

File No. 220202

Committee Item No. 7

Board Item No. 12

COMMITTEE/BOARD OF SUPERVISORS

AGENDA PACKET CONTENTS LIST

Committee: Budget and Finance Committee Date April 6, 2022

Board of Supervisors Meeting Date April 12, 2022

Cmte Board

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- Ordinance
- Legislative Digest
- Budget and Legislative Analyst Report
- Youth Commission Report
- Introduction Form
- Department/Agency Cover Letter and/or Report
- MOU
- Grant Information Form
- Grant Budget
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- Form 126 – Ethics Commission
- Award Letter
- Application
- Public Correspondence

OTHER (Use back side if additional space is needed)

- Application Narrative
- Budget Approval Form
- DHCS - Crisis Care Mobile Units Program - Funding Fact Sheet
- _____
- _____
- _____
- _____
- _____
- _____

Completed by: Brent Jalipa Date March 30, 2022

Completed by: Brent Jalipa Date April 7, 2022

1 [Accept and Expend Grant - Retroactive - Department of Health and Human Services,
2 Substance Abuse and Mental Health Services Administration - California Department of
3 Health Care Services - Crisis Care Mobile Units (CCMU) Program - \$1,977,500]

4 **Resolution retroactively authorizing the Department of Public Health to accept and**
5 **expend a grant in the amount of \$17,500 from the Department of Health and Human**
6 **Services, Substance Abuse and Mental Health Services Administration through the**
7 **California Department of Health Care Services, together with a grant in the amount of**
8 **\$1,960,000 from the California Department of Health Care Services for a total grant**
9 **amount of \$1,977,500, to participate in a program, entitled “Crisis Care Mobile Units**
10 **(CCMU) Program,” for the period of September 15, 2021, through June 30, 2025, and to**
11 **authorize Department of Public Health to enter into amendments or modifications to**
12 **the contract prior to its final execution by all parties that do not materially increase the**
13 **obligations or liabilities to the City, and are necessary to effectuate the purposes of the**
14 **contract.**

15
16 WHEREAS, Department of Health and Human Services, Substance Abuse and Mental
17 Health Services Administration (SAMHSA), through the California Department of Health Care
18 Services (DHCS) as a pass-through entity, has agreed to fund the Department of Public
19 Health (DPH) in the amount of \$17,500, and the DHCS has agreed to fund the DPH in the
20 amount of \$1,960,000 for a total grant amount of \$1,977,500, to participate in a program,
21 entitled “Crisis Care Mobile Units (CCMU) Program,” for the period of September 15, 2021,
22 through June 30, 2025; and

23 WHEREAS, The mission of the San Francisco Comprehensive Crisis Services (CCS)
24 is to provide compassionate, culturally appropriate, trauma-informed interventions that bring
25

1 safety and foster resiliency, strength and hope for individuals, families, and communities in
2 crisis; and

3 WHEREAS, CCS will significantly expand the quality, scope, and impact of our existing
4 CCMU program by, among other activities: a) adding staff to provide continuous quality
5 improvement to support mobile crisis calls; b) acquiring new vehicles to increase the time
6 spent in the field by mobile teams; c) upgrading existing phone systems to improve
7 communication quality and facilitate automated data collection; d) purchasing laptops and
8 tablets for telehealth and remote documentation in the field; and e) providing de-escalation
9 trainings to clinical staff; and

10 WHEREAS, The grant does not require an Annual Salary Ordinance Amendment; and

11 WHEREAS, A request for retroactive approval is being sought because DPH received
12 the notice of award on October 5, 2021, for a project start date of September 15, 2021; and

13 WHEREAS, The Department proposes to maximize use of available grant funds on
14 program expenditures by not including indirect costs in the grant budget; now, therefore, be it

15 RESOLVED, That the Board of Supervisors hereby waives inclusion of indirect costs in
16 the grant budget; and, be it

17 FURTHER RESOLVED, That DPH is hereby authorized to accept and expend a grant
18 in the amount of \$17,500 from the SAMHSA through DHCS, and \$1,960,000 from the DHCS
19 for a total grant amount of \$1,977,500; and, be it

20 FURTHER RESOLVED, That DPH is hereby authorized to retroactively accept and
21 expend the grant funds pursuant to Administrative Code, Section 10.170-1; and, be it

22 FURTHER RESOLVED, That the Director of Health is authorized to enter into the
23 Agreement on behalf of the City; and, be it

24 FURTHER RESOLVED, That the Board of Supervisors authorizes the
25 Department of Public Health to enter into any amendments or modifications to the

1 contract, that the Department determines, in consultation with the City Attorney, that are in the
2 best interest of the City, which do not otherwise materially increase the obligations or liabilities
3 of the City, are necessary or advisable to effectuate the purposes of the contract, and are in
4 compliance with all applicable laws; and, be it

5 FURTHER RESOLVED, That within thirty (30) days of the Grant Agreement being fully
6 executed by all parties, the Director of Health shall provide a copy to the Clerk of the Board of
7 Supervisors for inclusion in the official file.

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1 Recommended:

Approved: _____ /s/ _____

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Mayor

3 _____ /s/ _____

4 Dr. Grant Colfax

Approved: _____ /s/ _____

5 Director of Health

Controller

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File Number: 220202
(Provided by Clerk of Board of Supervisors)

Grant Resolution Information Form
(Effective July 2011)

Purpose: Accompanies proposed Board of Supervisors resolutions authorizing a Department to accept and expend grant funds.

The following describes the grant referred to in the accompanying resolution:

1. Grant Title: **Crisis Care Mobile Units (CCMU) Program**
2. Department: **Department of Public Health
Comprehensive Crisis Services**
3. Contact Person: **Matthew Goldman, MD** Telephone: **415-317-4142**
4. Grant Approval Status (check one):
 Approved by funding agency Not yet approved
5. Amount of Grant Funding Approved or Applied for: **\$1,977,500**
- 6a. Matching Funds Required: **\$0**
b. Source(s) of matching funds (if applicable): **N.A.**
- 7a. Grant Source Agency: **California Department of Health Care Services - \$1,960,000 & Substance Abuse and Mental Health Services Administration - \$17,500**
b. Grant Pass-Through Agency (if applicable): **California Department of Health Care Services \$17,500**
8. Proposed Grant Project Summary:
Through the Infrastructure Expansion Project, San Francisco (SF) Comprehensive Crisis Services will significantly expand the quality, scope, and impact of our existing crisis care mobile units program by, among other activities: a) adding staff to improve continuous quality improvement to support mobile crisis calls; b) acquiring new vehicles to increase the time spent in the field by mobile teams; c) upgrading existing phone systems to improve communication quality and facilitate automated data collection; d) purchasing laptops and tablets for telehealth and remote documentation in the field; and e) providing de-escalation trainings to clinical staff.
9. Grant Project Schedule, as allowed in approval documents, or as proposed:
Start-Date: **9/15/2021** End-Date: **6/30/2025**
- 10a. Amount budgeted for contractual services: **\$184,500**
b. Will contractual services be put out to bid? **No**
c. If so, will contract services help to further the goals of the Department's Local Business Enterprise (LBE) requirements?

d. Is this likely to be a one-time or ongoing request for contracting out? **One-time request**

11a. Does the budget include indirect costs? Yes No

b1. If yes, how much? \$

b2. How was the amount calculated?

c1. If no, why are indirect costs not included?

Not allowed by granting agency

To maximize use of grant funds on direct services

Other (please explain):

c2. If no indirect costs are included, what would have been the indirect costs? **25% of personnel costs**

12. Any other significant grant requirements or comments:

We respectfully request for approval to accept and expend these funds retroactive to September 15, 2021. The Department received the award on October 5, 2021. This grant does not require an ASO amendment.

Proposal ID: **CTR00002677**
Department: **251984**
Version ID: **V101**
Project Desc: **HM111-22 Crisis Care Mobile Units Program**
Project ID: **10038190**
Activity ID: **0001**

****Disability Access Checklist***(Department must forward a copy of all completed Grant Information Forms to the Mayor's Office of Disability)**

13. This Grant is intended for activities at (check all that apply):

- | | | |
|--|---|---|
| <input checked="" type="checkbox"/> Existing Site(s) | <input checked="" type="checkbox"/> Existing Structure(s) | <input checked="" type="checkbox"/> Existing Program(s) or Service(s) |
| <input type="checkbox"/> Rehabilitated Site(s) | <input type="checkbox"/> Rehabilitated Structure(s) | <input type="checkbox"/> New Program(s) or Service(s) |
| <input type="checkbox"/> New Site(s) | <input type="checkbox"/> New Structure(s) | |

14. The Departmental ADA Coordinator or the Mayor's Office on Disability have reviewed the proposal and concluded that the project as proposed will be in compliance with the Americans with Disabilities Act and all other Federal, State and local disability rights laws and regulations and will allow the full inclusion of persons with disabilities. These requirements include, but are not limited to:

1. Having staff trained in how to provide reasonable modifications in policies, practices and procedures;
2. Having auxiliary aids and services available in a timely manner in order to ensure communication access;
3. Ensuring that any service areas and related facilities open to the public are architecturally accessible and have been inspected and approved by the DPW Access Compliance Officer or the Mayor's Office on Disability Compliance Officers.

If such access would be technically infeasible, this is described in the comments section below:

Comments:

Departmental ADA Coordinator or Mayor's Office of Disability Reviewer:

Toni Rucker PhD
(Name)

DPH ADA Coordinator
(Title)

Date Reviewed: 1/26/2022 | 10:36 AM PST

DocuSigned by:
Toni Rucker
(Signature Required)

Department Head or Designee Approval of Grant Information Form:

Dr. Grant Colfax
(Name)

Director of Health
(Title)

Date Reviewed: 1/26/2022 | 12:53 PM PST

DocuSigned by:
Greg Wagner
(Signature Required)

Greg Wagner, COO for

SUBCONTRACT AGREEMENT

SUMMARY COVER SHEET

Contract ID	7460-CA MOBILE CRISIS-SANFRANCISCO-01
Contract Effective Date:	September 1, 2021
Contractor:	ADVOCATES FOR HUMAN POTENTIAL, INC. (AHP) 490-B Boston Post Road, Sudbury, MA 01776-3365 Tel: (978) 443-0055 ♦ Fax: (978) 261-1467 AHP Contracting Officer: Charles Galland, COO cgalland@ahpnet.com/978-261-1425 AHP Project Director: Monica Reeves 131 N. El Molino, Suite 380 Pasadena, CA 91101 Tel: 978-261-1483 (o)/ mreeves@ahpnet.com AHP Direct Staff Contact: Monica Reeves Tel: 978-261-1483 (o)/ mreeves@ahpnet.com
Subcontractor:	CITY AND COUNTY OF SAN FRANCISCO (“SANFRANCISCO”) ATTN: Hillary Kunins, Director 1380 Howard Street, San Francisco, CA 94103 Phone: 415-255-3440 Email address: hillary.kunins@sfdph.org
Prime Contract Identification:	Client: California Department of Health Care Services Agreement No.: 21-10349 Contract Title: “Behavioral Health Mobile Crisis and Non-crisis Services (Mobile Crisis)”
Subcontract Type:	Deliverable Base Type Contract
Period of Performance:	September 1, 2021 through June 30, 2025
Consideration/Budget:	Professional Services NTE \$1,977,500.00
Billing Terms:	Quarterly Invoicing, see Attachment E-Payment Schedule
Payment Terms:	Payment remitted ten (10) business days after receipt of undisputed invoice.

Field Code Changed

Subcontract Cover Sheet

(This Page is not part of the Subcontract Agreement and is for Summary/Reference Purposes Only)

SUBCONTRACT AGREEMENT
7460-CA MOBILE CRISIS-SANFRANCISCO-01

This Subcontract is entered into by and between **ADVOCATES FOR HUMAN POTENTIAL, INC.**, with offices located at **490-B Boston Post Road, Sudbury, MA 01776**, ("AHP" or the "Contractor"), and **CITY AND COUNTY OF SAN FRANCISCO ("SANFRANCISCO")** with offices at **1380 Howard Street, San Francisco, CA 94103** ("SANFRANCISCO" or "Subcontractor" or "Grantee").

WITNESSETH:

WHEREAS, AHP desires to obtain the Subcontractor's services to support "*Behavioral Health Mobile Crisis and Non-Crisis Services (Mobile Crisis)*" Project No.: 21-10349. **7460-CA MOBILE CRISIS-SANFRANCISCO-01**, hereinafter the "Contract," and the Subcontractor desires to assist AHP in its business by performing such services;

NOW, THEREFORE, based upon the foregoing premises, and in consideration of the mutual covenants and agreements herein set forth, the parties agree as follows:

This Subcontract, and its Attachments, ("Agreement") constitutes the entire agreement and understanding between the parties as to the matters set forth herein. It supersedes all prior understandings, written or oral, between the parties with respect to the subject matter hereof and has been induced by no representations, statements, or agreements other than those herein expressed. By accepting this Agreement, the Subcontractor agrees to be bound by all terms and conditions and provisions that may be incorporated by reference, and all other Attachments to this Agreement.

IN WITNESS THEREOF, the parties hereto have executed this Agreement by their duly authorized respective officers as of the day and year last written below.

**ADVOCATES FOR HUMAN
POTENTIAL, INC.**

By: _____

**CHARLES GALLAND, CHIEF
OPERATING OFFICER**

Date: _____

**CITY AND COUNTY OF SAN
FRANCISCO**

Print or Type Name of Subcontractor

*Signature of Authorized Entity
Representative*

Print or Type Name of Person Signing

Representative Title

Date: _____

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7460-CA MOBILE CRISIS-SANFRANCISCO-01

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SECTION 1. PRIVITY OF CONTRACT

This Agreement is funded in whole or in part with funds from AHP's client, State of CA Department of Health Care Services ("DHCS" or "Client") which includes funding through DHCS's "*Behavioral Health Mobile Crisis and Non-Crisis Services (Mobile Crisis)*". Neither the Client (nor the US Government), nor any of its departments, agencies, or employees is or will be a party to this Agreement or any lower-tier subcontract. No privity between the Client, (or the US Government), and Subcontractor is established by this Agreement.

Except as authorized by AHP, Subcontractor shall not communicate with the Client/US Government regarding any matter which is within the scope of AHP's responsibility under the Prime Contract, or regarding matters within the scope of this Agreement. Authorization by AHP shall not be unreasonably withheld. In addition, Subcontractor shall not communicate with the Client/US Government regarding any matter of dispute with AHP, which shall be resolved strictly through the Disputes provisions of this Subcontract.

SECTION 2. NATURE OF THE SUBCONTRACT

2.1 Type of Subcontract

This is a **Deliverable Base** type Agreement. Subcontractor's accounting system must be capable of allocating and segregating costs applicable to this Subcontract.

2.2 Funding

All amounts under this Agreement reference US dollars. No costs will be incurred except those specifically proposed by the Subcontractor to AHP, and Subcontractor shall perform the work within the funding allocations/budget, specified in **Attachment E**.

This Subcontract is entered into, and the obligation of funds is made, based upon the appropriation under the Prime Contract. Should this appropriation or any funds allocated to the Prime Contract be reduced subsequent to this Agreement, or should the scope of the work, or Statement of Work be redirected by the Client so as to affect the work envisioned to be subcontracted, AHP shall have the right to renegotiate this Agreement or to effect a termination (at its discretion) pursuant to the termination section of this Agreement.

2.3 This Agreement hereby incorporates by reference the Application by Subcontractor as well as Notice of Funding Opportunity.

Total funds currently available for payment and allotted to this Agreement are **one million nine hundred seventy-seven thousand five hundred dollars (\$1,977,500.00)**.

SECTION 3. SUBCONTRACTOR PERFORMANCE AND DELIVERY

3.1 Period of Performance

The Base performance period is **September 1, 2021 through June 30, 2025**, unless sooner terminated in accordance with the terms of this Agreement. Any extensions to the period of performance will be supported by a written modification to the Agreement, and any changes or additions to the Statement of Work/ deliverables/ days of performance shall be determined at that time.

Whenever Subcontractor knows, or reasonably should know, that any actual or potential

condition is delaying, or threatens to delay, the timely performance of work, it shall, within five (5) calendar days, provide AHP with written notice, including all relevant information with respect to the condition(s) and delay.

3.2 Time of the Essence

TIME IS OF THE ESSENCE in Subcontractor's performance of its obligations under this Agreement.

