

File No. 220920

Committee Item No. 12

Board Item No. _____

COMMITTEE/BOARD OF SUPERVISORS

AGENDA PACKET CONTENTS LIST

Committee: Budget and Finance Committee Date November 9, 2022

Board of Supervisors Meeting Date _____

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OTHER (Use back side if additional space is needed)

- Budget Justification
- Executed Agreement 5/9/2022
- _____
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- _____
- _____
- _____
- _____
- _____
- _____

Completed by: Brent Jalipa Date November 3, 2022

Completed by: Brent Jalipa Date _____

1 [Emergency Contract - Retroactive - Health Management Associates, Inc. - Specialized
2 Consulting Services - Not to Exceed \$6,240,969]

3 **Resolution retroactively authorizing the Department of Public Health to enter into an**
4 **emergency contract with Health Management Associates, Inc., in compliance with**
5 **Section 21.15 of the Administrative Code requiring approval by the Board of**
6 **Supervisors for any emergency contract in excess of \$100,000 for the purpose of**
7 **providing specialized consulting services, in an amount not to exceed \$3,782,365 for a**
8 **term of thirteen and one-half months, from May 9, 2022, through June 30, 2023; and**
9 **approving Amendment 1 to the agreement for providing specialized consulting**
10 **services to increase the agreement by \$2,458,604 for an amount not to exceed**
11 **\$6,240,969 with no change to the contract term from May 9, 2022, through June 30,**
12 **2023; and to authorize the Department of Public Health to enter into any amendments**
13 **or modifications to the contract that do not otherwise materially increase the**
14 **obligations or liabilities to the City and are necessary or advisable to effectuate the**
15 **purposes of the contract or this Resolution.**

16
17 WHEREAS, On October 14, 2021, the California Department of Public Health (CDPH)
18 completed an extended survey at Laguna Honda Hospital (LHH) of two incidents of non-fatal
19 drug overdoses; in February 2022, the Centers for Medicare & Medicaid Services (CMS)
20 issued LHH \$243,045 in civil monetary penalties based on those deficiencies; between
21 January 21, 2022, and April 13, 2022, CDPH conducted three revisits, where it found
22 additional deficiencies that showed that LHH was out of compliance with all applicable
23 Medicare Conditions of Participation; on April 13, 2022, CDPH and CMS informed LHH that
24 since it was still out of compliance with the applicable Medicare Conditions of Participation,
25

1 termination of the CMS Provider Agreement and certification in the Medicare/Medicaid
2 program would become effective at 12:01 a.m. on April 14, 2022; and

3 WHEREAS, LHH intends to seek reinstatement of its Medicare/Medicaid program
4 certification and execute a new CMS Provider Agreement; to obtain reinstatement and a new
5 Provider Agreement, the Department of Public Health (DPH) must demonstrate that LHH
6 substantially complies with all applicable Medicare Conditions of Participation; the
7 reapplication process will include an application, an initial survey, a 3-4-month reasonable
8 assurance period, and a second survey to ensure that LHH remains in substantial
9 compliance; and

10 WHEREAS, Should DPH's reinstatement efforts fail, DPH would begin to lose up to
11 \$17 million monthly in Medicare and Medicaid funding; further, without this funding, DPH
12 could be forced to close LHH, which would require transfer and relocation of all LHH patients;
13 and

14 WHEREAS, There is a need to enter into contracts with qualified providers for
15 specialized services in support of LHH recertification efforts; and

16 WHEREAS, The initial consultation has identified additional areas to support LHH
17 recertification efforts; now, therefore, be it

18 RESOLVED, That the Board of Supervisors hereby retroactively authorizes the Director
19 of Public Health and the Director of the Office of Contract Administration/Purchaser, on behalf
20 of the City and County of San Francisco, to enter into an emergency contract for providing
21 specialized consulting services in support of LHH recertification efforts, in the amount of
22 \$3,782,365 for the term of thirteen and one-half months, from May 9, 2022, through June 30,
23 2023; and, be it

24 FURTHER RESOLVED, That the Board of Supervisors hereby authorizes the Director
25 of Public Health and the Director of the Office of Contract Administration/Purchaser, on behalf

1 of the City and County of San Francisco, to enter into an Amendment 1 to the agreement for
2 providing specialized consulting services in support of LHH recertification efforts, to increase
3 the original agreement of \$3,782,365 by \$2,458,604 for an amount not to exceed \$6,240,969
4 for a total agreement term of thirteen and one-half months, from May 9, 2022, through June
5 30, 2023; and, be it

6 FURTHER RESOLVED, That the Board of Supervisors authorizes the Department of
7 Public Health to enter into any amendments or modifications to the contract, prior to its final
8 execution by all parties, that the Department determines, in consultation with the City
9 Attorney, are in the best interests of the City, do not otherwise materially increase the
10 obligations or liabilities of the City, are necessary or advisable to effectuate the purposes of
11 the contract, and are in compliance with all applicable laws; and, be it

12 FURTHER RESOLVED, That within thirty (30) days of Amendment 1 being fully
13 executed by all parties, the Director of Health and/or the Director of the Office of Contract
14 Administration/Purchaser shall provide the final contracts to the Clerk of the Board for inclusion
15 into the official File No. 220920.

16
17 RECOMMENDED

18 _____
19 /s/

20 Dr. Grant Colfax
21 Director of Health
22
23
24
25

Item 12 File 22-0920 <i>(Continued from 11/2/2022)</i>	Department: Public Health
EXECUTIVE SUMMARY	
Legislative Objectives	
<ul style="list-style-type: none"> • The proposed resolution would retroactively approve an emergency contract between the Department of Public Health and Health Management Associates, Inc. (HMA) in an amount not to exceed \$6,240,969 from May 9, 2022, through June 30, 2023. 	
Key Points	
<ul style="list-style-type: none"> • Laguna Honda Hospital (LHH) is seeking reinstatement of its Medicare and Medicaid program certification from the federal Centers for Medicare and Medicaid Services (CMS). • The proposed first amendment increases the billable hours from 8,727 to 14,540 and increases associated travel expenses for the vendor to support recertification through December 31, 2022. The original agreement was based on a September 2022 recertification timeline. • The scope of services includes five tasks: (1) Comprehensive Assessment, (2) CMS Re-application, Readiness Assessment and Mock Survey, (3) Comprehensive Education and Training Curriculum Approach, (4) Extension of HMA Resources for Revised Certification Timeline, and (5) Infection Control Consultation. 	
Fiscal Impact	
<ul style="list-style-type: none"> • Total contract costs are \$6,240,969 and are based on staff time across all tasks, which totals 14,540 hours. Billing rates range between \$200 and \$450 per hour. Costs are paid by the General Fund and Laguna Honda operating fund. 	
Recommendation	
<ul style="list-style-type: none"> • Approve the proposed resolution. 	

MANDATE STATEMENT

Administrative Code Section 21.15 states that emergency contacts to procure commodities or services that are more than \$100,000 are subject to Board of Supervisors approval. If the emergency permits, the Department must also secure written approval from the Mayor or Mayor's designee, or the president of the board or commission concerned. If the emergency does not permit approval of the emergency determination by the Board of Supervisors before work begins, the Department head must submit a resolution approving the emergency determination to the Board of Supervisors as soon as possible. The Department shall attempt to obtain at least three bids for emergency purchases.

BACKGROUND

Laguna Honda Hospital (LHH) is seeking reinstatement of its Medicare and Medicaid program certification from the federal Centers for Medicare and Medicaid Services (CMS). The deadline to do so is Fall 2023. To prepare for the recertification process, the Department of Public Health (DPH) entered into three emergency contracts with health care consulting firms. The Board of Supervisors approved two emergency contracts with the following vendors: (1) Tryfacta, Inc. to provide temporary staffing services for an amount not to exceed \$1,000,000 from June 2022 to December 2022 (File 22-0921); and (2) Health Services Advisory Group, Inc. (HSAG) to provide in-depth evaluation and staff training to prepare for the CMS recertification audit. The HSAG contract has a not to exceed amount of \$6,989,564 and a term May 2022 to December 2022 (File 22-0922).

In May 2022, DPH also entered into a third emergency agreement with Health Management Associates, Inc. (HMA) to conduct an operational, clinical, and organizational assessment of LHH; as well as perform recertification survey readiness assessments and mock CMS audit surveys of LHH, for an amount not to exceed \$3,782,365 from May 9, 2022 to June 30, 2023 (This File 22-0920).

Vendor Selection Process

According to DPH staff, the proposed contract was procured under Administrative Code 21.15, which waives the competitive solicitation process and authorizes contracts to be entered in the "expeditious manner necessary in order to respond to the emergency." Administrative Code 21.15 was used to authorize vendors to immediately assist with the LHH recertification efforts, which was declared an emergency by the Director of Health and the Health Commission.

In April 2022, under Administrative Code Section 21.15, DPH issued an emergency solicitation for three tasks related to the LHH recertification efforts: (1) assessment; (2) re-application, readiness assessment and mock survey; and (3) as-needed staffing. According to DPH staff, the Department sent interview questions to interested vendors, reviewed their responses, and sent out final supplemental questions to select the final vendor for the proposed contract.

Administrative Code 21.15 requires departments to attempt to obtain at least three bids for purchases. According to DPH, the following five vendors bid on the contract: (1) FTI Consulting, (2) The Long Hill Company, (3) Moss Adams LLP, (4) Health Management Associates, Inc., and (5) David Hoffman & Associates, PC. Health Management Associates, Inc. received the highest bid score, and therefore was selected as the final vendor for the contract.

DETAILS OF PROPOSED LEGISLATION

The proposed resolution would retroactively approve an emergency contract and its first amendment between the DPH and Health Management Associates, Inc. (HMA) in an amount not to exceed \$6,240,969 and a term from May 9, 2022, through June 30, 2023. The proposed contract allows the City to terminate the contract agreement without cause.

First Amendment

The proposed first amendment increases the billable hours from 8,727 to 14,540 and increases associated travel expenses for the vendor to support recertification through December 31, 2022. The original agreement was based on a September 2022 recertification timeline. According to DPH staff, the additional hours will address recent updates in Phase 3¹ CMS regulations, which go live on October 24, 2022. DPH staff states that CMS surveyors will be assessing facilities nationwide using the new Phase 3 regulations beginning in October 2022.

Retroactive Approval

Administrative Code 21.15 requires Board of Supervisors' approval for emergency contracts that exceed \$100,000, and approvals must be obtained prior to executing the contract or "as soon thereafter as it is possible to do so." According to DPH staff, the Department did not bring this contract to the Board of Supervisors in May 2022 because staff needed to have vendors immediately begin services to address the emergency Laguna Honda recertification process.

Scope of Services

According to Appendix A of the proposed contract, HMA will provide the following consulting services from May 9, 2022, through June 30, 2023:

Task 1 – Comprehensive Assessment: This includes an operational, clinical and organizational assessment of LHH to determine performance gaps in areas such as regulatory standards compliance, effectiveness of operations, provision of care and the quality of health outcomes.²

Task 2 – CMS Re-application, Readiness Assessment and Mock Survey: This includes supporting LHH's efforts to prepare for CMS recertification by conducting recertification survey readiness

¹ The phases are updates to guidance pertaining to CMS Requirements of Participation. Phase 1 and Phase 2 were rolled out in November 2016 and 2017 respectively.

² According to Appendix A, "focus areas will include, but not be limited to: Executive Leadership, Organizational Structure, Medical Staff, Nursing Operations, Hospital Governing Body, Management, Administrative Operations, Care Models, Organizational Change Management and Financial Analysis of Care Models."

assessments, mock CMS audit surveys of LHH, and completing relevant California Department of Public Health Center (CDPH) and CMS licensing and certification forms.

Task 3 – Comprehensive Education and Training Curriculum Approach: This includes developing a training plan for all LHH employees around the areas of deficiencies to remediate knowledge, skills and competency gaps identified in the mock survey.

Task 4 – Extension of HMA Resources for Revised Certification Timeline: According to DPH, this entails the extension of on-site resources and travel to extend through December 2022 (instead of September 2022 as initially budgeted in the original agreement).

Task 5 – Infection Control Consultation: This entails providing on-site support to the LHH Infection Control Program to provide additional subject matter expertise to support Infection Prevention program assessment and improvement efforts. According to DPH staff, compliance with infection control regulations was identified as a barrier to recertification based on previous California Department of Public Health surveys, initial mock survey results, and consultant assessments

Performance Monitoring

According to Appendix A of the proposed contract, one performance measure will be tracked and monitored annually: (1) contracted tasks listed in Appendix A (as described above) as mutually agreed to by the vendor and DPH. The metric collected for this measure details that 100 percent of tasks mutually agreed to by the vendor and DPH will be completed.

FISCAL IMPACT

Exhibit 1 below shows the budget for the proposed contract, including the first amendment.

Exhibit 1: Health Management Associates, Inc. (HMA) Proposed Contract Budget from May 9, 2022 through June 30, 2023

Tasks	Hours	Budget
Task 1: Comprehensive Assessment	1,788	\$611,316
Task 2: CMS Re-Application Preparation	5,282	\$1,829,286
Task 3: Education	3,085	\$1,032,325
Task 4: Resource Extension	1,840	\$667,025
Task 5: Infection Control	360	\$72,000
Communications	310	\$116,366
Change Management	1,036	\$332,276
Project Management	839	\$305,725
Travel Expenses	n/a	\$798,000
Contingency (8%)		\$476,650
Total Amount	14,540	\$6,240,969

Source: Appendix B of First Amendment

As shown above, proposed contract costs are based on staff time across all tasks, which totals approximately 14,540 hours. Billing rates range between \$200 and \$450 per hour.³ According to DPH staff, the proposed expenditures were determined by the competitive industry rate for such services. Also, this is based on the number of staff on site weekly providing hands-on guidance and assistance for the scope of work. There are also administrative tasks performed off site such as policy and procedure review, coaching, and committee meetings with virtual attendance as appropriate. In addition, the proposed contract budget includes \$798,000 for travel expenses.⁴

Actual Spending

According to DPH staff, from May 9 through September 21, 2022, HMA has invoiced DPH for a total of 2,400 project hours, or \$1,209,672 (including travel expenses). Consequently, 12,140 hours or \$5,070,397 remain for the proposed contract.

Funding Source

According to DPH staff, the contract is funded by the Laguna Honda Hospital Operating Fund and the General Fund.

³ Billing rates for the proposed contract are as follows: \$200 for the infection control subcontractor, \$248 for the actuarial analyst subcontractor/Edrington, \$288 for the subcontractor/Steven Hirsch and Associates, \$315 for the Senior Consultant, \$385 for the Principal, \$392 for the Managing Director, subcontractor/Edrington, \$395 for the Managing Principal, and \$450 for the Principal – Physician.

⁴ According to DPH staff, the estimated travel expenses budget includes the following: \$472,000 for travel labor (50% billable rates for travel time), \$131,000 for airfare, \$145,000 for hotel, \$11,000 for ground transportation, and \$39,000 for per diem (meals).

RECOMMENDATION

Approve the proposed resolution.

<p>Item 3 File 22-0920</p>	<p>Department: Public Health</p>
<p>EXECUTIVE SUMMARY</p>	
<p style="text-align: center;">Legislative Objectives</p> <ul style="list-style-type: none"> • The proposed resolution would retroactively approve an emergency contract between the Department of Public Health and Health Management Associates, Inc. (HMA) in an amount not to exceed \$3,782,365 from May 9, 2022, through June 30, 2023. <p style="text-align: center;">Key Points</p> <ul style="list-style-type: none"> • Laguna Honda Hospital (LHH) is seeking reinstatement of its Medicare and Medicaid program certification from the federal Centers for Medicare and Medicaid Services (CMS) • In October 2022, after this resolution was introduced to the Board of Supervisors, DPH amended the agreement to increase the not to exceed amount from \$3,782,365 to \$6,240,969. The Department intends to request an amendment to the proposed resolution to reflect this increase. This report details the current, amended version of the HMA agreement. The proposed first amendment increases the billable hours from 8,727 to 14,540 and increases associated travel expenses for the vendor to support recertification through December 31, 2022. The original agreement was based on a September 2022 recertification timeline. • The scope of services includes five tasks: (1) Comprehensive Assessment; (2) CMS Re-application, Readiness Assessment, and Mock Survey; (3) Comprehensive Education and Training Curriculum Approach; (4) Extension of HMA Resources for Revised Certification Timeline; and (5) Infection Control Consultation. <p style="text-align: center;">Fiscal Impact</p> <ul style="list-style-type: none"> • Total contract costs are \$6,240,969 and are based on staff time across all tasks, which totals 14,540 hours. Billing rates range between \$200 and \$450 per hour. Costs are paid by the General Fund and Laguna Honda operating fund. <p style="text-align: center;">Recommendation</p> <ul style="list-style-type: none"> • Approve the proposed resolution. 	

MANDATE STATEMENT

Administrative Code Section 21.15 states that emergency contacts to procure commodities or services that are more than \$100,000 are subject to Board of Supervisors approval. If the emergency permits, the Department must also secure written approval from the Mayor or Mayor's designee, or the president of the board or commission concerned. If the emergency does not permit approval of the emergency determination by the Board of Supervisors before work begins, the Department head must submit a resolution approving the emergency determination to the Board of Supervisors as soon as possible. The Department shall attempt to obtain at least three bids for emergency purchases.

BACKGROUND

Laguna Honda Hospital (LHH) is seeking reinstatement of its Medicare and Medicaid program certification from the federal Centers for Medicare and Medicaid Services (CMS). The deadline to do so is Fall 2023. To prepare for the recertification process, the Department of Public Health (DPH) entered into three emergency contracts with health care consulting firms. The Board of Supervisors approved two emergency contracts with the following vendors: (1) Tryfacta, Inc. to provide temporary staffing services for an amount not to exceed \$1,000,000 from June 2022 to December 2022 (File 22-0921); and (2) Health Services Advisory Group, Inc. (HSAG) to provide in-depth evaluation and staff training to prepare for the CMS recertification audit. The HSAG contract has a not to exceed amount of \$6,989,564 and a term May 2022 to December 2022 (File 22-0922).

In May 2022, DPH also entered into a third emergency agreement with Health Management Associates, Inc. (HMA) to conduct an operational, clinical, and organizational assessment of LHH; perform recertification survey readiness assessments; and mock CMS audit surveys of LHH, for an amount not to exceed \$3,782,365 from May 9, 2022 to June 30, 2023 (This File 22-0920).

Vendor Selection Process

According to DPH staff, the proposed contract was procured under Administrative Code 21.15, which waives the competitive solicitation process and authorizes contracts to be entered in the "expeditious manner necessary in order to respond to the emergency." Administrative Code 21.15 was used to authorize vendors to immediately assist with the LHH recertification efforts, which was declared an emergency by the Director of Health and the Health Commission.

In April 2022, under Administrative Code Section 21.15, DPH issued an emergency solicitation for three tasks related to the LHH recertification efforts: (1) assessment; (2) re-application, readiness assessment, and mock survey; and (3) as-needed staffing. According to DPH staff, the Department sent interview questions to interested vendors, reviewed their responses, and sent out final supplemental questions to select the final vendor for the proposed contract.

Administrative Code 21.15 requires departments to attempt to obtain at least three bids for purchases. According to DPH, the following five vendors bid on the contract: (1) FTI Consulting,

(2) The Long Hill Company, (3) Moss Adams LLP, (4) Health Management Associates, Inc., and (5) David Hoffman & Associates, PC. Health Management Associates, Inc. received the highest bid score, and therefore was selected as the final vendor for the contract.

DETAILS OF PROPOSED LEGISLATION

The proposed resolution would retroactively approve an emergency contract between DPH and Health Management Associates, Inc. (HMA) in an amount not to exceed \$3,782,365 from May 9, 2022, through June 30, 2023. The proposed contract allows the City to terminate the contract agreement without cause.

The proposed resolution would also authorize DPH to extend the term up to 10 years or increase the amount not to exceed amount up to \$10,000,000.

First Amendment

In October 2022, after this resolution was introduced to the Board of Supervisors, DPH amended the agreement to increase the not to exceed amount from \$3,782,365 to \$6,240,969. The Department intends to request an amendment to the proposed resolution to reflect this increase as well as remove the provision that allows the Department to extend the agreement and increase the not to exceed amount up to 10 years or \$10 million without Board of Supervisors approval. This report details the HMA agreement, including the first amendment.

The proposed first amendment increases the billable hours from 8,727 to 14,540 and increases associated travel expenses for the vendor to support recertification through December 31, 2022. The original agreement was based on a September 2022 recertification timeline. According to DPH staff, the additional hours will address recent updates in Phase 3¹ CMS regulations, which go live on October 24, 2022. DPH staff states that CMS surveyors will be assessing facilities nationwide using the new Phase 3 regulations beginning in October 2022.

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Scope of Services

According to Appendix A of the proposed contract, HMA will provide the following consulting services from May 9, 2022, through June 30, 2023:

¹ The phases are updates to guidance pertaining to CMS Requirements of Participation. Phase 1 and Phase 2 were rolled out in November 2016 and 2017 respectively.

Task 1 – Comprehensive Assessment: This includes an operational, clinical, and organizational assessment of LHH to determine performance gaps in areas such as regulatory standards compliance, effectiveness of operations, provision of care, and the quality of health outcomes.²

Task 2 – CMS Re-application, Readiness Assessment, and Mock Survey: This includes supporting LHH’s efforts to prepare for CMS recertification by conducting recertification survey readiness assessments, mock CMS audit surveys of LHH, and completing relevant California Department of Public Health Center (CDPH) and CMS licensing and certification forms.

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Performance Monitoring

According to Appendix A of the proposed contract, one performance measure will be tracked and monitored annually: contracted tasks listed in Appendix A (as described above) as mutually agreed to by the vendor and DPH. The metric collected for this measure details that 100 percent of tasks mutually agreed to by the vendor and DPH will be completed.

FISCAL IMPACT

Exhibit 1 below shows the budget for the proposed contract, including the first amendment.

² According to Appendix A, “focus areas will include, but not be limited to: Executive Leadership, Organizational Structure, Medical Staff, Nursing Operations, Hospital Governing Body, Management, Administrative Operations, Care Models, Organizational Change Management and Financial Analysis of Care Models.”

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Source: Appendix B of First Amendment

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Actual Spending

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Funding Source

According to DPH staff, the contract is funded by the Laguna Honda Hospital Operating Fund and the General Fund.

RECOMMENDATION

Approve the proposed resolution.

³ Billing rates for the proposed contract are as follows: \$200 for the infection control subcontractor, \$248 for the actuarial analyst subcontractor/Edrington, \$288 for the subcontractor/Steven Hirsch and Associates, \$315 for the Senior Consultant, \$385 for the Principal, \$392 for the Managing Director, subcontractor/Edrington, \$395 for the Managing Principal, and \$450 for the Principal – Physician.

⁴ According to DPH staff, the estimated travel expenses budget includes the following: \$472,000 for travel labor, \$131,000 for airfare, \$145,000 for hotel, \$11,000 for ground transportation, and \$39,000 for per diem (meals).

**City and County of San Francisco
Office of Contract Administration
Purchasing Division**

First Amendment

THIS AMENDMENT (this “Amendment”) is made as of October 3, 2022, in San Francisco, California, by and between Health Management Associates, Inc. (“Contractor”), and the City and County of San Francisco, a municipal corporation (“City”), acting by and through its Director of the Office of Contract Administration.

Recitals

WHEREAS, City and Contractor have entered into the Agreement (as defined below); and
WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to add additional services in support of the Laguna Honda Hospital recertification and to update the contract budget; and

WHEREAS, the Agreement was competitively procured as required by San Francisco Administrative Code Chapter 21.15 and this modification is consistent therewith; and

WHEREAS, approval for this Amendment was obtained on March 18, 2018 from the from the Civil Service Commission under PSC number 49607 – 15/16 in the amount of \$17,000,000 for the period of five years; and

WHEREAS, the City’s Board of Supervisors approved this Agreement by [insert resolution number] on [insert date of Commission or Board action].

NOW, THEREFORE, Contractor and the City agree as follows:

Article 1 Definitions

The following definitions shall apply to this Amendment:

1.1 **Agreement.** The term “Agreement” shall mean the Agreement dated May 9, 2022 between Contractor and City, as amended by the:

1.2 **Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

Article 2 Modifications to the Agreement.

The Agreement is hereby modified as follows:

2.1 **Calculation of Charges.** *Section 3.3.1 Calculation of Charges. of the Agreement currently reads as follows:*

3.3.1 **Calculation of Charges.** Contractor shall provide an invoice to the City on a monthly basis for goods delivered and/or Services completed in the immediate preceding month, unless a different schedule is set out in Appendix B, “Calculation of Charges.” Compensation shall be made for goods and/or Services identified in the invoice that the City, in his or her sole discretion, concludes has been satisfactorily performed. In no event shall the amount of this Agreement exceed THREE MILLION SEVEN HUNDRED EIGHTY TWO THOUSAND THREE HUNDRED SIXTY FIVE DOLALRS (\$3,782,365) The breakdown of charges associated with this Agreement appears in Appendix B, “Calculation of Charges.” A portion of payment may be withheld until conclusion of the Agreement if agreed to by both Parties as retainage, described in Appendix B. In no event shall City be liable for interest or late charges

for any late payments. City will not honor minimum service order charges for any services covered by this Agreement.

Such section is hereby amended in its entirety to read as follows:

3.3.1 **Calculation of Charges.** Contractor shall provide an invoice to the City on a monthly basis for goods delivered and/or Services completed in the immediate preceding month, unless a different schedule is set out in Appendix B, "Calculation of Charges." Compensation shall be made for goods and/or Services identified in the invoice that the City, in his or her sole discretion, concludes has been satisfactorily performed. In no event shall the amount of this Agreement exceed SIX MILLION TWO HUNDRED FORTY THOUSAND NINE HUNDRED SIXTY-NINE DOLLARS (\$6,240,969) The breakdown of charges associated with this Agreement appears in Appendix B, "Calculation of Charges." A portion of payment may be withheld until conclusion of the Agreement if agreed to by both Parties as retainage, described in Appendix B. In no event shall City be liable for interest or late charges for any late payments. City will not honor minimum service order charges for any services covered by this Agreement.

2.2 **Section 4.3.2.** Section 4.3.2 of the Agreement is replaced in its entirety with the following section 4.3.2.

4.3.2 Sub Contractors: Steven Hirsch and Associates, Edrington, and Wendy Kaler

2.3 **Section 4.3.2.**

2.4 **Attachment 2 to Appendix A-1.** Attachment 2 to Appendix A-1, dated October 3, 2022, attached to this Amendment is hereby added to the Agreement and fully incorporated within the Agreement.

2.5 **Appendix B.** Appendix B is hereby replaced in its entirety by Appendix B, dated October 3, 2022, attached to this Amendment, and fully incorporated within the Agreement.

2.6 **Appendix B-1.** Appendix B-1 is hereby replaced in its entirety by Appendix B-1, dated October 3, 2022, attached to this Amendment, and fully incorporated within the Agreement.

2.7 **Attachment 2 to Appendix D.** Attachment 2 to Appendix D dated October 3, 2022, attached to this Amendment is hereby added to the Agreement and fully incorporated within the Agreement.

2.8 **Appendix E.** Appendix E is hereby replaced in its entirety by Appendix E, dated August 3, 2022, attached to this Amendment, and fully incorporated within the Agreement.

2.9 **Appendix F.** Appendix F is hereby replaced in its entirety by Appendix F, dated October 3, 2022, attached to this Amendment, and fully incorporated within the Agreement.

2.10 **Appendix G.** Appendix G is hereby replaced in its entirety by Appendix G, dated October 3, 2022, attached to this Amendment, and fully incorporated within the Agreement.

2.11 **Recognize RBP #1.** Recognize and attach the following previously executed Revision to Program Budgets (RBP), which utilized a portion of the preapproved contingency to add services described in Attachment 1 to Appendix A-1, dated 7/12/2022.

Article 3 Effective Date

Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

Article 4 Legal Effect

Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

CITY

Recommended by:

Grant Colfax, MD
Director of Health
Department of Public Health

Approved as to Form:

David Chiu
City Attorney

By: _____
Louise S. Simpson
Deputy City Attorney

Approved:

Sailaja Kurella
Director of the Office of Contract
Administration, and Purchaser

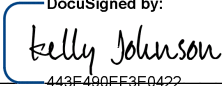
By: _____

Attached Appendices:

- Attachment 2 Appendix A-1
- Appendix B
- Appendix B-1
- Attachment 2 to Appendix D
- Appendix E
- Appendix F
- Appendix G
- RPB #1

CONTRACTOR

Health Management Associates, Inc.

DocuSigned by:


443E490EF3E0422...
Kelly Johnson
Chief Administrative Officer
120 N Washington Square #705
Lansing, MI 48933

City Supplier number: 0000018948

Attachment 2 to Appendix A-1

TASK 2 – CMS RE-APPLICATION, READINESS ASSESSMENT, AND MOCK SURVEY Enhancement

Statement of Work Addendum: Comprehensive Education Program, Infection Control Support, and Resource Extension

10/3/2022

Introduction

The San Francisco Department of Health selected Health Management Associates to provide services supporting the Department's critical initiative to achieve Centers for Medicare and Medicaid Services (CMS) recertification of Laguna Honda Hospital. In this on-going partnership with SFDPH/LHH, HMA has been asked to develop and provide further services and training in support of CMS recertification. This addendum to the original statement of work reflects the development and integration of a comprehensive, in-depth, practical education rollout plan, including Recertification and Sustainability, Infection Control program enhancements, and the extended timeline based on extension of the recertification timeline. This addendum is borne from the expectations set forth in the Emergency Solicitation Communication with HMA scoping meeting on May 10, 2022, and HMA's recommendations based on our extensive experience in publicly funded health care. As of June 26th, 2022, HMA has started developing and implementing a comprehensive education plan and support for revising and developing infection control policies and practices in collaboration with SFDPH/LHH stakeholders. In addition, the timeline for the project has been extended beyond the original expectations of September 2022 recertification application.

1. Comprehensive Education and Training Curriculum Approach

Following the initial Mock Survey completed by HMA, it was recommended that all staff receive training around the areas of deficiencies (F-Tags) cited in the final report. Leadership at Laguna Honda Hospital and Rehabilitation Center agreed and requested the additional scope of work cited below.

Additional Scope of Work:

Phase 1: The Re-Certification Plan is essential for moving LHH toward significantly reducing risk of receiving CMS F-Tag violations and successful CMS recertification.

