
27 technicians on an ongoing basis within 24 hours of notice.

28 2. CONTRACTOR shall have the capacity to provide consistent full-time staff which includes
29 radiology technicians and other licensed medical professionals on an ongoing basis for up to three (3)
30 months as needed for core Public Health services.

31 3. CONTRACTOR shall provide radiology technician personnel as needed for clinical
32 services.

33 **D. STAFFING REQUIREMENTS**

34 CONTRACTOR shall ensure that the projects staffing includes the following:

35 1. Radiology Technician certificate and/or prior Public Health experience in communicable
36 disease response preferred.

37

1 2. Contractor must be willing to screen and pass all potential candidates before placing for this
2 contract for the following:

3 a) Tuberculosis (TB) clearance – Candidates must provide TB test results either from two
4 consecutive years (no more than 12 months apart), the most recent within the last 12 months. Or two (2)
5 step TB testing (initial test and 2nd test 1-4 weeks after the first) completed within the last
6 12 months.

7 b) For Previous Positive reactors, proof of a positive TB skin test is required. If there is
8 no proof, candidate needs to be tested. Candidate will also be required to provide a report from a chest
9 x-ray within the last 12 months.

10 c) Sanction Screening – Candidates must be sanction screened to ensure they are not
11 designated as an ineligible person. Applicant must keep screening results on file for the period defined
12 in the contract. Screening shall be completed using the General Services Administration’s Excluded
13 Parties List System or System for Award Management, The Health and Humans Services/Office of
14 Inspector General List of Excluded Individuals/Entities, and the California Medi-Cal Suspended and
15 Ineligible Provider List and /or any other as identified by the Administrator. The links are:

16 1) System for Award Management:<https://www.sam.gov>

17 2) HHS Inspector General List: <https://exclusions.oig.hhs.gov/>

18 3) California Medi-Cal Suspended and Ineligible provider list:

19 <http://files.medi-cal.ca.gov>

20 E. CONTRACTOR shall not conduct any proselytizing activities, regardless of funding sources,
21 with respect to any person who has been referred to CONTRACTOR by COUNTY under the terms of
22 this Contract. Further, CONTRACTOR agrees that the funds provided hereunder shall not be used to
23 promote, directly or indirectly, any religion, religious creed or cult, denomination or sectarian
24 institution, or religious belief.

25 F. CONTRACTOR shall make its best efforts to provide services pursuant to this Contract in a
26 manner that is culturally and linguistically appropriate for the population(s) served. CONTRACTOR
27 shall maintain documentation of such efforts which may include, but not be limited to: records of
28 participation in COUNTY-sponsored or other applicable training; recruitment and hiring policies and
29 procedures; copies of literature in multiple languages and formats, as appropriate; and descriptions of
30 measures taken to enhance accessibility for, and sensitivity to, persons who are physically challenged.

31 G. ADMINISTRATOR and CONTRACTOR may mutually agree, in writing, to modify the
32 Services Paragraph of this Exhibit A to the Contract.

EXHIBIT B
 TO CONTRACT FOR THE PROVISION OF SURGE NURSING SERVICES
 BETWEEN
 COUNTY OF ORANGE
 AND
 EMERGENCY REGISTRY NURSING SERVICES
 APRIL 23, 2020 THROUGH DECEMBER 31, 2020

I. BUSINESS ASSOCIATE CONTRACT

A. GENERAL PROVISIONS AND RECITALS

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

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

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

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

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

6. The parties understand that the HIPAA Privacy and Security rules, as defined below in Subparagraphs B.9 and B.14, apply to the CONTRACTOR in the same manner as they apply to the covered entity (COUNTY). CONTRACTOR agrees therefore to be in compliance at all times with the terms of this Business Associate Contract, as it exists now or be hereafter updated with notice to CONTRACTOR, and the applicable standards, implementation specifications, and requirements of the Privacy and the Security rules, as they may exist now or be hereafter amended, with respect to PHI and ePHI created, received, maintained, transmitted, used, or disclosed pursuant to the Agreement.

1 B. DEFINITIONS

2 1. "Administrative Safeguards" are administrative actions, and P&Ps, to manage the selection,
3 development, implementation, and maintenance of security measures to protect ePHI and to manage the
4 conduct of CONTRACTOR's workforce in relation to the protection of that information.