3.3 Delivery Schedule

Satisfactory performance of deliverables shall be deemed to occur upon delivery and acceptance by the Project Director of the items as described in the Statement of Work (SOW). All deliverables shall be submitted as directed by the Project Director. In no event shall Subcontractor submit a deliverable directly to the Client/US Government, unless specifically directed to do so by the Project Director or his/her designee.

Upon request, a copy of all written deliverables shall also be delivered to:

Mr. Charles Galland, Chief Operating Officer, General Counsel
Advocates for Human Potential, Inc.
490-B Boston Post Road, Sudbury, MA 01776
cgalland@ahpnet.com

3.4 Inspection and Acceptance

(a) Inspection and acceptance of work will be made by the AHP Project Director, or his/her duly authorized representative. The responsibilities of the AHP Project Director includes continuous monitoring of Subcontractor's performance and providing technical inspection and acceptance as required under the prime contract.

(b) Inspection and acceptance will be performed at Advocates for Human Potential, Inc., 490-B Boston Post Road, Sudbury, MA 01776, or at such other place(s) as AHP may designate in writing.

(c) Subcontractor shall tender for acceptance those items that conform to the requirements of this Agreement. AHP reserves the right to inspect or test any supplies or services tendered under this Agreement, to the extent practicable at all reasonable places and times. The Client also has the right to inspect and evaluate the work performed or being performed under this Agreement. Inspections and tests will be performed in a manner that will not unduly delay the work. AHP may require repair or replacement of non-conforming supplies or re-performance of nonconforming services at no increase in contract price. Upon submission, AHP shall have ten (10) business days to inspect Subcontractor's work. Should AHP and/or client find the material unsatisfactory, AHP shall notify Subcontractor of the defects within the 10 day period. Subcontractor shall have 10 business days to cure said defects associated with Subcontractor's work/product. If inspection or evaluation is to be performed on the premises of Subcontractor or its lower-tier Subcontractor(s), Subcontractor shall furnish (and require its subcontractors to furnish) all reasonable facilities and assistance for the safety and convenience of these duties.

SECTION 4. STATEMENT OF WORK

Independently, and not as an agent of the Contractor, the US Government, or the Client, Subcontractor shall furnish to AHP all the services, qualified personnel, material, equipment, and facilities, not otherwise provided by AHP or the Client, as needed to perform the Statement of Work in **Attachment D**.

(a) Subcontractor shall maintain an internal quality control program adequate to ensure that the requirements of this Agreement are met. The work shall be performed in accordance with high standards of professional skill, and upon delivery and acceptance of the deliverables, AHP shall pay the Subcontractor in accordance with the payment provisions of this Agreement.

SECTION 5. SUBCONTRACTOR TRAVEL

- (a) Travel is is not authorized under this Agreement.
- (b) If travel is authorized above, refer to Travel Reimbursement Information in Attachment B-Special Subcontract Requirements.

SECTION 6: CONTRACT ADMINISTRATION DATA

6.1 Contractor Representatives

(a) The following individual is designated as AHP's Contracting Officer, and is authorized to direct or negotiate any changes in the statement of work, modify or extend the period of performance, change the delivery schedule, authorize reimbursement to Subcontractor of any costs incurred during the performance of this contract, or otherwise change any terms and conditions of this Agreement:

Mr. Charles Galland, Chief Operating Officer, General Counsel
Advocates for Human Potential, Inc.
490-B Boston Post Road, Sudbury, MA 01776
cgalland@ahpnet.com / (978) 443-0055 x425

(b) The following individual(s) is/are designated for purposes of administering the contractual progress of the Agreement, and for purposes of providing technical direction and guidance:

Monica Reeves, Project Director
Advocates for Human Potential, Inc.
131 N. El Molino, Suite 380
Pasadena, CA 91101
978-261-1483
mreeves@ahpnet.com

6.2 Subcontractor Representatives

(a) The following individual is designated as Subcontractor's Contracting Officer and is authorized to conduct business, negotiate modifications and changes to any terms and conditions of this Agreement:

(b) The following individual is designated as Subcontractor's Project Manager for purposes of administering this Agreement:

6.3 Compensation, Billing Instructions, and Payment

(a) This is a Deliverable Based type Agreement. Subcontractor shall be reimbursed in accordance with **Attachment E**. In addition, all Subcontractor costs are subject to allowability and reasonableness and any restrictions contained in the Prime Contract, and/or under the Federal Acquisition Regulation ("FAR") if specified.

(b) Invoices may be submitted quarterly, as per payment schedule and shall provide sufficient detail, including at least the following information on each invoice:

- i. Subcontractor's name
- ii. Subcontractor's TIN/EIN
- iii. Subcontract Agreement ID: **7460-CA MOBILE CRISIS-SANFRANCISCO-01**
- iv. Invoice No.
- v. Invoice date
- vi. **AHP's Project & Billing Number(s) applicable to the tasks/deliverables invoiced, as per the Statement of Work attached**
- vii. Amount Due on the Invoice.
- viii. Other substantiating documentation or information as may be requested by AHP
- ix. An original signature of an authorized official of Subcontractor, with the following certification: "I hereby certify that all payments requested are for appropriate purposes and in accordance with the terms and conditions set forth in the Agreement between the parties."
- x. Name/title/telephone number of the person to contact in case of questions about the invoice
- xi. Name, title, phone number, and mailing address of official to whom payment is to be sent.

(c) The cost of overnight or courier delivery of invoices is not allowed.

(d) Invoices shall be sent electronically to: AP2@AHPNET.COM. Upon receipt of an Invoice, proper in form, and accepted and approved by AHP (**approval of the Invoice shall mean that AHP's Project Director has reviewed, accepted, and signed the Invoice**), payment shall be remitted via First Class Mail within 10 business days after receipt of undisputed invoice. When requested, AHP will inform Subcontractor whether or not a specific Subcontractor invoice has been paid, or when AHP reasonably expects the Client to pay the Subcontractor invoice. All payment questions shall be addressed to AHP Accounts Payable at (978) 443-0055.

(e) Subcontractor's right to payment shall be contingent upon the Project Director's review of the deliverables, together with any attachments, and that the review shall demonstrate the achievement of satisfactory performance against the Statement of Work in **Attachment D**. Should Subcontractor's lack of satisfactory performance endanger AHP's successful prosecution of its Prime contract responsibilities, a cure notice shall be issued to Subcontractor. Subcontractor shall respond in three days with a plan to cure such notice. Should the cure not be feasible, or if the cure fails within the agreed upon time frame, AHP may terminate the Agreement immediately upon written notice.

(f) Supporting Documentation: Subcontractor shall provide supporting documentation for invoices as may be requested by AHP, or as may be necessary for compliance with AHP's billing to the Client.

(g) In satisfaction of the Subcontractor's obligation to complete the task(s) called for in **Attachment D, "Statement of Work"**, the Subcontractor shall provide within the period of performance of this Agreement, the deliverable(s) specified. If at the end of the period of performance, the Subcontractor has not completed the deliverable(s), the fee may be reduced. In the event that the term of this Agreement expires before the Subcontractor has provided the deliverable(s), AHP shall have the right to extend the term of the Agreement to the extent necessary to permit the Subcontractor to provide the deliverable(s) specified.

6.4 Final Payment and Closeout

Subcontractor must invoice for all final costs within ninety (90) days following completion of this Agreement, and will provide all documentation necessary for a timely closeout of this Agreement including the submission of a "Final Invoice," a "Release of Claims," "Assignment of Refunds," and/or other closeout documents as may be required or reasonably requested by AHP. Payment of the invoice may be withheld, pending completion and acceptance by AHP of all work performed, submission of all required documentation and/or substantiation of all work performed or delivered, as per 6.3(g), and submission of all required administrative forms and technical reports. These rights and obligations shall survive the termination of this Subcontract.

6.5 Key Personnel

Subcontractor shall provide the skilled personnel and management necessary to meet the requirements of the Statement of Work. AHP's Project Director shall have right to disapprove all all personnel proposed by Subcontractor to perform under this Agreement. Other than personnel set forth below , prior to staffing any future Key positions, Subcontractor, if so directed by the Project Director, shall submit the names below, and provide any other requested data for the proposed Key personnel to the Project Director. Should Project Director deem any individuals who have been submitted as unacceptable, Subcontractor shall immediately remove any personnel deemed unacceptable from the assignment and replace him/her with an individual of acceptable qualifications, subject to the same submission requirement and right of disapproval above. Subcontractor shall bear all costs associated with such removal and replacement.

Key personnel essential to the work being performed is/are: Not applicable for this contract

No removals, replacements, or diversions of key personnel shall be made without the written consent of AHP's Project Director.

SECTION 7: CHANGES AND MODIFICATIONS

(a) AHP may at any time make unilateral changes, within the general scope of this Agreement, in the definition, time of performance, or quantity of services to be performed.

(b) If any change causes an increase or decrease in the budgeted cost for performance of any part of the work under this Agreement, Subcontractor shall propose a new budget. Upon agreement of a revised price, a modification will be issued. Subcontractor must assert any claim for adjustment under this clause within thirty (30) days from the date of receipt.

(c) Failure to agree to any adjustment on a timely request that is submitted within the thirty (30) day period allowed shall be deemed a dispute concerning a question of fact

within the meaning of the Clause of this Agreement entitled "Disputes." Notwithstanding any failure to agree to any such adjustment, Subcontractor shall diligently proceed with the work as changed.

(d) AHP and/or DHCS may collect additional applicant documentation, signatures, missing items, or omitted information during the response review process. AHP and/or DHCS will advise the applicant orally, by fax, email or in writing of any documentation that is required and the submission timeline. Failure to submit the required documentation by the date and time indicated may cause DHCS to deem a response nonresponsive and eliminate it from further consideration.

SECTION 8: CONFIDENTIAL INFORMATION

(a) *Non-Disclosure of Confidential (Proprietary) Information:* During the term of this Agreement, Subcontractor and its employees, consultants and/or lower tiered subcontractors, may receive or have access to data and information that is proprietary to AHP, DHCS, including the identity of AHP and/or DHCS clients or grantees. All such data and information made available to, disclosed to, or otherwise made known to Subcontractor, its employees, consultants and/or lower tiered subcontractors as a result of services under this Agreement shall be considered and kept confidential by the Subcontractor, and may be used only for purposes of performing the obligations hereunder. Subcontractor, its employees, consultants and/or lower tiered subcontractors shall not reveal, publish or otherwise disclose such information to any third party without the prior written consent of AHP. Subcontractor shall take all reasonable precautions to prevent any other person with whom it is or may become associated from acquiring confidential proprietary information at any time. Disclosure of the information is for purposes of completing performance under this Agreement, and shall in no way be construed to grant any rights to otherwise use this information, nor shall Subcontractor take action to obtain licenses, patents, trademarks, copyrights, or other rights to said information. Upon the expiration or earlier termination of this Agreement, or at any time that AHP so instructs, Subcontractor agrees to deliver to AHP all proprietary information supplied and delivered, (including all copies, materials, print and electronic, collected and created by Subcontractor in performance of services for AHP), and Subcontractor shall make no further use or utilization of the information. The foregoing obligations shall not apply to information which: (a) is or becomes generally available to the public other than as a result of a disclosure by Subcontractor; (b) becomes available to Subcontractor on a non-confidential basis from a third party source which is not prohibited from disclosing such information by a legal, contractual or fiduciary agreement to a third party; (c) Subcontractor develops independently without use of AHP's Confidential Information, as demonstrated by written records and evidence; or (d) is required by law to be disclosed, provided Subcontractor notifies AHP promptly and gives AHP an opportunity to seek an appropriate protective order. These obligations of confidentiality and non-disclosure shall be flowed down to consultants and/or lower tiered subcontractors, and shall survive the termination of this Agreement.

(b) *Non-Disclosure of Confidential Research and Statistical Data:* Subcontractor, and its employees, consultants and/or lower tiered subcontractors, shall be subject to all applicable Federal/state requirements concerning the protection of confidentiality of research and statistical information identifiable to a private person, and will comply with all established procedures to safeguard privacy and confidentiality.

(c) *Personally Identifiable Information.* Subcontractor shall, and shall ensure that each subcontractor, if applicable, shall, maintain reasonable security of all personally

identifiable information (including but not limited to personal health information), and comply with all applicable legal requirements relating to such information, including requirements relating to safeguarding, storing, transmitting, sharing, and destroying such information, and breach notification requirements as required in Business Associate Addendum in Attachment B-Special Subcontract Requirements.

Subcontractor shall not, and shall ensure that each subcontractor shall not, share personally identifiable information (including but not limited to personal health information) (excluding the personally identifiable information of Subcontractors or its subcontractors' directors, officers, employees, agents, affiliates, and designees, in connection with Subcontractor's performance under this Agreement).

SECTION 9: INTELLECTUAL PROPERTY

(a) As between AHP and Subcontractor, AHP's ideas and requirements whether written formally or provided verbally to the Subcontractor are owned by AHP or DHCS.

(b) All writings or works of authorship, ideas, discoveries, inventions, patents, products, or other information, including without limitation, specifications, program codes, source code, framework, JAR files, ZIP files, Library's files, scripts, and all related documentation, data or technical information produced or authored by the Subcontractor or any of its employees in **the course of performing the work hereunder**, together with any copyright, trademarks (including goodwill), and any other rights in intellectual property and rights in the physical embodiment in the same ("Works"), are **works made for hire** and the property of DHCS. To the extent that any Works may not, by operation of law, be works made for hire, this Agreement will constitute an irrevocable assignment by the Subcontractor to DHCS of the ownership of, and all rights of copyright, trademarks (including goodwill), and any other rights in intellectual property and rights in the physical embodiment of the Works, and DHCS will have the right to obtain and hold in its name all registrations which may be available in the Works. Subcontractor agrees to give DHCS or its designees all assistance reasonably required to perfect such rights. The Subcontractor will turn over all Works to DHCS or its designee when the Subcontractor ceases to perform services for AHP or upon AHP's earlier request.

(c) In performing services under this Agreement, Subcontractor will not design or develop any items that infringe one or more patents or other intellectual property rights of any third party. If Subcontractor becomes aware of any possible infringement in the course of performing the Work, Subcontractor shall immediately so notify AHP in writing.

(d) This Section is subject to any contrary or additional provisions contained in the **SPECIAL SUBCONTRACT TERMS AND CONDITIONS**, or under FAR clause 52.227-14, Rights in Data, together with any Alternates, if specified.

(e) This Section shall survive the expiration or termination of this Agreement.

SECTION 10: TERMINATION FOR CAUSE

(a) AHP, or at the direction of the Prime Contractor, may terminate if Subcontractor fails to comply with any terms, conditions, requirements, failure of achievement in any or all deliverables, satisfactory performance, or provisions of the Agreement. AHP shall notify Subcontractor in writing of its failure to comply. Should Subcontractor not remedy such failure within ten (10) business days (Remedy Period), the agreement may be terminated. Upon notification or any time during the Remedy Period, Subcontractor may

request additional time in order to cure the default and so long as Subcontractor is working in Good Faith and Prime Contractor approves, the cure period may be extended to at least thirty (30) business days.

(b) In the event that this Agreement is terminated for cause pursuant to Paragraph (a) above, then the Prime Contractor nor AHP shall not be liable for any work that is not performed in accordance with the Subcontract. The Prime Contractor through AHP will pay the Subcontractor for work that has been performed in accordance with this Subcontract and the Subcontractor shall transfer to the Prime Contractor or AHP all work that has been completed and paid for under this Agreement.

(c) This Agreement may be terminated immediately upon notification by either party following a material breach of this Agreement.

SECTION 11: POLICIES AND CODES

- 11.1 Subcontractor shall comply with all California and federal law, regulations, and published guidelines, to the extent that these authorities contain requirements applicable to Subcontractor's performance under this Agreement. These authorities include, but are not limited to, Title 42, United States Code (USC) Chapter 6A Part B and Title 45, Code of Federal Regulations (CFR) Parts 75 and 96.
- 11.2 AHP may perform inspections, review procedures, documents pertaining to the Statement of Work and other elements of this Agreement, perform onsite visits, desk reviews in order to ensure Contractor's comply with 11.1 and 11.2 as well as protect against fraud, waste and abuse.
- 11.3 In the event Contractor does not comply with 11.1 and 11.2 above, AHP shall hold Subcontractor in non-compliance under Section 9.
- 11.4 DHCS or AHP shall review Subcontractor's records to ensure funds were properly used.