1. Develop a comprehensive training plan for all employees of LHH that includes twelve (12) training modules on the topics outlined below.
2. Training modules will include a PowerPoint presentation and materials to test staff competency for each module.
3. HMA will deliver the modules over a 4-week period, 6 days per week to train the entire LHH staff and test competencies.

Training Curriculum Modules

Infection Control F880
Administration/ Emergency Services F838, 843, Code Blue, Fire
Pharmacy Medication Pass & Medication Storage F758, 759, 761 (N)
Resident Rights F550, 552, 553,557,567,568,582,584,585
Quality of Care and Life/Nursing F684,688,692, 697
Freedom from Abuse F600, 603, 604,610
Resident Assessment F641,645; Comprehensive Resident Care Plan F656 (N)
Food and Nutrition F803, 804, 809,812
Behavioral Health F740
Quality Assurance and Performance Improvement F908, 921, 925 (will be woven in and formally addressed in P2) (N)
Physical Environment F908, 921, 925
Putting it all Together
Nursing F725 (LEADERSHIP) (nursing only session)

Phase 2: Educational Plan to support sustainability of progress made during Phase 1. The plan will be directed toward:

1. Ongoing sustainability of progress made during Phase 1 of education
2. Addressing additional or ongoing findings after completion of Mock Survey #2

Deliverables

- Standardized staff training modules that address CDPH and CMS survey findings.
- Build internal capacity for LHH through implementation of the Training of Trainers (ToT) model and adult learning theory
- Lesson plans with clear learning objectives, goals, requirements, and completed staff competency and QAPI measures.
- Development of an onboarding training manual for new hires.
- Recommend customization for diverse populations.
- Facilitate collaboration with quality and risk management, infection prevention, and department of education and training.
- Facilitate collaboration between staff and human resources to ensure compliance with state licensure and training requirements (professional license renewal, BLS, fire safety, HIPAA, IT security, etc.)

- Transition to adult and active learning that utilizes didactic, written, visual demonstration, and teach-back approaches that include the routine use of policies and procedures.
- Facilitate with LHH options to offer accessible video, on-demand, training modules that assesses competency through post-testing
- Facilitate easy access to LMS for training modules, policies, procedures, and other resources.

2. Infection Control Consultation

Provide on-site support to the Laguna Honda Hospital Infection Control program.

Scope of Work:

1. Review of program and provide recommendations for improvements to ensure compliance with regulations:
 - a. Develop education materials for infection control team, clinical staff, and non-clinical staff, that encompass specific Federal Regulation (F-Tags) and CMS recertification.
2. Review and recommend changes to Infection Control policies and Infection Control Committee
3. Mentor the infection control team,
4. Guide daily infection control activities, Evaluate competencies of infection control supervisor.

Appendix B Calculation of Charges

1. Method of Payment

A. Contractor shall submit monthly invoices by the fifteenth (15th) working day of each month, in the format attached in Appendix F, based upon the number of units of service that were delivered in the immediately preceding month. All deliverables associated with the Services listed in Section 2 of Appendix A, times the unit rate as shown in the Program Budgets listed in Section 2 of Appendix B shall be reported on the invoice(s) each month

2. Program Budgets and Final Invoice

A. Program Budgets are listed below and are attached hereto.

Appendix B-1: TASK 1 – COMPREHENSIVE ASSESSMENT and
TASK 2 – CMS RE-APPLICATION, READINESS ASSESSMENT, AND
MOCK SURVEY

B. Contractor understands that, of the maximum dollar obligation listed in section 3.3.1 of this Agreement, \$476,650 is included as a contingency amount and is neither to be used in Program Budgets attached to this Appendix, or available to Contractor without a modification to this Agreement as specified in Section 3.7 Contract Amendments; Budgeting Revisions. Contractor further understands that no payment of any portion of this contingency amount will be made unless and until such modification or budget revision has been fully approved and executed in accordance with applicable City and Department of Public Health laws, regulations and policies/procedures and certification as to the availability of funds by Controller. Contractor agrees to fully comply with these laws, regulations, and policies/procedures.

C. A final closing invoice, clearly marked “FINAL,” shall be submitted no later than forty-five (45) calendar days following the closing date of the Agreement, and shall include only those Services rendered during the referenced period of performance. If Services are not invoiced during this period, all unexpended funding set aside for this Agreement will revert to City. City’s final reimbursement to the Contractor at the close of the Agreement period shall be adjusted to conform to actual units certified multiplied by the unit rates identified in the Program Budgets attached hereto, and shall not exceed the total amount authorized and certified for this Agreement.

3. No invoices for Services provided by law firms or attorneys, including, without limitation, as subcontractors of Contractor, will be paid unless the provider received advance written approval from the City Attorney.

**Task 1: COMPREHENSIVE
ASSESSMENT**

	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	70	\$ 27,650.00
Robert Ross	Principal	\$ 385.00	112	\$ 43,120.00
David Polakoff	Principal - Physician	\$ 450.00	92	\$ 41,400.00
Dina Besiveric	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Trisha Bielski	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Brent Barkett	Principal	\$ 385.00	200	\$ 77,000.00
Isis Montalvo	Senior Consultant	\$ 315.00	60	\$ 18,900.00
Margaret Williams	Principal	\$ 385.00	60	\$ 23,100.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Karen Hill	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Flint Michels	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Debbi Witham	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Iliana Gilman	Principal	\$ 385.00	70	\$ 26,950.00
TBD	Senior Consultant	\$ 315.00	12	\$ 3,780.00
	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Facilities	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Infection Prevention	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Nurse Executive	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Pharmacy	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
			1,788	\$ 611,316.00

**Task 2: CMS RE-APPLICATION,
READINESS ASSESSMENT, AND
MOCK SURVEY**

	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	154	\$ 60,830.00
Robert Ross	Principal	\$ 385.00	760	\$ 292,600.00
David Polakoff	Principal - Physician	\$ 450.00	446	\$ 200,700.00
Dina Besiveric	Senior Consultant	\$ 315.00	754	\$ 237,510.00
Trisha Bielski	Senior Consultant	\$ 315.00	746	\$ 234,990.00
Brent Barkett	Principal	\$ 385.00	414	\$ 159,390.00
Isis Montalvo	Senior Consultant	\$ 315.00	224	\$ 70,560.00
Margaret Williams	Principal	\$ 385.00	128	\$ 49,280.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	208	\$ 65,520.00
Karen Hill	Senior Consultant	\$ 315.00	236	\$ 74,340.00
Flint Michels	Senior Consultant	\$ 315.00	104	\$ 32,760.00
Debbi Witham	Senior Consultant	\$ 315.00	208	\$ 65,520.00
Iliana Gilman	Principal	\$ 385.00	250	\$ 96,250.00
TBD	Senior Consultant	\$ 315.00	68	\$ 21,420.00
	Subcontractor / Steven Hirsch and Associates	\$ 288.00	86	\$ 24,768.00
Facilities	Subcontractor / Steven Hirsch and Associates	\$ 288.00	296	\$ 85,248.00
Infection Prevention	Subcontractor / Steven Hirsch and Associates	\$ 288.00	200	\$ 57,600.00
Nurse Executive	Subcontractor / Steven Hirsch and Associates	\$ 288.00	200	\$ 57,600.00
			5,282	\$ 1,829,286.00

Sub Total Task #2 (original) 5,282 \$ 1,829,286.00

Amendment #1 October 2022

Education		Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$	395.00	90	\$ 35,550.00
Robert Ross	Principal	\$	385.00	340	\$ 130,900.00
David Polakoff	Principal - Physician	\$	450.00	70	\$ 31,500.00
Dina Besiveric	Senior Consultant	\$	315.00	330	\$ 103,950.00
Trisha Bielski	Senior Consultant	\$	315.00	330	\$ 103,950.00
Brent Barkett	Principal	\$	385.00	115	\$ 44,275.00
Isis Montalvo	Senior Consultant	\$	315.00	100	\$ 31,500.00
Margaret Williams	Principal	\$	385.00	40	\$ 15,400.00
Glenda Stepchinski	Senior Consultant	\$	315.00	200	\$ 63,000.00
Karen Hill	Senior Consultant	\$	315.00	430	\$ 135,450.00
Flint Michels	Senior Consultant	\$	315.00	220	\$ 69,300.00
Debbi Witham	Senior Consultant	\$	315.00	220	\$ 69,300.00
Ruth Danielzuk	Senior Consultant	\$	315.00	260	\$ 81,900.00
Roxane Townsend	Principal - Physician	\$	450.00	70	\$ 31,500.00
Helena Whitney	Senior Consultant	\$	315.00	190	\$ 59,850.00
Vince McGowen	Principal	\$	385.00	40	\$ 15,400.00
Christina Turiano-Sander	Consultant	\$	240.00	40	\$ 9,600.00
Sub Total Education				3,085	\$ 1,032,325.00
Resource Extension					
Kim Milstien	Managing Principal	\$	395.00	85	\$ 33,575.00
Robert Ross	Principal	\$	385.00	320	\$ 123,200.00
Roxane Townsend	Principal - Physician	\$	450.00	95	\$ 42,750.00
David Polakoff	Principal-Physician	\$	450.00	180	\$ 81,000.00
Dina Besiveric	Senior Consultant	\$	315.00	320	\$ 100,800.00
Trisha Bielski	Senior Consultant	\$	315.00	80	\$ 25,200.00
Brent Barkett	Principal	\$	385.00	110	\$ 42,350.00
Iliana Gilman	Principal	\$	385.00	120	\$ 46,200.00
Ruth Danielzuk	Senior Consultant	\$	315.00	210	\$ 66,150.00
Vince McGowen	Principal	\$	385.00	200	\$ 77,000.00
Christina Turiano-Sander	Consultant	\$	240.00	120	\$ 28,800.00
Sub Total Resource Extension				1,840	\$ 667,025.00
Infection Control					
Wendy Kaler	Infection Control Sub Contractor	\$	200.00	360	\$ 72,000.00
SubTotal Infection Control				360	\$ 72,000.00

Total of Amendment #1 October 2022 **5,285** **\$ 1,771,350.00**

Total Task #2 as Ammended **10,567** **\$ 3,600,636.00**

Shared Resources Across Task 1 and Task 2

Communications	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$	395.00	12 \$ 4,740.00
Robert Ross	Principal	\$	385.00	20 \$ 7,700.00
Brent Barkett	Principal	\$	385.00	10 \$ 3,850.00
Iliana Gilman	Principal	\$	385.00	236 \$ 90,860.00
Facilities	Subcontractor / Steven Hirsch and Associates	\$	288.00	8 \$ 2,304.00
Infection Prevention	Subcontractor / Steven Hirsch and Associates	\$	288.00	8 \$ 2,304.00

Shared Resources Across Task 1 and Task 2 (Continued)

Communications	Title	Rate	Estimated Hours	Budgeted Amount
Nurse Executive	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Pharmacy	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
			310	\$ 116,366.00
Change Management	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	64	\$ 25,280.00
Robert Ross	Principal	\$ 385.00	64	\$ 24,640.00
David Polakoff	Principal - Physician	\$ 450.00	24	\$ 10,800.00
Dina Besiveric	Senior Consultant	\$ 315.00	24	\$ 7,560.00
Trisha Bielski	Senior Consultant	\$ 315.00	24	\$ 7,560.00
Brent Barkett	Principal	\$ 385.00	28	\$ 10,780.00
Iliana Gilman	Principal	\$ 385.00	280	\$ 107,800.00
<i>Kyle Edrington (Added via RPB#1 July 2022)</i>	<i>Managing Director, Sub Contracor /Edrington</i>	<i>\$ 392.00</i>	<i>48</i>	<i>\$ 18,816.00</i>
<i>Matt Menard (Added via RPB#1 July 2022)</i>	<i>Actuarial Analyst, Sub Contracor /Edrington</i>	<i>\$ 248.00</i>	<i>480</i>	<i>\$ 119,040.00</i>
			1,036	\$ 332,276.00
Project Management	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	70	\$ 27,650.00
Robert Ross	Principal	\$ 385.00	100	\$ 38,500.00
David Polakoff	Principal - Physician	\$ 450.00	70	\$ 31,500.00
Dina Besiveric	Senior Consultant	\$ 315.00	100	\$ 31,500.00
Trisha Bielski	Senior Consultant	\$ 315.00	100	\$ 31,500.00
Brent Barkett	Principal	\$ 385.00	160	\$ 61,600.00
Isis Montalvo	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Margaret Williams	Principal	\$ 385.00	17	\$ 6,545.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Karen Hill	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Flint Michels	Senior Consultant	\$ 315.00	17	\$ 5,355.00
Debbi Witham	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Iliana Gilman	Principal	\$ 385.00	100	\$ 38,500.00
TBD	Senior Consultant	\$ 315.00	17	\$ 5,355.00
			839	\$ 305,725.00
			Total Hours (as amended)	14,540
			SUB TOTAL OF ALL CONSULTING (as amended)	\$ 4,966,319.00
			TRAVEL EXPENSES	\$ 328,000.00
			Additional Travel Expenses Amendment #1	\$ 470,000.00
			Travel Expenses (as amended)	\$ 798,000.00
			SUB TOTAL OF TASKS 1 AND 2 & Travel (as amended)	\$ 5,764,319.00
			Remaining CONTINGENCY 12%	\$ 259,396.00
			Additional Contingency on Amendment #1	\$ 217,254.00
			Remaining Contingency (as amended)	\$ 476,650.00
			TOTAL NOT TO EXCEED AMOUNT	\$ 6,240,969.00

Attachment 2 to Appendix D

**Protected Information Destruction Order
Purge Certification - Contract ID # 1000025422**

In accordance with section 3.c (Effect of Termination) of the Business Associate Agreement, attached as Appendix E to the Agreement between the City and Contractor dated 5/9/2022 (“Agreement”), the City hereby directs Contractor to destroy all Protected Information that Contractor and its agents and subcontractors (collectively “Contractor”) still maintain in any form. Contractor may retain no copies of destroyed Protected Information.” Destruction must be in accordance with the guidance of the Secretary of the U.S. Department of Health and Human Services (“Secretary”) regarding proper destruction of PHI.

Electronic Data: Per the Secretary’s guidance, the City will accept destruction of electronic Protected Information in accordance with the standards enumerated in the NIST SP 800-88, Guidelines for Data Sanitization (“NIST”).

Hard-Copy Data: Per the Secretary’s guidance, the City will accept destruction of Protected Information contained in paper records by shredding, burning, pulping, or pulverizing the records so that the Protected Information is rendered unreadable, indecipherable, and otherwise cannot be reconstructed.

Contractor hereby certifies that Contractor has destroyed all Protected Information as directed by the City in accordance with the guidance of the Secretary of the U.S. Department of Health and Human Services (“Secretary”) regarding proper destruction of PHI.

So Certified

Signature

Title:

Date:

APPENDIX E



San Francisco Department of Public Health
Business Associate Agreement

This Business Associate Agreement (“BAA”) supplements and is made a part of the contract by and between the City and County of San Francisco, the Covered Entity (“CE”), and Contractor, the Business Associate (“BA”) (the “Agreement”). To the extent that the terms of the Agreement are inconsistent with the terms of this BAA, the terms of this BAA shall control.

RECITALS

- A. CE, by and through the San Francisco Department of Public Health (“SFDPH”), wishes to disclose certain information to BA pursuant to the terms of the Agreement, some of which may constitute Protected Health Information (“PHI”) (defined below).
- B. For purposes of the Agreement, CE requires Contractor, even if Contractor is also a covered entity under HIPAA, to comply with the terms and conditions of this BAA as a BA of CE.
- C. CE and BA intend to protect the privacy and provide for the security of PHI disclosed to BA pursuant to the Agreement in compliance with the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (“HIPAA”), the Health Information Technology for Economic and Clinical Health Act, Public Law 111-005 (“the HITECH Act”), and regulations promulgated there under by the U.S. Department of Health and Human Services (the “HIPAA Regulations”) and other applicable laws, including, but not limited to, California Civil Code §§ 56, et seq., California Health and Safety Code § 1280.15, California Civil Code §§ 1798, et seq., California Welfare & Institutions Code §§5328, et seq., and the regulations promulgated there under (the “California Regulations”).
- D. As part of the HIPAA Regulations, the Privacy Rule and the Security Rule (defined below) require CE to enter into a contract containing specific requirements with BA prior to the disclosure of PHI, as set forth in, but not limited to, Title 45, Sections 164.314(a), 164.502(a) and (e) and 164.504(e) of the Code of Federal Regulations (“C.F.R.”) and contained in this BAA.
- E. BA enters into agreements with CE that require the CE to disclose certain identifiable health information to BA. The parties desire to enter into this BAA to permit BA to have access to such information and comply with the BA requirements of HIPAA, the HITECH Act, and the corresponding Regulations.

In consideration of the mutual promises below and the exchange of information pursuant to this BAA, the parties agree as follows:

1. Definitions.

a. Breach means the unauthorized acquisition, access, use, or disclosure of PHI that compromises the security or privacy of such information, except where an unauthorized person to whom such information is disclosed would not reasonably have been able to retain such information, and shall have the meaning given to such term under the HITECH Act and HIPAA Regulations [42 U.S.C. Section 17921 and 45 C.F.R. Section 164.402], as well as California Civil Code Sections 1798.29 and 1798.82.

APPENDIX E



San Francisco Department of Public Health
Business Associate Agreement

b. Breach Notification Rule shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and D.

c. Business Associate is a person or entity that performs certain functions or activities that involve the use or disclosure of protected health information received from a covered entity, but other than in the capacity of a member of the workforce of such covered entity or arrangement, and shall have the meaning given to such term under the Privacy Rule, the Security Rule, and the HITECH Act, including, but not limited to, 42 U.S.C. Section 17938 and 45 C.F.R. Section 160.103.

d. Covered Entity means a health plan, a health care clearinghouse, or a health care provider who transmits any information in electronic form in connection with a transaction covered under HIPAA Regulations, and shall have the meaning given to such term under the Privacy Rule and the Security Rule, including, but not limited to, 45 C.F.R. Section 160.103.

e. Data Aggregation means the combining of Protected Information by the BA with the Protected Information received by the BA in its capacity as a BA of another CE, to permit data analyses that relate to the health care operations of the respective covered entities, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.

f. Designated Record Set means a group of records maintained by or for a CE, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.

g. Electronic Protected Health Information means Protected Health Information that is maintained in or transmitted by electronic media and shall have the meaning given to such term under HIPAA and the HIPAA Regulations, including, but not limited to, 45 C.F.R. Section 160.103. For the purposes of this BAA, Electronic PHI includes all computerized data, as defined in California Civil Code Sections 1798.29 and 1798.82.

h. Electronic Health Record means an electronic record of health-related information on an individual that is created, gathered, managed, and consulted by authorized health care clinicians and staff, and shall have the meaning given to such term under the HITECH Act, including, but not limited to, 42 U.S.C. Section 17921.

i. Health Care Operations shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.

j. Privacy Rule shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and E.

k. Protected Health Information or PHI means any information, including electronic PHI, whether oral or recorded in any form or medium: (i) that relates to the past, present or future physical or mental condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual; and (ii) that identifies the individual or

APPENDIX E



San Francisco Department of Public Health
Business Associate Agreement

with respect to which there is a reasonable basis to believe the information can be used to identify the individual, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Sections 160.103 and 164.501. For the purposes of this BAA, PHI includes all medical information and health insurance information as defined in California Civil Code Sections 56.05 and 1798.82.

l. Protected Information shall mean PHI provided by CE to BA or created, maintained, received or transmitted by BA on CE's behalf.

m. Security Incident means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system, and shall have the meaning given to such term under the Security Rule, including, but not limited to, 45 C.F.R. Section 164.304.

n. Security Rule shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and C.

o. Unsecured PHI means PHI that is not secured by a technology standard that renders PHI unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute, and shall have the meaning given to such term under the HITECH Act and any guidance issued pursuant to such Act including, but not limited to, 42 U.S.C. Section 17932(h) and 45 C.F.R. Section 164.402.

2. Obligations of Business Associate.

a. Attestations. Except when CE's data privacy officer exempts BA in writing, the BA shall complete the following forms, attached and incorporated by reference as though fully set forth herein, SFDPH Attestations for Privacy (Attachment 1) and Data Security (Attachment 2) within sixty (60) calendar days from the execution of the Agreement. If CE makes substantial changes to any of these forms during the term of the Agreement, the BA will be required to complete CE's updated forms within sixty (60) calendar days from the date that CE provides BA with written notice of such changes. BA shall retain such records for a period of seven years after the Agreement terminates and shall make all such records available to CE within 15 calendar days of a written request by CE.

b. User Training. The BA shall provide, and shall ensure that BA subcontractors, provide, training on PHI privacy and security, including HIPAA and HITECH and its regulations, to each employee or agent that will access, use or disclose Protected Information, upon hire and/or prior to accessing, using or disclosing Protected Information for the first time, and at least annually thereafter during the term of the Agreement. BA shall maintain, and shall ensure that BA subcontractors maintain, records indicating the name of each employee or agent and date on which the PHI privacy and security trainings were completed. BA shall retain, and ensure that BA subcontractors retain, such records for a period of seven years after the Agreement terminates and shall make all such records available to CE within 15 calendar days of a written request by CE.

APPENDIX E



San Francisco Department of Public Health
Business Associate Agreement

c. Permitted Uses. BA may use, access, and/or disclose Protected Information only for the purpose of performing BA's obligations for, or on behalf of, the City and as permitted or required under the Agreement and BAA, or as required by law. Further, BA shall not use Protected Information in any manner that would constitute a violation of the Privacy Rule or the HITECH Act if so used by CE. However, BA may use Protected Information as necessary (i) for the proper management and administration of BA; (ii) to carry out the legal responsibilities of BA; (iii) as required by law; or (iv) for Data Aggregation purposes relating to the Health Care Operations of CE [45 C.F.R. Sections 164.502, 164.504(e)(2), and 164.504(e)(4)(i)].

d. Permitted Disclosures. BA shall disclose Protected Information only for the purpose of performing BA's obligations for, or on behalf of, the City and as permitted or required under the Agreement and BAA, or as required by law. BA shall not disclose Protected Information in any manner that would constitute a violation of the Privacy Rule or the HITECH Act if so disclosed by CE. However, BA may disclose Protected Information as necessary (i) for the proper management and administration of BA; (ii) to carry out the legal responsibilities of BA; (iii) as required by law; or (iv) for Data Aggregation purposes relating to the Health Care Operations of CE. If BA discloses Protected Information to a third party, BA must obtain, prior to making any such disclosure, (i) reasonable written assurances from such third party that such Protected Information will be held confidential as provided pursuant to this BAA and used or disclosed only as required by law or for the purposes for which it was disclosed to such third party, and (ii) a written agreement from such third party to immediately notify BA of any breaches, security incidents, or unauthorized uses or disclosures of the Protected Information in accordance with paragraph 2 (n) of this BAA, to the extent it has obtained knowledge of such occurrences [42 U.S.C. Section 17932; 45 C.F.R. Section 164.504(e)]. BA may disclose PHI to a BA that is a subcontractor and may allow the subcontractor to create, receive, maintain, or transmit Protected Information on its behalf, if the BA obtains satisfactory assurances, in accordance with 45 C.F.R. Section 164.504(e)(1), that the subcontractor will appropriately safeguard the information [45 C.F.R. Section 164.502(e)(1)(ii)].

e. Prohibited Uses and Disclosures. BA shall not use or disclose Protected Information other than as permitted or required by the Agreement and BAA, or as required by law. BA shall not use or disclose Protected Information for fundraising or marketing purposes. BA shall not disclose Protected Information to a health plan for payment or health care operations purposes if the patient has requested this special restriction, and has paid out of pocket in full for the health care item or service to which the Protected Information solely relates [42 U.S.C. Section 17935(a) and 45 C.F.R. Section 164.522(a)(1)(vi)]. BA shall not directly or indirectly receive remuneration in exchange for Protected Information, except with the prior written consent of CE and as permitted by the HITECH Act, 42 U.S.C. Section 17935(d)(2), and the HIPAA regulations, 45 C.F.R. Section 164.502(a)(5)(ii); however, this prohibition shall not affect payment by CE to BA for services provided pursuant to the Agreement.

f. Appropriate Safeguards. BA shall take the appropriate security measures to protect the confidentiality, integrity and availability of PHI that it creates, receives, maintains, or transmits on behalf of the CE, and shall prevent any use or disclosure of PHI other than as permitted by the Agreement or this

APPENDIX E



San Francisco Department of Public Health
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BAA, including, but not limited to, administrative, physical and technical safeguards in accordance with the Security Rule, including, but not limited to, 45 C.F.R. Sections 164.306, 164.308, 164.310, 164.312, 164.314 164.316, and 164.504(e)(2)(ii)(B). BA shall comply with the policies and procedures and documentation requirements of the Security Rule, including, but not limited to, 45 C.F.R. Section 164.316, and 42 U.S.C. Section 17931. BA is responsible for any civil penalties assessed due to an audit or investigation of BA, in accordance with 42 U.S.C. Section 17934(c).

g. Business Associate's Subcontractors and Agents. BA shall ensure that any agents and subcontractors that create, receive, maintain or transmit Protected Information on behalf of BA, agree in writing to the same restrictions and conditions that apply to BA with respect to such PHI and implement the safeguards required by paragraph 2.f. above with respect to Electronic PHI [45 C.F.R. Section 164.504(e)(2) through (e)(5); 45 C.F.R. Section 164.308(b)]. BA shall mitigate the effects of any such violation.

h. Accounting of Disclosures. Within ten (10) calendar days of a request by CE for an accounting of disclosures of Protected Information or upon any disclosure of Protected Information for which CE is required to account to an individual, BA and its agents and subcontractors shall make available to CE the information required to provide an accounting of disclosures to enable CE to fulfill its obligations under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.528, and the HITECH Act, including but not limited to 42 U.S.C. Section 17935 (c), as determined by CE. BA agrees to implement a process that allows for an accounting to be collected and maintained by BA and its agents and subcontractors for at least seven (7) years prior to the request. However, accounting of disclosures from an Electronic Health Record for treatment, payment or health care operations purposes are required to be collected and maintained for only three (3) years prior to the request, and only to the extent that BA maintains an Electronic Health Record. At a minimum, the information collected and maintained shall include: (i) the date of disclosure; (ii) the name of the entity or person who received Protected Information and, if known, the address of the entity or person; (iii) a brief description of Protected Information disclosed; and (iv) a brief statement of purpose of the disclosure that reasonably informs the individual of the basis for the disclosure, or a copy of the individual's authorization, or a copy of the written request for disclosure [45 C.F.R. 164.528(b)(2)]. If an individual or an individual's representative submits a request for an accounting directly to BA or its agents or subcontractors, BA shall forward the request to CE in writing within five (5) calendar days.

i. Access to Protected Information. BA shall make Protected Information maintained by BA or its agents or subcontractors in Designated Record Sets available to CE for inspection and copying within (5) days of request by CE to enable CE to fulfill its obligations under state law [Health and Safety Code Section 123110] and the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.524 [45 C.F.R. Section 164.504(e)(2)(ii)(E)]. If BA maintains Protected Information in electronic format, BA shall provide such information in electronic format as necessary to enable CE to fulfill its obligations under the HITECH Act and HIPAA Regulations, including, but not limited to, 42 U.S.C. Section 17935(e) and 45 C.F.R. 164.524.

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San Francisco Department of Public Health
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j. Amendment of Protected Information. Within ten (10) days of a request by CE for an amendment of Protected Information or a record about an individual contained in a Designated Record Set, BA and its agents and subcontractors shall make such Protected Information available to CE for amendment and incorporate any such amendment or other documentation to enable CE to fulfill its obligations under the Privacy Rule, including, but not limited to, 45 C.F.R Section 164.526. If an individual requests an amendment of Protected Information directly from BA or its agents or subcontractors, BA must notify CE in writing within five (5) days of the request and of any approval or denial of amendment of Protected Information maintained by BA or its agents or subcontractors [45 C.F.R. Section 164.504(e)(2)(ii)(F)].

k. Governmental Access to Records. BA shall make its internal practices, books and records relating to the use and disclosure of Protected Information available to CE and to the Secretary of the U.S. Department of Health and Human Services (the “Secretary”) for purposes of determining BA’s compliance with HIPAA [45 C.F.R. Section 164.504(e)(2)(ii)(I)]. BA shall provide CE a copy of any Protected Information and other documents and records that BA provides to the Secretary concurrently with providing such Protected Information to the Secretary.

l. Minimum Necessary. BA, its agents and subcontractors shall request, use and disclose only the minimum amount of Protected Information necessary to accomplish the intended purpose of such use, disclosure, or request. [42 U.S.C. Section 17935(b); 45 C.F.R. Section 164.514(d)]. BA understands and agrees that the definition of “minimum necessary” is in flux and shall keep itself informed of guidance issued by the Secretary with respect to what constitutes “minimum necessary” to accomplish the intended purpose in accordance with HIPAA and HIPAA Regulations.

m. Data Ownership. BA acknowledges that BA has no ownership rights with respect to the Protected Information.

n. Notification of Breach. BA shall notify CE within 5 calendar days of any breach of Protected Information; any use or disclosure of Protected Information not permitted by the BAA; any Security Incident (except as otherwise provided below) related to Protected Information, and any use or disclosure of data in violation of any applicable federal or state laws by BA or its agents or subcontractors. The notification shall include, to the extent possible, the identification of each individual whose unsecured Protected Information has been, or is reasonably believed by the BA to have been, accessed, acquired, used, or disclosed, as well as any other available information that CE is required to include in notification to the individual, the media, the Secretary, and any other entity under the Breach Notification Rule and any other applicable state or federal laws, including, but not limited, to 45 C.F.R. Section 164.404 through 45 C.F.R. Section 164.408, at the time of the notification required by this paragraph or promptly thereafter as information becomes available. BA shall take (i) prompt corrective action to cure any deficiencies and (ii) any action pertaining to unauthorized uses or disclosures required by applicable federal and state laws. [42 U.S.C. Section 17921; 42 U.S.C. Section 17932; 45 C.F.R. 164.410; 45 C.F.R. Section 164.504(e)(2)(ii)(C); 45 C.F.R. Section 164.308(b)]

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San Francisco Department of Public Health
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o. Breach Pattern or Practice by Business Associate's Subcontractors and Agents.

Pursuant to 42 U.S.C. Section 17934(b) and 45 C.F.R. Section 164.504(e)(1)(iii), if the BA knows of a pattern of activity or practice of a subcontractor or agent that constitutes a material breach or violation of the subcontractor or agent's obligations under the Contract or this BAA, the BA must take reasonable steps to cure the breach or end the violation. If the steps are unsuccessful, the BA must terminate the contractual arrangement with its subcontractor or agent, if feasible. BA shall provide written notice to CE of any pattern of activity or practice of a subcontractor or agent that BA believes constitutes a material breach or violation of the subcontractor or agent's obligations under the Contract or this BAA within five (5) calendar days of discovery and shall meet with CE to discuss and attempt to resolve the problem as one of the reasonable steps to cure the breach or end the violation.