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

7 a. Breach excludes:

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

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

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

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

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

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

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

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

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

30 4. "DRS" shall have the meaning given to such term under the HIPAA Privacy Rule in
31 45 CFR § 164.501.

32 5. "Disclosure" shall have the meaning given to such term under the HIPAA regulations in
33 45 CFR § 160.103.

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

1 7. "Individual" shall have the meaning given to such term under the HIPAA Privacy Rule in
2 45 CFR § 160.103 and shall include a person who qualifies as a personal representative in accordance
3 with 45 CFR § 164.502(g).

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

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

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

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

13 12. "Secretary" shall mean the Secretary of the Department of HHS or his or her designee.

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

19 14. "The HIPAA Security Rule" shall mean the Security Standards for the Protection of ePHI at
20 45 CFR Part 160, Part 162, and Part 164, Subparts A and C.

21 15. "Subcontractor" shall have the meaning given to such term under the HIPAA regulations in
22 45 CFR § 160.103.

23 16. "Technical safeguards" means the technology and the P&Ps for its use that protect ePHI
24 and control access to it.

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

28 18. "Use" shall have the meaning given to such term under the HIPAA regulations in
29 45 CFR § 160.103.

30 C. OBLIGATIONS AND ACTIVITIES OF CONTRACTOR AS BUSINESS ASSOCIATE

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

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

1 3. CONTRACTOR agrees to comply with the HIPAA Security Rule at Subpart C of
2 45 CFR Part 164 with respect to ePHI COUNTY discloses to CONTRACTOR or CONTRACTOR
3 creates, receives, maintains, or transmits on behalf of COUNTY.

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

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

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

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

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

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

28 10. CONTRACTOR agrees to document any Disclosures of PHI COUNTY discloses to
29 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY,
30 and to make information related to such Disclosures available as would be required for COUNTY to
31 respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with
32 45 CFR § 164.528.

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

37

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

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

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

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

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

33 a. CONTRACTOR does not promptly enter into negotiations to amend this Business
34 Associate Contract when requested by COUNTY pursuant to this Subparagraph C; or

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

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

4 D. SECURITY RULE

5 1. CONTRACTOR shall comply with the requirements of 45 CFR § 164.306 and establish
6 and maintain appropriate Administrative, Physical and Technical Safeguards in accordance with
7 45 CFR § 164.308, § 164.310, and § 164.312, with respect to ePHI COUNTY discloses to
8 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY.
9 CONTRACTOR shall develop and maintain a written information privacy and security program that
10 includes Administrative, Physical, and Technical Safeguards appropriate to the size and complexity of
11 CONTRACTOR's operations and the nature and scope of its activities.

12 2. CONTRACTOR shall implement reasonable and appropriate P&Ps to comply with the
13 standards, implementation specifications and other requirements of 45 CFR Part 164, Subpart C, in
14 compliance with 45 CFR § 164.316. CONTRACTOR will provide COUNTY with its current and
15 updated policies upon request.

16 3. CONTRACTOR shall ensure the continuous security of all computerized data systems
17 containing ePHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives,
18 maintains, or transmits on behalf of COUNTY. CONTRACTOR shall protect paper documents
19 containing PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives,
20 maintains, or transmits on behalf of COUNTY. These steps shall include, at a minimum:

21 a. Complying with all of the data system security precautions listed under Subparagraph
22 E., below;

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

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

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

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

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

1 E. DATA SECURITY REQUIREMENTS

2 1. Personal Controls

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

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

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

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

28 2. Technical Security Controls

29 a. Workstation/Laptop encryption. All workstations and laptops that store PHI COUNTY
30 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
31 COUNTY either directly or temporarily must be encrypted using a FIPS 140-2 certified algorithm which
32 is 128bit or higher, such as AES. The encryption solution must be full disk unless approved by the
33 COUNTY.