SECTION 12: DATA COLLECTION AND PERFORMANCE

12.1 a. Planning Grants

Subcontractor must submit substantiating documentation of their efforts throughout the contract period, which may include implementation/action plan drafts and community needs assessments.

b. Implementation Grants

Subcontractors for Implementation Grants must include data on the performance measures identified in their contracts. Potential performance measures include:

- The number of individuals served/impacted by each CCMU
 - Percentage treated and released by CCMU
 - Percentage referred to services in the community
 - Percentage admitted to psychiatric hospital
 - Percentage involuntarily admitted to hospital
 - Percentage taken to the Emergency Department
- Average and median response time of each CCMU
- Primary diagnoses of clients served
- Primary reason for CCMU dispatch
 - e.g. Risk of self-harm, risk of violence to others, other erratic behavior
- Percentage with co-occurring mental health and substance use disorder diagnoses
- Health insurance statuses of clients served

- Number of CCMU dispatches
 - Percent of all crisis calls (911 or other) resulting in CCMU dispatch
- Number of initial mental health or substance use calls routed through police to CCMU
- Number of crisis calls when CCMU engages/requests police response
- Demographic data of clients served:
 - Number of clients served who are aged 5 and under/5-9/10-14/15-19/20- 25/26-34/35-44/45-54/55-64/65-74/75-84/85 and over/unknown
 - Number of clients served who are male/female/transgender/non-binary or gender queer/unknown
 - Number of clients served who are American Indian or Alaska Native/Asian American/ Black or African American/Native Hawaiian or Pacific Islander/More than one race/White/unknown
 - Number of clients served who are Latinx or Chicax or Hispanic/Not Latinx or Chicax or Hispanic/unknown
 - Number of clients served who speak a language other than English at home
- Percentage of individuals who receive crisis follow-up care within 48 hours
- Percentage of families engaged collaboratively in the crisis intervention process
- Percentage of crisis encounters resolved successfully within two hours
- Satisfaction with services (how likely are they to recommend)

12.2 Monitoring and Site Inspection

- a. The Subcontractor shall be subject by AHP for compliance with the provisions of this Agreement. Such monitoring activities shall include, but are not limited to, inspection of the Subcontractor's services, procedures, books, and records, as AHP deems appropriate. AHP may conduct monitoring activities at any time during the Subcontractor's normal business hours.
- b. AHP shall conduct a review of the Subcontractor's records to determine if any of the claimed expenditures were an improper use of grant funds.
- c. The refusal of Subcontractor to permit access to physical facilities and/or inspection of any documents, files, books, or records necessary for AHP to complete its monitoring and inspection activities constitutes an express and immediate material breach of this contract and will be a sufficient basis to terminate the contract for cause.

SECTION 13: ORGANIZATIONAL CONFLICT OF INTEREST

Subcontractor warrants to the best of its knowledge and belief at this time, there are no relevant facts or circumstances which could give rise to an organizational conflict of interest, ("OCI") as defined in FAR Subpart 9.5, or that Subcontractor has disclosed all such relevant information, and will disclose any actual or potential OCI that is discovered, including a description of activities that Subcontractor has taken or proposes to take, after consultation with the AHP Contracting Officer, to avoid the conflict. During the term of this Agreement, Subcontractor shall not enter into other contracts or arrangements or otherwise engage in work that will conflict with the parties' relationship of trust and cooperation or that may otherwise conflict with the Subcontractor's obligations.

SECTION 14: INSURANCE

(a) Subcontractor shall continuously maintain for the duration of this Agreement, the following insurance at, or in excess of, the limits detailed below:

- Worker's compensation and employer's liability insurance as required by the state or province where the work is performed.
- Comprehensive automobile and vehicle liability insurance covering claims for injuries to members of the public and/or damages to property of others arising from use of motor vehicles, including on-site and off-site operations, and owned, non-owned, or hired vehicles, with \$1,000,000 combined single limits.
- Subcontractor must furnish to AHP a certificate of Insurance stating that commercial general liability insurance of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined is presently in effect for the Subcontractor. The commercial general liability insurance policy shall include cover for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal and advertising injury, and liability assumed under an insured agreement. The commercial general liability insurance shall apply to each insured against whom claim is made or suit is brought subject to the Subcontractor's limit of liability.
- Insurance appropriate and sufficient in type and amount to cover any software and data to be developed under this Agreement, and property insurance sufficient to cover the cost of any AHP, Client or other property under the Agreement that may be in the control of the Subcontractor.

(b) All policies, except Workers' Compensation and Employer's Liability, shall be endorsed to name AHP as an Additional Insured with respect to the work to be performed by Subcontractor. All such insurance must be primary and non-contributory and required to respond and pay prior to any other insurance or self-insurance available.

(c) Subcontractor shall immediately deposit with AHP upon request a Certificate of Insurance attesting to the above coverage and naming AHP as an additional insured party under such policies. The Subcontractor agrees that the insurance required herein will remain in effect at all times during the term of the Agreement. In the event said insurance coverage expires at any time or times during the term of this Agreement, the Subcontractor agrees to provide, at least 30 calendar days before said expiration date, a new certificate of insurance evidencing insurance coverage as provided herein for not less than the remainder of the term of the Agreement or for a period of not less than one year. AHP may, in addition to any other remedies it may have, terminate this Agreement on the occurrence of such event.

(d) Insurance Indemnification. Subcontractor shall indemnify AHP for any costs and expenses incurred, including reasonable attorneys' fees, judgments, settlements or penalties, as a result of any claim or liability resulting from the failure of Subcontractor (or its lower tier subcontractors or consultants) to maintain the insurance policies required by this section.

(e) AHP will not be responsible for any premiums, deductibles or assessments on the insurance policy.

SECTION 15: INDEMNIFICATION

(a) Subcontractor shall indemnify and hold harmless AHP and DHCS and its officers, employees and agents for any costs and expenses incurred, including reasonable attorneys' fees, judgments, settlements or penalties, against all liabilities, claims, suits, demands or liens for damages to persons or property, ("Claims"), (unless such Claims arise from the gross negligence or willful misconduct of AHP), arising out of, resulting

from, or relating to, the following:

- Any act, omission, or statement of the Subcontractor, or any person employed by or engaged under contract with the Subcontractor that results in injury (including death), loss, or damage to any person or property;
- Any failure on the part of the Subcontractor to comply with applicable government requirements and requirements of law;
- the failure to maintain the insurance policies required by this section or the work performed, inclusive of Intellectual property infringement, if applicable, under this Subcontract. Insurance coverage that may be required shall in no way lessen or limit the liability of Subcontractor under the terms of this obligation.
- Any failure on the part of the Subcontractor to satisfy all claims for labor, equipment, materials and other obligations relating to the performance of the work hereunder;
- Any actual or alleged direct or contributory infringement of, or inducement to infringe, any United States or foreign patent, trademark or copyright, arising out of the performance of this Agreement, provided the Subcontractor is reasonably notified of such claims and proceedings; and
- Any actual or alleged unauthorized use or disclosure of any trade secret, confidential information or other proprietary interest, Work product, or other information owned by the Government, Client or AHP under the terms of this Agreement.

(b) Subcontractor shall indemnify under this clause for any of the above acts attributable to its employees, consultants, agents, and/or lower-tiered subcontractors engaged in performance of the work under this Agreement.

(c) This indemnification shall survive the expiration or termination of the Agreement.

SECTION 16: DISPUTES/APPLICABLE LAWS

16.1 Disputes

Any dispute arising out of, or relating to, this Agreement that is not resolved by the good faith efforts of the parties, shall be settled by submission to a panel consisting of one arbitrator under the Commercial Rules of the American Arbitration Association ("AAA"). The parties shall bear equally the costs assessed by the AAA, and judgment upon the award rendered by the arbitrator may be entered in any court having jurisdiction. Venue for the arbitration shall be Massachusetts at the election of AHP. The decision of the arbitrator shall be final, conclusive, and unappealable, except in the event of fraud or the arbitrator's failure to disclose a material conflict of interest. The prevailing party, in addition to any damages awarded by the arbitrator, shall be entitled to costs and reasonable attorneys' fees, the amount of which shall be determined by the arbitrator, in the event the parties are unable to agree.

16.2 Applicable Laws

Subcontractor agrees to comply with the applicable provisions of Federal, State and local laws or ordinances, and all orders, rules, and regulations issued thereunder, and in such a manner that the name of the other party will not be discredited. Where a FAR provision or clause, or any other Federal statute, regulation, or clause is incorporated in or applicable to this Agreement or work being performed under it, Federal law shall govern the interpretation and application thereof. If Federal law is not applicable, the appropriate law of the Commonwealth of Massachusetts shall apply, exclusive of that

body of laws known as conflicts of law. This Section shall survive the expiration or termination of the Agreement.

SECTION 17: CERTIFICATIONS

By signature to this Agreement, Subcontractor makes the following Representations and Certifications:

- (a) Debarment and Suspension: Neither Subcontractor nor any of its principals is presently debarred, suspended, proposed for debarment, declared ineligible nor voluntarily excluded by any Federal department or agency from participating in transactions. Any change in the debarred or suspended status of the Subcontractor during the life of this Subcontract will be reported immediately to AHP. Subcontractor shall incorporate this Debarment and Suspension certification into any subcontract that they may enter into as a part of this Subcontract.
- (b) Prohibition To Perform Duties: Subcontractor is not prohibited, precluded, or restricted from performing the duties required under the Statement of Work, due to previous employment obligations, restrictions, commitments, or agreements Subcontractor has with any other federal, state and local government agency.
- (c) Federal Civil Rights Act/Equal Opportunity: Subcontractor will conform to the provisions of Title VI of the Federal Civil Rights Act of 1964, section 2000d as amended and will not discriminate against any employee or applicant for employment because of age, race, religion, creed, color, sex, or national origin.
- (d) Labor Laws - Subcontractor certifies that it is in compliance with all applicable labor laws, including but not limited to the Walsh-Healy Act and the Contract Work Hours and Safety Standards Act (41 U.S.C. 51-58) regarding overtime compensation.
- (e) Americans with Disabilities Act – Subcontractor agrees to ensure that deliverables developed and produced, pursuant to this Agreement shall comply with the accessibility requirements of Sections 7405 and 11135 of the California Government Code, Section 508 of the Rehabilitation Act and Americans with Disabilities Act of 1973 as amended (29 U.S.C 794(d), regulations implementing the Rehabilitation Act of 1973 as set forth in in Part 1194 of Title 36 of the Federal Code of Regulations, and the Americans with Disabilities Act of 1990(42 U.S.C. 12101 et seq. and 28 CFR Part 35). In 1998, Congress amended the **Rehabilitation Act of 1973** to require Federal agencies to make their electronic and information technology (EIT) accessible to people with disabilities. California Government Code Sections 7405 and 11135 codifies section 508 of the Rehabilitation ACT of 1973 requiring accessibility of EIT.
- (f) Employee Compliance - Subcontractor will require all employees, entities and individuals providing services in connection with the performance of this Subcontract to comply with the provisions of this Agreement and with all Federal, State, and local laws and regulations in connection with this work.
- (g) Code of Ethics: Subcontractor has a Code of Ethics addressing at least the following areas: accurate accounting records and reporting; gifts and entertainment to Government customers; hiring of former government employees; protection of Government proprietary and source selection information; extending and receiving business courtesies; and personal and organization conflicts of interest.

(h) Age Discrimination Act of 1975 (45 CFR Part 90)

(i) Section 1557 of the Affordable Care Act.

(j) Trafficking Victims Protection Act of 2000 (22 USC 7104(G), as amended and 2 CFR Part 175

(k) Clean Air Act (42 USC 7401-7671q) and the Federal Water Pollution Control ACT (33 USC 1251-1387), as amended.

(l) Byrd Anti-Lobbying Amendment (31 USC 1352). The Subcontractor shall certify to DHCS that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an office or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 USC 1352. The Subcontractor shall also disclose to DHCS any lobbying with non-Federal funds that takes place in connection with obtaining any Federal Award.

(m) Confidentiality of Alcohol and Drug Abuse Patient Records: (42 CFR Part 2, Subparts A-E). The Subcontractor shall comply with the regulation set forth in 42 CFR part 2, including the responsibility for assuring the security and confidentiality of all electronically transmitted patient material.

(n) Certification and Attestation: As a requirement to be eligible for the PWI grant funding, the Subcontractor, attested to its eligibility to receive funding, Attestation Letter attached hereto as Attachment F. Any misrepresentation contained within the Attestation Letter shall be considered a material breach.

(o) Standard Funding Restrictions: Exceed Salary Limitation: The Consolidated Appropriations Act, 2016 (Pub. L. 113- 76) signed into law on January 10, 2016, limits the salary amount that may be awarded and charged to SAMHSA grants and cooperative agreements. Award funds may not be used to pay the salary of an individual at a rate in excess of Executive Level II. The Executive Level II salary can be found in SAMHSA's standard terms and conditions for all awards at <https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>. This amount reflects an individual's base salary exclusive of fringe and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to sub awards/subcontracts under a SAMHSA grant or cooperative agreement. The Federal Executive Level II Salary Cap is currently \$199,300.

- Pay for any lease beyond the project period.
- Pay for the purchase or construction of any building or structure to house any part of the program.
- Make direct payments to individuals to enter treatment or continue to participate in prevention or treatment services.
- No out-of-state travel is permitted with these funds.

*SAMHSA funds were granted to the State and all funding restrictions are applicable to this funding opportunity and all sub-contracts.

SECTION 18: RECORDS AND RECORD KEEPING

- a. The Subcontractor shall retain all financial records, supporting documents, statistical records, and all other records pertinent to the grant in accordance

with 45 CFR section 75.361.

- b. AHP, SAMHSA, the Inspector General, the Controller General and DHCS, or any of its authorized representatives, have the right to access any documents, papers, or other records of the Subcontractor which are pertinent to the grant, for the purpose of performing audits, examinations, excerpts, and transcripts. The right to access records also includes timely and reasonable access to the Subcontractor's personnel for the purpose of interview and discussion related to the requested documents.
- c. The right to access records is not limited to the required retention period but lasts as long as the records are retained by the Subcontractor.

SECTION 19: EXPENSE ALLOWABILITY/FISCAL DOCUMENTATION

- a. Invoices, received from a Subcontractor and accepted and/or submitted for payment by AHP, shall not be deemed evidence of allowable agreement costs.
- b. The Subcontractor shall maintain for review and audit and supply to AHP upon request, adequate documentation of all expenses claimed pursuant to this Agreement to permit a determination of expense allowability.
- c. If the allowability or appropriateness of an expense cannot be determined by AHP because invoice detail, fiscal records, or backup documentation is nonexistent or inadequate according to generally accepted accounting principles or practices, all questionable costs may be disallowed and payment may be withheld by AHP. Upon receipt of adequate documentation supporting a disallowed or questionable expense, reimbursement may resume for the amount substantiated and deemed allowable.
- d. If Travel is a reimbursable expense, receipts must be maintained to support the claimed expenditures. For more information on allowable travel and per diem expenses and required documentation, see Attachment B, "Travel Reimbursement Information".
- e. Costs and/or expenses deemed unallowable are subject to recovery by AHP. See Section 20 Recovery of Overpayments" for more information.
- f. Country organizations may utilize their existing DHCS certified indirect cost rates for per Behavioral Health Information Notice 20-020.

SECTION 20: RECOVERY OF OVERPAYMENTS

- a. Subcontractor agrees that claims based upon a contractual agreement or an audit finding and/or an audit finding that is appealed and upheld, will be recovered by AHP by one of the following options:
 - 1. Subcontractor's remittance to AHP of the full amount of the audit exception within 30 days following AHP request for payment;
 - 2. A repayment schedule which is agreeable to both AHP and the Subcontractor.
- b. AHP reserves the right to select which option will be employed and the Subcontractor will be notified by AHP in writing of the claim procedure to be utilized.
- c. Interest on the unpaid balance of the audit finding or debt will accrue at a rate equal to the monthly average of the rate received on investments in the Pooled

Money Investment Fund commencing on the date that an audit or examination finding is mailed to the Subcontractor, beginning 30 days after the Subcontractor's receipt of AHP's demand for repayment.

- d. If the Subcontractor has filed a valid appeal regarding the report of audit findings, recovery of the overpayments will be deferred until a final administrative decision on the appeal has been reached. If the Subcontractor loses the final administrative appeal, the Subcontractor shall repay, to AHP, the over-claimed or disallowed expenses, plus accrued interest. Interest accrues from the Subcontractor's first receipt of AHP's notice requesting reimbursement of questioned audit costs or disallowed expenses.