3. Termination.

a. Material Breach. A breach by BA of any provision of this BAA, as determined by CE, shall constitute a material breach of the Agreement and this BAA and shall provide grounds for immediate termination of the Agreement and this BAA, any provision in the AGREEMENT to the contrary notwithstanding. [45 C.F.R. Section 164.504(e)(2)(iii).]

b. Judicial or Administrative Proceedings. CE may terminate the Agreement and this BAA, effective immediately, if (i) BA is named as defendant in a criminal proceeding for a violation of HIPAA, the HITECH Act, the HIPAA Regulations or other security or privacy laws or (ii) a finding or stipulation that the BA has violated any standard or requirement of HIPAA, the HITECH Act, the HIPAA Regulations or other security or privacy laws is made in any administrative or civil proceeding in which the party has been joined.

c. Effect of Termination. Upon termination of the Agreement and this BAA for any reason, BA shall, at the option of CE, return or destroy all Protected Information that BA and its agents and subcontractors still maintain in any form, and shall retain no copies of such Protected Information. If return or destruction is not feasible, as determined by CE, BA shall continue to extend the protections and satisfy the obligations of Section 2 of this BAA to such information, and limit further use and disclosure of such PHI to those purposes that make the return or destruction of the information infeasible [45 C.F.R. Section 164.504(e)(2)(ii)(J)]. If CE elects destruction of the PHI, BA shall certify in writing to CE that such PHI has been destroyed in accordance with the Secretary's guidance regarding proper destruction of PHI. Per the Secretary's guidance, the City will accept destruction of electronic PHI in accordance with the standards enumerated in the NIST SP 800-88, Guidelines for Media Sanitization. The City will accept destruction of PHI contained in paper records by shredding, burning, pulping, or pulverizing the records so that the PHI is rendered unreadable, indecipherable, and otherwise cannot be reconstructed.

d. Civil and Criminal Penalties. BA understands and agrees that it is subject to civil or criminal penalties applicable to BA for unauthorized use, access or disclosure or Protected Information in accordance with the HIPAA Regulations and the HITECH Act including, but not limited to, 42 U.S.C. 17934 (c).

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e. Disclaimer. CE makes no warranty or representation that compliance by BA with this BAA, HIPAA, the HITECH Act, or the HIPAA Regulations or corresponding California law provisions will be adequate or satisfactory for BA's own purposes. BA is solely responsible for all decisions made by BA regarding the safeguarding of PHI.

4. Amendment to Comply with Law.

The parties acknowledge that state and federal laws relating to data security and privacy are rapidly evolving and that amendment of the Agreement or this BAA may be required to provide for procedures to ensure compliance with such developments. The parties specifically agree to take such action as is necessary to implement the standards and requirements of HIPAA, the HITECH Act, the HIPAA regulations and other applicable state or federal laws relating to the security or confidentiality of PHI. The parties understand and agree that CE must receive satisfactory written assurance from BA that BA will adequately safeguard all Protected Information. Upon the request of either party, the other party agrees to promptly enter into negotiations concerning the terms of an amendment to this BAA embodying written assurances consistent with the updated standards and requirements of HIPAA, the HITECH Act, the HIPAA regulations or other applicable state or federal laws. CE may terminate the Agreement upon thirty (30) days written notice in the event (i) BA does not promptly enter into negotiations to amend the Agreement or this BAA when requested by CE pursuant to this section or (ii) BA does not enter into an amendment to the Agreement or this BAA providing assurances regarding the safeguarding of PHI that CE, in its sole discretion, deems sufficient to satisfy the standards and requirements of applicable laws.

5. Reimbursement for Fines or Penalties.

In the event that CE pays a fine to a state or federal regulatory agency, and/or is assessed civil penalties or damages through private rights of action, based on an impermissible access, use or disclosure of PHI by BA or its subcontractors or agents, then BA shall reimburse CE in the amount of such fine or penalties or damages within thirty (30) calendar days from City's written notice to BA of such fines, penalties or damages.

Attachment 1 – SFDPH Privacy Attestation, version 06-07-2017

Attachment 2 – SFDPH Data Security Attestation, version 06-07-2017

Office of Compliance and Privacy Affairs
San Francisco Department of Public Health
101 Grove Street, Room 330, San Francisco, CA 94102
Email: compliance.privacy@sfdph.org
Hotline (Toll-Free): 1-855-729-6040

Contractor Name:		Contractor City Vendor ID	
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PRIVACY ATTESTATION

INSTRUCTIONS: Contractors and Partners who receive or have access to health or medical information or electronic health record systems maintained by SFPDH must complete this form. Retain completed Attestations in your files for a period of 7 years. Be prepared to submit completed attestations, along with evidence related to the following items, if requested to do so by SFPDH.

Exceptions: If you believe that a requirement is Not Applicable to you, see instructions below in Section IV on how to request clarification or obtain an exception.

I. All Contractors.

DOES YOUR ORGANIZATION...							Yes	No*
A	Have formal Privacy Policies that comply with the Health Insurance Portability and Accountability Act (HIPAA)?						<input type="checkbox"/>	<input type="checkbox"/>
B	Have a Privacy Officer or other individual designated as the person in charge of investigating privacy breaches or related incidents?						<input type="checkbox"/>	<input type="checkbox"/>
	If yes:	Name & Title:		Phone #		Email:		
C	Require health information Privacy Training upon hire and annually thereafter for all employees who have access to health information? [Retain documentation of trainings for a period of 7 years.] [SFPDH privacy training materials are available for use; contact OCPA at 1-855-729-6040.]						<input type="checkbox"/>	<input type="checkbox"/>
D	Have proof that employees have signed a form upon hire and annually thereafter, with their name and the date, acknowledging that they have received health information privacy training? [Retain documentation of acknowledgement of trainings for a period of 7 years.]						<input type="checkbox"/>	<input type="checkbox"/>
E	Have (or will have if/when applicable) Business Associate Agreements with subcontractors who create, receive, maintain, transmit, or access SFPDH's health information?						<input type="checkbox"/>	<input type="checkbox"/>
F	Assure that staff who create, or transfer health information (via laptop, USB/thumb-drive, handheld), have prior supervisory authorization to do so AND that health information is only transferred or created on encrypted devices approved by SFPDH Information Security staff?						<input type="checkbox"/>	<input type="checkbox"/>

II. Contractors who serve patients/clients and have access to SFPDH PHI, must also complete this section.

If Applicable: DOES YOUR ORGANIZATION...							Yes	No*
G	Have (or will have if/when applicable) evidence that SFPDH Service Desk (628-206-SERV) was notified to de-provision employees who have access to SFPDH health information record systems within 2 business days for regular terminations and within 24 hours for terminations due to cause?						<input type="checkbox"/>	<input type="checkbox"/>
H	Have evidence in each patient's / client's chart or electronic file that a Privacy Notice that meets HIPAA regulations was provided in the patient's / client's preferred language? (English, Cantonese, Vietnamese, Tagalog, Spanish, Russian forms may be required and are available from SFPDH.)						<input type="checkbox"/>	<input type="checkbox"/>
I	Visibly post the Summary of the Notice of Privacy Practices in all six languages in common patient areas of your treatment facility?						<input type="checkbox"/>	<input type="checkbox"/>
J	Document each disclosure of a patient's/client's health information for purposes <u>other than</u> treatment, payment, or operations?						<input type="checkbox"/>	<input type="checkbox"/>
K	When required by law, have proof that signed authorization for disclosure forms (that meet the requirements of the HIPAA Privacy Rule) are obtained PRIOR to releasing a patient's/client's health information?						<input type="checkbox"/>	<input type="checkbox"/>

III. ATTEST: Under penalty of perjury, I hereby attest that to the best of my knowledge the information herein is true and correct and that I have authority to sign on behalf of and bind Contractor listed above.

ATTESTED by Privacy Officer or designated person	Name: (print)		Signature		Date	
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IV. *EXCEPTIONS: If you have answered "NO" to any question or believe a question is Not Applicable, please contact OCPA at **1-855-729-6040** or compliance.privacy@sfdph.org for a consultation. All "No" or "N/A" answers must be reviewed and approved by OCPA below.

EXCEPTION(S) APPROVED by OCPA	Name (print)		Signature		Date	
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Contractor Name:		Contractor City Vendor ID	
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DATA SECURITY ATTESTATION

INSTRUCTIONS: Contractors and Partners who receive or have access to health or medical information or electronic health record systems maintained by SFDPH must complete this form. Retain completed Attestations in your files for a period of 7 years. Be prepared to submit completed attestations, along with evidence related to the following items, if requested to do so by SFDPH.

Exceptions: If you believe that a requirement is Not Applicable to you, see instructions in Section III below on how to request clarification or obtain an exception.

I. All Contractors.

DOES YOUR ORGANIZATION...						Yes	No*	
A	Conduct assessments/audits of your data security safeguards to demonstrate and document compliance with your security policies and the requirements of HIPAA/HITECH at least every two years? [Retain documentation for a period of 7 years]							
B	Use findings from the assessments/audits to identify and mitigate known risks into documented remediation plans?							
	Date of last Data Security Risk Assessment/Audit:							
	Name of firm or person(s) who performed the Assessment/Audit and/or authored the final report:							
C	Have a formal Data Security Awareness Program?							
D	Have formal Data Security Policies and Procedures to detect, contain, and correct security violations that comply with the Health Insurance Portability and Accountability Act (HIPAA) and the Health Information Technology for Economic and Clinical Health Act (HITECH)?							
E	Have a Data Security Officer or other individual designated as the person in charge of ensuring the security of confidential information?							
	If yes:	Name & Title:	Phone #		Email:			
F	Require Data Security Training upon hire and annually thereafter for all employees who have access to health information? [Retain documentation of trainings for a period of 7 years.] [SFDPH data security training materials are available for use; contact OCPA at 1-855-729-6040.]							
G	Have proof that employees have signed a form upon hire and annually, or regularly, thereafter, with their name and the date, acknowledging that they have received data security training? [Retain documentation of acknowledgement of trainings for a period of 7 years.]							
H	Have (or will have if/when applicable) Business Associate Agreements with subcontractors who create, receive, maintain, transmit, or access SFDPH's health information?							
I	Have (or will have if/when applicable) a diagram of how SFDPH data flows between your organization and subcontractors or vendors (including named users, access methods, on-premise data hosts, processing systems, etc.)?							

II. ATTEST: Under penalty of perjury, I hereby attest that to the best of my knowledge the information herein is true and correct and that I have authority to sign on behalf of and bind Contractor listed above.

ATTESTED by Data Security Officer or designated person	Name: (print)		Signature		Date	
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III. *EXCEPTIONS: If you have answered "NO" to any question or believe a question is Not Applicable, please contact OCPA at **1-855-729-6040** or compliance.privacy@sfdph.org for a consultation. All "No" or "N/A" answers must be reviewed and approved by OCPA below.

EXCEPTION(S) APPROVED by OCPA	Name (print)		Signature		Date	
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**DEPARTMENT OF PUBLIC HEALTH CONTRACTOR
FEE FOR SERVICE STATEMENT OF DELIVERABLES AND INVOICE**

CONTRACTOR: Health Management Associates, Inc
Address: 120 N. Washington Square #705
Lansing, MI 48933

Telephone:
FAX:

CONTRACT TERM: 5/9/2022 - 6/30/2023

CONTRACT NAME: Laguna Honda Re-Application / Re- Certification Project

Control Number

Contract Purchase Order PO No.

Fund Source:

Invoicing Period:

Invoice Number:

PROGRAM EXHIBIT: Appendix A-1 / B-1

Deliverables	Total contracted UOS (hours)	UOS Delivered THIS PERIOD	UNIT RATE Per Hour	AMOUNT DUE	UOS Delivered TO DATE	% OF TOTAL	Remaining Units to be Delivered
Managing Principal	545		\$395.00				
Principal	4,294		\$385.00				
Principal - Physician	1,047		\$450.00				
Senior Consultant	6,960		\$315.00				
Consultant	160		\$240.00				
Subcontractor / Steven Hirsch and Associates	646		\$288.00				
Kyle Edrington Subcontractor / Edrington	48		\$392.00				
Matt Menard Subcontractor / Edrington	480		\$248.00				
Wendy Kaler Sub Conntactor	360		\$200.00				
Travel Expense	Billed Actual (Appendix G)						
TOTAL EXPENSES					NOTES: See Appendix B-1 for details		
LESS: Initial Operational Cost Advance Recovery							
Other Adjustments:							
REIMBURSEMENT							

I certify that the information provided above is, to the best of my knowledge, complete and accurate; the amount requested for reimbursement is in accordance with the contract approved for services provided under the provision of that contract. Full justification and backup records for those claims are maintained in our office at the address indicated.

Signature: _____ Date: _____

Title: _____

Send to: SFDPH/LHH 375 Laguna Honda Blvd. San Francisco, CA 94116 Attn: Baljeet Sangha	SFDPH/LHH Authorization For Payment:
By: _____ Baljeet Sangha	Date: _____

Appendix G Travel and Expense Policy

General

Before traveling to City's facilities, Contractor must receive written authorization from City for the travel as provided in the Agreement. Contractor will complete a travel authorization form which, unless agreed otherwise, will include the on-site dates for the personnel and an estimate for all expenses (including expected airfare). At City's option, City may approve a blanket travel authorization rather than an individual travel authorization for each trip. A blanket travel authorization includes a range of trips, reducing the number of travel authorizations submitted to City for approval.

Air Travel

Airfare must be booked for economy/coach class only. Business or First Class is not reimbursable. Optional upgrades are not reimbursable. Contractor will choose the most cost effective flight that otherwise satisfies its booking criteria (e.g., no double connections, fits any reasonable time constraints). If a charter would be of equal cost to or less expensive than commercial airfare due to the number of traveling staff, Contractor may use a charter.

Contractor will use reasonable efforts, where possible, to purchase air tickets at minimum 2 weeks in advance to take advantage of the most economical fares available. You have informed Contractor that You intend to seek approval in writing by the Program Manager or his or her designee if a travel authorization referenced above includes estimated airfare in excess of \$500 round trip.

If airline charges for checked luggage, only the cost of the first checked bag is reimbursable. Additional baggage check-in costs will be reimbursed with justification explaining the business need for extra luggage.

Ground Transportation from Airport to Work Site or to Hotel

Public transportation, shuttle, taxi, or ridesharing (e.g., Uber or Lyft) is preferred as the primary mode of transportation. Public transportation between worksites is reimbursed based upon need.

City will reimburse Contractor for actual tolls, parking fees, a standard amount for mileage to and from the outbound airport, airport shuttle service, public transportation fees and taxi or similar (e.g., Uber, Lyft) fares. Personal car mileage is based on the IRS set rate; fuel is not reimbursed for personal car usage. Contractor will instruct its staff to generally use taxi or similar services or public transit, rather than rental cars. Where applicable, Contractor will normally rent cars from a national car rental chain to take advantage of its national discounted rates whenever feasible. Generally, Contractor rents cars that will comfortably accommodate 3 or 4 employees with luggage and laptop computers rather than renting vehicles for each employee. Contractor employees will make reasonable efforts to refuel rental cars prior to returning the cars.

Personal Vehicles:

The following information should be included in reimbursement request submitted by the traveler to Contractor, except with respect to use of a personal vehicle to travel from the traveler’s home or office to airport:

1. Business purpose for use of vehicle
2. Starting point (e.g., worksite or home, whichever is the closer of the two) and the destination
3. Vehicle make, model, and license number
4. Odometer reading, beginning and ending, or a printout from an automated mapping program (e.g., Google Maps) showing the route and mileage

Rental Cars:

The travel reimbursement policy with regards to use of a rental car is as follows:

1. Cost of rental car used for work performed under the Agreement is reimbursable if it was pre-approved by the Program Manager or his or her designee as part of the travel authorization process described above. The pre-approval is required to be documented in writing, and must include:
 - a. the car rental amount and estimate of other related expenses such as parking and fuel, and
 - b. justification why other forms of transportation are not appropriate, why a rental car is necessary, and how a rental car is the most economical and efficient/practical
2. All passengers traveling in a rental vehicle must be performing work under the Agreement.
 - a. Car rental is limited to standard compact size vehicle. Midsize vehicle is reimbursable if use is for three people or more, justification provided, and pre-approved in writing by the Program Manager or his or her designee as part of the travel authorization process described above
 - b. Pre-paid fuel for re-filling the gas tank on the rental car is not reimbursable. Employees must submit to Contractor fuel receipt for actual usage
3. Carpooling and ridesharing is required. Members travelling in the car must be provided in writing on the face of the receipt when submitting expenses to Contractor. No less than three contractors per car is permitted.

Information regarding public transportation

The following resources are presented as a guide, please check the applicable website for the most up-to-date information. Contractor will book its own travel.

SF MUNI

1. Plan your trip: <https://www.sfmta.com/>
2. System Map: <https://www.sfmta.com/maps/muni-system-map>
3. Schedules: <http://511.org/transit/schedules-agency-info/agency/363/schedules>

BART

1. Plan your Trip: <https://www.bart.gov/>
2. System Map: <http://www.bart.gov/stations>
3. Schedules: <http://511.org/transit/schedules-agency-info/agency/354/schedules>

City has informed Contractor that parking is not available at most City worksites. Parking is reimbursable, however Contractor will instruct its staff that they should generally use other forms of transportation that do not require parking at City's facilities. To request reimbursement for garage parking, Contractor staff will provide Contractor with a receipt showing the parking fee paid, subject to the Documentation of Travel Expenses requirements set forth below.

Meals and Hotels

City will reimburse Contractor a flat fee per traveler per day for meals, hotels, and non-ground transport incidental expenses at the “per diem” CONUS rate as published by the General Services Administration for San Francisco (using zip code 94102).

<https://www.gsa.gov/travel-resources>

Conus Check-in

If, following the Effective Date either party has concerns about the CONUS rate referenced above (whether because it is perceived as too far above or below actual typical hotel and meal costs), such party will escalate its concerns and the parties will discuss whether this provision of the Agreement should be modified through a Revision to the Program Budget to address any shortfall with the CONUS rate or to authorize payment above the published CONUS rate.

Non-Reimbursable Expenses

1. Hotel movies
2. Internet access solely for personal purposes
3. Entertainment
4. Sightseeing
5. Tips above 20%
6. Optional airline upgrades
7. Alcoholic beverages
8. Child or pet care
9. Damages to contractor's personal vehicle
10. Lost or stolen funds or personal property
11. Parking/moving violation tickets or other penalties for infractions of any law, repair of automobile and towing charges
12. Travel insurance or rental car insurance offered by rental car companies
13. Insurance in connection with personal automobiles
14. Hotel health club memberships
15. Laundry service (unless contractor is on site for six consecutive days of work or more)

16. Personal services and personal supplies
17. Any expense which is not bona fide for federal income tax purposes
18. Cancelled travel tickets and change / cancellation costs (where the cancellation was reasonably avoidable)

Documentation of Travel Expenses

Contractor travelers generally are required to provide Contractor with receipts for their travel expenses. On the occasion a receipt is lost or misplaced, Contractor's accounting department will obtain documentation from the traveler for the applicable expenses. Contractor's accounting department will monitor these instances to help keep them to a minimum.

Sharing Expenses with Other Organizations

Occasionally, it may be possible to combine travel to City's site with travel to or from another Contractor customer site, and in such case, expenses can be shared with the other organizations. Contractor employees are responsible for seeking reimbursement for expenses payable by others. If a Contractor employee is taking a trip payable jointly by City and another entity, City will reimburse City's share of the actual expenses necessary for City's business in accordance with this Travel Policy. In no case may the reimbursement to the Contractor employee from all sources exceed the total expenses incurred by the employee.

Non-Productive Billable Travel Time (Added under Amendment #1)

Non-Productive billable travel time shall be billed at 50% of the stated hourly resource rate listed in Appendix B-1.

SAN FRANCISCO DEPARTMENT OF PUBLIC HEALTH

REVISION TO PROGRAM BUDGETS (RPB) #1

The Department of Public Health hereby requests a revision to the Program Budgets of FSP Contract ID# 1000025422, in order to allow use of Contingency Funds included in the not-to-exceed contract amount.

WHEREAS, the City and County of San Francisco, through its Department of Public Health (“DPH”), entered into an Agreement with Health Management Associates, Inc. (“Contractor”) dated May 9, 2022, hereinafter referred to as the “Agreement,” with a not-to-exceed contract amount of \$3,782,365, comprised of a base contract amount of \$3,057,113 (“Base”), a travel amount of \$320,000 (“Travel”), and a contingency amount of \$405,252 (“Contingency”); and

WHEREAS, DPH now wishes to revise the Program Budgets to allow use of \$145,856 of Contingency Funds to pay for the items described in Section 2 (Revision to Appendix A-1) below. The remaining contingency amount is \$259,396;

WHEREAS, the term and \$3,782,365 not-to-exceed contract amount of the Agreement remain unchanged;

WHEREAS, This Revision to the Program Budgets will become effective upon certification by the Controller of the availability of funds;

NOW THEREFORE, The City and Contractor agree as follows.

1. Definitions. The following definitions shall apply to this Amendment:

1a. Agreement. The term “Agreement” shall mean the Agreement dated May 9, 2022, between Contractor and City.

1b. Other Terms. Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

2. Revision to Appendix A-1, TASK 1 – COMPREHENSIVE ASSESSMENT and TASK 2 – CMS RE-APPLICATION, READINESS ASSESSMENT, AND MOCK SURVEY.

2a. Attachment 1 to Appendix A-1 Data Analyst Support, dated July 12, 2022, shall be added to Appendix A-1 of the Original Agreement.

3. Revision to Appendix B-1 Calculation of Charges (Budget).

3a. The attached Appendix B-1 Calculation of Charges (Budget), dated July 12, 2022, shall replace that of the Original Agreement.

4. Revision to Appendix F

4a. The attached Appendix F dated July 12, 2022, shall replace that of the Original Agreement.

5. Legal Effect. Except as expressly revised herein, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, the parties hereto have executed this Revision to Program Budgets on the day first mentioned above.

CITY:

DocuSigned by:

Roland Pickens

08/10/2022 | 8:25 AM

142006282BEB48B...

Roland Pickens, MHA, FACHE
Director, San Francisco Health Network
The Integrated Delivery System of
The San Francisco Department of Public Health

CONTRACTOR:

DocuSigned by:

Kelly Johnson

08/10/2022 | 7:54 AM P

7535E7CBA7A5470...

Kelly Johnson Chief Administrative Officer
120 N Washington Square #705
Lansing, MI 48933

Attachment 1 to Appendix A-1
Date July 12, 2022

I. Scope of work: Data Analyst Support

- A. HMA will assist with analytic support to expand the team focused on Laguna Honda's operations. HMA will provide an analyst to be overseen and directed by Laguna Honda Hospital's Chief Quality Officer, Nawzaneen Talai. HMA understands that this analyst will be required to:
1. Provide "full-time" support, generally spanning 40 hours per week
 2. Report to members of the Laguna Hospital team and fulfill both time-sensitive and long-term requests reasonably and prudently
 3. Participate in 1-2 weeks of on-site training to understand existing processes, data structures, tools, and analytic functions. After this, support will primarily be provided remotely.
 4. Develop knowledge to operate within the Epic information system to facilitate reporting and analytics
 5. Develop, review, and communicate data summaries and analyses using available tools such as Microsoft Excel and SQL
 6. Provide continuity training to new team members and potentially develop policies and procedures to enable seamless transitions

II. Proposed Resources:

- A. Kyle Edrington will serve as the project manager and will ensure timely completion of deliverables, coordinate team activities, and provide consistent communication with San Francisco Department of Public Health.
- B. Matt Menard will be the primary staff on this project. Additional HMA staff will provide services for the project as appropriate.

III. Budget (funded by contingency)

The following is the proposed budget for the scope of work. This format is consistent with the HMA agreement and as requested by City contracts office.

Consultant	Title	Rate	Estimated Hours	Budgeted Amount
Kyle Edrington	Managing Director, Edrington	\$392	48	\$18,816
Matt Menard	Actuarial Analyst, Edrington	\$248	480	\$119,040
			528	\$137,856
			TRAVEL EXPENSES	\$8,000

Revised July 12,2022

Appendix B-1
Calculation of ChargesBudget
Page 1 of 2**Task 1: COMPREHENSIVE
ASSESSMENT**

	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	70	\$ 27,650.00
Robert Ross	Principal	\$ 385.00	112	\$ 43,120.00
David Polakoff	Principal - Physician	\$ 450.00	92	\$ 41,400.00
Dina Besiveric	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Trisha Bielski	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Brent Barkett	Principal	\$ 385.00	200	\$ 77,000.00
Isis Montalvo	Senior Consultant	\$ 315.00	60	\$ 18,900.00
Margaret Williams	Principal	\$ 385.00	60	\$ 23,100.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Karen Hill	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Flint Michels	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Debbi Witham	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Iliana Gilman	Principal	\$ 385.00	70	\$ 26,950.00
TBD	Senior Consultant	\$ 315.00	12	\$ 3,780.00
Facilities	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Infection Prevention	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Nurse Executive	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Pharmacy	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
			1,788	\$ 611,316.00

**Task 2: CMS RE-APPLICATION,
READINESS ASSESSMENT, AND MOCK
SURVEY**

	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	154	\$ 60,830.00
Robert Ross	Principal	\$ 385.00	760	\$ 292,600.00
David Polakoff	Principal - Physician	\$ 450.00	446	\$ 200,700.00
Dina Besiveric	Senior Consultant	\$ 315.00	754	\$ 237,510.00
Trisha Bielski	Senior Consultant	\$ 315.00	746	\$ 234,990.00
Brent Barkett	Principal	\$ 385.00	414	\$ 159,390.00
Isis Montalvo	Senior Consultant	\$ 315.00	224	\$ 70,560.00
Margaret Williams	Principal	\$ 385.00	128	\$ 49,280.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	208	\$ 65,520.00
Karen Hill	Senior Consultant	\$ 315.00	236	\$ 74,340.00
Flint Michels	Senior Consultant	\$ 315.00	104	\$ 32,760.00
Debbi Witham	Senior Consultant	\$ 315.00	208	\$ 65,520.00
Iliana Gilman	Principal	\$ 385.00	250	\$ 96,250.00
TBD	Senior Consultant	\$ 315.00	68	\$ 21,420.00
Facilities	Subcontractor / Steven Hirsch and Associates	\$ 288.00	86	\$ 24,768.00
Infection Prevention	Subcontractor / Steven Hirsch and Associates	\$ 288.00	296	\$ 85,248.00
Nurse Executive	Subcontractor / Steven Hirsch and Associates	\$ 288.00	200	\$ 57,600.00
			5,282	\$ 1,829,286.00

Revised July 12,2022

Appendix B-1
Calculation of ChargesBudget
Page 2 of 2**Shared Resources Across Task 1 and Task 2**

Communications	Title	Rate	Estimated	Budgeted
			Hours	Amount
Kim Milstien	Managing Principal	\$ 395.00	12	\$ 4,740.00
Robert Ross	Principal	\$ 385.00	20	\$ 7,700.00
Brent Barkett	Principal	\$ 385.00	10	\$ 3,850.00
Iliana Gilman	Principal	\$ 385.00	236	\$ 90,860.00
Facilities	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Infection Prevention	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Nurse Executive	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Pharmacy	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
			310	\$ 116,366.00

Change Management	Title	Rate	Estimated	Budgeted
			Hours	Amount
Kim Milstien	Managing Principal	\$ 395.00	64	\$ 25,280.00
Robert Ross	Principal	\$ 385.00	64	\$ 24,640.00
David Polakoff	Principal - Physician	\$ 450.00	24	\$ 10,800.00
Dina Besiveric	Senior Consultant	\$ 315.00	24	\$ 7,560.00
Trisha Bielski	Senior Consultant	\$ 315.00	24	\$ 7,560.00
Brent Barkett	Principal	\$ 385.00	28	\$ 10,780.00
Iliana Gilman	Principal	\$ 385.00	280	\$ 107,800.00
<i>Kyle Edrington (Added via RPB#1 July 2022)</i>	<i>Managing Director, Sub Contracor /Edrington</i>	<i>\$ 392.00</i>	<i>48</i>	<i>\$ 18,816.00</i>
<i>Matt Menard (Added via RPB#1 July 2022)</i>	<i>Actuarial Analyst, Sub Contracor /Edrington</i>	<i>\$ 248.00</i>	<i>480</i>	<i>\$ 119,040.00</i>
			1,036	\$ 332,276.00

Project Management	Title	Rate	Estimated	Budgeted
			Hours	Amount
Kim Milstien	Managing Principal	\$ 395.00	70	\$ 27,650.00
Robert Ross	Principal	\$ 385.00	100	\$ 38,500.00
David Polakoff	Principal - Physician	\$ 450.00	70	\$ 31,500.00
Dina Besiveric	Senior Consultant	\$ 315.00	100	\$ 31,500.00
Trisha Bielski	Senior Consultant	\$ 315.00	100	\$ 31,500.00
Brent Barkett	Principal	\$ 385.00	160	\$ 61,600.00
Isis Montalvo	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Margaret Williams	Principal	\$ 385.00	17	\$ 6,545.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Karen Hill	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Flint Michels	Senior Consultant	\$ 315.00	17	\$ 5,355.00
Debbi Witham	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Iliana Gilman	Principal	\$ 385.00	100	\$ 38,500.00
TBD	Senior Consultant	\$ 315.00	17	\$ 5,355.00
			839	\$ 305,725.00

Total Hours 9,255
SUB TOTAL OF ALL CONSULTING \$ 3,194,969.00
TRAVEL EXPENSES \$ 328,000.00
SUB TOTAL OF TASKS 1 AND 2 & Travel \$ 3,522,969.00
Remaining CONTINGENCY 12% \$ 259,396.00
TOTAL NOT TO EXCEED AMOUNT \$ 3,782,365.00

**DEPARTMENT OF PUBLIC HEALTH CONTRACTOR
FEE FOR SERVICE STATEMENT OF DELIVERABLES AND INVOICE**

CONTRACTOR: Health Management Associates, Inc
Address: 120 N. Washington Square #705
Lansing, MI 48933

Control Number

Telephone:
FAX:

Contract Purchase Order PO No.