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

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

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

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

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

23 g. User IDs and Password Controls. All users must be issued a unique user name for
24 accessing PHI COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains,
25 or transmits on behalf of COUNTY. Username must be promptly disabled, deleted, or the password
26 changed upon the transfer or termination of an employee with knowledge of the password, at maximum
27 within twenty-four (24) hours. Passwords are not to be shared. Passwords must be at least eight
28 characters and must be a non-dictionary word. Passwords must not be stored in readable format on the
29 computer. Passwords must be changed every ninety (90) days, preferably every sixty (60) days.
30 Passwords must be changed if revealed or compromised. Passwords must be composed of characters
31 from at least three (3) of the following four (4) groups from the standard keyboard:

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

36 h. Data Destruction. When no longer needed, all PHI COUNTY discloses to
37 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY

1 must be wiped using the Gutmann or US DoD 5220.22-M (7 Pass) standard, or by degaussing. Media
2 may also be physically destroyed in accordance with NIST Special Publication 800-88. Other methods
3 require prior written permission by COUNTY.

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

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

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

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

23 m. Transmission encryption. All data transmissions of PHI COUNTY discloses to
24 CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of COUNTY
25 outside the secure internal network must be encrypted using a FIPS 140-2 certified algorithm which is
26 128bit or higher, such as AES. Encryption can be end to end at the network level, or the data files
27 containing PHI can be encrypted. This requirement pertains to any type of PHI in motion such as
28 website access, file transfer, and E-Mail.

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

33 3. Audit Controls

34 a. System Security Review. CONTRACTOR must ensure audit control mechanisms that
35 record and examine system activity are in place. All systems processing and/or storing PHI COUNTY
36 discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on behalf of
37 COUNTY must have at least an annual system risk assessment/security review which provides

1 assurance that administrative, physical, and technical controls are functioning effectively and providing
2 adequate levels of protection. Reviews should include vulnerability scanning tools.

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

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

10 4. Business Continuity/Disaster Recovery Control

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

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

23 5. Paper Document Controls

24 a. Supervision of Data. PHI COUNTY discloses to CONTRACTOR or CONTRACTOR
25 creates, receives, maintains, or transmits on behalf of COUNTY in paper form shall not be left
26 unattended at any time, unless it is locked in a file cabinet, file room, desk or office. Unattended means
27 that information is not being observed by an employee authorized to access the information. Such PHI
28 in paper form shall not be left unattended at any time in vehicles or planes and shall not be checked in
29 baggage on commercial airplanes.

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

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

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

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

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

16 F. BREACH DISCOVERY AND NOTIFICATION

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

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

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

26 2. CONTRACTOR shall provide the notification of the Breach immediately to the COUNTY
27 Privacy Officer. CONTRACTOR's notification may be oral, but shall be followed by written
28 notification within twenty-four (24) hours of the oral notification.

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

30 a. The identification of each Individual whose Unsecured PHI has been, or is reasonably
31 believed by CONTRACTOR to have been, accessed, acquired, used, or disclosed during the Breach;

32 b. Any other information that COUNTY is required to include in the notification to
33 Individual under 45 CFR §164.404 (c) at the time CONTRACTOR is required to notify COUNTY or
34 promptly thereafter as this information becomes available, even after the regulatory sixty (60) day
35 period set forth in 45 CFR § 164.410 (b) has elapsed, including:

36 1) A brief description of what happened, including the date of the Breach and the date
37 of the discovery of the Breach, if known;

1 2) A description of the types of Unsecured PHI that were involved in the Breach (such
2 as whether full name, social security number, date of birth, home address, account number, diagnosis,
3 disability code, or other types of information were involved);

4 3) Any steps Individuals should take to protect themselves from potential harm
5 resulting from the Breach;

6 4) A brief description of what CONTRACTOR is doing to investigate the Breach, to
7 mitigate harm to Individuals, and to protect against any future Breaches; and

8 5) Contact procedures for Individuals to ask questions or learn additional information,
9 which shall include a toll-free telephone number, an E-Mail address, Web site, or postal address.

10 4. COUNTY may require CONTRACTOR to provide notice to the Individual as required in
11 45 CFR § 164.404, if it is reasonable to do so under the circumstances, at the sole discretion of the
12 COUNTY.

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

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

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

25 8. CONTRACTOR shall continue to provide all additional pertinent information about the
26 Breach to COUNTY as it may become available, in reporting increments of five (5) business days after
27 the last report to COUNTY. CONTRACTOR shall also respond in good faith to any reasonable
28 requests for further information, or follow-up information after report to COUNTY, when such request
29 is made by COUNTY.