SECTION 21: BEST EFFORTS

21.1 Best Efforts During the term of this Agreement, Subcontractor shall use Best Efforts in order to satisfy all the requirements of the work to be performed under Section 4 and Attachment A of this Agreement.

THIS AGREEMENT CONSISTS OF **SEVENTEEN (17)** TYPEWRITTEN PAGES, TOGETHER WITH THE ATTACHMENTS IDENTIFIED BELOW, WHICH ARE HEREBY INCORPORATED INTO THIS AGREEMENT.

LIST OF ATTACHMENTS

<u>TITLE</u>	<u>No. of PAGES</u>
Attachment A – Standard Subcontract Terms and Conditions	1
Attachment B – Special Subcontractor Requirements	36
Attachment C – Subcontractor's Certification	5
Attachment D - Subcontractor's Statement of Work	2
Attachment E – Payment Schedule	1

ATTACHMENT A-STANDARD SUBCONTRACT TERMS AND CONDITIONS

Headings: Headings are for convenience of reference only and shall in no way affect interpretation of this Agreement.

Independent Contractor: Subcontractor is engaged as an independent contractor, and this Agreement shall not be construed as creating any other relationship. Subcontractor shall comply with all laws, and assume all risks incident to its status as independent contractor, and necessary to comply with specific requirements of this Agreement, including, but not limited to, payment of all applicable federal/state income taxes, associated payroll/business taxes, and licenses and fees.

No Agency: Subcontractor, its employees, agents or assigns, shall not represent, act or purport to act, or be deemed to be an agent, representative, or employee of AHP, or commit or obligate AHP to any other person or party.

Lower-Tier Consultants/Subcontractors: AHP's prior written approval is required to obtain services of consultants or lower-tier Subcontractors; provided, however, that this limitation shall not apply to the purchase of standard commercial supplies.

No Assignment: This Agreement is for professional services, and the Agreement, or any duties/obligations imposed shall not be assigned, delegated or otherwise transferred.

Changes to be Made in Writing: Unless otherwise specified that AHP may make a unilateral modification, no understanding, agreement, modification, change order, or other matter affecting this Agreement shall be binding, unless in writing, signed by both parties' Contracting Officer. No handwritten changes shall be effective unless initialed by each Contracting Officer.

Limitation of Liability upon Termination: AHP's maximum aggregate liability to Subcontractor is limited to the total dollar amount of work properly performed by Subcontractor up to the effective date of termination, together with any authorized travel, or authorized expenses incurred under the Agreement that cannot be canceled. AHP is not liable for any special, indirect, incidental, consequential, or punitive damages, nor for any loss of goodwill, profits, data, or loss of use arising out of, resulting from, or in any way connected with the performance or breach of this Agreement, even if advised of the possibility of such damages.

Force Majeure: Neither party shall be liable to the other for loss or damages due to failure or delay in rendering performance caused by circumstances beyond its reasonable control, if such failure could not have been overcome by the exercise of due diligence, due care, or foresight. Causes may include, but are not limited to, acts of God or a public enemy; wars; acts of terrorism; riots; fires; floods; epidemics; quarantine restrictions; labor disputes; strikes; defaults of subcontractors/vendors; failure/delays in transportation; unforeseen freight embargoes; unusually severe weather; or any law/order/regulation/request of a state or local government entity, the US Government, or of any agency, court, commission, or other instrumentality of any such governments. Times of performance under this Agreement may be appropriately extended for excused delays if the party whose performance is affected promptly notifies the other of the existence and nature of such delay.

Scientific Misconduct: Subcontractor shall immediately report to AHP any instance of scientific misconduct or fraud related to performance of work under this Agreement.

Warranty: Unless a different warranty is specified, Subcontractor warrants all services provided and products delivered will be free from defect in materials and/or workmanship, and will be fit for the purpose intended, and will conform to the specifications of the statement of work. In the event of a breach AHP may complete the work and seek all remedies available in law or equity.

Notices: Notices shall be in writing, sent by USPS Certified Mail-RRR, or any overnight delivery/courier service, and notice shall be deemed given when personally delivered, (or three (3) days after being sent by prepaid certified U.S. mail).

Litigation: Subcontractor shall provide written notice to AHP of any litigation that relates to the services under this contract, or that has the potential to impair its ability to fulfill this contract, including but not limited to financial, legal or other situations.

Publicity: Without prior written approval of the other, neither party shall use the other's name or make reference to the other party or any of its employees in publications, news releases, advertising, speeches, technical papers, photographs, sales promotions, or publicity purposes of any form related to this work or data developed hereunder, unless disclosure of such materials is required by legal, accounting, or regulatory requirements beyond the disclosing party's reasonable control. Use of either party's name may be made in internal documents, annual reports, proposals, etc. which may identify the existence of the project by title, principal investigator or project director, sponsor, period of funding, amount of award and brief abstract of the project. This Section shall survive expiration/termination of this Agreement.

Restrictions on Hiring: During the period of this Agreement, and for a period of two (2) years after its termination, neither party shall directly or indirectly, induce or solicit (or authorize or assist in the taking of any such actions by any third party) any employee or consultant of the other party to leave his/her business association with that party. Parties are not be restricted in the right to solicit or recruit generally in the media.

Survival: Except as otherwise stated, sections that by their terms impose continuing obligations or establish continuing rights shall be deemed to survive the expiration/termination of this Agreement.

Validity and Waiver: The invalidity in whole or in part of any provision of this Agreement shall not affect the validity of other provisions. Waiver of a breach of any provision shall not constitute a waiver of any subsequent breach of that provision, or a breach of any other provision. AHP's failure to enforce any provision of this Agreement shall not be construed as a waiver. Only AHP's Contracting Officer has the authority to waive any term or condition of this Subcontract on behalf of AHP.

Interpretation: This Agreement shall be interpreted and construed in accordance with its fair meaning, and not strictly for or against either party, regardless of who may have drafted it or any specific provision.

Third Party Beneficiaries: This Agreement shall not be construed so as to give any person or entity, other than the parties, any legal or equitable claim or right.

Counterparts/Other Instruments: The parties may execute this contract in multiple counterparts, each of which is deemed an original and all of which constitute only one agreement. The parties shall properly make, execute, and deliver such other and further instruments as may be reasonable, necessary, desirable, or convenient to give full force and effect to this Agreement.

Binding Effect: This Agreement shall be binding upon the parties, their successors and assigns.

ATTACHMENT B

1. Federal Equal Opportunity Requirements

- a. The Subcontractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era. The Subcontractor will take affirmative action to ensure that qualified applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, national origin, physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era. Such action shall include, but not be limited to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and career development opportunities and selection for training, including apprenticeship. The Subcontractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Federal Government or AHP, setting forth the provisions of the Equal Opportunity clause, Section 503 of the Rehabilitation Act of 1973 and the affirmative action clause required by the Vietnam Era Veterans' Readjustment Assistance Act of 1974 (38 U.S.C. 4212). Such notices shall state the Subcontractor's obligation under the law to take affirmative action to employ and advance in employment qualified applicants without discrimination based on their race, color, religion, sex, national origin physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era and the rights of applicants and employees.
- b. The Subcontractor will, in all solicitations or advancements for employees placed by or on behalf of the Subcontractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin physical or mental handicap, disability, age or status as a disabled veteran or veteran of the Vietnam era.
- c. The Subcontractor will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding a notice, to be provided by the Federal Government or the State, advising the labor union or workers' representative of the Subcontractor's commitments under the provisions herein and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- d. The Subcontractor will comply with all provisions of and furnish all information and reports required by Section 503 of the Rehabilitation Act of 1973, as amended, the Vietnam Era Veterans' Readjustment Assistance Act of 1974 (38 U.S.C. 4212) and of the Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and of the rules, regulations, and relevant orders of the Secretary of Labor.
- e. The Subcontractor will furnish all information and reports required by Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and the Rehabilitation Act of 1973, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to its books, records, and accounts by the State and its designated representatives and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- f. In the event of the Subcontractor's noncompliance with the requirements of the provisions

herein or with any federal rules, regulations, or orders which are referenced herein, this Agreement may be cancelled, terminated, or suspended in whole or in part and the Subcontractor may be declared ineligible for further federal and state contracts in accordance with procedures authorized in Federal Executive Order No. 11246 as amended and such other sanctions may be imposed and remedies invoked as provided in Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

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

2. Travel and Per Diem Reimbursement

(Applicable if travel and/or per diem expenses are authorized to be reimbursed with Agreement funds.)

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

3. Procurement Rules

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

a. Equipment/Property definitions

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

- (1) **Major equipment/property:** A tangible or intangible item having a base unit cost of

\$5,000 or more with a life expectancy of one (1) year or more and is either furnished by DHCS or the cost is reimbursed through this Agreement. Software and videos are examples of intangible items that meet this definition.

(2) **Minor equipment/property:** A tangible item having a base unit cost of **less than \$5,000** with a life expectancy of one (1) year or more and is either furnished by DHCS or the cost is reimbursed through this Agreement.

b. **Government and public entities** (including state colleges/universities and auxiliary organizations), whether acting as a contractor and/or subcontractor, may secure all commodities, supplies, equipment and services related to such purchases that are required in performance of this Agreement. Said procurements are subject to Paragraphs d through h of Provision 3. Paragraph c of Provision 3 shall also apply, if equipment/property purchases are delegated to subcontractors that are nonprofit organizations or commercial businesses.

c. **Nonprofit organizations and commercial businesses**, whether acting as a contractor and/or subcontractor, may secure commodities, supplies, equipment/property and services related to such purchases for performance under this Agreement.

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

To secure equipment/property above the annual maximum limit of \$50,000, the Subcontractor shall make arrangements through AHP, to have all remaining equipment/property purchased through DHCS' Purchasing Unit. The cost of equipment/property purchased by or through AHP shall be deducted from the funds available in this Agreement. Subcontractor shall submit to the AHP Contract Manager a list of equipment/property specifications for those items that the State must procure. AHP may pay the vendor directly for such arranged equipment/property purchases and title to the equipment/property will remain with AHP. The equipment/property will be delivered to the Subcontractor's address, as stated on the face of the Agreement, unless the Subcontractor notifies the AHP, in writing, of an alternate delivery address.

(2) All equipment/property purchases are subject to Paragraphs d through h of Provision 3. Paragraph b of Provision 3 shall also apply, if equipment/property purchases are delegated to subcontractors that are either a government or public entity.

(3) Nonprofit organizations and commercial businesses shall use a procurement system that meets the following standards:

(a) Maintain a code or standard of conduct that shall govern the performance of its officers, employees, or agents engaged in awarding procurement contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a procurement, or bid contract in which, to his or her knowledge, he or she has a financial interest.

(b) Procurements shall be conducted in a manner that provides, to the maximum extent practical, open, and free competition.

(c) Procurements shall be conducted in a manner that provides for all of the following:

[1] Avoid purchasing unnecessary or duplicate items.

[2] Equipment/property solicitations shall be based upon a clear and accurate description of the technical requirements of the goods to be procured.

[3] Take positive steps to utilize small and veteran owned businesses.

- d. Unless waived or otherwise stipulated in writing by AHP, prior written authorization from the AHP Contract Office or Project Manager will be required before the Subcontractor will be reimbursed for any purchase of \$5,000 or more for commodities, supplies, equipment/property, and services related to such purchases. The Subcontractor must provide in its request for authorization all particulars necessary, as specified by AHP, for evaluating the necessity or desirability of incurring such costs. The term "purchase" excludes the purchase of services from a subcontractor and public utility services at rates established for uniform applicability to the general public.
- e. In special circumstances, determined by AHP (e.g., when AHP has a need to monitor certain purchases, etc.), AHP may require prior written authorization and/or the submission of paid vendor receipts for any purchase, regardless of dollar amount. AHP reserves the right to either deny claims for reimbursement or to request repayment for any Subcontractor purchase that AHP determines to be unnecessary in carrying out performance under this Agreement.
- f. The Subcontractor must maintain a copy or narrative description of the procurement system, guidelines, rules, or regulations that will be used to make purchases under this Agreement. AHP and the State reserves the right to request a copy of these documents and to inspect the purchasing practices of the Subcontractor at any time.
- g. For all purchases, the Subcontractor must maintain copies of all paid vendor invoices, documents, bids and other information used in vendor selection, for inspection or audit. Justifications supporting the absence of bidding (i.e., sole source purchases) shall also be maintained on file by the Subcontractor for inspection or audit.
- h. AHP may, with cause (e.g., with reasonable suspicion of unnecessary purchases or use of inappropriate purchase practices, etc.), withhold, cancel, modify, or retract the delegated purchase authority granted under Paragraphs b and/or c of Provision 3 by giving the Subcontractor no less than 30 calendar days written notice.

4. Equipment/Property Ownership / Inventory / Disposition

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

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

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

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

Upon receipt of equipment and/or property, the Subcontractor shall report the receipt to the AHP. To report the receipt of said items and to receive property tags, Subcontractor shall use a form or format designated by AHP. If the appropriate form does not accompany this Agreement, Subcontractor shall request a copy from AHP.

(2) **Annual Equipment/Property Inventory** - If the Subcontractor enters into an agreement with a term of more than twelve months, the Subcontractor shall submit an annual inventory of state equipment and/or property to the AHP using a form or format designated by AHP. If an inventory report form does not accompany this Agreement, Subcontractor shall request a copy from AHP. Subcontractor shall:

- (a) Include in the inventory report, equipment and/or property in the Subcontractor's possession and/or in the possession of a subcontractor (including independent consultants).
- (b) Submit the inventory report to AHP according to the instructions appearing on the inventory form or issued by AHP.
- (c) Contact AHP to learn how to remove, trade-in, sell, transfer or survey off, from the inventory report, expired equipment and/or property that is no longer wanted, usable or has passed its life expectancy. Instructions will be supplied by AHP.

- b. Title to state equipment and/or property shall not be affected by its incorporation or attachment to any property not owned by the State.
- c. Unless otherwise stipulated, AHP or DCHS shall be under no obligation to pay the cost of restoration, or rehabilitation of the Subcontractor's facility which may be affected by the removal of any state equipment and/or property.
- d. The Subcontractor shall maintain and administer a sound business program for ensuring the proper use, maintenance, repair, protection, insurance and preservation of state equipment and/or property.

(1) In administering this provision, AHP may require the Subcontractor to repair or replace, to AHP's satisfaction, any damaged, lost or stolen state equipment and/or property. In the event of state equipment and/or miscellaneous property theft, Subcontractor shall immediately file a theft report with the appropriate police agency or the California Highway Patrol and Subcontractor shall promptly submit one copy of the theft report to AHP.

- e. Unless otherwise stipulated by the Program funding this Agreement, equipment and/or property purchased/reimbursed with agreement funds or furnished by AHP under the terms of this Agreement, shall only be used for performance of this Agreement or another DHCS agreement.
- f. Within sixty (60) calendar days prior to the termination or end of this Agreement, the Subcontractor shall provide a final inventory report of equipment and/or property to AHP and shall, at that time, query DHCS as to the requirements, including the manner and method, of returning state equipment and/or property to AHP. Final disposition of equipment and/or property shall be at AHP expense and according to AHP instructions. Equipment and/or property disposition instructions shall be issued by AHP immediately after receipt of the final inventory report. At the termination or conclusion of this Agreement, AHP OR DHCS may at its discretion, authorize the continued use of state equipment and/or property for performance of work under a different DHCS agreement.

g. **Motor Vehicles**

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

- (1) If motor vehicles are purchased/reimbursed with agreement funds or furnished by AHP or DHCS under the terms of this Agreement, within thirty (30) calendar days prior to the

termination or end of this Agreement, the Subcontractor shall return such vehicles to AHP or DHCS and shall deliver all necessary documents of title or registration to enable the proper transfer of a marketable title to AHP or DHCS.

- (2) If motor vehicles are purchased/reimbursed with agreement funds or furnished by AHP or DHCS under the terms of this Agreement, the State of California shall be the legal owner of said motor vehicles and the Subcontractor shall be the registered owner. The Subcontractor may only use said vehicles for performance and under the terms of this Agreement.
- (3) The Subcontractor agrees that all operators of motor vehicles, If motor vehicles are purchased/reimbursed with agreement funds or furnished by AHP or DHCS under the terms of this agreement, shall hold a valid State of California driver's license. In the event that ten or more passengers are to be transported in any one vehicle, the operator shall also hold a Stat of California Class B driver's license.
- (4) If any motor vehicle is purchased/reimbursed with agreement funds or furnished by AHP or DHCS under the terms of this Agreement, the Subcontractor, as applicable, shall provide, maintain, and certify that, at a minimum, the following type and amount of automobile liability insurance is in effect during the term of this Agreement or any extension period during which any vehicle remains in the Subcontractor's possession.