Fund Source:

CONTRACT TERM: 5/9/2022 - 6/30/2023

Invoicing Period:

CONTRACT NAME: Laguna Honda Re-Application / Re- Certification Project

Invoice Number:

PROGRAM EXHIBIT: Appendix A-1 / B-1

Deliverables	Total contracted UOS (hours)	UOS Delivered THIS PERIOD	UNIT RATE Per Hour	AMOUNT DUE	UOS Delivered TO DATE	% OF TOTAL	Remaining Units to be Delivered
Managing Principal	370		\$395.00				
Principal	3,009		\$385.00				
Principal - Physician	632		\$450.00				
Senior Consultant	4,070		\$315.00				
Subcontractor / Steven Hirsch and Associates	646		\$288.00				
Kyle Edrington Subcontractor / Edrington	48		\$392.00				
Matt Menard Subcontractor / Edrington	480		\$248.00				
Travel Expense	Billed Actual (Appendix G)						

TOTAL EXPENSES	
LESS: Initial Operational Cost Advance Recovery	
Other Adjustments:	
REIMBURSEMENT	

NOTES:

See Appendix B-1 for details

I certify that the information provided above is, to the best of my knowledge, complete and accurate; the amount requested for reimbursement is in accordance with the contract approved for services provided under the provision of that contract. Full justification and backup records for those claims are maintained in our office at the address indicated.

Signature: _____

Date: _____

Title: _____

Send to: SFDPH/LHH 375 Laguna Honda Blvd. San Francisco, CA 94116 Attn: Baljeet Sangha	SFDPH/LHH Authorization For Payment:
By: _____ Baljeet Sangha	Date: _____

**City and County of San Francisco
Office of Contract Administration
Purchasing Division
City Hall, Room 430
1 Dr. Carlton B. Goodlett Place
San Francisco, California 94102-4685**

Agreement between the City and County of San Francisco and

**Health Management Associates, Inc.
CT ID #1000025422**

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This Agreement is made this 9th day of May 2022 in the City and County of San Francisco (“City”), State of California, by and between Health Management Associates, Inc. 120 N. Washington Square #705, Lansing , MI 48933 (“Contractor”) and City.

Recitals

WHEREAS, the Department of Public Health (“Department”) wishes to consulting and assessment services as described in Appendix A-1; and

WHEREAS, Contractor represents and warrants that it is qualified to perform the Services required by City as set forth under this Agreement; and

WHEREAS, Contractor was selected pursuant to San Francisco Administrative Code Section 21.15; and

WHEREAS, approval for the Agreement was obtained on March 8, 2018 from the Civil Service Commission under PSC number 49607 – 15/16 in the amount of \$17,000,000 for the period of five years and

Now, THEREFORE, the parties agree as follows:

Article 1 Definitions

The following definitions apply to this Agreement:

1.1 **“Agreement”** means this contract document, including all attached appendices, and all applicable City Ordinances and Mandatory City Requirements specifically incorporated into this Agreement by reference as provided herein.

1.2 **“City” or “the City”** means the City and County of San Francisco, a municipal corporation, acting by and through both its Director of the Office of Contract Administration or the Director’s designated agent, hereinafter referred to as “Purchasing” and the Department of Public Health

1.3 **“City Data”** means that data as described in Article 13 of this Agreement which includes, without limitation, all data collected, used, maintained, processed, stored, or generated by or on behalf of the City in connection with this Agreement. City Data includes, without limitation, Confidential Information.

1.4 **“CMD”** means the Contract Monitoring Division of the City.

1.5 **“Confidential Information”** means confidential City information including, but not limited to, personally-identifiable information (“PII”), protected health information (“PHI”), or individual financial information (collectively, “Proprietary or Confidential Information”) that is subject to local, state or federal laws restricting the use and disclosure of such information, including, but not limited to, Article 1, Section 1 of the California Constitution; the California Information Practices Act (Civil Code § 1798 et seq.); the California Confidentiality of Medical Information Act (Civil Code § 56 et seq.); the federal Gramm-Leach-Bliley Act (15 U.S.C. §§ 6801(b) and 6805(b)(2)); the privacy and information security aspects of the Administrative Simplification provisions of the federal Health Insurance Portability and Accountability Act (45 CFR Part 160 and Subparts A, C, and E of part 164); and San Francisco Administrative Code Chapter 12M (Chapter 12M).

1.6 **“Contractor” or “Consultant”** means Health Management Associates, Inc. 120 N. Washington Square #705, Lansing , MI 48933

1.7 **“Deliverables”** means Contractor’s work product resulting from the Services provided by Contractor to City during the course of Contractor’s performance of the Agreement, including without limitation, the work product described in the “Scope of Services” attached as Appendix A.

1.8 **“Mandatory City Requirements”** means those City laws set forth in the San Francisco Municipal Code, including the duly authorized rules, regulations, and guidelines implementing such laws that impose specific duties and obligations upon Contractor.

1.9 **“Party” and “Parties”** means the City and Contractor either collectively or individually.

1.10 **“Services”** means the work performed by Contractor under this Agreement as specifically described in the “Scope of Services” attached as Appendix A, including all services, labor, supervision, materials, equipment, actions and other requirements to be performed and furnished by Contractor under this Agreement.

Article 2 Term of the Agreement

2.1 **Term.** The term of this Agreement shall commence on May 9, 2022 and expire on June 30, 2023 unless earlier terminated as otherwise provided herein.

Article 3 Financial Matters

3.1 **Certification of Funds; Budget and Fiscal Provisions; Termination in the Event of Non-Appropriation.** This Agreement is subject to the budget and fiscal provisions of the City’s Charter. Charges will accrue only after prior written authorization certified by the Controller, and the amount of City’s obligation hereunder shall not at any time exceed the amount certified for the purpose and period stated in such advance authorization. This Agreement will terminate without penalty, liability or expense of any kind to City at the end of any fiscal year if funds are not appropriated for the next succeeding fiscal year. If funds are appropriated for a portion of the fiscal year, this Agreement will terminate, without penalty, liability or expense of any kind at the end of the term for which funds are appropriated. City has no obligation to make appropriations for this Agreement in lieu of appropriations for new or other agreements. City budget decisions are subject to the discretion of the Mayor and the Board of Supervisors. Contractor’s assumption of risk of possible non-appropriation is part of the consideration for this Agreement.

THIS SECTION CONTROLS AGAINST ANY AND ALL OTHER PROVISIONS OF THIS AGREEMENT.

3.2 **Guaranteed Maximum Costs.** The City’s payment obligation to Contractor cannot at any time exceed the amount certified by City’s Controller for the purpose and period stated in such certification. Absent an authorized Emergency per the City Charter or applicable Code, no City representative is authorized to offer or promise, nor is the City required to honor, any offered or promised payments to Contractor under this Agreement in excess of the certified maximum amount without the Controller having first certified the additional promised amount and the Parties having modified this Agreement as provided in Section 11.5, “Modification of this Agreement.”

3.3 **Compensation.**

3.3.1 **Calculation of Charges.** Contractor shall provide an invoice to the City on a monthly basis for goods delivered and/or Services completed in the immediate preceding month, unless a different schedule is set out in Appendix B, “Calculation of Charges.” Compensation shall be made for goods and/or Services identified in the invoice that the City, in his or her sole discretion, concludes has been satisfactorily performed. In no event shall the amount of this Agreement exceed THREE MILLION SEVEN HUNDRED EIGHTY TWO THOUSAND THREE HUNDRED SIXTY FIVE DOLALRS (\$3,782,365) The breakdown of charges associated with this Agreement appears in Appendix B, “Calculation of Charges.” A portion of payment may be withheld until conclusion of the Agreement if agreed to by both Parties as retainage, described in Appendix B. In no event shall City be liable for interest or late charges for any late payments. City will not honor minimum service order charges for any services covered by this Agreement.

3.3.2 Payment Limited to Satisfactory Services and Delivery of Goods. Contractor is not entitled to any payments from City until City approves the goods and/or Services delivered pursuant to this Agreement. Payments to Contractor by City shall not excuse Contractor from its obligation to replace unsatisfactory delivery of goods and/or Services even if the unsatisfactory character may not have been apparent or detected at the time such payment was made. Goods and/or Services delivered pursuant to this Agreement that do not conform to the requirements of this Agreement may be rejected by City and in such case must be replaced by Contractor without delay at no cost to the City.

3.3.3 Withhold Payments. If Contractor fails to provide goods and/or Services in accordance with Contractor's obligations under this Agreement, the City may withhold any and all payments due Contractor until such failure to perform is cured, and Contractor shall not stop work as a result of City's withholding of payments as provided herein.

3.3.4 Invoice Format. Invoices furnished by Contractor under this Agreement must be in a form acceptable to the Controller and City and include a unique invoice number and a specific invoice date. Payment shall be made by City as specified in Section 3.3.7, or in such alternate manner as the Parties have mutually agreed upon in writing. All invoices must show the PeopleSoft Purchase Order ID Number, PeopleSoft Supplier Name and ID, Item numbers (if applicable), complete description of goods delivered or Services performed, sales/use tax (if applicable), contract payment terms and contract price. Invoices that do not include all required information or contain inaccurate information will not be processed for payment.

3.3.5 Reserved (LBE Payment and Utilization Tracking System)

3.3.6 Getting paid by the City for Goods and/or Services.

(a) The City and County of San Francisco utilizes the Paymode-X[®] service offered by Bank of America Merrill Lynch to pay City contractors. Contractor must sign up to receive electronic payments to be paid under this Agreement. To sign up for electronic payments, visit http://portal.paymode.com/city_countyofsanfrancisco.

(b) At the option of the City, Contractor may be required to submit invoices directly in the City's financial and procurement system (PeopleSoft) via eSettlement. Refer to <https://sfcitypartner.sfgov.org/pages/training.aspx> for more information on eSettlement. For access to PeopleSoft eSettlement, submit a request through sfemployeeportalsupport@sfgov.org.

3.3.7 Reserved (Grant Funded Contracts).

3.3.8 Payment Terms.

(a) **Payment Due Date:** Unless City notifies the Contractor that a dispute exists, Payment shall be made within 30 calendar days, measured from (1) the delivery of goods and/or the rendering of services or (2) the date of receipt of the invoice, whichever is later. Payment is deemed to be made on the date on which City has issued a check to Contractor or, if Contractor has agreed to electronic payment, the date on which City has posted electronic payment to Contractor.

(b) **Reserved (Payment Discount Terms).**

3.4 Audit and Inspection of Records.

3.4.1 Contractor agrees to maintain and make available to the City, during regular business hours, accurate books and accounting records relating to its Services. Contractor will permit City to audit, examine and make excerpts and transcripts from such books and records, and to make audits of all invoices, materials, payrolls, records or personnel and other data related to all other matters covered by this Agreement, whether funded in whole or in part under this Agreement. Contractor shall maintain such

data and records in an accessible location and condition for a period of not fewer than five years, unless required for a longer duration due to Federal, State, or local requirements of which the City will notify contractor in writing, after final payment under this Agreement or until after final audit has been resolved, whichever is later. The State of California or any Federal agency having an interest in the subject matter of this Agreement shall have the same rights as conferred upon City by this Section. Contractor shall include the same audit and inspection rights and record retention requirements in all subcontracts.

Contractor shall annually have its books of accounts audited by a Certified Public Accountant and a copy of said audit report and the associated management letter(s) shall be transmitted to the Director of Public Health or his /her designee within one hundred eighty (180) calendar days following Contractor's fiscal year end date. If Contractor expends \$750,000 or more in Federal funding per year, from any and all Federal awards, said audit shall be conducted in accordance with 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Said requirements can be found at the following website address: https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl.

3.4.2 If Contractor expends less than \$750,000 a year in Federal awards, Contractor is exempt from the single audit requirements for that year, but records must be available for review or audit by appropriate officials of the Federal Agency, pass-through entity and General Accounting Office. Contractor agrees to reimburse the City any cost adjustments necessitated by this audit report. Any audit report which addresses all or part of the period covered by this Agreement shall treat the service components identified in the detailed descriptions attached to Appendix A and referred to in the Program Budgets of Appendix B as discrete program entities of the Contractor.

3.4.3 The Director of Public Health or his / her designee may approve a waiver of the audit requirement in Section 3.4.2 above, if the contractual Services are of a consulting or personal services nature, these Services are paid for through fee for service terms which limit the City's risk with such contracts, and it is determined that the work associated with the audit would produce undue burdens or costs and would provide minimal benefits. A written request for a waiver must be submitted to the DIRECTOR ninety (90) calendar days before the end of the Agreement term or Contractor's fiscal year, whichever comes first.

3.4.4 Any financial adjustments necessitated by this audit report shall be made by Contractor to the City. If Contractor is under contract to the City, the adjustment may be made in the next subsequent billing by Contractor to the City, or may be made by another written schedule determined solely by the City. In the event Contractor is not under contract to the City, written arrangements shall be made for audit adjustments.

3.5 Submitting False Claims. The full text of San Francisco Administrative Code Chapter 21, Section 21.35, including the enforcement and penalty provisions, is incorporated into this Agreement. Pursuant to San Francisco Administrative Code §21.35, any contractor or subcontractor who submits a false claim shall be liable to the City for the statutory penalties set forth in that section. A contractor or subcontractor will be deemed to have submitted a false claim to the City if the contractor or subcontractor: (a) knowingly presents or causes to be presented to an officer or employee of the City a false claim or request for payment or approval; (b) knowingly makes, uses, or causes to be made or used a false record or statement to get a false claim paid or approved by the City; (c) conspires to defraud the City by getting a false claim allowed or paid by the City; (d) knowingly makes, uses, or causes to be made or used a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit

money or property to the City; or (e) is a beneficiary of an inadvertent submission of a false claim to the City, subsequently discovers the falsity of the claim, and fails to disclose the false claim to the City within a reasonable time after discovery of the false claim.

3.6 Reserved (Payment of Prevailing Wages).

3.7 Contract Amendments; Budgeting Revisions.

3.7.1 Formal Contract Amendment: Contractor shall not be entitled to an increase in the Compensation or an extension of the Term unless the Parties agree to a Formal Amendment in accordance with the San Francisco Administrative Code and Section 11.5 (Modifications of this Agreement).

3.7.2 City Revisions to Program Budgets: The City shall have authority, without the execution of a Formal Amendment, to purchase additional Services and/or make changes to the work in accordance with the terms of this Agreement (including such terms that require Contractor's agreement), not involving an increase in the Compensation or the Term by use of a written City Revision to Program Budget.

3.7.3 City Program Scope Reduction. In order to preserve the Agreement and enable Contractor to continue to perform work albeit potentially on a reduced basis, the City shall have authority during the Term of the Agreement, without the execution of a Formal Amendment, to reduce scope, temporarily suspend the Agreement work, and/or convert the Term to month-to-month (Program Scope Reduction), by use of a written Revision to Program Budgets, executed by the Director of Health, or his or her designee, and Contractor. Contractor understands and agrees that the City's right to effect a Program Scope Reduction is intended to serve a public purpose and to protect the public fisc and is not intended to cause harm to or penalize Contractor. Contractor provides City with a full and final release of all claims arising from a Program Scope Reduction. Contractor further agrees that it will not sue the City for damages arising directly or indirectly from a City Program Scope Reduction

Article 4 Services and Resources

4.1 Services Contractor Agrees to Perform. Contractor agrees to perform the Services stated in Appendix A, "Scope of Services." Officers and employees of the City are not authorized to request, and the City is not required to reimburse the Contractor for, Services beyond the Scope of Services listed in Appendix A, unless Appendix A is modified as provided in Section 11.5, "Modification of this Agreement."

4.2 Personnel

4.2.1 Qualified Personnel. Contractor shall utilize only competent personnel under the supervision of, and in the employment of, Contractor (or Contractor's authorized subcontractors) to perform the Services. Contractor will comply with City's reasonable requests regarding assignment and/or removal of personnel, but all personnel, including those assigned at City's request, must be supervised by Contractor. Contractor shall commit adequate resources to allow timely completion within the project schedule specified in this Agreement.

4.2.2 Contractor Vaccination Policy.

(a) Contractor acknowledges that it has read the requirements of the 38th Supplement to Mayoral Proclamation Declaring the Existence of a Local Emergency ("Emergency Declaration"), dated February 25, 2020, and the Contractor Vaccination Policy for City Contractors issued by the City Administrator ("Contractor Vaccination Policy"), as those documents may be amended from time to time. A copy of the Contractor Vaccination Policy can be found at: <https://sf.gov/confirm-vaccine-status-your-employees-and-subcontractors>.

(b) A Contract subject to the Emergency Declaration is an agreement between the City and any other entity or individual and any subcontract under such agreement, where Covered Employees of the Contractor or Subcontractor work in-person with City employees in connection with the work or services performed under the agreement at a City owned, leased, or controlled facility. Such agreements include, but are not limited to, professional services contracts, general services contracts, public works contracts, and grants. Contract includes such agreements currently in place or entered into during the term of the Emergency Declaration. Contract does not include an agreement with a state or federal governmental entity or agreements that do not involve the City paying or receiving funds.

(c) In accordance with the Contractor Vaccination Policy, Contractor agrees that:

(i) Where applicable, Contractor shall ensure it complies with the requirements of the Contractor Vaccination Policy pertaining to Covered Employees, as they are defined under the Emergency Declaration and the Contractor Vaccination Policy, and insure such Covered Employees are either fully vaccinated for COVID-19 or obtain from Contractor an exemption based on medical or religious grounds; and

(ii) If Contractor grants Covered Employees an exemption based on medical or religious grounds, Contractor will promptly notify City by completing and submitting the Covered Employees Granted Exemptions Form (“Exemptions Form”), which can be found at <https://sf.gov/confirm-vaccine-status-your-employees-and-subcontractors> (navigate to “Exemptions” to download the form).

(d) The City reserves the right to impose a more stringent COVID-19 vaccination policy for the San Francisco Department of Public Health, acting in its sole discretion.

4.3 Subcontracting.

4.3.1 Contractor may subcontract portions of the Services only upon prior written approval of City. Contractor is responsible for its subcontractors throughout the course of the work required to perform the Services. All Subcontracts must incorporate the terms of Article 10 “Additional Requirements Incorporated by Reference” of this Agreement, unless inapplicable. Neither Party shall, on the basis of this Agreement, contract on behalf of, or in the name of, the other Party. Any agreement made in violation of this provision shall be null and void.

4.3.2 Sub Contractor: Steven Hirsch and Associates

4.4 Independent Contractor; Payment of Employment Taxes and Other Expenses.

4.4.1 **Independent Contractor.** For the purposes of this Section 4.4, “Contractor” shall be deemed to include not only Contractor, but also any agent or employee of Contractor. Contractor acknowledges and agrees that at all times, Contractor or any agent or employee of Contractor shall be deemed at all times to be an independent contractor and is wholly responsible for the manner in which it performs the services and work requested by City under this Agreement. Contractor, its agents, and employees will not represent or hold themselves out to be employees of the City at any time. Contractor or any agent or employee of Contractor shall not have employee status with City, nor be entitled to participate in any plans, arrangements, or distributions by City pertaining to or in connection with any retirement, health or other benefits that City may offer its employees. Contractor or any agent or employee of Contractor is liable for the acts and omissions of itself, its employees and its agents. Contractor shall be responsible for all obligations and payments, whether imposed by federal, state or local law, including, but not limited to, FICA, income tax withholdings, unemployment compensation, insurance, and other similar responsibilities related to Contractor’s performing services and work, or any agent or employee of Contractor providing same. Nothing in this Agreement shall be construed as

creating an employment or agency relationship between City and Contractor or any agent or employee of Contractor. Any terms in this Agreement referring to direction from City shall be construed as providing for direction as to policy and the result of Contractor's work only, and not as to the means by which such a result is obtained. City does not retain the right to control the means or the method by which Contractor performs work under this Agreement. Contractor agrees to maintain and make available to City, upon request and during regular business hours, accurate books and accounting records demonstrating Contractor's compliance with this Section. Should City determine that Contractor, or any agent or employee of Contractor, is not performing in accordance with the requirements of this Agreement, City shall provide Contractor with written notice of such failure. Within five (5) business days of Contractor's receipt of such notice, and in accordance with Contractor policy and procedure, Contractor shall remedy the deficiency. Notwithstanding, if City believes that an action of Contractor, or any agent or employee of Contractor, warrants immediate remedial action by Contractor, City shall contact Contractor and provide Contractor in writing with the reason for requesting such immediate action.

4.4.2 Payment of Employment Taxes and Other Expenses. Should City, in its discretion, or a relevant taxing authority such as the Internal Revenue Service or the State Employment Development Division, or both, determine that Contractor is an employee for purposes of collection of any employment taxes, the amounts payable under this Agreement shall be reduced by amounts equal to both the employee and employer portions of the tax due (and offsetting any credits for amounts already paid by Contractor which can be applied against this liability). City shall then forward those amounts to the relevant taxing authority. Should a relevant taxing authority determine a liability for past services performed by Contractor for City, upon notification of such fact by City, Contractor shall promptly remit such amount due or arrange with City to have the amount due withheld from future payments to Contractor under this Agreement (again, offsetting any amounts already paid by Contractor which can be applied as a credit against such liability). A determination of employment status pursuant to this Section 4.4 shall be solely limited to the purposes of the particular tax in question, and for all other purposes of this Agreement, Contractor shall not be considered an employee of City. Notwithstanding the foregoing, Contractor agrees to indemnify and save harmless City and its officers, agents and employees from, and, if requested, shall defend them against any and all claims, losses, costs, damages, and expenses, including attorneys' fees, arising from this Section.

4.5 Assignment. The Services to be performed by Contractor are personal in character. Neither this Agreement, nor any duties or obligations hereunder, may be directly or indirectly assigned, novated, hypothecated, transferred, or delegated by Contractor, or, where the Contractor is a joint venture, a joint venture partner, (collectively referred to as an "Assignment") unless first approved by City by written instrument executed and approved in the same manner as this Agreement in accordance with the Administrative Code. The City's approval of any such Assignment is subject to the Contractor demonstrating to City's reasonable satisfaction that the proposed transferee is: (i) reputable and capable, financially and otherwise, of performing each of Contractor's obligations under this Agreement and any other documents to be assigned, (ii) not forbidden by applicable law from transacting business or entering into contracts with City; and (iii) subject to the jurisdiction of the courts of the State of California. A change of ownership or control of Contractor or a sale or transfer of substantially all of the assets of Contractor shall be deemed an Assignment for purposes of this Agreement. Contractor shall immediately notify City about any Assignment. Any purported Assignment made in violation of this provision shall be null and void.

4.6 Warranty. Contractor warrants to City that the Services will be performed with the degree of skill and care that is required by current, good and sound professional procedures and practices, and in conformance with generally accepted professional standards prevailing at the time the Services are performed so as to ensure that all Services performed are correct and appropriate for the purposes contemplated in this Agreement.

Article 5 Insurance and Indemnity

5.1 Insurance.

5.1.1 **Required Coverages.** Insurance limits are subject to Risk Management review and revision, as appropriate, as conditions warrant. Without in any way limiting Contractor's liability pursuant to the "Indemnification" section of this Agreement, Contractor must maintain in force, during the full term of the Agreement, insurance in the following amounts and coverages:

- (a) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations.
- (b) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence, "Combined Single Limit" for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable.
- (c) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident, injury, or illness.
- (d) Professional Liability Insurance, applicable to Contractor's profession, with limits not less than \$1,000,000 for each claim with respect to negligent acts, errors or omissions in connection with the Services.
- (e) Reserved (Technology Errors and Omissions)
- (f) Cyber and Privacy Insurance with limits of not less than \$10,000,000 per claim. Such insurance shall include coverage for liability arising from theft, dissemination, and/or use of confidential information, including but not limited to, bank and credit card account information or personal information, such as name, address, social security numbers, protected health information or other personally identifying information, stored or transmitted in any form.
- (g) Reserved (Pollution Liability Insurance)

5.1.2 Additional Insured Endorsements

- (a) The Commercial General Liability policy must be endorsed to name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.
- (b) The Commercial Automobile Liability Insurance policy must be endorsed to name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.
- (c) Reserved (Auto Pollution Additional Insured Endorsement and MCS-90)

5.1.3 Waiver of Subrogation Endorsements

- (a) The Workers' Compensation policy(ies) shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the Contractor, its employees, agents and subcontractors.

5.1.4 Primary Insurance Endorsements

- (a) The Commercial General Liability policy shall provide that such policies are primary insurance to any other insurance available to the Additional Insureds, with respect to any claims arising out of this Agreement, and that the insurance applies separately to each insured against whom claim is made or suit is brought.
- (b) The Commercial Automobile Liability Insurance policy shall provide that such policies are primary insurance to any other insurance available to the Additional Insureds, with

respect to any claims arising out of this Agreement, and that the insurance applies separately to each insured against whom claim is made or suit is brought.

(c) Reserved (The Pollution Liability Insurance Endorsement)

5.1.5 Other Insurance Requirements

(a) Thirty (30) days' advance written notice shall be provided to the City of cancellation, intended non-renewal, or reduction in coverages, except for non-payment for which no less than ten (10) days' notice shall be provided to City. Notices shall be sent to the City email address: **insurance-contractsrms410@sfdph.org** .

(b) Should any of the required insurance be provided under a claims-made form, Contractor shall maintain such coverage continuously throughout the term of this Agreement and, without lapse, for a period of three years beyond the expiration of this Agreement, to the effect that, should occurrences during the Agreement term give rise to claims made after expiration of the Agreement, such claims shall be covered by such claims-made policies.

(c) Should any of the required insurance be provided under a form of coverage that includes a general annual aggregate limit or provides that claims investigation or legal defense costs be included in such general annual aggregate limit, such general annual aggregate limit shall be double the occurrence or claims limits specified above.

(d) Should any required insurance lapse during the term of this Agreement, requests for payments originating after such lapse shall not be processed until the City receives satisfactory evidence of reinstated coverage as required by this Agreement, effective as of the lapse date. If insurance is not reinstated, the City may, at its sole option, terminate this Agreement effective on the date of such lapse of insurance.

(e) Before commencing any Services, Contractor shall furnish to City certificates of insurance and additional insured policy endorsements with insurers with ratings comparable to A-, VIII or higher, that are authorized to do business in the State of California, and that are satisfactory to City, in form evidencing all coverages set forth above. Approval of the insurance by City shall not relieve or decrease Contractor's liability hereunder.

(f) If Contractor will use any subcontractor(s) to provide Services, Contractor shall require the subcontractor(s) to provide all necessary insurance and to name the City and County of San Francisco, its officers, agents and employees and the Contractor as additional insureds.

5.2 Indemnification.

5.2.1 Contractor shall indemnify and hold harmless City and its officers, agents and employees from, and, if requested, shall defend them from and against any and all claims, demands, losses, damages, costs, expenses, and liability (legal, contractual, or otherwise) arising from or in any way connected with any: (i) injury to or death of a person, including employees of City or Contractor; (ii) loss of or damage to property; (iii) violation of local, state, or federal common law, statute or regulation, including but not limited to privacy or personally identifiable information, health information, disability and labor laws or regulations; (iv) strict liability imposed by any law or regulation; or (v) losses arising from Contractor's execution of subcontracts not in accordance with the requirements of this Agreement applicable to subcontractors; so long as such injury, violation, loss, or strict liability (as set forth in subsections (i) – (v) above) arises directly or indirectly from Contractor's performance of this Agreement, including, but not limited to, Contractor's use of facilities or equipment provided by City or others, regardless of the negligence of, and regardless of whether liability without fault is imposed or sought to

be imposed on City, except to the extent that such indemnity is void or otherwise unenforceable under applicable law, and except where such loss, damage, injury, liability or claim is the result of the active negligence or willful misconduct of City and is not contributed to by any act of, or by any omission to perform some duty imposed by law or agreement on Contractor, its subcontractors, or either's agent or employee. Contractor shall also indemnify, defend and hold City harmless from all suits or claims or administrative proceedings for breaches of federal and/or state law regarding the privacy of health information, electronic records or related topics, arising directly or indirectly from Contractor's performance of this Agreement. The foregoing indemnity shall include, without limitation, reasonable fees of attorneys, consultants and experts and related costs and City's costs of investigating any claims against the City.

5.2.2 In addition to Contractor's obligation to indemnify City, Contractor specifically acknowledges and agrees that it has an immediate and independent obligation to defend City from any claim which actually or potentially falls within this indemnification provision, even if the allegations are or may be groundless, false or fraudulent, which obligation arises at the time such claim is tendered to Contractor by City and continues at all times thereafter.

5.2.3 Contractor shall indemnify and hold City harmless from all loss and liability, including attorneys' fees, court costs and all other litigation expenses for any infringement of the patent rights, copyright, trade secret or any other proprietary right or trademark, and all other intellectual property claims of any person or persons arising directly or indirectly from the receipt by City, or any of its officers or agents, of Contractor's Services.

Article 6 Liability of the Parties

6.1 **Liability of City.** CITY'S PAYMENT OBLIGATIONS UNDER THIS AGREEMENT SHALL BE LIMITED TO THE PAYMENT OF THE COMPENSATION PROVIDED FOR IN SECTION 3.3.1, "PAYMENT," OF THIS AGREEMENT. NOTWITHSTANDING ANY OTHER PROVISION OF THIS AGREEMENT, IN NO EVENT SHALL CITY BE LIABLE, REGARDLESS OF WHETHER ANY CLAIM IS BASED ON CONTRACT OR TORT, FOR ANY SPECIAL, CONSEQUENTIAL, INDIRECT OR INCIDENTAL DAMAGES, INCLUDING, BUT NOT LIMITED TO, LOST PROFITS, ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT OR THE SERVICES PERFORMED IN CONNECTION WITH THIS AGREEMENT.

6.2 **Liability for Use of Equipment.** City shall not be liable for any damage to persons or property as a result of the use, misuse or failure of any equipment used by Contractor, or any of its subcontractors, or by any of their employees, even though such equipment is furnished, rented or loaned by City.

6.3 **Liability for Incidental and Consequential Damages.** Contractor shall be responsible for incidental and consequential damages resulting in whole or in part from Contractor's acts or omissions.

Article 7 Payment of Taxes

7.1 **Contractor to Pay All Taxes.** Except for any applicable California sales and use taxes charged by Contractor to City, Contractor shall pay all taxes, including possessory interest taxes levied upon or as a result of this Agreement, or the Services delivered pursuant hereto. Contractor shall remit to the State of California any sales or use taxes paid by City to Contractor under this Agreement. Contractor agrees to promptly provide information requested by the City to verify Contractor's compliance with any State requirements for reporting sales and use tax paid by City under this Agreement.