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

34 **G. PERMITTED USES AND DISCLOSURES BY CONTRACTOR**

35 1. CONTRACTOR may use or further disclose PHI COUNTY discloses to CONTRACTOR
36 as necessary to perform functions, activities, or services for, or on behalf of, COUNTY as specified in
37

1 the Agreement, provided that such use or Disclosure would not violate the HIPAA Privacy Rule if done
2 by COUNTY except for the specific Uses and Disclosures set forth below.

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

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

8 1) The Disclosure is required by law; or

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

14 c. CONTRACTOR may use or further disclose PHI COUNTY discloses to
15 CONTRACTOR to provide Data Aggregation services relating to the Health Care Operations of
16 CONTRACTOR.

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

19 3. CONTRACTOR may use and disclose PHI COUNTY discloses to CONTRACTOR
20 consistent with the minimum necessary P&Ps of COUNTY.

21 4. CONTRACTOR may use or disclose PHI COUNTY discloses to CONTRACTOR as
22 required by law.

23 H. PROHIBITED USES AND DISCLOSURES

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

29 2. CONTRACTOR shall not directly or indirectly receive remuneration in exchange for PHI
30 COUNTY discloses to CONTRACTOR or CONTRACTOR creates, receives, maintains, or transmits on
31 behalf of COUNTY, except with the prior written consent of COUNTY and as permitted by 42 USC §
32 17935(d)(2).

33 I. OBLIGATIONS OF COUNTY

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

37

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

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

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

9 J. BUSINESS ASSOCIATE TERMINATION

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

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

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

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

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

22 b. CONTRACTOR shall retain no copies of the PHI.

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

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

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EXHIBIT C
 TO CONTRACT FOR THE PROVISION OF SURGE NURSING SERVICES
 BETWEEN
 COUNTY OF ORANGE
 AND
 EMERGENCY NURSING REGISTRY SERVICES
 APRIL 23, 2020 THROUGH DECEMBER 31, 2020

I. PERSONAL INFORMATION PRIVACY AND SECURITY CONTRACT

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

A. DEFINITIONS

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

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

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

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

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

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

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

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

9. "Required by law" means a mandate contained in law that compels an entity to make a use or disclosure of PI or PII that is enforceable in a court of law. This includes, but is not limited to, court orders and court-ordered warrants, subpoenas or summons issued by a court, grand jury, a governmental or tribal inspector general, or an administrative body authorized to require the production of information, and a civil or an authorized investigative demand. It also includes Medicare conditions of participation with respect to health care providers participating in the program, and statutes or regulations that require the production of information, including statutes or regulations that require such information if payment is sought under a government program providing public benefits.

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

4 B. TERMS OF AGREEMENT

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

9 2. Responsibilities of CONTRACTOR

10 CONTRACTOR agrees:

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

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

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

26 1) Complying with all of the data system security precautions listed in Subparagraph
27 E. of the Business Associate Contract, Exhibit B to the Agreement; and

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

32 3) If the data obtained by CONTRACTOR from COUNTY includes PII,
33 CONTRACTOR shall also comply with the substantive privacy and security requirements in the
34 CMPPA Agreement between the SSA and the CHHS and in the Agreement between the SSA and
35 DHCS, known as the IEA. The specific sections of the IEA with substantive privacy and security
36 requirements to be complied with are sections E, F, and G, and in Attachment 4 to the IEA, Electronic
37 Information Exchange Security Requirements, Guidelines and Procedures for Federal, State and Local

1 Agencies Exchanging Electronic Information with the SSA. CONTRACTOR also agrees to ensure that
2 any of CONTRACTOR's agents or subcontractors, to whom CONTRACTOR provides DHCS PII agree
3 to the same requirements for privacy and security safeguards for confidential data that apply to
4 CONTRACTOR with respect to such information.

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

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

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

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

23 h. Breaches and Security Incidents. During the term of the Agreement, CONTRACTOR
24 agrees to implement reasonable systems for the discovery of any Breach of unsecured DHCS PI and PII
25 or security incident. CONTRACTOR agrees to give notification of any Breach of unsecured DHCS PI
26 and PII or security incident in accordance with Subparagraph F, of the Business Associate Contract,
27 Exhibit B to the Agreement.

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