Automobile Liability Insurance

- (a) The Subcontractor, by signing this Agreement, hereby certifies that it possesses or will obtain automobile liability insurance in the amount of \$1,000,000 per occurrence for bodily injury and property damage combined. Said insurance must be obtained and made effective upon the delivery date of any motor vehicle, purchased/reimbursed with agreement funds or furnished by AHP under the terms of this Agreement, to the Subcontractor.
- (b) The Subcontractor shall, as soon as practical, furnish a copy of the certificate of insurance to the AHP Contract Office or Project Manager. The certificate of insurance shall identify the AHP contract or agreement number for which the insurance applies.
- (c) The Subcontractor agree that bodily injury and property damage liability insurance, as required herein, shall remain in effect at all times during the term of this Agreement or until such time as the motor vehicle is returned to AHP.
- (d) The Subcontractor agree to provide, at least thirty (30) days prior to the expiration date of said insurance coverage, a copy of a new certificate of insurance evidencing continued coverage, as indicated herein, for not less than the remainder of the term of this Agreement, the term of any extension or continuation thereof, or for a period of not less than one (1) year.
- (e) The Subcontractor, if not a self-insured government and/or public entity, must provide evidence, that any required certificates of insurance contain the following provisions:
 - [1] The insurer will not cancel the insured's coverage without giving thirty (30) calendar days prior written notice to AHP.
 - [2] The State of California, its officers, agents, employees, and servants are included as additional insureds, but only with respect to work performed for the State under this Agreement and any extension or continuation of this Agreement.
 - [3] The insurance carrier shall notify the AHP, in writing, of the Subcontractor's failure to pay premiums; its cancellation of such policies; or any other substantial change, including, but not limited to, the status, coverage, or scope of the

required insurance. Such notices shall contain a reference to each agreement number for which the insurance was obtained.

- (f) The Subcontractor is hereby advised that copies of certificates of insurance may be subject to review and approval by the Department of General Services (DGS), Office of Risk and Insurance Management. The Subcontractor shall be notified by AHP, in writing, if this provision is applicable to this Agreement. If DGS approval of the certificate of insurance is required, the Subcontractor agrees that no work or services shall be performed prior to obtaining said approval.
- (g) In the event the Subcontractor fails to keep insurance coverage, as required herein, in effect at all times during vehicle possession, AHP may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event.

5. Subcontract Requirements

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

completion of any work in progress and select a replacement, if applicable, within 30 calendar days, unless a longer period is agreed to by DHCS.

- c. Actual subcontracts (i.e., written agreement between the Subcontractor and a subcontractor) of \$5,000 or more are subject to the prior review and written approval of AHP. AHP may, at its discretion, elect to waive this right. All such waivers shall be confirmed in writing by AHP.
- d. Subcontractor shall maintain a copy of each subcontract entered into in support of this Agreement and shall, upon request by AHP, make copies available for approval, inspection, or audit.
- e. AHP assumes no responsibility for the payment of subcontractors used in the performance of this Agreement. Subcontractor accepts sole responsibility for the payment of subcontractors used in the performance of this Agreement.
- f. The Subcontractor is responsible for all performance requirements under this Agreement even though performance may be carried out through a subcontract.
- g. The Subcontractor shall ensure that all subcontracts for services include provision(s) requiring compliance with applicable terms and conditions specified in this Agreement.
- h. The subcontractor agrees to maintain and preserve, until three years after termination of Agreement No. 21-10349 and final payment from AHP, to permit AHP or DHCS or any duly authorized representative, to have access to, examine or audit any pertinent books, documents, papers and records related to this subcontract and to allow interviews of any employees who might reasonably have information related to such records.
- i. Unless otherwise stipulated in writing by AHP, the Subcontractor shall be the subcontractor's sole point of contact for all matters related to performance and payment under this Agreement.
- j. Subcontractor shall, as applicable, advise all subcontractors of their obligations pursuant to the following numbered provisions of this Exhibit: 1, 2, 3, 4, 5, 6, 7,8, 10, 11, 12, 13, 14, 17, 19, 20, 24, 32 and/or other numbered provisions herein that are deemed applicable.

6. Income Restrictions

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

7. Audit and Record Retention

- a. The Subcontractor shall maintain books, records, documents, and other evidence, accounting procedures and practices, sufficient to properly reflect all direct and indirect costs of whatever nature claimed to have been incurred in the performance of this Agreement, including any matching costs and expenses. The foregoing constitutes "records" for the purpose of this provision.
- b. The Subcontractor's facility or office or such part thereof as may be engaged in the performance of this Agreement and his/her records shall be subject at all reasonable times to inspection, audit, and reproduction.

- c. Subcontractor agrees that AHP, the Department of General Services, the Bureau of State Audits, or their designated representatives including the Comptroller General of the United States shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. Subcontractor agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Subcontractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (GC 8546.7, CCR Title 2, Section 1896.77)
- d. The Subcontractor shall preserve and make available his/her records (1) for a period of three years from the date of final payment under this Agreement, and (2) for such longer period, if any, as is required by applicable statute, by any other provision of this Agreement, or by subparagraphs (1) or (2) below.

(1) If this Agreement is completely or partially terminated, the records relating to the work terminated shall be preserved and made available for a period of three years from the date of any resulting final settlement.

(2) If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.

- e. The Subcontractor may, at its discretion, following receipt of final payment under this Agreement, reduce its accounts, books and records related to this Agreement to microfilm, computer disk, CD ROM, DVD, or other data storage medium. Upon request by an authorized representative to inspect, audit or obtain copies of said records, the Subcontractor must supply or make available applicable devices, hardware, and/or software necessary to view, copy and/or print said records. Applicable devices may include, but are not limited to, microfilm readers and microfilm printers, etc.
- f. The Subcontractor shall, if applicable, comply with the Single Audit Act and the audit requirements set forth in 2 C.F.R. § 200.501 (2014).

8. Site Inspection

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

9. Federal Contract Funds

- a. It is mutually understood between the parties that this Agreement may have been written before ascertaining the availability of congressional appropriation of funds, for the mutual benefit of both parties, in order to avoid program and fiscal delays which would occur if the Agreement were executed after that determination was made.
- b. This agreement is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the fiscal years covered by the term of this

Agreement. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by the Congress or any statute enacted by the Congress which may affect the provisions, terms or funding of this Agreement in any manner.

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

10. Intellectual Property Rights

a. Ownership

- (1) Except where AHP has agreed in a signed writing to accept a license, AHP or DHCS shall be and remain, without additional compensation, the sole owner of any and all rights, title and interest in all Intellectual Property, from the moment of creation, whether or not jointly conceived, that are made, conceived, derived from, or reduced to practice by Subcontractor or AHP and which result directly or indirectly from this Agreement.
- (2) For the purposes of this Agreement, Intellectual Property means recognized protectable rights and interest such as: patents, (whether or not issued) copyrights, trademarks, service marks, applications for any of the foregoing, inventions, trade secrets, trade dress, logos, insignia, color combinations, slogans, moral rights, right of publicity, author's rights, contract and licensing rights, works, mask works, industrial design rights, rights of priority, know how, design flows, methodologies, devices, business processes, developments, innovations, good will and all other legal rights protecting intangible proprietary information as may exist now and/or here after come into existence, and all renewals and extensions, regardless of whether those rights arise under the laws of the United States, or any other state, country or jurisdiction.
 - (a) For the purposes of the definition of Intellectual Property, "works" means all literary works, writings and printed matter including the medium by which they are recorded or reproduced, photographs, art work, pictorial and graphic representations and works of a similar nature, film, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, educational materials, interactive videos and any other materials or products created, produced, conceptualized and fixed in a tangible medium of expression. It includes preliminary and final products and any materials and information developed for the purposes of producing those final products. Works does not include articles submitted to peer review or reference journals or independent research projects.
- (3) In the performance of this Agreement, Subcontractor will exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this Agreement. In addition, under this Agreement, Subcontractor may access and utilize certain of AHP's Intellectual Property in existence prior to the effective date of this Agreement. Except as otherwise set forth herein, Subcontractor shall not use any of AHP's Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of AHP. **Except as otherwise set forth herein, AHP shall not give any ownership interest in or rights to its Intellectual Property to the other Party.** If during the term of this Agreement, Subcontractor accesses any third-party Intellectual Property that is licensed to AHP, Subcontractor agrees to abide by all license and confidentiality restrictions applicable to AHP in the third-party's license agreement.
- (4) Subcontractor agrees to cooperate with AHP in establishing or maintaining AHP's and/or DHCS exclusive rights in the Intellectual Property, and in assuring AHP's or DHCS' sole rights against third parties with respect to the Intellectual Property. If the Subcontractor

enters into any agreements or subcontracts with other parties in order to perform this Agreement, Subcontractor shall require the terms of the Agreement(s) to include all Intellectual Property provisions. Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to AHP and/or DHCS all rights, title and interest in Intellectual Property made, conceived, derived from, or reduced to practice by the subcontractor, Contractor or AHP and which result directly or indirectly from this Agreement or any subcontract.

- (5) Subcontractor further agrees to assist and cooperate with AHP/DHCS in all reasonable respects, and execute all documents and, subject to reasonable availability, give testimony and take all further acts reasonably necessary to acquire, transfer, maintain, and enforce AHP'S Intellectual Property rights and interests.

b. Retained Rights / License Rights

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

c. Copyright

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

should be placed prominently on the materials and set apart from other matter on the page where it appears. Audio productions shall contain a similar audio notice of copyright.

d. Patent Rights

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

e. Third-Party Intellectual Property

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

f. Warranties

(1) Subcontractor represents and warrants that:

- (a) It is free to enter into and fully perform this Agreement.
- (b) It has secured and will secure all rights and licenses necessary for its performance of this Agreement.
- (c) Neither Subcontractor's performance of this Agreement, nor the exercise by either Party of the rights granted in this Agreement, nor any use, reproduction, manufacture, sale, offer to sell, import, export, modification, public and private display/performance, distribution, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Subcontractor or DHCS or AHP and which result directly or indirectly from this Agreement will infringe upon or violate any Intellectual Property right, non-disclosure obligation, or other proprietary right or interest of any third-party or entity now existing under the laws of, or hereafter existing or issued by, any state, the United States, or any foreign country. There is currently no actual or threatened claim by any such third party based on an alleged violation of any such right by Subcontractor.
- (d) Neither Subcontractor's performance nor any part of its performance will violate the right of privacy of, or constitute a libel or slander against any person or entity.
- (e) It has secured and will secure all rights and licenses necessary for Intellectual Property including, but not limited to, consents, waivers or releases from all authors of music or performances used, and talent (radio, television and motion picture talent), owners of any interest in and to real estate, sites, locations, property or props

that may be used or shown.

- (f) It has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to AHP or DHCS in this Agreement.
 - (g) It has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.
 - (h) It has no knowledge of any outstanding claims, licenses or other charges, liens, or encumbrances of any kind or nature whatsoever that could affect in any way Subcontractor's performance of this Agreement.
- (2) AHP NOR DHCS MAKE NO WARRANTY THAT THE INTELLECTUAL PROPERTY RESULTING FROM THIS AGREEMENT DOES NOT INFRINGE UPON ANY PATENT, TRADEMARK, COPYRIGHT OR THE LIKE, NOW EXISTING OR SUBSEQUENTLY ISSUED.

g. Intellectual Property Indemnity

- (1) Subcontractor shall indemnify, defend and hold harmless AHP and DHCS and its licensees and assignees, and its officers, directors, employees, agents, representatives, successors, and users of its products, ("Indemnitees") from and against all claims, actions, damages, losses, liabilities (or actions or proceedings with respect to any thereof), whether or not rightful, arising from any and all actions or claims by any third party or expenses related thereto (including, but not limited to, all legal expenses, court costs, and attorney's fees incurred in investigating, preparing, serving as a witness in, or defending against, any such claim, action, or proceeding, commenced or threatened) to which any of the Indemnitees may be subject, whether or not Subcontractor is a party to any pending or threatened litigation, which arise out of or are related to (i) the incorrectness or breach of any of the representations, warranties, covenants or agreements of Subcontractor pertaining to Intellectual Property; or (ii) any Intellectual Property infringement, or any other type of actual or alleged infringement claim, arising out of AHP's use, reproduction, manufacture, sale, offer to sell, distribution, import, export, modification, public and private performance/display, license, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Subcontractor or DHCS or AHP and which result directly or indirectly from this Agreement. This indemnity obligation shall apply irrespective of whether the infringement claim is based on a patent, trademark or copyright registration that issued after the effective date of this Agreement. AHP reserves the right to participate in and/or control, at Subcontractor's expense, any such infringement action brought against AHP.
- (2) Should any Intellectual Property licensed by the Subcontractor to AHP under this Agreement become the subject of an Intellectual Property infringement claim, Subcontractor will exercise its authority reasonably and in good faith to preserve AHP's right to use the licensed Intellectual Property in accordance with this Agreement at no expense to AHP. AHP shall have the right to monitor and appear through its own counsel (at Subcontractor's expense) in any such claim or action. In the defense or settlement of the claim, Subcontractor may obtain the right for AHP to continue using the licensed Intellectual Property; or, replace or modify the licensed Intellectual Property so that the replaced or modified Intellectual Property becomes non-infringing provided that such replacement or modification is functionally equivalent to the original licensed Intellectual Property. If such remedies are not reasonably available, AHP shall be entitled to a refund of all monies paid under this Agreement, without restriction or limitation of any other rights and remedies available at law or in equity.

(3) Subcontractor agrees that damages alone would be inadequate to compensate AHP or DHCS for breach of any term of this Intellectual Property Exhibit by Subcontractor. Subcontractor acknowledges AHP or DHCS would suffer irreparable harm in the event of such breach and agrees AHP shall be entitled to obtain equitable relief, including without limitation an injunction, from a court of competent jurisdiction, without restriction or limitation of any other rights and remedies available at law or in equity.

h. Federal Funding

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

11. Air or Water Pollution Requirements

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

- a. Government contractors agree to comply with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act (42 USC 7606) section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations.
- b. Institutions of higher education, hospitals, nonprofit organizations and commercial businesses agree to comply with all applicable standards, orders, or requirements issued under the Clean Air Act (42 U.S.C. 7401 et seq.), as amended, and the Clean Water Act (33 U.S.C. 1251 et seq.), as amended.

12. Prior Approval of Training Seminars, Workshops or Conferences

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

13. Confidentiality of Information

- a. The Subcontractor and its employees, agents, or subcontractors shall protect from unauthorized disclosure names and other identifying information concerning persons either receiving services pursuant to this Agreement or persons whose names or identifying information become available or are disclosed to the subcontractors as a result of services performed under this Agreement, except for statistical information not identifying any such person.
- b. The Subcontractor and its employees, agents shall not use such identifying information for any purpose other than carrying out the subcontractor's obligations under this Agreement.

- c. The Subcontractor and its employees, agents shall promptly transmit to the AHP Contract Office or Project Manager all requests for disclosure of such identifying information not emanating from the client or person.
- d. The Subcontractor shall not disclose, except as otherwise specifically permitted by this Agreement or authorized by the client, any such identifying information to anyone other than AHP without prior written authorization from the AHP Contract Office or Project Manager, except if disclosure is required by State or Federal law.
- e. For purposes of this provision, identity shall include, but not be limited to name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or a photograph.
- f. As deemed applicable by AHP/DHCS, this provision may be supplemented by additional terms and conditions covering personal health information (PHI) or personal, sensitive, and/or confidential information (PSCI). Said terms and conditions will be outlined in one or more exhibits that will either be attached to this Agreement or incorporated into this Agreement by reference.