7.2 Possessory Interest Taxes. Contractor acknowledges that this Agreement may create a “possessory interest” for property tax purposes. Generally, such a possessory interest is not created unless the Agreement entitles the Contractor to possession, occupancy, or use of City property for private gain. If such a possessory interest is created, then the following shall apply:

7.2.1 Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that Contractor, and any permitted successors and assigns, may be subject to real property tax assessments on the possessory interest.

7.2.2 Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that the creation, extension, renewal, or assignment of this Agreement may result in a “change in ownership” for purposes of real property taxes, and therefore may result in a revaluation of any possessory interest created by this Agreement. Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report on behalf of the City to the County Assessor the information required by Revenue and Taxation Code Section 480.5, as amended from time to time, and any successor provision.

7.2.3 Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that other events also may cause a change of ownership of the possessory interest and result in the revaluation of the possessory interest. (see, e.g., Rev. & Tax. Code Section 64, as amended from time to time). Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report any change in ownership to the County Assessor, the State Board of Equalization or other public agency as required by law.

7.2.4 Contractor further agrees to provide such other information as may be requested by the City to enable the City to comply with any reporting requirements for possessory interests that are imposed by applicable law.

7.3 Withholding. Contractor agrees that it is obligated to pay all amounts due to the City under the San Francisco Business and Tax Regulations Code during the term of this Agreement. Pursuant to Section 6.10-2 of the San Francisco Business and Tax Regulations Code, Contractor further acknowledges and agrees that City may withhold any payments due to Contractor under this Agreement if Contractor is delinquent in the payment of any amount required to be paid to the City under the San Francisco Business and Tax Regulations Code. Any payments withheld under this paragraph shall be made to Contractor, without interest, upon Contractor coming back into compliance with its obligations.

Article 8 Termination and Default

8.1 Termination for Convenience

8.1.1 City shall have the option, in its sole discretion, to terminate this Agreement, at any time during the term hereof, for convenience and without cause. City shall exercise this option by giving Contractor written notice of termination. The notice shall specify the date on which termination shall become effective.

8.1.2 Upon receipt of the notice of termination, Contractor shall commence and perform, with diligence, all actions necessary on the part of Contractor to effect the termination of this Agreement on the date specified by City and to minimize the liability of Contractor and City to third parties as a result of termination. All such actions shall be subject to the prior approval of City. Such actions may include any or all of the following, without limitation:

(a) Halting the performance of all Services under this Agreement on the date(s) and in the manner specified by City.

(b) Terminating all existing orders and subcontracts, and not placing any further orders or subcontracts for materials, Services, equipment or other items.

(c) At City's direction, assigning to City any or all of Contractor's right, title, and interest under the orders and subcontracts terminated. Upon such assignment, City shall have the right, in its sole discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts.

(d) Subject to City's approval, settling all outstanding liabilities and all claims arising out of the termination of orders and subcontracts.

(e) Completing performance of any Services that City designates to be completed prior to the date of termination specified by City.

(f) Taking such action as may be necessary, or as the City may direct, for the protection and preservation of any property related to this Agreement which is in the possession of Contractor and in which City has or may acquire an interest.

8.1.3 Within 30 days after the specified termination date, Contractor shall submit to City an invoice, which shall set forth each of the following as a separate line item:

(a) The reasonable cost to Contractor, without profit, for all Services prior to the specified termination date, for which Services City has not already tendered payment. Reasonable costs may include a reasonable allowance for actual overhead, not to exceed a total of 10% of Contractor's direct costs for Services. Any overhead allowance shall be separately itemized. Contractor may also recover the reasonable cost of preparing the invoice.

(b) A reasonable allowance for profit on the cost of the Services described in the immediately preceding subsection (a), provided that Contractor can establish, to the satisfaction of City, that Contractor would have made a profit had all Services under this Agreement been completed, and provided further, that the profit allowed shall in no event exceed 5% of such cost.

(c) The reasonable cost to Contractor of handling material or equipment returned to the vendor, delivered to the City or otherwise disposed of as directed by the City.

(d) A deduction for the cost of materials to be retained by Contractor, amounts realized from the sale of materials and not otherwise recovered by or credited to City, and any other appropriate credits to City against the cost of the Services or other work.

8.1.4 In no event shall City be liable for costs incurred by Contractor or any of its subcontractors after the termination date specified by City, except for those costs specifically listed in Section 8.1.3. Such non-recoverable costs include, but are not limited to, anticipated profits on the Services under this Agreement, post-termination employee salaries, post-termination administrative expenses, post-termination overhead or unabsorbed overhead, attorneys' fees or other costs relating to the prosecution of a claim or lawsuit, prejudgment interest, or any other expense which is not reasonable or authorized under Section 8.1.3.

8.1.5 In arriving at the amount due to Contractor under this Section, City may deduct: (i) all payments previously made by City for Services covered by Contractor's final invoice; (ii) any claim which City may have against Contractor in connection with this Agreement; (iii) any invoiced costs or expenses excluded pursuant to the immediately preceding subsection 8.1.4; and (iv) in instances in which, in the opinion of the City, the cost of any Service performed under this Agreement is excessively high due to costs incurred to remedy or replace defective or rejected Services, the difference between the invoiced amount and City's estimate of the reasonable cost of performing the invoiced Services in compliance with the requirements of this Agreement.

8.1.6 City's payment obligation under this Section shall survive termination of this Agreement.

8.2 Termination for Default; Remedies.

8.2.1 Each of the following shall constitute an immediate event of default (“Event of Default”) under this Agreement:

8.2.2 Contractor fails or refuses to perform or observe any term, covenant or condition contained in any of the following Sections of this Agreement:

3.5	Submitting False Claims.	10.10	Alcohol and Drug-Free Workplace
4.5	Assignment	10.13	Working with Minors
Article 5	Insurance and Indemnity	11.10	Compliance with Laws
Article 7	Payment of Taxes	Article 13	Data and Security

(a) Contractor fails or refuses to perform or observe any other term, covenant or condition contained in this Agreement, including any obligation imposed by ordinance or statute and incorporated by reference herein, and such default is not cured within ten days after written notice thereof from City to Contractor. If Contractor defaults a second time in the same manner as a prior default cured by Contractor, City may in its sole discretion immediately terminate the Agreement for default or grant an additional period not to exceed five days for Contractor to cure the default.

(b) Contractor (i) is generally not paying its debts as they become due; (ii) files, or consents by answer or otherwise to the filing against it of a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors’ relief law of any jurisdiction; (iii) makes an assignment for the benefit of its creditors; (iv) consents to the appointment of a custodian, receiver, trustee or other officer with similar powers of Contractor or of any substantial part of Contractor’s property; or (v) takes action for the purpose of any of the foregoing.

(c) A court or government authority enters an order (i) appointing a custodian, receiver, trustee or other officer with similar powers with respect to Contractor or with respect to any substantial part of Contractor’s property, (ii) constituting an order for relief or approving a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors’ relief law of any jurisdiction or (iii) ordering the dissolution, winding-up or liquidation of Contractor.

8.2.3 On and after any Event of Default, City shall have the right to exercise its legal and equitable remedies, including, without limitation, the right to terminate this Agreement or to seek specific performance of all or any part of this Agreement. In addition, in accordance with San Francisco Administrative Code Section 21.33 (Procedure Upon Contractor’s Failure to Deliver) where applicable, City shall have the right (but no obligation) to cure (or cause to be cured) on behalf of Contractor any Event of Default; Contractor shall pay to City on demand all costs and expenses incurred by City in effecting such cure, with interest thereon from the date of incurrence at the maximum rate then permitted by law. Further, in accordance with San Francisco Administrative Code Section 10.27.1 (Controller may Offset), City shall have the right to offset from any amounts due to Contractor under this Agreement or any other agreement between City and Contractor: (i) all damages, losses, costs or expenses incurred by City as a result of an Event of Default; and (ii) any liquidated damages levied upon Contractor pursuant to the terms of this Agreement; and (iii), any damages imposed by any ordinance or statute that is incorporated into this Agreement by reference, or into any other agreement with the City. This Section 8.2.3 shall survive termination of this Agreement.

8.2.4 All remedies provided for in this Agreement may be exercised individually or in combination with any other remedy available hereunder or under applicable laws, rules and regulations. The exercise of any remedy shall not preclude or in any way be deemed to waive any other remedy.

Nothing in this Agreement shall constitute a waiver or limitation of any rights that City may have under applicable law.

8.2.5 Any notice of default must be sent by registered mail to the address set forth in Article 11.

8.3 **Non-Waiver of Rights.** The omission by either Party at any time to enforce any default or right reserved to it, or to require performance of any of the terms, covenants, or provisions hereof by the other Party at the time designated, shall not be a waiver of any such default or right to which the Party is entitled, nor shall it in any way affect the right of the Party to enforce such provisions thereafter.

8.4 **Rights and Duties upon Termination or Expiration.**

8.4.1 This Section and the following Sections of this Agreement listed below, shall survive termination or expiration of this Agreement:

3.3.2	Payment Limited to Satisfactory Services	9.1	Ownership of Results
3.3.7(a)	Grant Funded Contracts – Disallowance	9.2	Works for Hire
3.4	Audit and Inspection of Records	11.6	Dispute Resolution Procedure
3.5	Submitting False Claims	11.7	Agreement Made in California; Venue
Article 5	Insurance and Indemnity	11.8	Construction
6.1	Liability of City	11.9	Entire Agreement
6.3	Liability for Incidental and Consequential Damages	11.10	Compliance with Laws
Article 7	Payment of Taxes	11.11	Severability
8.1.6	Payment Obligation	Article 13	Data and Security
		Appendix E	Business Associate Agreement

8.4.2 Subject to the survival of the Sections identified in Section 8.4.1, above, if this Agreement is terminated prior to expiration of the term specified in Article 2, this Agreement shall be of no further force or effect. Contractor shall transfer title to City, and deliver in the manner, at the times, and to the extent, if any, directed by City, any work in progress, completed work, supplies, equipment, and other materials produced as a part of, or acquired in connection with the performance of this Agreement, and any completed or partially completed work which, if this Agreement had been completed, would have been required to be furnished to City.

Article 9 **Rights In Deliverables**

9.1 **Ownership of Results.** Any interest of Contractor or its subcontractors, in the Deliverables, including any drawings, plans, specifications, blueprints, studies, reports, memoranda, computation sheets, computer files and media or other documents prepared by Contractor or its subcontractors for the purposes of this Agreement, shall become the property of and will be transmitted to City. However, unless expressly prohibited elsewhere in this Agreement, Contractor may retain and use copies for reference and as documentation of its experience and capabilities.

9.2 **Works for Hire.** If, in connection with Services, Contractor or its subcontractors creates Deliverables including, without limitation, artwork, copy, posters, billboards, photographs, videotapes, audiotapes, systems designs, software, reports, diagrams, surveys, blueprints, source codes, or any other

original works of authorship, whether in digital or any other format, such works of authorship shall be works for hire as defined under Title 17 of the United States Code, and all copyrights in such works shall be the property of the City. If any Deliverables created by Contractor or its subcontractor(s) under this Agreement are ever determined not to be works for hire under U.S. law, Contractor hereby assigns all Contractor's copyrights to such Deliverables to the City, agrees to provide any material and execute any documents necessary to effectuate such assignment, and agrees to include a clause in every subcontract imposing the same duties upon subcontractor(s). With City's prior written approval, Contractor and its subcontractor(s) may retain and use copies of such works for reference and as documentation of their respective experience and capabilities.

Article 10 Additional Requirements Incorporated by Reference

10.1 Laws Incorporated by Reference. The full text of the laws listed in this Article 10, including enforcement and penalty provisions, are incorporated by reference into this Agreement. The full text of the San Francisco Municipal Code provisions incorporated by reference in this Article and elsewhere in the Agreement ("Mandatory City Requirements") are available at http://www.amlegal.com/codes/client/san-francisco_ca/.

10.2 Conflict of Interest. By executing this Agreement, Contractor certifies that it does not know of any fact which constitutes a violation of Section 15.103 of the City's Charter; Article III, Chapter 2 of City's Campaign and Governmental Conduct Code; Title 9, Chapter 7 of the California Government Code (Section 87100 *et seq.*), or Title 1, Division 4, Chapter 1, Article 4 of the California Government Code (Section 1090 *et seq.*), and further agrees promptly to notify the City if it becomes aware of any such fact during the term of this Agreement.

10.3 Prohibition on Use of Public Funds for Political Activity. In performing the Services, Contractor shall comply with San Francisco Administrative Code Chapter 12G, which prohibits funds appropriated by the City for this Agreement from being expended to participate in, support, or attempt to influence any political campaign for a candidate or for a ballot measure. Contractor is subject to the enforcement and penalty provisions in Chapter 12G.

10.4 Consideration of Salary History. Contractor shall comply with San Francisco Administrative Code Chapter 12K, the Consideration of Salary History Ordinance or "Pay Parity Act." Contractor is prohibited from considering current or past salary of an applicant in determining whether to hire the applicant or what salary to offer the applicant to the extent that such applicant is applying for employment to be performed on this Agreement or in furtherance of this Agreement, and whose application, in whole or part, will be solicited, received, processed or considered, whether or not through an interview, in the City or on City property. The ordinance also prohibits employers from (1) asking such applicants about their current or past salary or (2) disclosing a current or former employee's salary history without that employee's authorization unless the salary history is publicly available. Contractor is subject to the enforcement and penalty provisions in Chapter 12K. Information about and the text of Chapter 12K is available on the web at <https://sfgov.org/olse/consideration-salary-history>. Contractor is required to comply with all of the applicable provisions of 12K, irrespective of the listing of obligations in this Section.

10.5 Nondiscrimination Requirements.

10.5.1 Nondiscrimination in Contracts. Contractor shall comply with the provisions of Chapters 12B and 12C of the San Francisco Administrative Code. Contractor shall incorporate by reference in all subcontracts the provisions of Sections 12B.2(a), 12B.2(c)-(k), and 12C.3 of the San Francisco Administrative Code and shall require all subcontractors to comply with such provisions. Contractor is subject to the enforcement and penalty provisions in Chapters 12B and 12C.

10.5.2 Nondiscrimination in the Provision of Employee Benefits. San Francisco Administrative Code 12B.2. Contractor does not as of the date of this Agreement, and will not during the term of this Agreement, in any of its operations in San Francisco, on real property owned by San Francisco, or where work is being performed for the City elsewhere in the United States, discriminate in the provision of employee benefits between employees with domestic partners and employees with spouses and/or between the domestic partners and spouses of such employees, subject to the conditions set forth in San Francisco Administrative Code Section 12B.2.

10.6 Local Business Enterprise and Non-Discrimination in Contracting Ordinance. Contractor shall comply with all applicable provisions of Chapter 14B (“LBE Ordinance”). Contractor is subject to the enforcement and penalty provisions in Chapter 14B.

10.7 Minimum Compensation Ordinance. If Administrative Code Chapter 12P applies to this contract, Contractor shall pay covered employees no less than the minimum compensation required by San Francisco Administrative Code Chapter 12P, including a minimum hourly gross compensation, compensated time off, and uncompensated time off. Contractor is subject to the enforcement and penalty provisions in Chapter 12P. Information about and the text of the Chapter 12P is available on the web at <http://sfgov.org/olse/mco>. Contractor is required to comply with all of the applicable provisions of 12P, irrespective of the listing of obligations in this Section. By signing and executing this Agreement, Contractor certifies that it complies with Chapter 12P.

10.8 Health Care Accountability Ordinance. If Administrative Code Chapter 12Q applies to this contract, Contractor shall comply with the requirements of Chapter 12Q. For each Covered Employee, Contractor shall provide the appropriate health benefit set forth in Section 12Q.3 of the HCAO. If Contractor chooses to offer the health plan option, such health plan shall meet the minimum standards set forth by the San Francisco Health Commission. Information about and the text of the Chapter 12Q, as well as the Health Commission’s minimum standards, is available on the web at <http://sfgov.org/olse/hcao>. Contractor is subject to the enforcement and penalty provisions in Chapter 12Q. Any Subcontract entered into by Contractor shall require any Subcontractor with 20 or more employees to comply with the requirements of the HCAO and shall contain contractual obligations substantially the same as those set forth in this Section.

10.9 First Source Hiring Program. Contractor must comply with all of the provisions of the First Source Hiring Program, Chapter 83 of the San Francisco Administrative Code, that apply to this Agreement, and Contractor is subject to the enforcement and penalty provisions in Chapter 83.

10.10 Alcohol and Drug-Free Workplace. City reserves the right to deny access to, or require Contractor to remove from, City facilities personnel of any Contractor or subcontractor who City has reasonable grounds to believe has engaged in alcohol abuse or illegal drug activity which in any way impairs City’s ability to maintain safe work facilities or to protect the health and well-being of City employees and the general public. City shall have the right of final approval for the entry or re-entry of any such person previously denied access to, or removed from, City facilities. Illegal drug activity means possessing, furnishing, selling, offering, purchasing, using or being under the influence of illegal drugs or other controlled substances for which the individual lacks a valid prescription. Alcohol abuse means possessing, furnishing, selling, offering, or using alcoholic beverages, or being under the influence of alcohol.

10.11 Limitations on Contributions. By executing this Agreement, Contractor acknowledges its obligations under Section 1.126 of the City’s Campaign and Governmental Conduct Code, which prohibits any person who contracts with, or is seeking a contract with, any department of the City for the rendition of personal services, for the furnishing of any material, supplies or equipment, for the sale or lease of any land or building, for a grant, loan or loan guarantee, or for a development agreement, from making any campaign contribution to (i) a City elected official if the contract must be approved by that

official, a board on which that official serves, or the board of a state agency on which an appointee of that official serves, (ii) a candidate for that City elective office, or (iii) a committee controlled by such elected official or a candidate for that office, at any time from the submission of a proposal for the contract until the later of either the termination of negotiations for such contract or twelve months after the date the City approves the contract. The prohibition on contributions applies to each prospective party to the contract; each member of Contractor's board of directors; Contractor's chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 10% in Contractor; any subcontractor listed in the bid or contract; and any committee that is sponsored or controlled by Contractor. Contractor certifies that it has informed each such person of the limitation on contributions imposed by Section 1.126 by the time it submitted a proposal for the contract, and has provided the names of the persons required to be informed to the City department with whom it is contracting.

10.12 Reserved (Slavery Era Disclosure).

10.13 Reserved (Working with Minors).

10.14 Consideration of Criminal History in Hiring and Employment Decisions.

10.14.1 Contractor agrees to comply fully with and be bound by all of the provisions of Chapter 12T, "City Contractor/Subcontractor Consideration of Criminal History in Hiring and Employment Decisions," of the San Francisco Administrative Code ("Chapter 12T"), including the remedies provided, and implementing regulations, as may be amended from time to time. The provisions of Chapter 12T are incorporated by reference and made a part of this Agreement as though fully set forth herein. The text of the Chapter 12T is available on the web at <http://sfgov.org/olse/fco>. Contractor is required to comply with all of the applicable provisions of 12T, irrespective of the listing of obligations in this Section. Capitalized terms used in this Section and not defined in this Agreement shall have the meanings assigned to such terms in Chapter 12T.

10.14.2 The requirements of Chapter 12T shall only apply to a Contractor's or Subcontractor's operations to the extent those operations are in furtherance of the performance of this Agreement, shall apply only to applicants and employees who would be or are performing work in furtherance of this Agreement, and shall apply when the physical location of the employment or prospective employment of an individual is wholly or substantially within the City of San Francisco. Chapter 12T shall not apply when the application in a particular context would conflict with federal or state law or with a requirement of a government agency implementing federal or state law.

10.15 Reserved (Public Access to Nonprofit Records and Meetings).

10.16 Food Service Waste Reduction Requirements. Contractor shall comply with the Food Service Waste Reduction Ordinance, as set forth in San Francisco Environment Code Chapter 16, including but not limited to the remedies for noncompliance provided therein.

10.17 Reserved (Distribution of Beverages and Water).

10.18 Tropical Hardwood and Virgin Redwood Ban. Pursuant to San Francisco Environment Code Section 804(b), the City urges Contractor not to import, purchase, obtain, or use for any purpose, any tropical hardwood, tropical hardwood wood product, virgin redwood or virgin redwood wood product.

10.19 Reserved (Preservative Treated Wood Products).

Article 11 General Provisions

11.1 Notices to the Parties. Unless otherwise indicated in this Agreement, all written communications sent by the Parties may be by U.S. mail or e-mail, and shall be addressed as follows:

To CITY: Office of Contract Management and Compliance
Department of Public Health
101 Grove Street, Room 410
San Francisco, California 94102 e-mail: robert.longhitano@sfdph.org

And: Baljeet Sangha
SF HEALTH NETWORK
101 GROVE ST. RM. 308
SAN FRANCISCO, CA 94102 e-mail: Baljeet.sangha@sfdph.org

To CONTRACTOR: JEFFREY M. DEVRIES
CONTRACTS DIRECTOR
HEALTH MANAGEMENT ASSOCIATES, INC.
120 N WASHINGTON SQUARE #705
LANSING, MI 48933 e-mail: contracts@healthmanagement.com

Any notice of default must be sent by registered mail or other trackable overnight mail. Either Party may change the address to which notice is to be sent by giving written notice thereof to the other Party. If email notification is used, the sender must specify a receipt notice.

11.2 Compliance with Americans with Disabilities Act. Contractor shall provide the Services in a manner that complies with the Americans with Disabilities Act (ADA), including but not limited to Title II's program access requirements, and all other applicable federal, state and local disability rights legislation.

11.3 Incorporation of Recitals. The matters recited above are hereby incorporated into and made part of this Agreement.

11.4 Sunshine Ordinance. Contractor acknowledges that this Agreement and all records related to its formation, Contractor's performance of Services, and City's payment are subject to the California Public Records Act, (California Government Code §6250 et. seq.), and the San Francisco Sunshine Ordinance, (San Francisco Administrative Code Chapter 67). Such records are subject to public inspection and copying unless exempt from disclosure under federal, state or local law.

11.5 Modification of this Agreement. This Agreement may not be modified, nor may compliance with any of its terms be waived, except as noted in Section 11.1, "Notices to Parties," regarding change in personnel or place, and except by written instrument executed and approved in the same manner as this Agreement. Contractor shall cooperate with Department to submit to the Director of CMD any amendment, modification, supplement or change order that would result in a cumulative increase of the original amount of this Agreement by more than 20% (CMD Contract Modification Form).

11.6 Dispute Resolution Procedure.

11.6.1 Negotiation; Alternative Dispute Resolution. The Parties will attempt in good faith to resolve any dispute or controversy arising out of or relating to the performance of services under this Agreement. If the Parties are unable to resolve the dispute, then, pursuant to San Francisco Administrative Code Section 21.36, Contractor may submit to the Contracting Officer a written request for administrative review and documentation of the Contractor's claim(s). Upon such request, the Contracting Officer shall promptly issue an administrative decision in writing, stating the reasons for the action taken and informing the Contractor of its right to judicial review. If agreed by both Parties in writing, disputes may be resolved by a mutually agreed-upon alternative dispute resolution process. If the Parties do not mutually agree to an alternative dispute resolution process or such efforts do not resolve the dispute, then either Party may pursue any remedy available under California law. The status of any dispute or controversy notwithstanding, Contractor shall proceed diligently with the performance of its

obligations under this Agreement in accordance with the Agreement and the written directions of the City. Neither Party will be entitled to legal fees or costs for matters resolved under this Section.

11.6.2 Government Code Claim Requirement. No suit for money or damages may be brought against the City until a written claim therefor has been presented to and rejected by the City in conformity with the provisions of San Francisco Administrative Code Chapter 10 and California Government Code Section 900, et seq. Nothing set forth in this Agreement shall operate to toll, waive or excuse Contractor's compliance with the California Government Code Claim requirements set forth in San Francisco Administrative Code Chapter 10 and California Government Code Section 900, et seq.

11.7 Agreement Made in California; Venue. The formation, interpretation and performance of this Agreement shall be governed by the laws of the State of California. Venue for all litigation relative to the formation, interpretation and performance of this Agreement shall be in San Francisco.

11.8 Construction. All paragraph captions are for reference only and shall not be considered in construing this Agreement.

11.9 Entire Agreement. This contract sets forth the entire Agreement between the Parties, and supersedes all other oral or written provisions. This Agreement may be modified only as provided in Section 11.5, "Modification of this Agreement."

11.10 Compliance with Laws. Contractor shall keep itself fully informed of the City's Charter, codes, ordinances and duly adopted rules and regulations of the City and of all state, and federal laws in any manner affecting the performance of this Agreement, and must at all times comply with such local codes, ordinances, and regulations and all applicable laws as they may be amended from time to time.

11.11 Severability. Should the application of any provision of this Agreement to any particular facts or circumstances be found by a court of competent jurisdiction to be invalid or unenforceable, then (i) the validity of other provisions of this Agreement shall not be affected or impaired thereby, and (ii) such provision shall be enforced to the maximum extent possible so as to effect the intent of the Parties and shall be reformed without further action by the Parties to the extent necessary to make such provision valid and enforceable.

11.12 Cooperative Drafting. This Agreement has been drafted through a cooperative effort of City and Contractor, and both Parties have had an opportunity to have the Agreement reviewed and revised by legal counsel. No Party shall be considered the drafter of this Agreement, and no presumption or rule that an ambiguity shall be construed against the Party drafting the clause shall apply to the interpretation or enforcement of this Agreement.

11.13 Order of Precedence. Contractor agrees to perform the services described below in accordance with the terms and conditions of this Agreement, implementing task orders. Should there be a conflict of terms or conditions, this Agreement and any implementing task orders shall control. If the Appendices to this Agreement include any standard printed terms from the Contractor, Contractor agrees that in the event of discrepancy, inconsistency, gap, ambiguity, or conflicting language between the City's terms and Contractor's printed terms attached, the City's terms shall take precedence, followed by the procurement issued by the department, Contractor's proposal, and Contractor's printed terms, respectively.

11.14 Notification of Legal Requests. Contractor shall immediately notify City upon receipt of any subpoenas, service of process, litigation holds, discovery requests and other legal requests ("Legal Requests") related to all data given to Contractor by City in the performance of this Agreement ("City Data" or "Data"), or which in any way might reasonably require access to City's Data, and in no event later than 24 hours after it receives the request. Contractor shall not respond to Legal Requests related to City without first notifying City other than to notify the requestor that the information sought is potentially covered under a non-disclosure agreement. Contractor shall retain and preserve City Data in

accordance with the City's instruction and requests, including, without limitation, any retention schedules and/or litigation hold orders provided by the City to Contractor, independent of where the City Data is stored.

Article 12 Department Specific Terms

12.1 Third Party Beneficiaries. No third parties are intended by the parties hereto to be third party beneficiaries under this Agreement, and no action to enforce the terms of this Agreement may be brought against either party by any person who is not a party hereto.

12.2 Exclusion Lists and Employee Verification. Upon hire and monthly thereafter, Contractor will check the exclusion lists published by the Office of the Inspector General (OIG), General Services Administration (GSA), and the California Department of Health Care Services (DHCS) to ensure that any employee, temporary employee, volunteer, consultant, or governing body member responsible for oversight, administering or delivering state or federally-funded services who is on any of these lists is excluded from (may not work in) your program or agency. Proof of checking these lists must be retained for seven years.

12.3 Materials Review. Contractor agrees that all materials, including without limitation print, audio, video, and electronic materials, developed, produced, or distributed by personnel or with funding under this Agreement shall be subject to review and approval by the Contract Administrator prior to such production, development or distribution. Contractor agrees to provide such materials sufficiently in advance of any deadlines to allow for adequate review. City agrees to conduct the review in a manner which does not impose unreasonable delays on Contractor's work, which may include review by members of target communities.

Article 13 Data and Security

13.1 Nondisclosure of Private, Proprietary or Confidential Information.

13.1.1 Protection of Private Information. If this Agreement requires City to disclose "Private Information" to Contractor within the meaning of San Francisco Administrative Code Chapter 12M, Contractor and subcontractor shall use such information only in accordance with the restrictions stated in Chapter 12M and in this Agreement and only as necessary in performing the Services. Contractor is subject to the enforcement and penalty provisions in Chapter 12M.

13.1.2 Confidential Information. In the performance of Services, Contractor may have access to, or collect on City's behalf, City's proprietary or Confidential Information, the disclosure of which to third parties may damage City. If City discloses proprietary or Confidential Information to Contractor, or Contractor collects such information on City's behalf, such information must be held by Contractor in confidence and used only in performing the Agreement. Contractor shall exercise the same standard of care to protect such information as a reasonably prudent contractor would use to protect its own proprietary or Confidential Information.

13.2 Reserved (Payment Card Industry ("PCI") Requirements).

13.3 Business Associate Agreement. The parties acknowledge that City is a Covered Entity as defined in the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") and is required to comply with the HIPAA Privacy Rule governing the access, use, disclosure, transmission, and storage of protected health information (PHI) and the Security Rule under the Health Information Technology for Economic and Clinical Health Act, Public Law 111-005 ("the HITECH Act").

The parties acknowledge that CONTRACTOR will:

1. Do **at least one** or more of the following:

- A. Create, receive, maintain, or transmit PHI for or on behalf of CITY/SFDPH (including storage of PHI, digital or hard copy, even if Contractor does not view the PHI or only does so on a random or infrequent basis); or
- B. Receive PHI, or access to PHI, from CITY/SFDPH or another Business Associate of City, as part of providing a service to or for CITY/SFDPH, including legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial; or
- C. Transmit PHI data for CITY/SFDPH and require access on a regular basis to such PHI. (Such as health information exchanges (HIEs), e-prescribing gateways, or electronic health record vendors)

FOR PURPOSES OF THIS AGREEMENT, CONTRACTOR IS A BUSINESS ASSOCIATE OF CITY/SFDPH, AS DEFINED UNDER HIPAA. CONTRACTOR MUST COMPLY WITH AND COMPLETE THE FOLLOWING ATTACHED DOCUMENTS, INCORPORATED TO THIS AGREEMENT AS THOUGH FULLY SET FORTH HEREIN:

- a. **Appendix E** SFDPH Business Associate Agreement (BAA) (04-12-2018)
 - 1. SFDPH Attestation 1 PRIVACY (06-07-2017)
 - 2. SFDPH Attestation 2 DATA SECURITY (06-07-2017)
- 2. **NOT do any of the activities listed above in subsection 1;**

Contractor is not a Business Associate of CITY/SFDPH. Appendix E and attestations are not required for the purposes of this Agreement.