14. Documents, Publications and Written Reports

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

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

15. Financial and Compliance Audit Requirements

- a. The definitions used in this provision are contained in Section 38040 of the Health and Safety Code, which by this reference is made a part hereof.
- b. Direct service contract means a contract or agreement for services contained in local assistance or subvention programs or both (see Health and Safety [H&S] Code Section 38020). Direct service contracts shall not include contracts, agreements, grants, or subventions to other governmental agencies or units of government nor contracts or agreements with regional centers or area agencies on aging (H&S Code Section 38030)
- c. The Subcontractor, as indicated below, agrees to obtain one of the following audits:
 - (1) ***If the Subcontractor is a nonprofit organization (as defined in H&S Code Section 38040) and receives \$25,000 or more from any State agency under a direct service contract or agreement;*** the Subcontractor agrees to obtain an annual single, organization wide, financial and compliance audit. Said audit shall be conducted according to Generally Accepted Auditing Standards. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the Contractor's fiscal year, **and/or**
 - (2) ***If the Subcontractor is a nonprofit organization (as defined in H&S Code Section 38040) and receives less than \$25,000 per year from any State agency under a direct service contract or agreement;*** the Subcontractor agrees to obtain a biennial single, organization wide financial and compliance audit, unless there is evidence of fraud or other violation of state law in connection with this Agreement. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the

Contractor's fiscal year, **and/or**

(3) ***If the Subcontractor is a State or Local Government entity or Nonprofit organization (as defined by 2 C.F.R. §§ 200.64, 200.70, and 200.90)*** and expends \$750,000 or more in Federal awards, the Subcontractor agrees to obtain an annual single, organization wide, financial and compliance audit according to the requirements specified in 2 C.F.R. 200.501 entitled "Audit Requirements". An audit conducted pursuant to this provision will fulfill the audit requirements outlined in Paragraphs c(1) and c(2) above. The audit shall be completed by the end of the ninth month following the end of the audit period. The requirements of this provision apply if:

(a) The Subcontractor is a recipient expending Federal awards received directly from Federal awarding agencies, or

(b) The Subcontractor is a subrecipient expending Federal awards received from a pass-through entity such as the State, County or community based organization.

(4) If the Subcontractor submits to DHCS a report of an audit other than a 2 C.F.R. 200.501 audit, the Subcontractor must also submit a certification indicating the Subcontractor has not expended \$750,000 or more in federal funds for the year covered by the audit report.

d. Two copies of the audit report shall be delivered to the DHCS program funding this Agreement. The audit report must identify the Subcontractor's legal name and the number assigned to this Agreement. The audit report shall be due within 30 days after the completion of the audit. Upon receipt of said audit report, the DHCS Program Contract Manager shall forward the audit report to DHCS' Audits and Investigations Unit if the audit report was submitted under Section 16.c(3), unless the audit report is from a City, County, or Special District within the State of California whereby the report will be retained by the funding program.

e. The cost of the audits described herein may be included in the funding for this Agreement up to the proportionate amount this Agreement represents of the Subcontractor's total revenue. The AHP program funding this Agreement must provide advance written approval of the specific amount allowed for said audit expenses.

f. The State or its authorized designee, including the Bureau of State Audits, is responsible for conducting agreement performance audits which are not financial and compliance audits. Performance audits are defined by Generally Accepted Government Auditing Standards.

g. Nothing in this Agreement limits the State's responsibility or authority to enforce State law or regulations, procedures, or reporting requirements arising thereto.

h. Nothing in this provision limits the authority of the State to make audits of this Agreement, provided however, that if independent audits arranged for by the Subcontractor meet Generally Accepted Governmental Auditing Standards, the State shall rely on those audits and any additional audit work and shall build upon the work already done.

i. The State may, at its option, direct its own auditors to perform either of the audits described above. The Subcontractor will be given advance written notification, if the State chooses to exercise its option to perform said audits.

j. The Subcontractor shall include a clause in any agreement the Subcontractor enters into with the audit firm doing the single organization wide audit to provide access by the State or Federal Government to the working papers of the independent auditor who prepares the single organization wide audit for the Contractor.

k. Federal or state auditors shall have "expanded scope auditing" authority to conduct specific

program audits during the same period in which a single organization wide audit is being performed, but the audit report has not been issued. The federal or state auditors shall review and have access to the current audit work being conducted and will not apply any testing or review procedures which have not been satisfied by previous audit work that has been completed.

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

16. Human Subjects Use Requirements

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

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

17. Debarment and Suspension Certification

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

a. By signing this Agreement, the Subcontractor agrees to comply with applicable federal suspension and debarment regulations including, but not limited to 2 CFR 180, 2 CFR 376

b. By signing this Agreement, the Subcontractor certifies to the best of its knowledge and belief, that it and its principals:

(1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency;

(2) Have not within a three-year period preceding this application/proposal/agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) violation of Federal or State antitrust statutes; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, obstruction of justice, or the commission of any other offense indicating a lack of business integrity or business honesty that seriously affects its business honesty;

(3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in Paragraph b(2) herein; and

(4) Have not within a three-year period preceding this application/proposal/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.

(5) Have not, within a three-year period preceding this application/proposal/agreement, engaged in any of the violations listed under 2 CFR Part 180, Subpart C as supplemented by 2 CFR Part 376.

(6) Shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under federal regulations (i.e., 48 CFR part 9, subpart 9.4), debarred, suspended,

declared ineligible, or voluntarily excluded from participation in such transaction, unless authorized by the State.

(7) Will include a clause entitled, "Debarment and Suspension Certification" that essentially sets forth the provisions herein, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

c. If the Subcontractor is unable to certify to any of the statements in this certification, the Subcontractor shall submit an explanation to AHP and the DHCS Program Contract Manager.

d. The terms and definitions herein have the meanings set out in 2 CFR Part 180 as supplemented by 2 CFR Part 376.

e. If the Subcontractor knowingly violates this certification, in addition to other remedies available to the Federal Government, the DHCS may terminate this Agreement for cause or default.

18. Smoke-Free Workplace Certification

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

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

19. Covenant Against Contingent Fees

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

20. Payment Withholds

(Applicable only if a final report is required by this Agreement. Not applicable to government entities)
Unless waived or otherwise stipulated in this Agreement, AHP may, at its discretion, withhold 10 percent (10%) of the face amount of the Agreement, 50 percent (50%) of the final invoice, or \$3,000 whichever is greater, until AHP receives a final report that meets the terms, conditions and/or scope of work requirements of this Agreement.

21. Performance Evaluation

Not applicable to grant agreements
AHP may, at its discretion, evaluate the performance of the Subcontractor at the conclusion of this Agreement. If performance is evaluated, the evaluation shall not be a public record and shall remain on file with AHP. Negative performance evaluation may be considered by AHP prior for making future contract awards.

22. Officials Not to Benefit

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

23. Four-Digit Date Compliance

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

24. Prohibited Use of State Funds for Software

(Applicable to agreements in which computer software is used in performance of the work.)
Subcontractor certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright law.

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

(Applicable to that portion of an agreement that is federally funded and entered into with institutions of higher education, hospitals, nonprofit organizations or commercial businesses.)
Positive efforts shall be made to use small businesses, minority-owned firms and women's business enterprises, whenever possible (i.e. procurement of goods and/or services). Subcontractors shall take all of the following steps to further this goal.

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

26. Alien Ineligibility Certification

(Applicable to sole proprietors entering federally funded agreements.)

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

27. Union Organizing

(Applicable only to grant agreements.)

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

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

28. Agreement Uniformity (Fringe Benefit Allowability)

(Applicable only to nonprofit organizations.)

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

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

29. Suspension or Stop Work Notification

- a. AHP may, at any time, issue a notice to suspend performance or stop work under this Agreement. The initial notification may be a verbal or written directive issued by the funding Program's Contract Manager. Upon receipt of said notice, the Subcontractor is to suspend and/or stop all, or any part, of the work called for by this Agreement.
- b. Written confirmation of the suspension or stop work notification with directions as to what work (if not all) is to be suspended and how to proceed will be provided within 30 working days of the verbal notification. The suspension or stop work notification shall remain in effect until further written notice is received from AHP. The resumption of work (in whole or part) will be at AHP's discretion and upon receipt of written confirmation.
 - (1) Upon receipt of a suspension or stop work notification, the Subcontractor shall immediately comply with its terms and take all reasonable steps to minimize or halt the incurrence of costs allocable to the performance covered by the notification during the period of work suspension or stoppage.
 - (2) Within 90 days of the issuance of a suspension or stop work notification, AHP shall either:
 - (a) Cancel, extend, or modify the suspension or stop work notification; or
 - (b) Terminate the Agreement as provided for in the Cancellation / Termination clause of the Agreement.
- c. If a suspension or stop work notification issued under this clause is canceled or the period of suspension or any extension thereof is modified or expires, the Subcontractor may resume work only upon written concurrence of AHP.
- d. If the suspension or stop work notification is cancelled and the Agreement resumes, changes to the services, deliverables, performance dates, and/or agreement terms resulting from the suspension or stop work notification shall require an amendment to the Agreement.
- e. If a suspension or stop work notification is not canceled and the Agreement is cancelled or terminated pursuant to the provision entitled Cancellation / Termination, AHP shall allow reasonable costs resulting from the suspension or stop work notification in arriving at the settlement costs.
- f. AHP shall not be liable to the Subcontractor for loss of profits because of any suspension or stop work notification issued under this clause.

30. Public Communications

"Electronic and printed documents developed and produced, for public communications shall follow the following requirements to comply with Section 508 of the Rehabilitation Act and the American with Disabilities Act:

- A. Ensure visual-impaired, hearing impaired and other special needs audiences are provided material information in formats that provide the most assistance in making informed choices."

31. Compliance with Statutes and Regulations

- a. The Subcontractor shall comply with all California and federal law, regulations, and published guidelines, to the extent that these authorities contain requirements applicable to Subcontractor's performance under the Agreement.

- b. These authorities include, but are not limited to, Title 2, Code of Federal Regulations (CFR) Part 200, subpart F, Appendix II; Title 42 CFR Part 431; subpart F; Title 42 CFR Part 433, subpart D; Title 42 CFR 434; Title 45 CFR Part 75, subpart D; and title 45 CFR Part 95, subpart F. To the extent applicable under federal law, this Agreement shall incorporate the contractual provisions in these federal regulations and they shall supersede any conflicting provisions in this Agreement.

32. Lobbying Restrictions and Disclosure Certification

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

- a. Certification and Disclosure Requirements
 - 1. Each person (or recipient) who requests or receives a contract or agreement, subcontract, grant or subgrant, which is subject to Section 1352 of the 31, U.S.C., are which exceeds \$100,000 at any tier, shall file a certification (in the form set forth in Attachment 1, consisting of one page, entitled "Certification Regarding Lobbying") that the recipient has not made, and will not make, any payment prohibited by Paragraph b of this provision.
 - 2. Each recipient shall file a disclosure (in the form set forth in Attachment2, entitled "Standard Form-LLL 'disclosure of Lobbying Activities") if such recipient has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered federal action) in connection with an agreement, or grant or any extension or amendment of that agreement, or grant, which would be prohibited under Paragraph b of this provision if paid for with appropriated funds.
 - 3. Each recipient shall file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affect the accuracy of the information contained in any disclosure from previously filed by such person under Paragraph a(2) herein. An event that materially affects the accuracy of the information reported includes:
 - a. A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered federal action;
 - b. A change in the person(s) or individual(s) influencing or attempting to influence a covered federal action; or
 - c. A change in the officer(s), employee(s), or member(s) contacted for the purpose of influencing or attempting to influence a covered federal action.
 - 4. Each person (or recipient) who requests or receives from a person referred to in Paragraph a(1) of this provision a contract or agreement, subcontract, grant or subgrant exceeding \$100,000 at any tier under a contract or agreement, or grant shall file a certification, and a disclosure form, if required, to the next tier above.
 - 5. All disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the person referred to in Paragraph a(1) of this provision. That person shall forward all disclosure forms to AHP Contract Office or Project Manager.
- b. Prohibition

Section 1352 of Title 31 U.S.C., provides in part that no appropriated funds may be expended by the recipient of a federal contract or agreement, grant, loan or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered federal actions: the awarding of any federal contract or agreement, the making of any federal grant, the making of any federal loan, entering into of

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

33. Avoidance of Conflicts of Interest by Subcontractor

1. AHP intends to avoid any real or apparent conflict of interest on the part of the Subcontractors, or employees, officers and Directors of the subcontractors. This AHP reserves the right to determine, at its sole discretion, whether any information, assertion or claim received from any source indicates the existence of a real or apparent conflict of interest; and, if a conflict is found to exist, to require the Subcontractor to submit additional information or a plan for resolving the conflict, subject to AHP review and prior approval.
2. Conflicts of interest include, but are not limited to:
 - a. An instance where the subcontractor has an interest, financial or otherwise, whereby the use or disclosure of information obtained while performing services under the Agreement would allow for private or personal benefit or for any purpose that is contrary to the goals and objectives of the Agreement.
 - b. An instance where the subcontractor's employees, officers, or Directors use their positions for purposes that are, or give the appearance of being, motivated by a desire for private gain for themselves or others, such as those with whom they have family, business or other ties.
3. If AHP is or becomes aware of a known or suspected conflict of interest, the Subcontractor will be given an opportunity to submit additional information or to resolve the conflict. A Subcontractor with a suspected conflict of interest will have five (5) working days from the date of notification of the conflict by AHP to provide complete information regarding the suspected conflict. If a conflict of interest is determined to exist by AHP and cannot be resolved to the satisfaction of AHP, the conflict will be grounds for terminating the Agreement. AHP may, at its discretion upon receipt of a written request from the Subcontractor, authorize an extension of the timeline indicated herein.

34. Subcontractor Conduct and Filing Requirements

- A. When a Subcontractor performs work on DHCS premises, the Subcontractor shall follow and adhere to all DHCS policies and procedures including, but not limited to, those governing health and safety, nondiscrimination, appropriate vehicle use, travel reimbursement, security and confidentiality of information, incompatible activities, acceptable employee conduct, information technology protocols and requirements, workplace violence prevention, and conflict of interest filing instructions (if applicable). Subcontractors may not access DHCS confidential, personal, or sensitive information until they have been trained on the DHCS policies and procedures for information privacy and security and sign a Confidentiality Statement. The training may be accomplished through ton-line Privacy/Security Training on the DHCS intranet.
- B. Certain Subcontractors designated by the DHCS' Conflict of Interest Code are required to complete and file a Statement of Economic Interests, Form 700. The Subcontractor agrees that if the Director of DHCS or his/her designee determines that a Statement of Economic Interests, Form 700, is required based upon the nature of the services that are to be performed, the Subcontractor shall be so notified by DHCS and the Subcontractor shall obtain a Form 700 and filing instructions from DHCS' Personnel Office or the Fair Practices Commission and fully complete the Form 700. The Subcontractor shall file the completed Form 700 in a timely manner with the DHCS Personnel Office and submit a copy to the DHCS Program Contract Manager. Failure to obtain, complete or file a Form 700 in a timely manner as instructed by DHCS, may result in immediate contract termination or Subcontract substitution/replacement.

35. Prohibited Follow-on Subcontracts

- A. No person, firm or subsidiary thereof who has been awarded a subcontract agreement may submit a bid for, nor be awarded an agreement for, the provision of services, procurement of goods or supplies, or any other related action which is required, suggested, or otherwise deemed appropriate in the end production of this Subcontract agreement.
- B. Paragraph A does not apply at any person, firm or subsidiary thereof who is awarded a subcontract agreement which totals more than 10 percent of the total monetary value of the consulting services agreement.
- C. Paragraphs A and B do not apply to subcontract agreements subject to Chapter 10 (commencing with Section 4525) of Division 5 of Title 1 of the Government Code.

State of California
Department of Health Care Services
CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

CERTIFICATION REGARDING LOBBYING

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

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

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date and of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g. the first subawardee of the prime is the first tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, in known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in Item 1 (e.g. Request for Proposal (RFP) number; Invitation for Bid (IFB); grant announcement number; the contract, grant or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g. "RFP-DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title and telephone number.