13.4 Management of City Data and Confidential Information.

13.4.1 Use of City Data and Confidential Information. Contractor agrees to hold City's Data received from, or collected on behalf of, the City, in strictest confidence. Contractor shall not use or disclose City's Data except as permitted or required by the Agreement or as otherwise authorized in writing by the City. Any work using, or sharing or storage of, City's Data outside the United States is subject to prior written authorization by the City. Access to City's Data must be strictly controlled and limited to Contractor's staff assigned to this project on a need-to-know basis only. Contractor is provided a limited non-exclusive license to use the City Data solely for performing its obligations under the Agreement and not for Contractor's own purposes or later use. Nothing herein shall be construed to confer any license or right to the City Data or Confidential Information, by implication, estoppel or otherwise, under copyright or other intellectual property rights, to any third-party. Unauthorized use of City Data by Contractor, subcontractors or other third-parties is prohibited. For purpose of this requirement, the phrase "unauthorized use" means the data mining or processing of data, stored or transmitted by the service, for commercial purposes, advertising or advertising-related purposes, or for any purpose other than security or service delivery analysis that is not explicitly authorized.

13.4.2 Disposition of Confidential Information. Upon request of City or termination or expiration of this Agreement, and pursuant to any document retention period required by this Agreement, Contractor shall promptly, but in no event later than thirty (30) calendar days, return all data given to or collected by Contractor on City's behalf, which includes all original media. Once Contractor has received written confirmation from City that City's Data has been successfully transferred to City, Contractor shall within ten (10) business days clear or purge all City Data from its servers, any hosted environment Contractor has used in performance of this Agreement, including its subcontractors environment(s), work stations that were used to process the data or for production of the data, and any

other work files stored by Contractor in whatever medium. Contractor shall provide City with written certification that such purge occurred within five (5) business days of the purge. Secure disposal shall be accomplished by “clearing,” “purging” or “physical destruction,” in accordance with National Institute of Standards and Technology (NIST) Special Publication 800-88 or most current industry standard.

13.5 Ownership of City Data. The Parties agree that as between them, all rights, including all intellectual property rights, in and to the City Data and any derivative works of the City Data is the exclusive property of the City.

13.6 Protected Health Information. Contractor, all subcontractors, all agents and employees of Contractor and any subcontractor shall comply with all federal and state laws regarding the transmission, storage and protection of all private health information disclosed to Contractor by City in the performance of this Agreement. Contractor agrees that any failure of Contractor to comply with the requirements of federal and/or state and/or local privacy laws shall be a material breach of the Contract. In the event that City pays a regulatory fine, and/or is assessed civil penalties or damages through private rights of action, based on an impermissible use or disclosure of protected health information given to Contractor or its subcontractors or agents by City, Contractor shall indemnify City for the amount of such fine or penalties or damages, including costs of notification. In such an event, in addition to any other remedies available to it under equity or law, the City may terminate the Contract.

Article 14 MacBride And Signature

14.1 MacBride Principles - Northern Ireland. The provisions of San Francisco Administrative Code §12F are incorporated herein by this reference and made part of this Agreement. By signing this Agreement, Contractor confirms that Contractor has read and understood that the City urges companies doing business in Northern Ireland to resolve employment inequities and to abide by the MacBride Principles, and urges San Francisco companies to do business with corporations that abide by the MacBride Principles.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the day first mentioned above.

CITY

CONTRACTOR

Recommended by:

Health Management Associates, Inc.

DocuSigned by:
Roland Pickens 06/07/2022 | 8:52 PM PDT
142006282BEB48B...
Grant Colfax, MD
Director of Health
Department of Public Health

DocuSigned by:
Kelly Johnson 06/07/2022 | 5:02 AM PDT
7533E7CBA7A5470...
Kelly Johnson
Chief Administrative Officer
120 N Washington Square #705
Lansing, MI 48933

Supplier ID: **0000018948**

Approved as to Form:

David Chiu
City Attorney

DocuSigned by:
Louise Simpson 06/07/2022 | 8:31 PM PDT
BD54168A4C3B452...
By: **Louise S. Simpson**
Deputy City Attorney

Approved:

DocuSigned by:
Taraneh Moayed 06/10/2022 | 8:18 PM PDT
9AE444694D514E7...
Sailaja Kurella
Director of the Office of Contract Administration, and
Purchaser
By: Taraneh Moayed

Appendices

- A: Scope of Services
- B: Calculation of Charges
- C: Reserved
- D: Data Access Agreement
- E: HIPAA Business Associate Agreement
- F: Invoice

Appendix A Scope of Services

1. Terms

A. Contract Administrator:

In performing the Services hereunder, Contractor shall report to **Baljeet Sangha**, Contract Administrator for the City, or his / her designee.

B. Reports:

Contractor shall submit written reports as requested by the City. The format for the content of such reports shall be determined by the City. The timely submission of all reports is a necessary and material term and condition of this Agreement. All reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

For services solicited under a Group Purchasing Organization (GPO) the Contractor shall report all applicable sales under this agreement to the respective GPO.

C. Evaluation:

Contractor shall participate as requested with the City, State and/or Federal government in evaluative studies designed to show the effectiveness of Contractor's Services. Contractor agrees to meet the requirements of and participate in the evaluation program and management information systems of the City.

For contracts for the provision of services at San Francisco General or Laguna Honda Hospital and Rehabilitation Center, the evaluation program shall include agreed upon performance measures as specified in the Performance Improvement Plan and Performance Measure Grid which is presented in Attachment 1 to Appendix A. Performance measures are reported annually to the Zuckerberg San Francisco General performance improvement committees (PIPS and Quality Council) or the to the Administration Office of Laguna Honda Hospital and Rehabilitation Center.

The City agrees that any final written reports generated through the evaluation program shall be made available to Contractor within thirty (30) working days. Contractor may submit a written response within thirty working days of receipt of any evaluation report and such response will become part of the official report.

D. Possession of Licenses/Permits:

Contractor warrants the possession of all licenses and/or permits required by the laws and regulations of the United States, the State of California, and the City to provide the Services. Failure to maintain these licenses and permits shall constitute a material breach of this Agreement.

E. Adequate Resources:

Contractor agrees that it has secured or shall secure at its own expense all persons, employees and equipment required to perform the Services required under this Agreement, and that all such Services shall be performed by Contractor, or under Contractor's supervision, by persons authorized by law to perform such Services.

F. Infection Control, Health and Safety:

(1) Contractor must have a Bloodborne Pathogen (BBP) Exposure Control plan for its employees, agents and subcontractors as defined in the California Code of Regulations, Title 8, Section 5193, Bloodborne Pathogens (<http://www.dir.ca.gov/title8/5193.html>), and demonstrate compliance with all requirements including, but not limited to, exposure determination, training, immunization, use of

personal protective equipment and safe needle devices, maintenance of a sharps injury log, post-exposure medical evaluations, and recordkeeping.

(2) Contractor must demonstrate personnel policies/procedures for protection of its employees, agents, subcontractors and clients from other communicable diseases prevalent in the population served. Such policies and procedures shall include, but not be limited to, work practices, personal protective equipment, staff/client Tuberculosis (TB) surveillance, training, etc.

(3) Contractor must demonstrate personnel policies/procedures for Tuberculosis (TB) exposure control consistent with the Centers for Disease Control and Prevention (CDC) recommendations for health care facilities and based on the Francis J. Curry National Tuberculosis Center: Template for Clinic Settings, as appropriate.

(4) Contractor is responsible for site conditions, equipment, health and safety of their employees, and all other persons who work or visit the job site.

(5) Contractor shall assume liability for any and all work-related injuries/illnesses including infectious exposures such as BBP and TB and demonstrate appropriate policies and procedures for reporting such events and providing appropriate post-exposure medical management as required by State workers' compensation laws and regulations.

(6) Contractor shall comply with all applicable Cal-OSHA standards including maintenance of the OSHA 300 Log of Work-Related Injuries and Illnesses.

(7) Contractor assumes responsibility for procuring all medical equipment and supplies for use by its employees, agents and subcontractors, including safe needle devices, and provides and documents all appropriate training.

(8) Contractor shall demonstrate compliance with all state and local regulations with regard to handling and disposing of medical waste.

G. Aerosol Transmissible Disease Program, Health and Safety:

(1) Contractor must have an Aerosol Transmissible Disease (ATD) Program as defined in the California Code of Regulations, Title 8, Section 5199, Aerosol Transmissible Diseases (<http://www.dir.ca.gov/Title8/5199.html>), and demonstrate compliance with all requirements including, but not limited to, exposure determination, screening procedures, source control measures, use of personal protective equipment, referral procedures, training, immunization, post-exposure medical evaluations/follow-up, and recordkeeping.

(2) Contractor shall assume liability for any and all work-related injuries/illnesses including infectious exposures such as Aerosol Transmissible Disease and demonstrate appropriate policies and procedures for reporting such events and providing appropriate post-exposure medical management as required by State workers' compensation laws and regulations.

(3) Contractor shall comply with all applicable Cal-OSHA standards including maintenance of the OSHA 300 Log of Work-Related Injuries and Illnesses.

(4) Contractor assumes responsibility for procuring all medical equipment and supplies for use by their employees, agents, subcontractors including Personnel Protective Equipment such as respirators, and provides and documents all appropriate training.

H. Acknowledgment of Funding:

Contractor agrees to acknowledge the San Francisco Department of Public Health in any printed material or public announcement describing the San Francisco Department of Public Health-funded Services. Such documents or announcements shall contain a credit substantially as follows: "This

program/service/activity/research project was funded through the Department of Public Health, City and County of San Francisco.”

2. Description of Services

Contractor agrees to perform the following Services:

All written Deliverables, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

Detailed description of services are listed below and are attached hereto

Appendix A-1: TASK 1 – COMPREHENSIVE ASSESSMENT and
TASK 2 – CMS RE-APPLICATION, READINESS ASSESSMENT, AND
MOCK SURVEY

3. Services Provided by Attorneys. Any services to be provided by a law firm or attorney to the City must be reviewed and approved in writing in advance by the City Attorney. No invoices for services provided by law firms or attorneys, including, without limitation, as subcontractors of Contractor, will be paid unless the provider received advance written approval from the City Attorney.

**Attachment 1 to Appendix A
PERFORMANCE IMPROVEMENT PLAN
AND PERFORMANCE MEASURE GRID**

Contract Services

AIM: All services provided through contractual agreement are provided safely and effectively for patient care and support services, annually.

Contract Name	Services Provided	Measure Name	Metric (What data is being collected?)
1.	Laguna Honda Hospital consulting services	Contracted tasks listed in Appendix A-1 as mutually agreed to by the parties.	100% of tasks mutually agreed to by the parties completed.

Appendix A-1

Services to be Performed by the Contractor

TASK 1 – COMPREHENSIVE ASSESSMENT

I. Introduction

The San Francisco Department of Public Health (SFDPH) selected Health Management Associates (HMA) to provide services supporting the Department's critical initiative to achieve Centers for Medicare and Medicaid Services (CMS) recertification of Laguna Honda Hospital. This scope of work reflects the expectations set forth in the Department's Emergency Solicitation, the department's communication with HMA following the award including a preliminary scoping meeting on May 10, 2022, and HMA's recommendations based on our extensive experience in publicly funded health care.

II. Approach

HMA's mission is to improve publicly funded health care. We do not view this project as simply a technical challenge. We will pursue the work with a commitment to make serious and lasting changes, that would allow LHH to deliver the highest possible quality of care and outcomes to its patients and residents. The persistent and systemic nature of the issues will require us to examine and address a range of factors that go beyond the provision of care, including culture, leadership, and governance.

The project scope comprises two interconnected tasks or workstreams supporting sustained compliance with CMS Conditions of Participation and the California Department of Public Health licensing regulations for Acute Care and Skilled Nursing Facilities.

HMA utilizes a proven structured project management approach consisting of:

1. **Initiation:** This will include a kick-off meeting with SFDPH, San Francisco Health Network (SFHN), and LHH Executive Leadership and HMA to ensure that all project participants are aligned with the project scope and timeline. We will establish a regular meeting schedule with SFDPH, SFHN, and LHH.
2. **Planning:** This will include developing a formal project schedule to identify specific milestones, activities, tasks, metrics and targets with start and end dates and assigned resources. The project schedule will help keep the work focused on achieving the desired goals on time and within contract requirements.
3. **Implementation:** This will consist of the work effort for each specific task identified in the project schedule to achieve the project's overall goals and objectives.
4. **Monitoring:** This will include weekly meetings between the HMA Project Lead and SFDPH, SFHN, and LHH Executive Leadership. In this way, we can quickly resolve any issues and make necessary adjustments. Our Project Lead will have regular meetings with the HMA team to check on the progress of each task and deliverable and provide feedback.

5. Project Closing: This comprises ensuring all required project documentation is complete, all scope of work requirements have been met satisfactorily, and the final project deliverables have been submitted to SFDPH and approved as complete.

III. Overview

HMA, in coordination with the Department, will conduct a comprehensive, “top to bottom”, organizational, operational, and clinical assessment of LHH to identify current performance gaps in the provision of care, operational effectiveness, regulatory standards compliance, and quality outcomes. Focus areas will include, but not be limited to: Executive Leadership, Organizational Structure, Medical Staff, Nursing Operations, Hospital Governing Body, Management, Administrative Operations, Care Models, Organizational Change Management and Financial Analysis of Care Models.

Identified gaps in performance will be prioritized and improvement strategies will be presented for review and consideration and then prioritized for implementation. A segment of this engagement includes assisting leadership in implementation of recommended improvements employing change management and internal communication strategies.

Many aspects of the comprehensive assessment will occur as part of the concurrent Task 2 - CMS Recertification.

1. Phase 1: Assessment and Baseline Measurement

Operational, governance, leadership, and care model issues regarding skilled nursing and acute care services have been identified by SFDPH as requiring a top to bottom assessment. Our comprehensive assessment will analyze these issues and identify other potential improvement areas. In addition, key performance measurement indicators will be validated or developed to establish strategic baseline measurement for LHH performance.

Specifically, this project phase will include the following tasks:

Review Key Operational, Clinical, and Outcome Data

HMA will analyze key statistical data relevant to benchmarking performance of hospital services, establishing measurable and reportable criteria for monitoring efficiency. Where benchmark data is available, we will measure against internal and external sources, including proprietary and industry SNF data. Possible statistical criteria includes but isn't limited to:

- a) Staffing by unit including staffing mix, direct care hours per resident per day
- b) Quality outcomes
- c) Critical incident reporting

- d) Hospital policies and procedures
- e) Medical staff model
- f) Employee recruitment - turnover and vacancy rates by title
- g) Leadership span of control
- h) Employee and union engagement

Findings will be summarized and serve as an important assessment tool for identifying recommendations.

2. Phase 2: Stakeholder Interviews

We will interview key SFDPH leaders, SFHN leaders, LHH hospital leaders, medical staff, nursing staff, non-clinical staff, patients, and key identified community stakeholders such as the Ombudsman and LHH community supporters/advocated to gain perspective on services, performance, organizational culture, management and staff accountability, and potential opportunities for improvement. We will work with SFDPH to identify specific interviewees, including administration, providers, clinical staff, support service staff and union representatives. These interviews will focus on:

- a) Effectiveness of hospital governance, leadership, and organizational structures
- b) Effectiveness of bi-directional communication across the organization
- c) LHH Safety Culture
- d) Workforce engagement
- e) Effectiveness of unit management (e.g., medical direction, nursing management, support services)
- f) Quality improvement processes, performance measurement, and reporting
- g) Comprehension and adherence to CDPH compliance citations and plans of correction
- h) Operating policies and procedures
- i) Availability of resources
- j) Physical environment of care impact on care delivery

Interview findings will be summarized and will serve as an important assessment tool for identifying and prioritizing recommendations.

3. Phase 3: Assessment of current care models

Assessment of care models will focus on the delivery of patient care on each of LHH's 15 resident care units or neighborhoods including the 11-bed acute care unit. The assessment will consider the resident/patient mix of the unit to include diagnoses, age, population served, and mental and substance abuse issues.

Through observation, staff interviews, chart, and documentation review, HMA will assess:

- a) Management and supervisory structure of the unit
- b) Clinical/administrative span of control
- c) Patient care plans, clinical pathways, protocols, and guidelines
- d) Adherence to regulatory standards and plans of correction
- e) Staffing models
- f) Resident intake and initial evaluation
- g) Coordination with other hospital resources
- h) Resource/staff utilization and efficiency
- i) Division of labor between clinical and nonclinical staff
- j) Adequacy of facility and work environment in terms of overall space and layout

This assessment will give us a strong understanding of current processes and provide the framework for recommendations.

4. Phase 4: Best Practice Research

- a) Research national best practice for Acute Care and Skilled Nursing Facility License, Organizational and Nursing Unit Structures which include Distinct Part SNF designations
- b) Identify options for consideration and collaborate on a structured evaluation process to select alternative strategies.

5. Phase 5: Recommendations and Implementation

- a) To support high quality, safe, compliant provision of care, recommendations regarding:
 - (i) Hospital Governance and Governing Body
 - (ii) Executive leadership, management structure, and scopes of oversight
 - (iii) Organizational Structure
 - (iv) Scope of services provided at Laguna Honda Hospital
 - (v) Staffing models
 - (vi) Care models
 - (vii) Financial Analysis of Care Models
 - (viii) Workforce engagement
 - (ix) LHH Safety Culture

- (x) Medical Staff, management structure, and scopes of oversight
- (xi) Nursing Operations, department/unit management structure, and scopes of oversight
- (xii) Administrative Operations, department/unit management structure, and scopes of oversight
- (xiii) Organizational Change Management
- (xiv) Best practice models for implementation at LHH
- b) Financial analysis detailing expenses and revenue impact of recommended care models
- c) Prioritized implementation plan including thorough change management and communication strategy
- d) Implementation strategies, work plans, and schedules

6. Deliverables

Written report to Chief Executive Officer of the San Francisco Health Network to include:

- a) Executive Summary
- b) Assessment methodology
- c) Detailed report on findings
- d) Analysis of industry best practice options
- e) Recommendations with implementation timelines
- f) Financial analysis of recommendations
- g) Conclusion
- h) List of interview participants

Appendix A-1

Services to be Performed by the Contractor

TASK 2 – CMS RE-APPLICATION, READINESS ASSESSMENT, AND MOCK SURVEY

I. Introduction

The San Francisco Department of Public Health (SFDPH) selected Health Management Associates (HMA) to provide services supporting the Department's critical initiative to achieve Centers for Medicare and Medicaid Services (CMS) recertification of Laguna Honda Hospital. This scope of work reflects the expectations set forth in the Department's Emergency Solicitation, the department's communication with HMA following the award including a preliminary scoping meeting on May 10, 2022, and HMA's recommendations based on our extensive experience in publicly funded health care.

II. Approach

HMA's mission is to support and improve publicly funded health care. We do not view this project as simply a technical challenge. We will pursue the work with a commitment to make serious and lasting changes, that would allow LHH to return to full compliance and certification delivering the highest possible quality of care and outcomes to its patients and residents. The persistent and systemic nature of the issues will require us to examine and address a range of factors that go beyond the provision of care, including culture, leadership, and governance.

The project scope comprises two interconnected tasks or workstreams supporting sustained compliance with CMS Conditions of Participation and the California Department of Public Health licensing regulations for Acute Care and Skilled Nursing Facilities.

HMA utilizes a proven structured project management approach consisting of:

1. **Initiation:** This will include a kick-off meeting with SFDPH, San Francisco Health Network (SFHN), and LHH Executive Leadership and HMA to ensure that all project participants are aligned with the project scope and timeline. We will establish a regular meeting schedule with SFDPH, SFHN, and LHH.
2. **Planning:** This will include developing a formal project schedule to identify specific milestones, activities, tasks, metrics, and targets with start and end dates and assigned resources. The project schedule will help keep the work focused on achieving the desired goals on time and within contract requirements.
3. **Implementation:** This will consist of the work effort for each specific task identified in the project schedule to achieve the project's overall goals and objectives.

4. **Monitoring:** This will include weekly meetings between the HMA Project Lead and SFDPH, SFHN, and LHH Executive Leadership. In this way, we can quickly resolve any issues and make necessary adjustments. Our Project Lead will have regular meetings with the HMA team to check on the progress of each task and deliverable and provide feedback.
5. **Project Closing:** This comprises ensuring all required project documentation is complete, all scope of work requirements have been met satisfactorily, and the final project deliverables have been submitted to SFDPH and approved as complete.

III. To support Laguna Honda Hospital's facility preparedness for recertification in the Centers for Medicare and Medicaid Services Provider Participation program, HMA will:

1. Assign, effective May 16, 2022, four core team members on-site at Laguna Honda Hospital. The on-site team will lead the project, work collaboratively with Department leadership, SFHN leadership, LHH hospital leadership, HMAs, other consultants contracted by SFDPH and the Department's Incident Command Structure to coordinate project activities.
2. HMA will conduct an initial full facility Medicare and Medicaid Skilled Nursing Facility Re-certification survey readiness assessment HMA will work with LHH leadership to assess all potential gaps and recommend best practice countermeasures to correct.
3. HMA will conduct an initial facility Medicare and Medicaid Acute Care Facility Re-certification survey readiness assessment. HMA will work with LHH leadership to assess all potential gaps and recommend best practice countermeasures to correct
4. Conduct full initial accreditation mock survey assessing compliance with CMS and CDPH SNF and Acute Care standards
5. HMA will provide completed California Department of Public Health Center for Health Care Quality Licensing and Certification Program applicable forms for Medi-Cal Certification to include HS 328 - NOTICE – EFFECTIVE DATE OF PROVIDER AGREEMENT, DHCS 6207 - MEDI-CAL DISCLOSURE STATEMENT, and DHCS 9098 -MEDI-CAL PROVIDER AGREEMENT. HMA will work with DPH and LHH stakeholders to ensure forms are complete, free from errors and ready for submission.
6. HMA will provide completed Centers for Medicare and Medicaid Services (CMS) Medicare Certification Forms to include Form 855A – Medicare General Enrollment Application, CMS 671- Long Term Care Facility Application for Medicare and Medicaid, CMS 1561 – Health Insurance Benefits Agreement, HHS 690 – Assurance of Compliance. HMA will work with DPH and LHH stakeholders to ensure forms are complete, free from errors and ready for submission.

7. Conduct full second accreditation mock survey during reasonable assurance period assessing compliance with CMS and CDPH SNF and Acute Care standards
8. In consultation with facility leadership, HMA will develop a report outlining their findings and implement plans of correction ensuring accountability at all leadership levels.
9. Support preparation for CDPH state relicensing survey
10. Engage direct care staff to ascertain knowledge of compliance plans and assist in the development of education and training where gaps are identified
11. Support hospital and city leadership, in communication with employee unions on status of LHH's recertification and implementation of corrective actions necessary to support the recertification effort.
12. Integrate with established Incident Command Structure and Executive Leadership meetings to review findings, recommendations, and status of implementation.

IV. Internal and External Communications Support

Provide strategic and technical to develop and execute a Crisis Communications Strategy and Plan. HMA will designate a subject matter expert to work in partnership with established Incident Command Structure, communications team and HMA team to:

1. Provide long and short-term communication strategies that are in alignment with agreed upon key, high-priority internal and external stakeholder groups.
2. Develop in coordination with and support the broad HMA project plan for recertification supporting plans of correction (e.g., why actions are necessary)
3. Include feedback from employees throughout the engagement to ensure transparency and effective messaging
4. Establish a formal governance structure for executive approval and sign off on all materials developed
5. Complement HMA change management efforts
6. Provide long-term recommendations for communications, staffing, ongoing resourcing and supports
7. Ensure alignment with LHH and HMA team to execute the plan and provide productions support that includes, but limited to, board and executive communication, town halls, and daily huddles.
8. To ensure transparency, expediency, and accountability, HMA will establish an online repository of all communications materials that can be accessed by LHH designated communications and executive staff, as well as the HMA core team.

V. Change Management

Plan, develop and guide the LHH organizational change management process necessary to implement recommendations from Assessment and Mock Survey activities.

VI. Deliverables

1. Weekly activity report with narrative and visual summary of progress to date
2. Recertification timeline detailing milestones leading to application submission.
3. Completed applicable CDPH Skilled Nursing Facility (SNF) Medi-Cal Application Forms with information provided by the Department ready for review, attestation, and submission by Department
4. Completed CMS Medicare Application Forms with information provided by the Department ready for review, attestation, and submission by Department
5. Initial Mock Survey results including summary report of potential gaps and recommended best practice countermeasures to correct
 - a. Final Mock Survey results including summary report of potential gaps and recommended best practice countermeasures to correct

**Appendix B
Calculation of Charges**

1. Method of Payment

A. Contractor shall submit monthly invoices by the fifteenth (15th) working day of each month, in the format attached in Appendix F, based upon the number of units of service that were delivered in the immediately preceding month. All deliverables associated with the Services listed in Section 2 of Appendix A, times the unit rate as shown in the Program Budgets listed in Section 2 of Appendix B shall be reported on the invoice(s) each month

2. Program Budgets and Final Invoice

A. Program Budgets are listed below and are attached hereto.

Appendix B-1: TASK 1 – COMPREHENSIVE ASSESSMENT and
TASK 2 – CMS RE-APPLICATION, READINESS ASSESSMENT, AND
MOCK SURVEY

B. Contractor understands that, of the maximum dollar obligation listed in section 3.3.1 of this Agreement, \$ 405,252 is included as a contingency amount and is neither to be used in Program Budgets attached to this Appendix, or available to Contractor without a modification to this Agreement as specified in Section 3.7 Contract Amendments; Budgeting Revisions. Contractor further understands that no payment of any portion of this contingency amount will be made unless and until such modification or budget revision has been fully approved and executed in accordance with applicable City and Department of Public Health laws, regulations and policies/procedures and certification as to the availability of funds by Controller. Contractor agrees to fully comply with these laws, regulations, and policies/procedures.

C. A final closing invoice, clearly marked “FINAL,” shall be submitted no later than forty-five (45) calendar days following the closing date of the Agreement, and shall include only those Services rendered during the referenced period of performance. If Services are not invoiced during this period, all unexpended funding set aside for this Agreement will revert to City. City’s final reimbursement to the Contractor at the close of the Agreement period shall be adjusted to conform to actual units certified multiplied by the unit rates identified in the Program Budgets attached hereto, and shall not exceed the total amount authorized and certified for this Agreement.

3. No invoices for Services provided by law firms or attorneys, including, without limitation, as subcontractors of Contractor, will be paid unless the provider received advance written approval from the City Attorney.

Appendix B-1
Calculation of Charges

Budget
Page 1 of 2

**Task 1: COMPREHENSIVE
ASSESSMENT**

	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	70	\$ 27,650.00
Robert Ross	Principal	\$ 385.00	112	\$ 43,120.00
David Polakoff	Principal - Physician	\$ 450.00	92	\$ 41,400.00
Dina Besiveric	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Trisha Bielski	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Brent Barkett	Principal	\$ 385.00	200	\$ 77,000.00
Isis Montalvo	Senior Consultant	\$ 315.00	60	\$ 18,900.00
Margaret Williams	Principal	\$ 385.00	60	\$ 23,100.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Karen Hill	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Flint Michels	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Debbi Witham	Senior Consultant	\$ 315.00	180	\$ 56,700.00
Iliana Gilman	Principal	\$ 385.00	70	\$ 26,950.00
TBD	Senior Consultant	\$ 315.00	12	\$ 3,780.00
	Subcontractor / Steven Hirsch and Associates			
Facilities		\$ 288.00	8	\$ 2,304.00
	Subcontractor / Steven Hirsch and Associates			
Infection Prevention		\$ 288.00	8	\$ 2,304.00
	Subcontractor / Steven Hirsch and Associates			
Nurse Executive		\$ 288.00	8	\$ 2,304.00
	Subcontractor / Steven Hirsch and Associates			
Pharmacy		\$ 288.00	8	\$ 2,304.00
			1,788	\$ 611,316.00

**Task 2: CMS RE-APPLICATION,
READINESS ASSESSMENT, AND MOCK
SURVEY**

	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	154	\$ 60,830.00
Robert Ross	Principal	\$ 385.00	760	\$ 292,600.00
David Polakoff	Principal - Physician	\$ 450.00	446	\$ 200,700.00
Dina Besiveric	Senior Consultant	\$ 315.00	754	\$ 237,510.00
Trisha Bielski	Senior Consultant	\$ 315.00	746	\$ 234,990.00
Brent Barkett	Principal	\$ 385.00	414	\$ 159,390.00
Isis Montalvo	Senior Consultant	\$ 315.00	224	\$ 70,560.00
Margaret Williams	Principal	\$ 385.00	128	\$ 49,280.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	208	\$ 65,520.00
Karen Hill	Senior Consultant	\$ 315.00	236	\$ 74,340.00
Flint Michels	Senior Consultant	\$ 315.00	104	\$ 32,760.00
Debbi Witham	Senior Consultant	\$ 315.00	208	\$ 65,520.00
Iliana Gilman	Principal	\$ 385.00	250	\$ 96,250.00
TBD	Senior Consultant	\$ 315.00	68	\$ 21,420.00
	Subcontractor / Steven Hirsch and Associates			
Facilities		\$ 288.00	86	\$ 24,768.00
	Subcontractor / Steven Hirsch and Associates			
Infection Prevention		\$ 288.00	296	\$ 85,248.00
	Subcontractor / Steven Hirsch and Associates			
Nurse Executive		\$ 288.00	200	\$ 57,600.00
			5,282	\$ 1,829,286.00

Shared Resources Across Task 1 and Task 2

Communications	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	12	\$ 4,740.00
Robert Ross	Principal	\$ 385.00	20	\$ 7,700.00
Brent Barkett	Principal	\$ 385.00	10	\$ 3,850.00
Iliana Gilman	Principal	\$ 385.00	236	\$ 90,860.00
Facilities	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Infection Prevention	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Nurse Executive	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
Pharmacy	Subcontractor / Steven Hirsch and Associates	\$ 288.00	8	\$ 2,304.00
			310	\$ 116,366.00

Change Management	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	64	\$ 25,280.00
Robert Ross	Principal	\$ 385.00	64	\$ 24,640.00
David Polakoff	Principal - Physician	\$ 450.00	24	\$ 10,800.00
Dina Besiveric	Senior Consultant	\$ 315.00	24	\$ 7,560.00
Trisha Bielski	Senior Consultant	\$ 315.00	24	\$ 7,560.00
Brent Barkett	Principal	\$ 385.00	28	\$ 10,780.00
Iliana Gilman	Principal	\$ 385.00	280	\$ 107,800.00
			508	\$ 194,420.00

Project Management	Title	Rate	Estimated Hours	Budgeted Amount
Kim Milstien	Managing Principal	\$ 395.00	70	\$ 27,650.00
Robert Ross	Principal	\$ 385.00	100	\$ 38,500.00
David Polakoff	Principal - Physician	\$ 450.00	70	\$ 31,500.00
Dina Besiveric	Senior Consultant	\$ 315.00	100	\$ 31,500.00
Trisha Bielski	Senior Consultant	\$ 315.00	100	\$ 31,500.00
Brent Barkett	Principal	\$ 385.00	160	\$ 61,600.00
Isis Montalvo	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Margaret Williams	Principal	\$ 385.00	17	\$ 6,545.00
Glenda Stepchinski	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Karen Hill	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Flint Michels	Senior Consultant	\$ 315.00	17	\$ 5,355.00
Debbi Witham	Senior Consultant	\$ 315.00	22	\$ 6,930.00
Iliana Gilman	Principal	\$ 385.00	100	\$ 38,500.00
TBD	Senior Consultant	\$ 315.00	17	\$ 5,355.00
			839	\$ 305,725.00

Total Hours	8,727	
SUB TOTAL OF ALL CONSULTING	\$ 3,057,113.00	
TRAVEL EXPENSES	\$ 320,000.00	
SUB TOTAL OF TASKS 1 AND 2 & Travel	\$ 3,377,113.00	
CONTINGENCY 12%	\$ 405,252.00	
TOTAL NOT TO EXCEED AMOUNT	\$ 3,782,365.00	

Appendix C
Reserved

APPENDIX D

Data Access and Sharing Terms

Article 1 Access

1.1 Revision to Scope of Access (RSA):

Any added access may be granted by the City to Agency and each Agency Data User through a Revision to Scope of Access in writing and executed by both parties. Any Revision to Scope of Access shall be considered a part of and incorporated into this Agreement, governed by all its terms, by reference.