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

Travel Reimbursement Information

(Lodging and Per Diem Reimbursement - Effective for travel on/after January 1, 2021)

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

1) Lodging (with receipts*):

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

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

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

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

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

- d. Out-of-state travel may only be reimbursed if such travel is necessitated by the scope or statement of work and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors/subcontractors must have prior DHCS written or verbal approval. Verbal approval shall be confined in writing (email or memo).
 - e. In computing allowances for continuous periods of travel of less than 24 hours, consult the Per Diem Reimbursement Guide.
 - f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours unless expenses are incurred at least 50 miles from headquarters.
2. If any of the reimbursement rates stated herein is changed by CalHR, no formal contract amendment will be required to incorporate the new rates. However, DHCS shall inform the subcontractor, in writing, of the revised travel reimbursement rates and the applicable effective date of any rate change. At DHCS' discretion, changes or revisions made by DHCS to this exhibit, excluding travel reimbursement policies established by CalHR may be applied retroactively to any agreement to which a Travel Reimbursement Information exhibit is attached, incorporated by reference, or applied by DHCS program policy. Changes to the travel reimbursement rates stated herein may not be applied earlier than the date a rate change is approved by CalHR.
3. For transportation expenses. The subcontractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipt pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
4. Auto mileage reimbursement: If a subcontractor uses his/her or a company car for transportation, the rate of reimbursement will be 0.56 cents maximum per mile. If a subcontractor uses his/her or a company car "in lieu or airfare, the air coach fare will be the maximum paid by the State. The subcontractor must provide a cost comparison upon request by the State. Gasoline and routine automobile repair expenses are not reimbursable.
5. The subcontractor is required to furnish details surrounding each period of travel. Travel expense reimbursement detail may include, but not be limited to purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc. Reimbursement for travel expenses may be withheld pending receipt of adequate travel documentation.
6. Subcontractors are to consult with program funding the contract to obtain specific invoicing procedures.

Per Diem Reimbursement Guide

Length of travel period:	And this condition exists:	Meal allowed with receipt:
Less than 24 hours	<ul style="list-style-type: none"> • Trip begins at or before 6:00 a.m. and ends at or after 9:00 a.m. • Trip ends at least one hour after the regularly scheduled workday ends or begins at or before 4:00 p.m. and ends after 7:00 p.m. <p><i>Lunch or Incidentals cannot be claimed on one-day trips.</i></p>	Breakfast Dinner
24 hours or more	<ul style="list-style-type: none"> • Trip begins at or before 6:00 a.m. • Trip begins at or before 11:00 a.m. 	Breakfast Lunch
	<ul style="list-style-type: none"> • Trip begins at or before 5:00 p.m. 	Dinner
More than 24 hours	<ul style="list-style-type: none"> • Trip ends at or after 8:00 a.m. 	Breakfast
	<ul style="list-style-type: none"> • Trip ends at or after 2:00 p.m. • Trip ends at or after 7:00 p.m. 	Lunch Dinner

The following meals may not be claimed for reimbursement: meals provided by the State, meals included in hotel expenses or conference fees, meals included in transportation costs such as airline tickets, or meals that are otherwise provided. Snacks and/or continental breakfasts such as rolls, juice, and coffee are not considered to be a meal.

No meal expense may be claimed for reimbursement more than once in any given 24-hour period.

Business Associate Addendum

1. This Agreement has been determined to constitute a business associate relationship under the Health Insurance Portability and Accountability Act (HIPAA) and its implementing privacy and security regulations at 45 Code of Federal Regulations, Parts 160 and 164 (collectively, and as used in this Agreement)
2. The term "Agreement" as used in this document refers to and includes both this Business Associate Addendum and the contract to which this Business Associate Agreement is attached as an exhibit, if any.
3. For purposes of this Agreement, the term "Business Associate" shall have the same meaning as set forth in 45 CFR section 160.103.
4. AHP intends that Business Associate may create, receive, maintain, transmit or aggregate certain information pursuant to the terms of this Agreement, some of which information may constitute Protected Health Information (PHI) and/or confidential information protected by Federal and/or state laws..
 - 4.1 As used in this Agreement and unless otherwise stated, the term "PHI" refers to and includes both "PHI" as defined at 45 CFR section 160.103 and Personal Information (PI) as defined in the Information Practices Act (IPA) at California Civil Code section 1798.3(a). PHI includes information in any form, including paper, oral, and electronic.
 - 4.2 As used in this Agreement, the term "confidential information" refers to information not otherwise defined as PHI in Section 4.1 of this Agreement, but to which state and/or federal privacy and/or security protections apply.
5. Subcontractor (however named elsewhere in this Agreement) is the Business Associate of AHP acting on AHP's behalf and provides services or arranges, performs or assists in the performance of functions or activities on behalf of AHP, and may create, receive, maintain, transmit, aggregate, use or disclose PHI (collectively, "use or disclose PHI") in order to fulfill Business Associate's obligations under this Agreement. AHP and Business Associate are each a party to this Agreement and are collectively referred to as the "parties."
6. The terms used in this Agreement, but not otherwise defined, shall have the same meanings as those terms in HIPAA and/or the IPA. Any reference to statutory or regulatory language shall be to such language as in effect or as amended.
7. **Permitted Uses and Disclosures of PHI by Business Associate.** Except as otherwise indicated in this Agreement, Business Associate may use or disclose PHI, inclusive of de-identified data derived from such PHI, only to perform functions, activities or services specified in this Agreement on behalf of AHP, provided that such use or disclosure would not violate HIPAA or other applicable laws if done by AHP.
 - 7.1 **Specific Use and Disclosure Provisions.** Except as otherwise indicated in this Agreement, Business Associate may use and disclose PHI if necessary for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate. Business Associate may disclose PHI for this purpose if the disclosure is required by law, or the Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will be held confidentially and used or further disclosed only as required by law or for the purposes for which it was disclosed to the person. The person shall notify the Business Associate of any instances of which the person is aware that the confidentiality of the information has been breached, unless such person is a treatment provider not acting as a business associate of Business Associate.

8. Compliance with other Applicable Law

- 8.1** To the extent that other state and/or federal laws provide additional, stricter and/or more protective (collectively, more protective) privacy and/or security protections to PHI or other confidential information covered under this Agreement beyond those provided through HIPAA, Business Associate agrees:
- 8.1.1** To comply with the more protective of the privacy and security standards set forth in applicable state or federal laws to the extent such standards provide a greater degree of protection and security than HIPAA or are otherwise more favorable to the individuals whose information is concerned: and
- 8.1.2** To treat any violation of such additional and/or more protective standards as a breach or security incident, as appropriate, pursuant to Section 18. of this Agreement.
- 8.2** Examples of laws that provide additional and/or stricter privacy protections to certain types of PHI and/or confidential information, as defined in Section 4. of this Agreement, include, but are not limited to the Information Practices Act. California Civil Code sections 1798-1798.78, Confidentiality of Alcohol and Drug Abuse Patient Records, 42 CFR Part 2, Welfare and Institutions Code section 5328, and California Health and Safety Code section 11845.5.
- 8.3** If Business Associate is a Qualified Service Organization (QSO) as defined in 42 CFR section 2.11, Business Associate agrees to be bound by and comply with subdivisions (2)(i) and (2)(ii) under the definition of QSO in 42 CFR section 2.11.

9. Additional Responsibilities of Business Associate

- 9.1 Nondisclosure.** Business Associate shall not use or disclose PHI or other confidential information other than as permitted or required by this Agreement or as required by law.
- 9.2 Safeguards and Security.**
- 9.2.1** Business Associate shall use safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of PHI and other confidential data and comply, where applicable, with subpart C of 45 CFR Part 164 with respect to electronic protected health information, to prevent use or disclosure of the information other than as provided for by this Agreement. Such safeguards shall be based on applicable Federal Information Processing Standards (FIPS) Publication 199 protection levels.
- 9.2.2** Business Associate shall, at a minimum, utilize a National Institute of Standards and Technology Special Publication (NIST SP) 800-53 compliant security framework when selecting and implementing its security controls, and shall maintain continuous compliance with its selected framework as it may be updated from time to time. The current version of NIST SP 800-53, Revision 5, is available online at; updates will be available online through the [Computer Security Resource Center website](#).
- 9.2.3** Business Associate shall employ FIPS 140-2 compliant encryption of PHI at rest and in motion unless Business Associate determines it is not reasonable and appropriate to do so based upon a risk assessment, and equivalent alternative measures are in place and documented as such. FIPS 140-2 validation can be determined online through the Cryptographic Module Validation Program Search, with information about the Cryptographic Module Validation Program under FIPS 140-2. In addition, Business Associate shall maintain, at a minimum, the most

current industry standards for transmission and storage of PHI and other confidential information.

- 9.2.4** Business Associate shall apply security patches and upgrades, and keep virus software up-to- date, on all systems on which PHI and other confidential information may be used.
- 9.2.5** Business Associate shall ensure that all members of its workforce with access to PHI and/or other confidential information sign a confidentiality statement prior to access to such data. The statement must be renewed annually.
- 9.2.6** Business Associate shall identify the security official who is responsible for the development and implementation of the policies and procedures required by 45 CFR Part 164, Subpart C.
- 9.3 Business Associate's Agent.** Business Associate shall ensure that any agents, subcontractors, subawardees, vendors or others (collectively, "agents") that use or disclose PHI and/or confidential information on behalf of Business Associate agree to the same restrictions and conditions that apply to Business Associate with respect to such PHI and/or confidential information.

- 10. Mitigation of Harmful Effects.** Business Associate shall mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of PHI and other confidential information in violation of the requirements of this Agreement.
- 11. Access to PHI.** Business Associate shall make PHI available in accordance with 45 CFR section 164.524.
- 12. Amendment of PHI.** Business Associate shall make PHI available for amendment and incorporate any amendments to protected health information in accordance with 45 CFR section 164.526.
- 13. Accounting for Disclosures.** Business Associate shall make available the information required to provide an accounting of disclosures in accordance with 45 CFR section 164.528.
- 14. Compliance with DHCS Obligations.** To the extent Business Associate is to carry out an obligation of AHP under 45 CFR Part 164, Subpart E, comply with the requirements of the subpart that apply to AHP in the performance of such obligation.
- 15. Access to Practices, Books and Records.** Business Associate shall make its internal practices, books, and records relating to the use and disclosure of PHI on behalf of AHP available to AHP upon reasonable request, and to the federal Secretary of Health and Human Services for purposes of determining DHCS' compliance with 45 CFR Part 164, Subpart E.
- 16. Return or Destroy PHI on Termination; Survival.** At termination of this Agreement, if feasible, Business Associate shall return or destroy all PHI and other confidential information received from, or created or received by Business Associate on behalf of, AHP that Business Associate still maintains in any form and retain no copies of such information. If return or destruction is not feasible, Business Associate shall notify AHP of the conditions that make the return or destruction infeasible, and DHCS and Business Associate shall determine the terms and conditions under which Business Associate may retain the PHI. If such return or destruction is not feasible, Business Associate shall extend the protections of this Agreement to the information and limit further uses and disclosures to those purposes that make the return or destruction of the information infeasible.
- 17. Special Provision for SSA Data.** If Business Associate receives data from or on behalf of AHP that was verified by or provided by the Social Security Administration (SSA data) and is subject to an agreement between AHP, Business Associate shall provide, upon request by DHCS, a list of all employees and agents and employees who have access to such data, including employees and

agents of its agents, to AHP.

18. Breaches and Security Incidents. Business Associate shall implement reasonable systems for the discovery and prompt reporting of any breach or security incident, and take the following steps:

18.1 Notice to OHCS.

18.1.1 Business Associate shall notify AHP Immediately upon the discovery of a suspected breach or security incident that involves SSA data. This notification will be provided by email upon discovery of the breach. If Business Associate is unable to provide notification by email, then Business Associate shall provide notice by telephone to AHP.

18.1.2 Business Associate shall notify AHP within 24 hours by email (or by telephone if Business Associate is unable to email AHP) of the discovery of the following, unless attributable to a treatment provider that is not acting as a business associate of Business Associate:

18.1.2.1 Unsecured PHI if the PHI is reasonably believed to have been accessed or acquired by an unauthorized person;

18.1.2.2 Any suspected security incident which risks unauthorized access to PHI and/or other confidential information;

18.1.2.3 Any intrusion or unauthorized access, use or disclosure of PHI in violation of this Agreement; or

18.1.2.4 Potential loss of confidential Information affecting this Agreement.

18.1.3 Notice shall be provided to the DHCS Program Contract Manager (as applicable), the DHCS Privacy Office, and the DHCS Information Security Office (collectively, "DHCS Contacts") using the DHCS Contact Information at Section 18.6. below.

Notice shall be made using the current DHCS "Privacy Incident Reporting Form" ("PIR Form"; the Initial notice of a security Incident or breach that is submitted is referred to as an "Initial PIR Form") and shall include all information known at the time the Incident is reported. The form is available online at

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

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

18.1.3.1 Prompt action to mitigate any risks or damages involved with the security incident or breach; and

18.1.3.2 Any action pertaining to such unauthorized disclosure required by applicable Federal and State law.

18.2 Investigation. Business Associate shall immediately investigate such security incident or confidential breach.

18.3 Complete Report. To provide a complete report of the investigation to the DHCS contacts within ten (10) working days of the discovery of the security incident or breach. This "Final PIR" must include any applicable additional information not included in the Initial Form. The Final PIR Form shall include an assessment of all known factors relevant to a determination of whether a breach occurred under HIPAA and other

applicable federal and state laws. The report shall also include a full, detailed corrective action plan, including its implementation date and information on mitigation measures taken to halt and/or contain the improper use or disclosure. If DHCS requests information in addition to that requested through the PIR form, Business Associate shall make reasonable efforts to provide DHCS with such information. A "Supplemental PIR" may be used to submit revised or additional information after the Final PIR is submitted. DHCS will review and approve or disapprove Business Associate's determination of whether a breach occurred, whether the security incident or breach is reportable to the appropriate entities, if individual notifications are required, and Business Associate's corrective action plan.

18.3.1 If Business Associate does not complete a Final PIR within the ten (10) working day timeframe, Business Associate shall request approval from DHCS within the ten (10) working day timeframe of a new submission timeframe for the Final PIR.

- 18.4 Notification of Individuals. If the cause of a breach is attributable to Business Associate or its agents, other than when attributable to a treatment provider that is not acting as a business associate of Business Associate, Business Associate shall notify individuals accordingly and shall pay all costs of such notifications, as well as all costs associated with the breach. The notifications shall comply with applicable federal and state law. DHCS shall approve the time, manner and content of any such notifications and their review and approval must be obtained before the notifications are made.
- 18.5 Responsibility for Reporting of Breaches to Entities Other than DHCS. If the cause of a breach of PHI is attributable to Business Associate or its agents, other than when attributable to a treatment provider that is not acting as a business associate of Business Associate, Business Associate is responsible for all required reporting of the breach as required by applicable federal and state law.
- 18.6 DHCS Contact Information. To direct communications to the above referenced DHCS staff, the Contractor shall initiate contact as indicated here. DHCS reserves the right to make changes to the contact information below by giving written notice to Business Associate. These changes shall not require an amendment to this Agreement.

DHCS Program Contract Manager	DHCS Privacy Office	DHCS Information Security Office
See the Scope of Work exhibit for Program Contract Manager Information. If this Business Associate is not attached as an exhibit to a contract, contact the DHCS signatory to this Agreement	Privacy Office c/o Office of HIPAA Compliance Department of Health Care Services P.O. Box 997413, MS 4722 Sacramento, CA 95899-7413 Email: incidents@dhcs.ca.gov Phone: 916-445-4646	Information Security Office DHCS Information Security Office P.O. Box 997413, MS 6400 Sacramento, CA 95899-7413 Email: incidents@dhcs.ca.gov

19. Responsibility of DHCS. AHP agrees to not request the Business Associate to use or disclose PHI in any manner that would not be permissible under HIPAA and/or other applicable federal and/or state law.

20. Audits, Inspection and Enforcement

20.1 From time to time, AHP or DHCS may inspect the facilities, systems, books and records of Business Associate to monitor compliance with this Agreement. Business Associate shall promptly remedy any violation of this Agreement and shall certify the same to the DHCS

Privacy Officer in writing. Whether or how DHCS exercises this provision shall not in any respect relieve Business Associate of its responsibility to comply with this Agreement.

- 20.2** If Business Associate is the subject of an audit, compliance review, investigation or any proceeding that is related to the performance of its obligations pursuant to this Agreement, or is the subject of any judicial or administrative proceeding alleging a violation of HIPAA, Business Associate shall promptly notify AHP unless it is legally prohibited from doing so.

21. Termination

- 21.1 Termination for Cause.** Upon AHP's knowledge of a violation of this Agreement by Business Associate, AHP may in its discretion:
- 21.1.1** Provide an opportunity for Business Associate to cure the violation and terminate this Agreement if Business Associate does not do so within the time specified by DHCS; or
- 21.1.2** Terminate this Agreement if Business Associate has violated a material term of this Agreement.
- 21.2 Judicial or Administrative Proceedings.** AHP may terminate this Agreement if Business Associate is found to have violated HIPAA, or stipulates or consents to any such conclusion, in any judicial or administrative proceeding.