1.2 Primary and Alternate Agency Site Administrator.

Before System(s) access is granted, Agency must appoint a primary and alternate Agency Site Administrator responsible for System(s) access tasks, including but not limited to the following:

1.2.1 Completing and obtaining City approval of the Account Provisioning Request documents and/or Data Set Request documents;

1.2.2 Communicating with the SFDPH IT Service Desk;

1.2.3 Providing Agency Data User(s) details to the City;

1.2.4 Ensuring that Agency Data User(s) complete required SFDPH trainings annually;

1.2.5 Ensuring that Agency Data User(s) understand and execute SFDPH's data access confidentiality agreement; and

1.2.6 Provisioning and deprovisioning Agency Data Users as detailed herein. To start the process, the Agency Site Administrator must contact the SFDPH IT Service Desk at 628-206-7378, dph.helpdesk@sfdph.org.

1.3 SFDPH IT Service Desk.

For new provisioning requests, only Agency Site Administrators are authorized to contact the SFDPH IT Service Desk. The City reserves the right to decline any call placed by other than the Agency Site Administrator. Individual Agency Data Users are not authorized to contact the SFDPH IT Service Desk.

1.4 Deprovisioning Schedule.

Agency, through the Agency Site Administrator, has sole responsibility to deprovision Agency Data Users from the System(s) as appropriate on an ongoing basis. Agency must immediately deprovision an Agency Data User upon any event ending that Data User's need to access the System(s), including job duty change and/or termination. Agency remains liable for the conduct of Agency Data Users until deprovisioned. When deprovisioning employees via the SFDPH IT Service Desk, Agency must maintain evidence that the SFDPH IT Service Desk was notified.

1.5 Active Directory.

Agency Data Users will need an SFDPH Active Directory account in order to access each System(s). These Active Directory Accounts will be created as part of the provisioning process.

1.6 Role Based Access.

Each Agency Data User's access to the System(s) will be role-based and access is limited to that necessary for treatment, payment, and health care operations. The City will assign Agency Data User roles upon provisioning and reserves the right to deny, revoke, limit, or modify Agency Data User's access acting in its sole discretion.

1.7 Training Requirements.

Before System(s) access is granted, and annually thereafter, each Agency Data User must complete SFDPH compliance, privacy, and security training. Agency must maintain written records evidencing such annual training for each Agency Data User and provide copies upon request to the City. For questions about how to complete SFDPH's compliance, privacy, and security training, contact Compliance.Privacy@sfdph.org, (855) 729-6040.

Before Agency Data User first access to System(s), system-specific training must be completed. For training information, Agency Site Administrator may contact the SFDPH IT Service Desk,

1.8 Agency Data User Confidentiality Agreement.

Before System(s) access is granted, as part of SFDPH's compliance, privacy, and security training, each Agency Data User must complete SFDPH's individual user confidentiality, data security and electronic signature agreement form. The agreement must be renewed annually.

1.9 Corrective Action.

Agency shall take corrective action, including but not limited to termination and/or suspension of any System(s) access by any Agency Data User who acts in violation of this Agreement and/or applicable regulatory requirements.

1.10 User ID and Password.

Each Agency Data User will be assigned or create a User ID and password. Agency and each Agency Data User shall protect the confidentiality of User IDs and passwords and shall not divulge them to any other person(s). Agency is responsible for the security of the User IDs and passwords issued to or created by Agency Data Users and is liable for any misuse.

1.11 Notification of Compromised Password.

In the event that a password assigned to or created by an Agency Data User is compromised or disclosed to a person other than the Agency Data User, Agency shall upon learning of the compromised password immediately notify the City, at Compliance.Privacy@sfdph.org, (855) 729-6040. Agency is liable for any such misuse. Agency's failure to monitor each Agency Data User's ID and/or password use shall provide grounds for the City to terminate and/or limit Agency's System(s) access.

1.12 Multi Factor Authentication.

Agency and each Agency Data User must use multi-factor authentication as directed by the City to access the System(s).

1.13 Qualified Personnel.

Agency shall allow only qualified personnel under Agency's direct supervision to act as Agency Data Users with access to the System(s).

1.14 Workstation/Laptop encryption.

All workstations and laptops that process and/or store City Data must be encrypted using a current industry standard algorithm. The encryption solution must be full disk unless approved by the SFDPH Information Security Office.

1.15 Server Security.

Servers containing unencrypted City Data must have sufficient administrative, physical, and technical controls in place to protect that data, based upon a risk assessment/system security review.

1.16 Removable media devices.

All electronic files that contain City Data must be encrypted using a current industry standard algorithm when stored on any removable media or portable device (i.e. USB thumb drives, CD/DVD, smart devices tapes etc.).

1.17 Antivirus software.

All workstations, laptops and other systems that process and/or store City Data must install and actively use a comprehensive anti-virus software solution with automatic updates scheduled at least daily.

1.18 Patch Management.

All workstations, laptops and other systems that process and/or store City Data must have operating system and application security patches applied, with system reboot if necessary. There must be a documented patch management process that determines installation timeframe based on risk assessment and vendor recommendations.

1.19 System Timeout.

The system must provide an automatic timeout, requiring reauthentication of the user session after no more than 20 minutes of inactivity.

1.20 Warning Banners.

All systems containing City Data must display a warning banner each time a user attempts access, stating that data is confidential, systems are logged, and system use is for business purposes only. User must be directed to log off the system if they do not agree with these requirements.

1.21 Transmission encryption.

All data transmissions of City Data outside the Agency's secure internal network must be encrypted using a current industry standard algorithm. Encryption can be end to end at the network level, or the data files containing City Data can be encrypted. This requirement pertains to any type of City Data in motion such as website access, file transfer, and e-mail.

1.22 No Faxing/Mailing.

City Data may not be faxed or mailed.

1.23 Intrusion Detection.

All systems involved in accessing, holding, transporting, and protecting City Data that are accessible via the Internet must be protected by a comprehensive intrusion detection and prevention solution.

of the City.

1.24 Security of PHI.

Agency is solely responsible for maintaining data security policies and procedures, consistent with those of the City that will adequately safeguard the City Data and the System. Upon request, Agency will provide such security policies and procedures to the City. The City may examine annually, or in response to a security or privacy incident, Agency's facilities, computers, privacy and security policies and procedures and related records as may be necessary to be assured that Agency is in compliance with the terms of this Agreement, and as applicable HIPAA, the HITECH Act, and other federal and state privacy and security laws and regulations. Such examination will occur at a mutually acceptable time agreed upon by the parties but no later than ten (10) business days of Agency's receipt of the request.

1.25 Data Security and City Data

Agency shall provide security for its networks and all internet connections consistent with industry best practices, and will promptly install all patches, fixes, upgrades, updates and new versions of any security software it employs. For information disclosed in electronic form, Agency agrees that appropriate safeguards include electronic barriers (e.g., "firewalls", Transport Layer Security (TLS), Secure Socket Layer [SSL] encryption, or most current industry standard encryption, intrusion prevention/detection or similar barriers).

1.26 Data Privacy and Information Security Program.

Without limiting Agency's obligation of confidentiality as further described herein, Agency shall be responsible for establishing and maintaining a data privacy and information security program, including physical, technical, administrative, and organizational safeguards, that is designed to: (i) ensure the security and confidentiality of the City Data; (ii) protect against any anticipated threats or hazards to the security or integrity of the City Data; (iii) protect against unauthorized disclosure, access to, or use of the City Data; (iv) ensure the proper disposal of City Data; and, (v) ensure that all of Agency's employees, agents, and subcontractors, if any, comply with all of the foregoing. In no case shall the safeguards of Agency's data privacy and information security program be less stringent than the safeguards and standards recommended by the National Institute of Standards and Technology (NIST) Cybersecurity Framework and the Health Information Technology for Economic and Clinical Health Act (HITECH).

1.27 Disaster Recovery.

Agency must establish a documented plan to protect the security of electronic City Data in the event of an emergency. Emergency means any circumstance or situation that causes normal computer operations to become unavailable for use in performing the work required under this agreement for more than 24 hours.

1.28 Supervision of Data.

City Data in paper form shall not be left unattended at any time, unless it is locked in a file cabinet, file room, desk or office. Unattended means that information is not being observed by an Agency Data User authorized to access the information. City Data in paper form shall not be left unattended at any time in vehicles or planes and shall not be checked in baggage on commercial airplanes.

1.29 As Is Access.

The City provides Agency and each Agency Data User with System(s) access on an "as is" basis with no guarantee as to uptime, accessibility, or usefulness. To the fullest extent permissible by applicable law, the City disclaims all warranties, express or implied, including, without limitation, implied warranties of merchantability, fitness for a particular purpose, title and non-infringement.

1.30 No Technical or Administrative Support.

Except as provided herein, the City will provide no technical or administrative support to Agency or Agency Data Users for System(s) access.

1.31 City Audit of Agency and Agency Data Users.

The City acting in its sole discretion may audit Agency and Agency Data Users at any time. If an audit reveals an irregularity or security issue, the City may take corrective action including but not limited to termination of such Agency's and/or Agency Data User's access to the System(s) permanently or until the City determines that all irregularities have been satisfactorily cured. Agency and each Agency Data User understands that the City may create and review an audit trail for each Agency Data User, including but not limited to, noting each Agency Data User's ID(s), the patient information accessed, and/or the date accessed. Agency and each Agency Data User understands that any inappropriate access or use of patient information, as determined by the City, may result in the temporary and/or permanent termination of Agency's or such Agency Data User's access to the System(s). Agency remains liable for all inappropriate System(s) access, misuse and/or breach of patient information, whether in electronic or hard-copy form.

1.32 Minimum Necessary.

Agency and each Agency Data User shall safeguard the confidentiality of all City Data that is viewed or obtained through the System(s) at all times. Agency and each Agency Data User shall access patient information in the System(s) only to the minimum extent necessary for its assigned duties and shall only disclose such information to persons authorized to receive it, as minimally necessary for treatment, payment and health care operations.

1.33 No Re-Disclosure or Reporting.

Agency may not in any way re-disclose SFDPH Data or otherwise prepare reports, summaries, or any other material (in electronic or hard-copy format) regarding or containing City Data for transmission to any other requesting individuals, agencies, or organizations without prior written City approval and where such re-disclosure is otherwise permitted or required by law.

1.34 Health Information Exchange.

If Agency is qualified to enroll in a health information exchange, the City encourages Agency to do so in order to facilitate the secure exchange of data between Agency's electronic health record system (EHR) and the City's Epic EHR.

1.35 Subcontracting.

Agency may not subcontract any portion of Data Access Agreement, except upon prior written approval of City. If the City approves a subcontract, Agency remains fully responsible for its subcontractor(s) throughout the term and/or after expiration of this Agreement. All Subcontracts must incorporate the terms of this Data Access Agreement. To the extent that any subcontractor would have access to a System, each such subcontractor's access must be limited and subject to the same governing terms to the same extent as Agency's access. In addition, each contract between Agency and that subcontractor must, except as the City otherwise agrees, include a Business Associate Agreement requiring such subcontractor to comply with all regulatory requirements regarding third-party access, and include a provision obligating that subcontractor to (1) defend, indemnify, and hold the City harmless in the event of a data

breach in the same manner in which Agency would be so obligated, (2) provide cyber and technology errors and omissions insurance with limits identified in Article 5, and (3) ensure that such data has been destroyed, returned, and/or protected as provided by HIPAA at the expiration of the subcontract term.

Article 2 Proprietary Rights and Data Breach

2.1 Ownership of City Data.

The Parties agree that as between them, all rights, including all intellectual property rights in and to the City Data and any derivative works of the City Data shall remain the exclusive property of the City.

2.2 Data Breach; Loss of City Data.

The Agency shall notify City immediately by telephone call plus email upon the discovery of a breach (as herein). For purposes of this Section, breaches and security incidents shall be treated as discovered by Agency as of the first day on which such breach or security incident is known to the Agency, or, by exercising reasonable diligence would have been known to the Agency. Agency shall be deemed to have knowledge of a breach if such breach is known, or by exercising reasonable diligence would have been known, to any person, other than the person committing the breach, who is an employee or agent of the Agency.

Agency shall take:

- i. prompt corrective action to mitigate any risks or damages involved with the breach or security incident and to protect the operating environment; and
- ii. any action pertaining to a breach required by applicable federal and state laws.

2.2.1 Investigation of Breach and Security Incidents: The Agency shall immediately investigate such breach or security incident. As soon as the information is known and shall inform the City of:

- i. what data elements were involved, and the extent of the data disclosure or access involved in the breach, including, specifically, the number of individuals whose personal information was breached; and
- ii. a description of the unauthorized persons known or reasonably believed to have improperly used the City Data and/or a description of the unauthorized persons known or reasonably believed to have improperly accessed or acquired the City Data, or to whom it is known or reasonably believed to have had the City Data improperly disclosed to them; and
- iii. a description of where the City Data is believed to have been improperly used or disclosed; and
- iv. a description of the probable and proximate causes of the breach or security incident; and
- v. whether any federal or state laws requiring individual notifications of breaches have been triggered.

2.2.2 Written Report: Agency shall provide a written report of the investigation to the City as soon as practicable after the discovery of the breach or security incident. The report shall include, but not be limited to, the information specified above, as well as a complete, detailed corrective action plan, including information on measures that were taken to halt and/or contain the breach or security

incident, and measures to be taken to prevent the recurrence or further disclosure of data regarding such breach or security incident.

2.2.3 Notification to Individuals: If notification to individuals whose information was breached is required under state or federal law, and regardless of whether Agency is considered only a custodian and/or non-owner of the City Data, Agency shall, at its sole expense, and at the sole election of City, either:

- i. make notification to the individuals affected by the breach (including substitute notification), pursuant to the content and timeliness provisions of such applicable state or federal breach notice laws. Agency shall inform the City of the time, manner and content of any such notifications, prior to the transmission of such notifications to the individuals; or
- ii. cooperate with and assist City in its notification (including substitute notification) to the individuals affected by the breach.

2.2.4 Sample Notification to Individuals: If notification to individuals is required, and regardless of whether Agency is considered only a custodian and/or non-owner of the City Data, Agency shall, at its sole expense, and at the sole election of City, either:

- i. electronically submit a single sample copy of the security breach notification as required to the state or federal entity and inform the City of the time, manner and content of any such submissions, prior to the transmission of such submissions to the Attorney General; or
- ii. cooperate with and assist City in its submission of a sample copy of the notification to the Attorney General.

2.3 Media Communications

City shall conduct all media communications related to such Data Breach, unless in its sole discretion, City directs Agency to do so.

**Attachment 1 to Appendix D
System Specific Requirements**

I. For Access to SFDPH Epic through Care Link the following terms shall apply:

A. SFDPH Care Link Requirements:

1. Connectivity.

- a) Agency must obtain and maintain connectivity and network configuration and required hardware and equipment in accordance with specifications provided by Epic and must update the configuration of all first and third-party software as required. Technical equipment and software specifications for accessing SFDPH Care Link will change over time. Current required browser, system and connection requirements can be found on the Target Platform Roadmap and Target Platform Notes sections of the Epic Galaxy website galaxy.epic.com. Agency is responsible for all associated costs. Agency shall ensure that Agency Data Users access the System only through equipment owned or leased and maintained by Agency.

2. Compliance with Epic Terms and Conditions.

- a) Agency will at all times access and use the System strictly in accordance with the Epic Terms and Conditions. The following Epic Care Link Terms and Conditions are embedded within the SFDPH Care Link application, and each Data User will need to agree to them electronically upon first sign-in before accessing SFDPH Care Link:

3. Epic-Provided Terms and Conditions

- a) Some short, basic rules apply to you when you use your EpicCare Link account. Please read them carefully. The Epic customer providing you access to EpicCare Link may require you to accept additional terms, but these are the rules that apply between you and Epic.
- b) Epic is providing you access to EpicCare Link, so that you can do useful things with data from an Epic customer's system. This includes using the information accessed through your account to help facilitate care to patients shared with an Epic customer, tracking your referral data, or otherwise using your account to further your business interests in connection with data from an Epic customer's system. However, you are not permitted to use your access to EpicCare Link to help you or another organization develop software that is similar to EpicCare Link. Additionally, you agree not to share your account information with anyone outside of your organization.

II. For Access to SFDPH Epic through Epic Hyperspace and Epic Hyperdrive the following terms shall apply:

A. SFDPH Epic Hyperspace and Epic Hyperdrive:

1. Connectivity.

- a) Agency must obtain and maintain connectivity and network configuration and required hardware and equipment in accordance with specifications provided by Epic and SFDPH and must update the configuration of all first and third-party software as required. Technical equipment and software specifications for accessing SFDPH Epic Hyperspace will change over time. Epic Hyperdrive is a web-based platform that will replace Epic Hyperspace in the future. You may request a copy of current required browser, system and connection requirements from the SFDPH IT team. Agency is responsible for all

associated costs. Agency shall ensure that Agency Data Users access the System only through equipment owned or leased and maintained by Agency.

2. Application For Access and Compliance with Epic Terms and Conditions.

- a) Prior to entering into agreement with SFDPH to access SFDPH Epic Hyperspace or Epic Hyperdrive, Agency must first complete an Application For Access with Epic Systems Corporation of Verona, WI. The Application For Access is found at: <https://userweb.epic.com/Forms/AccessApplication>. Epic Systems Corporation must notify SFDPH, in writing, of Agency's permissions to access SFDPH Epic Hyperspace or Epic Hyperdrive prior to completing this agreement. Agency will at all times access and use the system strictly in accordance with the Epic Terms and Conditions.

III. For Access to SFDPH myAvatar through WebConnect and VDI the following terms shall apply:

A. SFDPH myAvatar via WebConnect and VDI:

1. Connectivity.

- a. Agency must obtain and maintain connectivity and network configuration and required hardware and equipment in accordance with specifications provided by SFDPH and must update the configuration of all first and third-party software as required. Technical equipment and software specifications for accessing SFDPH myAvatar will change over time. You may request a copy of current required browser, system and connection requirements from the SFDPH IT team. Agency is responsible for all associated costs. Agency shall ensure that Agency Data Users access the System only through equipment owned or leased and maintained by Agency.

2. Information Technology (IT) Support.

- a. Agency must have qualified and professional IT support who will participate in quarterly CBO Technical Workgroups.

3. Access Control.

- a. Access to the BHS Electronic Health Record is granted based on clinical and business requirements in accordance with the Behavioral Health Services EHR Access Control Policy (6.00-06). The Access Control Policy is found at: <https://www.sfdph.org/dph/files/CBHSPolProcMnl/6.00-06.pdf>
- b. Each user is unique and agrees not to share accounts or passwords.
- c. Applicants must complete the myAvatar Account Request Form found at https://www.sfdph.org/dph/files/CBHSdocs/BHISdocs/UserDoc/Avatar_Account_Request_Form.pdf
- d. Applicants must complete the credentialing process in accordance with the DHCS MHSUDS Information Notice #18-019.
- e. Applicants must complete myAvatar Training.
- f. Level of access is based on "Need to Know", job duties and responsibilities.

APPENDIX E



San Francisco Department of Public Health

Business Associate Agreement

This Business Associate Agreement (“BAA”) supplements and is made a part of the contract by and between the City and County of San Francisco, the Covered Entity (“CE”), and Contractor, the Business Associate (“BA”) (the “Agreement”). To the extent that the terms of the Agreement are inconsistent with the terms of this BAA, the terms of this BAA shall control.

RECITALS

A. CE, by and through the San Francisco Department of Public Health (“SFDPH”), wishes to disclose certain information to BA pursuant to the terms of the Agreement, some of which may constitute Protected Health Information (“PHI”) (defined below).

B. For purposes of the Agreement, CE requires Contractor, even if Contractor is also a covered entity under HIPAA, to comply with the terms and conditions of this BAA as a BA of CE.

C. CE and BA intend to protect the privacy and provide for the security of PHI disclosed to BA pursuant to the Agreement in compliance with the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (“HIPAA”), the Health Information Technology for Economic and Clinical Health Act, Public Law 111-005 (“the HITECH Act”), and regulations promulgated there under by the U.S. Department of Health and Human Services (the “HIPAA Regulations”) and other applicable laws, including, but not limited to, California Civil Code §§ 56, et seq., California Health and Safety Code § 1280.15, California Civil Code §§ 1798, et seq., California Welfare & Institutions Code §§5328, et seq., and the regulations promulgated there under (the “California Regulations”).

D. As part of the HIPAA Regulations, the Privacy Rule and the Security Rule (defined below) require CE to enter into a contract containing specific requirements with BA prior to the disclosure of PHI, as set forth in, but not limited to, Title 45, Sections 164.314(a), 164.502(a) and (e) and 164.504(e) of the Code of Federal Regulations (“C.F.R.”) and contained in this BAA.

E. BA enters into agreements with CE that require the CE to disclose certain identifiable health information to BA. The parties desire to enter into this BAA to permit BA to have access to such information and comply with the BA requirements of HIPAA, the HITECH Act, and the corresponding Regulations.

In consideration of the mutual promises below and the exchange of information pursuant to this BAA, the parties agree as follows:

1. Definitions.

a. Breach means the unauthorized acquisition, access, use, or disclosure of PHI that compromises the security or privacy of such information, except where an unauthorized person to whom such information is disclosed would not reasonably have been able to retain such information, and shall have the meaning given to such term under the HITECH Act and HIPAA Regulations [42 U.S.C. Section 17921 and 45 C.F.R. Section 164.402], as well as California Civil Code Sections 1798.29 and 1798.82.

b. Breach Notification Rule shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and D.



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c. Business Associate is a person or entity that performs certain functions or activities that involve the use or disclosure of protected health information received from a covered entity, but other than in the capacity of a member of the workforce of such covered entity or arrangement, and shall have the meaning given to such term under the Privacy Rule, the Security Rule, and the HITECH Act, including, but not limited to, 42 U.S.C. Section 17938 and 45 C.F.R. Section 160.103.

d. Covered Entity means a health plan, a health care clearinghouse, or a health care provider who transmits any information in electronic form in connection with a transaction covered under HIPAA Regulations, and shall have the meaning given to such term under the Privacy Rule and the Security Rule, including, but not limited to, 45 C.F.R. Section 160.103.

e. Data Aggregation means the combining of Protected Information by the BA with the Protected Information received by the BA in its capacity as a BA of another CE, to permit data analyses that relate to the health care operations of the respective covered entities, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.

f. Designated Record Set means a group of records maintained by or for a CE, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.

g. Electronic Protected Health Information means Protected Health Information that is maintained in or transmitted by electronic media and shall have the meaning given to such term under HIPAA and the HIPAA Regulations, including, but not limited to, 45 C.F.R. Section 160.103. For the purposes of this BAA, Electronic PHI includes all computerized data, as defined in California Civil Code Sections 1798.29 and 1798.82.

h. Electronic Health Record means an electronic record of health-related information on an individual that is created, gathered, managed, and consulted by authorized health care clinicians and staff, and shall have the meaning given to such term under the HITECH Act, including, but not limited to, 42 U.S.C. Section 17921.

i. Health Care Operations shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.

j. Privacy Rule shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and E.

k. Protected Health Information or PHI means any information, including electronic PHI, whether oral or recorded in any form or medium: (i) that relates to the past, present or future physical or mental condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual; and (ii) that identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Sections 160.103 and 164.501. For the purposes of this BAA, PHI includes all medical information and health insurance information as defined in California Civil Code Sections 56.05 and 1798.82.

l. Protected Information shall mean PHI provided by CE to BA or created, maintained, received or transmitted by BA on CE's behalf.



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m. Security Incident means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system, and shall have the meaning given to such term under the Security Rule, including, but not limited to, 45 C.F.R. Section 164.304.

n. Security Rule shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and C.

o. Unsecured PHI means PHI that is not secured by a technology standard that renders PHI unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute, and shall have the meaning given to such term under the HITECH Act and any guidance issued pursuant to such Act including, but not limited to, 42 U.S.C. Section 17932(h) and 45 C.F.R. Section 164.402.

2. Obligations of Business Associate.

a. Attestations. Except when CE's data privacy officer exempts BA in writing, the BA shall complete the following forms, attached and incorporated by reference as though fully set forth herein, SFDPH Attestations for Privacy (Attachment 1) and Data Security (Attachment 2) within sixty (60) calendar days from the execution of the Agreement. If CE makes substantial changes to any of these forms during the term of the Agreement, the BA will be required to complete CE's updated forms within sixty (60) calendar days from the date that CE provides BA with written notice of such changes. BA shall retain such records for a period of seven years after the Agreement terminates and shall make all such records available to CE within 15 calendar days of a written request by CE.

b. User Training. The BA shall provide, and shall ensure that BA subcontractors, provide, training on PHI privacy and security, including HIPAA and HITECH and its regulations, to each employee or agent that will access, use or disclose Protected Information, upon hire and/or prior to accessing, using or disclosing Protected Information for the first time, and at least annually thereafter during the term of the Agreement. BA shall maintain, and shall ensure that BA subcontractors maintain, records indicating the name of each employee or agent and date on which the PHI privacy and security trainings were completed. BA shall retain, and ensure that BA subcontractors retain, such records for a period of seven years after the Agreement terminates and shall make all such records available to CE within 15 calendar days of a written request by CE.

c. Permitted Uses. BA may use, access, and/or disclose Protected Information only for the purpose of performing BA's obligations for, or on behalf of, the City and as permitted or required under the Agreement and BAA, or as required by law. Further, BA shall not use Protected Information in any manner that would constitute a violation of the Privacy Rule or the HITECH Act if so used by CE. However, BA may use Protected Information as necessary (i) for the proper management and administration of BA; (ii) to carry out the legal responsibilities of BA; (iii) as required by law; or (iv) for Data Aggregation purposes relating to the Health Care Operations of CE [45 C.F.R. Sections 164.502, 164.504(e)(2). and 164.504(e)(4)(i)].

d. Permitted Disclosures. BA shall disclose Protected Information only for the purpose of performing BA's obligations for, or on behalf of, the City and as permitted or required under the Agreement and BAA, or as required by law. BA shall not disclose Protected Information in any manner that would constitute a violation of the



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Privacy Rule or the HITECH Act if so disclosed by CE. However, BA may disclose Protected Information as necessary (i) for the proper management and administration of BA; (ii) to carry out the legal responsibilities of BA; (iii) as required by law; or (iv) for Data Aggregation purposes relating to the Health Care Operations of CE. If BA discloses Protected Information to a third party, BA must obtain, prior to making any such disclosure, (i) reasonable written assurances from such third party that such Protected Information will be held confidential as provided pursuant to this BAA and used or disclosed only as required by law or for the purposes for which it was disclosed to such third party, and (ii) a written agreement from such third party to immediately notify BA of any breaches, security incidents, or unauthorized uses or disclosures of the Protected Information in accordance with paragraph 2 (n) of this BAA, to the extent it has obtained knowledge of such occurrences [42 U.S.C. Section 17932; 45 C.F.R. Section 164.504(e)]. BA may disclose PHI to a BA that is a subcontractor and may allow the subcontractor to create, receive, maintain, or transmit Protected Information on its behalf, if the BA obtains satisfactory assurances, in accordance with 45 C.F.R. Section 164.504(e)(1), that the subcontractor will appropriately safeguard the information [45 C.F.R. Section 164.502(e)(1)(ii)].

e. Prohibited Uses and Disclosures. BA shall not use or disclose Protected Information other than as permitted or required by the Agreement and BAA, or as required by law. BA shall not use or disclose Protected Information for fundraising or marketing purposes. BA shall not disclose Protected Information to a health plan for payment or health care operations purposes if the patient has requested this special restriction, and has paid out of pocket in full for the health care item or service to which the Protected Information solely relates [42 U.S.C. Section 17935(a) and 45 C.F.R. Section 164.522(a)(1)(vi)]. BA shall not directly or indirectly receive remuneration in exchange for Protected Information, except with the prior written consent of CE and as permitted by the HITECH Act, 42 U.S.C. Section 17935(d)(2), and the HIPAA regulations, 45 C.F.R. Section 164.502(a)(5)(ii); however, this prohibition shall not affect payment by CE to BA for services provided pursuant to the Agreement.

f. Appropriate Safeguards. BA shall take the appropriate security measures to protect the confidentiality, integrity and availability of PHI that it creates, receives, maintains, or transmits on behalf of the CE, and shall prevent any use or disclosure of PHI other than as permitted by the Agreement or this BAA, including, but not limited to, administrative, physical and technical safeguards in accordance with the Security Rule, including, but not limited to, 45 C.F.R. Sections 164.306, 164.308, 164.310, 164.312, 164.314 164.316, and 164.504(e)(2)(ii)(B). BA shall comply with the policies and procedures and documentation requirements of the Security Rule, including, but not limited to, 45 C.F.R. Section 164.316, and 42 U.S.C. Section 17931. BA is responsible for any civil penalties assessed due to an audit or investigation of BA, in accordance with 42 U.S.C. Section 17934(c).

g. Business Associate's Subcontractors and Agents. BA shall ensure that any agents and subcontractors that create, receive, maintain or transmit Protected Information on behalf of BA, agree in writing to the same restrictions and conditions that apply to BA with respect to such PHI and implement the safeguards required by paragraph 2.f. above with respect to Electronic PHI [45 C.F.R. Section 164.504(e)(2) through (e)(5); 45 C.F.R. Section 164.308(b)]. BA shall mitigate the effects of any such violation.

h. Accounting of Disclosures. Within ten (10) calendar days of a request by CE for an accounting of disclosures of Protected Information or upon any disclosure of Protected Information for which CE is required to account to an individual, BA and its agents and subcontractors shall make available to CE the information required to



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provide an accounting of disclosures to enable CE to fulfill its obligations under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.528, and the HITECH Act, including but not limited to 42 U.S.C. Section 17935 (c), as determined by CE. BA agrees to implement a process that allows for an accounting to be collected and maintained by BA and its agents and subcontractors for at least seven (7) years prior to the request. However, accounting of disclosures from an Electronic Health Record for treatment, payment or health care operations purposes are required to be collected and maintained for only three (3) years prior to the request, and only to the extent that BA maintains an Electronic Health Record. At a minimum, the information collected and maintained shall include: (i) the date of disclosure; (ii) the name of the entity or person who received Protected Information and, if known, the address of the entity or person; (iii) a brief description of Protected Information disclosed; and (iv) a brief statement of purpose of the disclosure that reasonably informs the individual of the basis for the disclosure, or a copy of the individual's authorization, or a copy of the written request for disclosure [45 C.F.R. 164.528(b)(2)]. If an individual or an individual's representative submits a request for an accounting directly to BA or its agents or subcontractors, BA shall forward the request to CE in writing within five (5) calendar days.

i. Access to Protected Information. BA shall make Protected Information maintained by BA or its agents or subcontractors in Designated Record Sets available to CE for inspection and copying within (5) days of request by CE to enable CE to fulfill its obligations under state law [Health and Safety Code Section 123110] and the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.524 [45 C.F.R. Section 164.504(e)(2)(ii)(E)]. If BA maintains Protected Information in electronic format, BA shall provide such information in electronic format as necessary to enable CE to fulfill its obligations under the HITECH Act and HIPAA Regulations, including, but not limited to, 42 U.S.C. Section 17935(e) and 45 C.F.R. 164.524.

j. Amendment of Protected Information. Within ten (10) days of a request by CE for an amendment of Protected Information or a record about an individual contained in a Designated Record Set, BA and its agents and subcontractors shall make such Protected Information available to CE for amendment and incorporate any such amendment or other documentation to enable CE to fulfill its obligations under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.526. If an individual requests an amendment of Protected Information directly from BA or its agents or subcontractors, BA must notify CE in writing within five (5) days of the request and of any approval or denial of amendment of Protected Information maintained by BA or its agents or subcontractors [45 C.F.R. Section 164.504(e)(2)(ii)(F)].

k. Governmental Access to Records. BA shall make its internal practices, books and records relating to the use and disclosure of Protected Information available to CE and to the Secretary of the U.S. Department of Health and Human Services (the "Secretary") for purposes of determining BA's compliance with HIPAA [45 C.F.R. Section 164.504(e)(2)(ii)(I)]. BA shall provide CE a copy of any Protected Information and other documents and records that BA provides to the Secretary concurrently with providing such Protected Information to the Secretary.

l. Minimum Necessary. BA, its agents and subcontractors shall request, use and disclose only the minimum amount of Protected Information necessary to accomplish the intended purpose of such use, disclosure, or request. [42 U.S.C. Section 17935(b); 45 C.F.R. Section 164.514(d)]. BA understands and agrees that the definition of "minimum necessary" is in flux and shall keep itself informed of guidance issued by the Secretary with respect to



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what constitutes “minimum necessary” to accomplish the intended purpose in accordance with HIPAA and HIPAA Regulations.

m. Data Ownership. BA acknowledges that BA has no ownership rights with respect to the Protected Information.

n. Notification of Breach. BA shall notify CE within 5 calendar days of any breach of Protected Information; any use or disclosure of Protected Information not permitted by the BAA; any Security Incident (except as otherwise provided below) related to Protected Information, and any use or disclosure of data in violation of any applicable federal or state laws by BA or its agents or subcontractors. The notification shall include, to the extent possible, the identification of each individual whose unsecured Protected Information has been, or is reasonably believed by the BA to have been, accessed, acquired, used, or disclosed, as well as any other available information that CE is required to include in notification to the individual, the media, the Secretary, and any other entity under the Breach Notification Rule and any other applicable state or federal laws, including, but not limited, to 45 C.F.R. Section 164.404 through 45 C.F.R. Section 164.408, at the time of the notification required by this paragraph or promptly thereafter as information becomes available. BA shall take (i) prompt corrective action to cure any deficiencies and (ii) any action pertaining to unauthorized uses or disclosures required by applicable federal and state laws. [42 U.S.C. Section 17921; 42 U.S.C. Section 17932; 45 C.F.R. 164.410; 45 C.F.R. Section 164.504(e)(2)(ii)(C); 45 C.F.R. Section 164.308(b)]

o. Breach Pattern or Practice by Business Associate’s Subcontractors and Agents. Pursuant to 42 U.S.C. Section 17934(b) and 45 C.F.R. Section 164.504(e)(1)(iii), if the BA knows of a pattern of activity or practice of a subcontractor or agent that constitutes a material breach or violation of the subcontractor or agent’s obligations under the Contract or this BAA, the BA must take reasonable steps to cure the breach or end the violation. If the steps are unsuccessful, the BA must terminate the contractual arrangement with its subcontractor or agent, if feasible. BA shall provide written notice to CE of any pattern of activity or practice of a subcontractor or agent that BA believes constitutes a material breach or violation of the subcontractor or agent’s obligations under the Contract or this BAA within five (5) calendar days of discovery and shall meet with CE to discuss and attempt to resolve the problem as one of the reasonable steps to cure the breach or end the violation.

3. Termination.

a. Material Breach. A breach by BA of any provision of this BAA, as determined by CE, shall constitute a material breach of the Agreement and this BAA and shall provide grounds for immediate termination of the Agreement and this BAA, any provision in the AGREEMENT to the contrary notwithstanding. [45 C.F.R. Section 164.504(e)(2)(iii).]

b. Judicial or Administrative Proceedings. CE may terminate the Agreement and this BAA, effective immediately, if (i) BA is named as defendant in a criminal proceeding for a violation of HIPAA, the HITECH Act, the HIPAA Regulations or other security or privacy laws or (ii) a finding or stipulation that the BA has violated any



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standard or requirement of HIPAA, the HITECH Act, the HIPAA Regulations or other security or privacy laws is made in any administrative or civil proceeding in which the party has been joined.

c. Effect of Termination. Upon termination of the Agreement and this BAA for any reason, BA shall, at the option of CE, return or destroy all Protected Information that BA and its agents and subcontractors still maintain in any form, and shall retain no copies of such Protected Information. If return or destruction is not feasible, as determined by CE, BA shall continue to extend the protections and satisfy the obligations of Section 2 of this BAA to such information, and limit further use and disclosure of such PHI to those purposes that make the return or destruction of the information infeasible [45 C.F.R. Section 164.504(e)(2)(ii)(J)]. If CE elects destruction of the PHI, BA shall certify in writing to CE that such PHI has been destroyed in accordance with the Secretary's guidance regarding proper destruction of PHI.

d. Civil and Criminal Penalties. BA understands and agrees that it is subject to civil or criminal penalties applicable to BA for unauthorized use, access or disclosure of Protected Information in accordance with the HIPAA Regulations and the HITECH Act including, but not limited to, 42 U.S.C. 17934 (c).

e. Disclaimer. CE makes no warranty or representation that compliance by BA with this BAA, HIPAA, the HITECH Act, or the HIPAA Regulations or corresponding California law provisions will be adequate or satisfactory for BA's own purposes. BA is solely responsible for all decisions made by BA regarding the safeguarding of PHI.

4. Amendment to Comply with Law.

The parties acknowledge that state and federal laws relating to data security and privacy are rapidly evolving and that amendment of the Agreement or this BAA may be required to provide for procedures to ensure compliance with such developments. The parties specifically agree to take such action as is necessary to implement the standards and requirements of HIPAA, the HITECH Act, the HIPAA regulations and other applicable state or federal laws relating to the security or confidentiality of PHI. The parties understand and agree that CE must receive satisfactory written assurance from BA that BA will adequately safeguard all Protected Information. Upon the request of either party, the other party agrees to promptly enter into negotiations concerning the terms of an amendment to this BAA embodying written assurances consistent with the updated standards and requirements of HIPAA, the HITECH Act, the HIPAA regulations or other applicable state or federal laws. CE may terminate the Agreement upon thirty (30) days written notice in the event (i) BA does not promptly enter into negotiations to amend the Agreement or this BAA when requested by CE pursuant to this section or (ii) BA does not enter into an amendment to the Agreement or this BAA providing assurances regarding the safeguarding of PHI that CE, in its sole discretion, deems sufficient to satisfy the standards and requirements of applicable laws.

5. Reimbursement for Fines or Penalties.

In the event that CE pays a fine to a state or federal regulatory agency, and/or is assessed civil penalties or damages through private rights of action, based on an impermissible access, use or disclosure of PHI by BA or its

APPENDIX E



San Francisco Department of Public Health

Business Associate Agreement

subcontractors or agents, then BA shall reimburse CE in the amount of such fine or penalties or damages within thirty (30) calendar days from City's written notice to BA of such fines, penalties or damages.

Attachment 1 – SFDPH Privacy Attestation, version 06-07-2017

Attachment 2 – SFDPH Data Security Attestation, version 06-07-2017

Office of Compliance and Privacy Affairs
San Francisco Department of Public Health
101 Grove Street, Room 330, San Francisco, CA 94102
Email: compliance.privacy@sfdph.org
Hotline (Toll-Free): 1-855-729-6040

Contractor Name:		Contractor City Vendor ID	
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PRIVACY ATTESTATION

INSTRUCTIONS: Contractors and Partners who receive or have access to health or medical information or electronic health record systems maintained by SFPDH must complete this form. Retain completed Attestations in your files for a period of 7 years. Be prepared to submit completed attestations, along with evidence related to the following items, if requested to do so by SFPDH.

Exceptions: If you believe that a requirement is Not Applicable to you, see instructions below in Section IV on how to request clarification or obtain an exception.

I. All Contractors.

DOES YOUR ORGANIZATION...							Yes	No*
A	Have formal Privacy Policies that comply with the Health Insurance Portability and Accountability Act (HIPAA)?						<input type="checkbox"/>	<input type="checkbox"/>
B	Have a Privacy Officer or other individual designated as the person in charge of investigating privacy breaches or related incidents?						<input type="checkbox"/>	<input type="checkbox"/>
	If yes:	Name & Title:		Phone #		Email:		
C	Require health information Privacy Training upon hire and annually thereafter for all employees who have access to health information? [Retain documentation of trainings for a period of 7 years.] [SFPDH privacy training materials are available for use; contact OCPA at 1-855-729-6040.]						<input type="checkbox"/>	<input type="checkbox"/>
D	Have proof that employees have signed a form upon hire and annually thereafter, with their name and the date, acknowledging that they have received health information privacy training? [Retain documentation of acknowledgement of trainings for a period of 7 years.]						<input type="checkbox"/>	<input type="checkbox"/>
E	Have (or will have if/when applicable) Business Associate Agreements with subcontractors who create, receive, maintain, transmit, or access SFPDH's health information?						<input type="checkbox"/>	<input type="checkbox"/>
F	Assure that staff who create, or transfer health information (via laptop, USB/thumb-drive, handheld), have prior supervisorial authorization to do so AND that health information is only transferred or created on encrypted devices approved by SFPDH Information Security staff?						<input type="checkbox"/>	<input type="checkbox"/>

II. Contractors who serve patients/clients and have access to SFPDH PHI, must also complete this section.

If Applicable: DOES YOUR ORGANIZATION...							Yes	No*
G	Have (or will have if/when applicable) evidence that SFPDH Service Desk (628-206-SERV) was notified to de-provision employees who have access to SFPDH health information record systems within 2 business days for regular terminations and within 24 hours for terminations due to cause?						<input type="checkbox"/>	<input type="checkbox"/>
H	Have evidence in each patient's / client's chart or electronic file that a Privacy Notice that meets HIPAA regulations was provided in the patient's / client's preferred language? (English, Cantonese, Vietnamese, Tagalog, Spanish, Russian forms may be required and are available from SFPDH.)						<input type="checkbox"/>	<input type="checkbox"/>
I	Visibly post the Summary of the Notice of Privacy Practices in all six languages in common patient areas of your treatment facility?						<input type="checkbox"/>	<input type="checkbox"/>
J	Document each disclosure of a patient's/client's health information for purposes <u>other than</u> treatment, payment, or operations?						<input type="checkbox"/>	<input type="checkbox"/>
K	When required by law, have proof that signed authorization for disclosure forms (that meet the requirements of the HIPAA Privacy Rule) are obtained PRIOR to releasing a patient's/client's health information?						<input type="checkbox"/>	<input type="checkbox"/>

III. ATTEST: Under penalty of perjury, I hereby attest that to the best of my knowledge the information herein is true and correct and that I have authority to sign on behalf of and bind Contractor listed above.

ATTESTED by Privacy Officer or designated person	Name: (print)		Signature		Date	
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IV. *EXCEPTIONS: If you have answered "NO" to any question or believe a question is Not Applicable, please contact OCPA at **1-855-729-6040** or compliance.privacy@sfdph.org for a consultation. All "No" or "N/A" answers must be reviewed and approved by OCPA below.

EXCEPTION(S) APPROVED by OCPA	Name (print)		Signature		Date	
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Contractor Name:		Contractor City Vendor ID	
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DATA SECURITY ATTESTATION

INSTRUCTIONS: Contractors and Partners who receive or have access to health or medical information or electronic health record systems maintained by SFPDH must complete this form. Retain completed Attestations in your files for a period of 7 years. Be prepared to submit completed attestations, along with evidence related to the following items, if requested to do so by SFPDH.

Exceptions: If you believe that a requirement is Not Applicable to you, see instructions in Section III below on how to request clarification or obtain an exception.

I. All Contractors.

DOES YOUR ORGANIZATION...						Yes	No*	
A	Conduct assessments/audits of your data security safeguards to demonstrate and document compliance with your security policies and the requirements of HIPAA/HITECH at least every two years? [Retain documentation for a period of 7 years]							
B	Use findings from the assessments/audits to identify and mitigate known risks into documented remediation plans?							
	Date of last Data Security Risk Assessment/Audit:							
	Name of firm or person(s) who performed the Assessment/Audit and/or authored the final report:							
C	Have a formal Data Security Awareness Program?							
D	Have formal Data Security Policies and Procedures to detect, contain, and correct security violations that comply with the Health Insurance Portability and Accountability Act (HIPAA) and the Health Information Technology for Economic and Clinical Health Act (HITECH)?							
E	Have a Data Security Officer or other individual designated as the person in charge of ensuring the security of confidential information?							
	If yes:	Name & Title:	Phone #		Email:			
F	Require Data Security Training upon hire and annually thereafter for all employees who have access to health information? [Retain documentation of trainings for a period of 7 years.] [SFPDH data security training materials are available for use; contact OCPA at 1-855-729-6040.]							
G	Have proof that employees have signed a form upon hire and annually, or regularly, thereafter, with their name and the date, acknowledging that they have received data security training? [Retain documentation of acknowledgement of trainings for a period of 7 years.]							
H	Have (or will have if/when applicable) Business Associate Agreements with subcontractors who create, receive, maintain, transmit, or access SFPDH's health information?							
I	Have (or will have if/when applicable) a diagram of how SFPDH data flows between your organization and subcontractors or vendors (including named users, access methods, on-premise data hosts, processing systems, etc.)?							

II. ATTEST: Under penalty of perjury, I hereby attest that to the best of my knowledge the information herein is true and correct and that I have authority to sign on behalf of and bind Contractor listed above.

ATTESTED by Data Security Officer or designated person	Name: (print)		Signature		Date	
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III. *EXCEPTIONS: If you have answered "NO" to any question or believe a question is Not Applicable, please contact OCPA at **1-855-729-6040** or compliance.privacy@sfdph.org for a consultation. All "No" or "N/A" answers must be reviewed and approved by OCPA below.

EXCEPTION(S) APPROVED by OCPA	Name (print)		Signature		Date	
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Appendix G Travel and Expense Policy

General

Before traveling to City's facilities, Contractor must receive written authorization from City for the travel as provided in the Agreement. Contractor will complete a travel authorization form which, unless agreed otherwise, will include the on-site dates for the personnel and an estimate for all expenses (including expected airfare). At City's option, City may approve a blanket travel authorization rather than an individual travel authorization for each trip. A blanket travel authorization includes a range of trips, reducing the number of travel authorizations submitted to City for approval.

Air Travel

Airfare must be booked for economy/coach class only. Business or First Class is not reimbursable. Optional upgrades are not reimbursable. Contractor will choose the most cost effective flight that otherwise satisfies its booking criteria (e.g., no double connections, fits any reasonable time constraints). If a charter would be of equal cost to or less expensive than commercial airfare due to the number of traveling staff, Contractor may use a charter.

Contractor will use reasonable efforts, where possible, to purchase air tickets at minimum 2 weeks in advance to take advantage of the most economical fares available. You have informed Contractor that You intend to seek approval in writing by the Program Manager or his or her designee if a travel authorization referenced above includes estimated airfare in excess of \$500 round trip.

If airline charges for checked luggage, only the cost of the first checked bag is reimbursable. Additional baggage check-in costs will be reimbursed with justification explaining the business need for extra luggage.

Ground Transportation from Airport to Work Site or to Hotel

Public transportation, shuttle, taxi, or ridesharing (e.g., Uber or Lyft) is preferred as the primary mode of transportation. Public transportation between worksites is reimbursed based upon need.

City will reimburse Contractor for actual tolls, parking fees, a standard amount for mileage to and from the outbound airport, airport shuttle service, public transportation fees and taxi or similar (e.g., Uber, Lyft) fares. Personal car mileage is based on the IRS set rate; fuel is not reimbursed for personal car usage. Contractor will instruct its staff to generally use taxi or similar services or public transit, rather than rental cars. Where applicable, Contractor will normally rent cars from a national car rental chain to take advantage of its national discounted rates whenever feasible. Generally, Contractor rents cars that will comfortably accommodate 3 or 4 employees with luggage and laptop computers rather than renting vehicles for each employee. Contractor employees will make reasonable efforts to refuel rental cars prior to returning the cars.

Personal Vehicles:

The following information should be included in reimbursement request submitted by the traveler to Contractor, except with respect to use of a personal vehicle to travel from the traveler's home or office to airport:

1. Business purpose for use of vehicle
2. Starting point (e.g., worksite or home, whichever is the closer of the two) and the destination
3. Vehicle make, model, and license number
4. Odometer reading, beginning and ending, or a printout from an automated mapping program (e.g., Google Maps) showing the route and mileage

Rental Cars:

The travel reimbursement policy with regards to use of a rental car is as follows:

1. Cost of rental car used for work performed under the Agreement is reimbursable if it was pre-approved by the Program Manager or his or her designee as part of the travel authorization process described above. The pre-approval is required to be documented in writing, and must include:
 - a. the car rental amount and estimate of other related expenses such as parking and fuel, and
 - b. justification why other forms of transportation are not appropriate, why a rental car is necessary, and how a rental car is the most economical and efficient/practical
2. All passengers traveling in a rental vehicle must be performing work under the Agreement.
 - a. Car rental is limited to standard compact size vehicle. Midsize vehicle is reimbursable if use is for three people or more, justification provided, and pre-approved in writing by the Program Manager or his or her designee as part of the travel authorization process described above
 - b. Pre-paid fuel for re-filling the gas tank on the rental car is not reimbursable. Employees must submit to Contractor fuel receipt for actual usage
3. Carpooling and ridesharing is required. Members travelling in the car must be provided in writing on the face of the receipt when submitting expenses to Contractor. No less than three contractors per car is permitted.

Information regarding public transportation

The following resources are presented as a guide, please check the applicable website for the most up-to-date information. Contractor will book its own travel.

SF MUNI

1. Plan your trip: <https://www.sfmta.com/>
2. System Map: <https://www.sfmta.com/maps/muni-system-map>
3. Schedules: <http://511.org/transit/schedules-agency-info/agency/363/schedules>

BART

1. Plan your Trip: <https://www.bart.gov/>
2. System Map: <http://www.bart.gov/stations>
3. Schedules: <http://511.org/transit/schedules-agency-info/agency/354/schedules>

City has informed Contractor that parking is not available at most City worksites. Parking is reimbursable, however Contractor will instruct its staff that they should generally use other forms of transportation that do not require parking at City's facilities. To request reimbursement for garage parking, Contractor staff will provide Contractor with a receipt showing the parking fee paid, subject to the Documentation of Travel Expenses requirements set forth below.

Meals and Hotels

City will reimburse Contractor a flat fee per traveler per day for meals, hotels, and non-ground transport incidental expenses at the "per diem" CONUS rate as published by the General Services Administration for San Francisco (using zip code 94102).

<https://www.gsa.gov/travel-resources>

Conus Check-in

If, following the Effective Date either party has concerns about the CONUS rate referenced above (whether because it is perceived as too far above or below actual typical hotel and meal costs), such party will escalate its concerns and the parties will discuss whether this provision of the Agreement should be modified through a Revision to the Program Budget to address any shortfall with the CONUS rate or to authorize payment above the published CONUS rate.

Non-Reimbursable Expenses

1. Hotel movies
2. Internet access solely for personal purposes
3. Entertainment
4. Sightseeing
5. Tips above 20%
6. Optional airline upgrades
7. Alcoholic beverages
8. Child or pet care
9. Damages to contractor's personal vehicle
10. Lost or stolen funds or personal property
11. Parking/moving violation tickets or other penalties for infractions of any law, repair of automobile and towing charges
12. Travel insurance or rental car insurance offered by rental car companies
13. Insurance in connection with personal automobiles
14. Hotel health club memberships
15. Laundry service (unless contractor is on site for six consecutive days of work or more)

16. Personal services and personal supplies
17. Any expense which is not bona fide for federal income tax purposes
18. Cancelled travel tickets and change / cancellation costs (where the cancellation was reasonably avoidable)

Documentation of Travel Expenses

Contractor travelers generally are required to provide Contractor with receipts for their travel expenses. On the occasion a receipt is lost or misplaced, Contractor's accounting department will obtain documentation from the traveler for the applicable expenses. Contractor's accounting department will monitor these instances to help keep them to a minimum.

Sharing Expenses with Other Organizations

Occasionally, it may be possible to combine travel to City's site with travel to or from another Contractor customer site, and in such case, expenses can be shared with the other organizations. Contractor employees are responsible for seeking reimbursement for expenses payable by others. If a Contractor employee is taking a trip payable jointly by City and another entity, City will reimburse City's share of the actual expenses necessary for City's business in accordance with this Travel Policy. In no case may the reimbursement to the Contractor employee from all sources exceed the total expenses incurred by the employee.



San Francisco Ethics Commission

25 Van Ness Avenue, Suite 220, San Francisco, CA 94102

Phone: 415.252.3100 . Fax: 415.252.3112

ethics.commission@sfgov.org . www.sfethics.org

Received On:

File #: 220920

Bid/RFP #:

Notification of Contract Approval

SFEC Form 126(f)4

(S.F. Campaign and Governmental Conduct Code § 1.126(f)4)

A Public Document

Each City elective officer who approves a contract that has a total anticipated or actual value of \$100,000 or more must file this form with the Ethics Commission within five business days of approval by: (a) the City elective officer, (b) any board on which the City elective officer serves, or (c) the board of any state agency on which an appointee of the City elective officer serves. For more information, see: <https://sfethics.org/compliance/city-officers/contract-approval-city-officers>

1. FILING INFORMATION

TYPE OF FILING	DATE OF ORIGINAL FILING (for amendment only)
Original	
AMENDMENT DESCRIPTION – Explain reason for amendment	

2. CITY ELECTIVE OFFICE OR BOARD

OFFICE OR BOARD	NAME OF CITY ELECTIVE OFFICER
Board of Supervisors	Members

3. FILER'S CONTACT

NAME OF FILER'S CONTACT	TELEPHONE NUMBER
Angela Calvillo	415-554-5184
FULL DEPARTMENT NAME	EMAIL
office of the clerk of the Board	Board.of.Supervisors@sfgov.org

4. CONTRACTING DEPARTMENT CONTACT

NAME OF DEPARTMENTAL CONTACT	DEPARTMENT CONTACT TELEPHONE NUMBER
Kelly Hiramoto	415-255-3492
FULL DEPARTMENT NAME	DEPARTMENT CONTACT EMAIL
DPH Department of Public Health	kelly.hiramoto@sfdph.org

5. CONTRACTOR	
NAME OF CONTRACTOR Health Management Associates, Inc.	TELEPHONE NUMBER 517-482-9236
STREET ADDRESS (including City, State and Zip Code) 120 N. Washington Square, #705, Lansing, MI 48933	EMAIL rross@healthmanagement.com

6. CONTRACT		
DATE CONTRACT WAS APPROVED BY THE CITY ELECTIVE OFFICER(S)	ORIGINAL BID/RFP NUMBER	FILE NUMBER (If applicable) 220920
DESCRIPTION OF AMOUNT OF CONTRACT \$3,782,365		
NATURE OF THE CONTRACT (Please describe) Perform specialized consulting services in support of Laguna Honda Hospital's recertification effort.		

7. COMMENTS

8. CONTRACT APPROVAL	
This contract was approved by:	
<input type="checkbox"/>	THE CITY ELECTIVE OFFICER(S) IDENTIFIED ON THIS FORM
<input checked="" type="checkbox"/>	A BOARD ON WHICH THE CITY ELECTIVE OFFICER(S) SERVES Board of Supervisors
<input type="checkbox"/>	THE BOARD OF A STATE AGENCY ON WHICH AN APPOINTEE OF THE CITY ELECTIVE OFFICER(S) IDENTIFIED ON THIS FORM SITS

9. AFFILIATES AND SUBCONTRACTORS

List the names of (A) members of the contractor's board of directors; (B) the contractor's principal officers, including chief executive officer, chief financial officer, chief operating officer, or other persons with similar titles; (C) any individual or entity who has an ownership interest of 10 percent or more in the contractor; and (D) any subcontractor listed in the bid or contract.

#	LAST NAME/ENTITY/SUBCONTRACTOR	FIRST NAME	TYPE
1	Rosen	Jay	Board of Directors
2	Elwell	Doug	Board of Directors
3	Gould	Bruce	Board of Directors
4	Lambert	Julia	Board of Directors
5	Patrick	Grant	Board of Directors
6	Sheehan	Tim	Board of Directors
7	Blaszyk	Michael	Board of Directors
8	Leavitt	Michael	Board of Directors
9	Rosen	Jay	Other Principal Officer
10	Elwell	Doug	CEO
11	Gould	Bruce	CFO
12	Leavitt	Michael	Other Principal Officer
13	Johnson	Kelly	Other Principal Officer
14	Milligan	Chuck	COO
15	Higgins	Lisa	Other Principal Officer
16	Hofsess	Debbie	Other Principal Officer
17	Croshaw	Andrew	Other Principal Officer
18	Sterner	Josh	Other Principal Officer
19	HMA Holding Corporation		Shareholder

9. AFFILIATES AND SUBCONTRACTORS

List the names of (A) members of the contractor’s board of directors; (B) the contractor’s principal officers, including chief executive officer, chief financial officer, chief operating officer, or other persons with similar titles; (C) any individual or entity who has an ownership interest of 10 percent or more in the contractor; and (D) any subcontractor listed in the bid or contract.

#	LAST NAME/ENTITY/SUBCONTRACTOR	FIRST NAME	TYPE
20	Steven Hirsch & Associates		Subcontractor
21			
22			
23			
24			
25			
26			
27			
28			
29			
30			
31			
32			
33			
34			
35			
36			
37			
38			

9. AFFILIATES AND SUBCONTRACTORS

List the names of (A) members of the contractor’s board of directors; (B) the contractor’s principal officers, including chief executive officer, chief financial officer, chief operating officer, or other persons with similar titles; (C) any individual or entity who has an ownership interest of 10 percent or more in the contractor; and (D) any subcontractor listed in the bid or contract.

#	LAST NAME/ENTITY/SUBCONTRACTOR	FIRST NAME	TYPE
39			
40			
41			
42			
43			
44			
45			
46			
47			
48			
49			
50			

Check this box if you need to include additional names. Please submit a separate form with complete information. Select “Supplemental” for filing type.

10. VERIFICATION

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information I have provided here is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

<p>SIGNATURE OF CITY ELECTIVE OFFICER OR BOARD SECRETARY OR CLERK</p> <p>BOS Clerk of the Board</p>	<p>DATE SIGNED</p>
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City and County of San Francisco
London N. Breed, Mayor

San Francisco Department of Public Health

Grant Colfax, MD
Director of Health

August 12, 2022

Angela Calvillo, Clerk of the Board
Board of Supervisors
1 Dr. Carlton B. Goodlett Place, Room 244
San Francisco, CA 94102-4689

Dear Ms. Calvillo:

Please find attached a proposed resolution for Board of Supervisors approval of an emergency contract under administrative code 21.15 between the Department of Public Health and Health Management Associates, Inc., in the amount of \$3,782,365.

The following is a list of accompanying documents:

- Proposed resolution
- Original Agreement
- Form SFEC-126

For questions on this matter, please contact me at (415) 255-3492, kelly.hiramoto@sfdph.org.

Thank you for your time and consideration.

Sincerely,

DocuSigned by:

E4918F30E78146B...

Kelly Hiramoto
Acting Supervisor
Office of Contracts Management and Compliance
DPH Business Office

cc: Dr. Grant Colfax, Director of Health
Greg Wagner, Chief Operating Officer
Michelle Ruggels, Director, DPH Business Office

The mission of the San Francisco Department of Public Health is to protect and promote the health of all San Franciscans.

We shall ~ Assess and research the health of the community ~ Develop and enforce health policy ~ Prevent disease and injury ~
~ Educate the public and train health care providers ~ Provide quality, comprehensive, culturally-proficient health services ~ Ensure equal access to all ~

kellyhiramoto@SFDPH.org – office 415-255-3492 – fax 415 252-3088
1380 Howard Street, Room 419B, San Francisco, CA 94103