22. Miscellaneous Provisions

- 22.1 Disclaimer.** AHP makes no warranty or representation that compliance by Business Associate with this Agreement will satisfy Business Associate's business needs or compliance obligations. Business Associate is solely responsible for all decisions made by Business Associate regarding the safeguarding of PHI and other confidential information.
- 22.2. Amendment.**
- 22.2.1** Any provision of this Agreement which is in conflict with current or future applicable Federal or State laws is hereby amended to conform to the provisions of those laws. Such amendment of this Agreement shall be effective on the effective date of the laws necessitating it, and shall be binding on the parties even though such amendment may not have been reduced to writing and formally agreed upon and executed by the parties.
- 22.2.2** Failure by Business Associate to take necessary actions required by amendments to this Agreement under Section 22.2.1 shall constitute a material violation of this Agreement.
- 22.3 Assistance In Litigation or Administrative Proceedings.** Business Associate shall make itself and its employees and agents available to AHP at no cost to AHP to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against AHP, DHCS, its directors, officers and/or employees based upon claimed violation of HIPAA, which involve inactions or actions by the Business Associate.
- 22.4 No Third-Party Beneficiaries.** Nothing in this Agreement is intended to or shall confer, upon any third person any rights or remedies whatsoever.
- 22.5 Interpretation.** The terms and conditions in this Agreement shall be interpreted as broadly as necessary to implement and comply with HIPAA and other applicable laws.

22.6 No Waiver of Obligations. No change, waiver or discharge of any liability or obligation hereunder on any one or more occasions shall be deemed a waiver of performance of any continuing or other obligation, or shall prohibit enforcement of any obligation, on any other occasion.

**Attachment C
Subcontractor Certification**

Subcontractor Certification Clause

CCC 04/2017

CERTIFICATION

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Subcontractor to the clause(s) listed below. This certification is made under the laws of the State of California.

Subcontractor/Bidder Firm Name	Federal ID Number
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By (Authorized Signature)

Printed Name and Title of Person Signing

Date Executed	Executed in the County of
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SUBCONTRACTOR CERTIFICATION CLAUSES

PART I - STATEMENT OF COMPLIANCE:

Subcontractor has, unless exempted, complied with the nondiscrimination program requirements. (GC 12990 (a-f) and CCR, Title 2, Section 11102) (Not applicable to public entities.)

PART II - DRUG-FREE WORKPLACE REQUIREMENTS:

Subcontractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

- a) Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.
- b) Establish a Drug-Free Awareness Program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the person's or organization's policy of maintaining a drug-free workplace;

3. any available counseling, rehabilitation and employee assistance programs; and,
4. penalties that may be imposed upon employees for drug abuse violations.

c) Every employee who works on the proposed Agreement will:

1. Receive a copy of the company's drug-free policy statement; and,
2. agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Subcontractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: (1) the Subcontractor has made false certification, or violated the certification by failing to carry out the requirements as noted above. (GC 8350 et seq.)

NATIONAL LABOR RELATIONS BOARD CERTIFICATION:

Subcontractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Subcontractor within the immediately preceding two-year period because of Subcontractor's failure to comply with an order of a Federal court which orders Subcontractor to comply with an order of the National Labor Relations Board. (PCC 10296) (Not applicable to public entities.)

SUBCONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE-PRO BONO REQUIREMENT

Subcontractor hereby certifies that subcontractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Subcontractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the Agreement equal to the lesser of 30 multiplied by the number of full-time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any Agreement period of less than a full year or 10% of its Agreement with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services and may be taken into account when determining the award of future contracts with the State for legal services.

EXPATRIATE CORPORATIONS:

Subcontractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

SWEATFREE CODE OF CONDUCT:

- a. All Subcontractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works Agreement, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the Agreement have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal

sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The subcontractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at www.dir.ca.gov and Public Contract Code Section 6108.

- b. The subcontractor agrees to cooperate fully in providing reasonable access to the subcontractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the subcontractor's compliance with the requirements under paragraph (a).

DOMESTIC PARTNERS

For agreements of \$100,000 or more, Subcontractor certifies that Subcontractor is in compliance with Public Contract Code section 10295.3.

GENDER IDENTITY

For agreements of \$100,000 or more, Subcontractor certifies that Subcontractor is in compliance with Public Contract Code section 10295.35.

DOING BUSINESS WITH THE STATE OF CALIFORNIA

The following laws apply to persons or entities doing business with the State of California.

CONFLICT OF INTEREST:

Subcontractor needs to be aware of the following provisions regarding current or former state employees. If Subcontractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

a. Current State Employees (PCC 10410):

1. No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
2. No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

b. Former State Employees (PCC 10411):

1. For the two-year period from the date he or she left state employment, no former state officer or employee may enter into an Agreement in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the Agreement while employed in any capacity by any state agency.
2. For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into an Agreement with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed Agreement within the 12-month period prior to his or her leaving state service.

If Subcontractor violates any provisions of above paragraphs, such action by Subcontractor shall render this Agreement void. (PCC 10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (PCC 10430(e))

LABOR CODE/WORKERS COMPENSATION:

Subcontractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Subcontractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

AMERICAN WITH DISABILITIES ACT:

Subcontractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)

SUBCONTRACTORS NAME CHANGE:

An amendment is required to change the Subcontractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

CORPORATE QUALIFICATION TO DO BUSINESS IN CALIFORNIA:

- a) When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the subcontractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.
- b) "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate subcontractor performing within the state not be subject to the franchise tax.
- c) Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

RESOLUTION:

A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.

AIR OR WATER POLLUTION VIOLATION:

Under the State laws, the Subcontractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

PAYEE DATA RECORD FORM STD. 204:

This form must be completed by all subcontractors that are not another state agency or other government entity.

1.CALIFORNIA CIVIL RIGHTS LAWS: For Agreement executed or renewed after January 1, 2017, the subcontractor certifies compliance with the Unruh Civil Rights Act (Section 51 of the Civil Code) and the Fair Employment and Housing Act (Section 12960 of the Government Code); and

2.EMPLOYER DISCRIMINATION POLICIES For Agreements executed or renewed after January 1, 2017, if a con Subcontractor has an internal policy against a sovereign nation or peoples recognized by the United States government, the Subcontractor certifies that such policies are not used in violation of the Unruh Civil Rights Act Act (Section 51 of the Civil Code) and the Fair Employment and Housing Act (Section 12960 of the Government Code).

**ATTACHMENT D
STATEMENT OF WORK**

Agency Name: City and County of San Francisco
Implementation SOW Start Date: September 15, 2021
Implementation SOW End Date: June 30, 2025

Item	Billing Code	Description/Deliverable	Amount	Due Date
1.	7460.01-0002 Quarter 2 1/1/22– 3/31/22	INFRASTRUCTURE (BHCIP Funds) Equipment/Property Purchases <ul style="list-style-type: none"> Twenty (20) mobile laptop @ \$2,250 each Ten (10) Tablets @ \$1,200 each Six (6) Cellular hot spot equipment units @ \$250 each Activities/Deliverables that build the CCMU Infrastructure a. Field Communications for CCMU (\$2,000) Cellular plan subscription for mobile hot spots X two (2) months b. Trainings (\$4,000) Hire a part time consultant for clinical support group facilitation x two (2) months	\$58,500.00 \$6,000.00	
2.	7460.01-0002 Quarter 2 1/1/22 –3/31/22	DIRECT SERVICES (CRRSAA Funds) Deliver Mobile Crisis Response Services through Two (2) teams Purchase supplies (e.g., food, clothing, other small expenses) to support engagement of youth engaged in crisis services	\$3,000.00	3/31/22
3.	7460.01-0002 Quarter 3 4/1/22 –6/30/22	INFRASTRUCTURE (BHCIP Funds) Equipment/Property Purchases <ul style="list-style-type: none"> Two (2) new Sedan @ \$32,000 each One (1) new SUV @ \$40,000 Convert one (1) van for ADA accommodation @ \$10,000 Mobile office outfit for all cars (three (3) new, three (3) existing @ \$3,000 each x Six (6) units) Comprehensively upgrade crisis call phone system, incorporating voice over internet protocol (VOIP) \$50,000 Activities/Deliverables that build the CCMU Infrastructure a. Field Communications for CCMU (\$3,000) Cellular plan subscription for mobile hot spots three (3) months b. Trainings (\$68,528.00) <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Crisis Prevention Institute (CPI) Verbal Intervention Instructor Certification Program to support six (6) supervising staff to attend the Crisis Prevention Institute's Verbal Intervention training Hire Consultant for clinical support group facilitation for Grantee staff training x three (3) months. c. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits	\$182,000.00 \$146,765.00	6/30/22

		<p>to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator)</p> <p>d. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00) Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst)</p>		
4.	7460.01-0002 Quarter 3 4/1/22 –6/30/22	<p>DIRECT SERVICES (CRRSAA Funds) Deliver Mobile Crisis Response Services through 2 team Purchase supplies (e.g., food, clothing, other small expenses) to support engagement of youth engaged in crisis services</p>	\$7,000.00	6/30/22
5.	7460.01-0002 Quarter 4 7/1/22 –9/30/22	<p>INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure</p> <p>a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months</p> <p>b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months</p> <p>c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months</p> <p>d. Trainings (\$47,528.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation for Grantee staff training x three (3) months. <p>e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator)</p> <p>f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00) Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst)</p>	\$131,765.00	9/30/22

6.	7460.01-0002 Quarter 4 7/1/22 –9/30/22	<p>DIRECT SERVICES (CRRSAA Funds) Deliver Mobile Crisis Response Services through Two (2) teams Purchase supplies (e.g., food, clothing, other small expenses) to support engagement of youth engaged in crisis services</p>	\$2,500.00	9/30/22
7.	7460.01-0002 Quarter 5 10/1/22 -12/31/22	<p>INFRASTRUCTURE (BHCIP Funds) Equipment/Property Purchases</p> <ul style="list-style-type: none"> • <i>One (1) Mobile Health Clinic @ \$90,000</i> Purchase a vehicle for mobile crisis that is outfitted with an exam chair and cabinets for medical equipment for our psychiatric nurses to address minor medical issues during mobile crisis field visits <p>Activities/Deliverables that build the CCMU Infrastructure \$144,085.00</p> <ul style="list-style-type: none"> a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months d. Trainings (\$47,528.00) <ul style="list-style-type: none"> • Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) • Hire Consultant for clinical support group facilitation for Grantee staff training x three (3) months. e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator) a. Data Collection, Analysis and Quarterly Reporting for CCMU (\$46,030.00) <ul style="list-style-type: none"> • Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) • Post-call Interactive Voice Response (IVR) survey post-call client feedback using automated interactive voice response. • Survey Incentive x one hundred sixteen (116) units Conduct a survey with community stakeholders to ensure that our program is serving community needs. 	\$90,000.00	12/31/22
8.	7460.01-0002 Quarter 5 10/1/22 –12/31/22	<p>DIRECT SERVICES (CRRSAA Funds) Deliver Mobile Crisis Response Services through Two (2) teams Purchase supplies (e.g., food, clothing, other small expenses) to support engagement of youth engaged in crisis services</p>	\$2,500.00	12/31/22

9.	7460.01-0002 Quarter 6 1/1/23 – 3/31/23	INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months d. Trainings (\$47,528.00) <ul style="list-style-type: none"> • Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) • Hire Consultant for clinical support group facilitation for Grantee staff training x three (3) months e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator) f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00) <ul style="list-style-type: none"> • Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 	\$131,765.00	3/31/23
10.	7460.01-0002 (Partial) 1/1/23 – 2/14/23	DIRECT SERVICES (CRRSAA Funds) Deliver Mobile Crisis Response Services through two (2) teams Purchase supplies (e.g., food, clothing, other small expenses) to support engagement of youth engaged in crisis services	\$2,500.00	2/14/23 (Partial Quarter)
11.	7460.01-0002 Quarter 7 4/1/23 – 6/30/23	INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months. d. Trainings (\$47,528.00) <ul style="list-style-type: none"> • Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) • Hire Consultant for clinical support group facilitation at Grantee staff training x three (3) months. e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator)	\$131,765.00	6/30/23

		<p>f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 		
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12.	7460.01-002 Quarter 8 7/1/23 – 9/30/23	<p>INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure</p> <p>a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months</p> <p>b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months</p> <p>c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months</p> <p>d. Trainings (\$47,528.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation at Grantee staff training x three (3) months. <p>e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator)</p> <p>f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 	\$131,765.00	9/30/23
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13.	7460.01-0002 Quarter 9 10/1/23 – 12/31/23	<p>INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure</p> <p>a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months</p> <p>b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months</p> <p>c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months</p> <p>d. Trainings (\$47,528.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation at Grantee staff training x three (3) months. <p>g. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to</p>	\$131,765.00	12/31/23
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		<p>partners and support development of policies (Outreach Coordinator)</p> <p>h. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 		
14.	7460.01-0002 Quarter 10 1/1/24 – 3/31/24	<p>INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure</p> <p>a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months</p> <p>b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x 3 months</p> <p>c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x 3 months</p> <p>d. Trainings (\$47,528.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation at Grantee staff training x 3 months. <p>e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator)</p> <p>f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 	\$131,765.00	3/31/24
15.	7460.01-0002 Quarter 11 4/1/24 – 6/30/24	<p>INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure</p> <p>a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x 3 months</p> <p>b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x 3 months</p> <p>c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x 3 months</p> <p>d. Trainings (\$47,528.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation at Grantee staff training x 3 months <p>e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies</p>	\$131,765.00	6/30/24

		(Outreach Coordinator) f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00) <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 		
16.	7460.01-0002 Quarter 12 7/1/24 – 9/30/24	INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure <ul style="list-style-type: none"> a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x 3 months b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x 3 months c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x 3 months. d. Trainings (\$47,528.00) <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation at Grantee staff training x 3 months. e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator) f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00) <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 	\$131,765.00	9/30/24
17.	7460.01-0002 Quarter 13 10/1/24 – 12/31/24	INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure <ul style="list-style-type: none"> a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months. d. Trainings (\$47,528.00) <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation at Grantee staff training x three (3) months e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to 	\$131,765.00	12/31/24

		<p>partners and support development of policies (Outreach Coordinator)</p> <p>f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 		
18.	7460.01-0002 Quarter 14 1/1/25 – 3/31/25	<p>INFRASTRUCTURE (BHCIP Funds)</p> <p>Activities/Deliverables that build the CCMU Infrastructure</p> <p>a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months</p> <p>b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months</p> <p>c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months.</p> <p>d. Trainings (\$47,528.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, to oversee the training of Grantee staff (Training Coordinator) Hire Consultant for clinical support group facilitation at Grantee staff training x three (3) months. <p>e. Marketing for CCMU (\$41,527.00) Hire 1.00 full time employee (FTE), with benefits to engage with Grantee to provide information to partners and support development of policies (Outreach Coordinator)</p> <p>f. Data Collection, Analysis and Quarterly Reporting for CCMU (\$33,710.00)</p> <ul style="list-style-type: none"> Hire 1.00 full time employee (FTE), with benefits, with benefits to monitor and collect crisis call data to ensure quality and impact (Performance Analyst) 	\$131,765.00	3/31/25

19.	7460.01-0002 Quarter 15 4/1/25 – 6/30/25	INFRASTRUCTURE (BHCIP Funds) Activities/Deliverables that build the CCMU Infrastructure a. Vehicle related costs for CCMU (\$1,500.00) Parking for CCMU vehicles x three (3) months b. Field Communications for CCMU (\$3,000.00) Cellular plan subscription for mobile hot spots x three (3) months c. Dispatch for CCMU teams (\$4,500.00) Telehealth and dispatch software platform x three (3) months. San Francisco Dept. Public Health will contract with a mobile crisis telehealth specialist to develop a telehealth solution that can be used on the cellular hotspot-enabled laptops and tablets to facilitate consultations and telepsychiatry d. Trainings (\$6,000.00) Consultant for clinical support group facilitation (monthly expense for multiple weekly groups) x three (3) months. Consultant shall facilitate clinical groups for program staff to discuss and learn from challenging cases and identify opportunities to improve clinical practice	\$15,000.00	6/30/25
		Year 4 Total	\$410,295.00	
		CONTRACT TOTAL	\$1,977,500.00	

ATTACHMENT E
PAYMENT SCHEDULE
City and County of San Francisco

Description	Invoice Description	Amount Estimated
Equipment	Upon Completion of purchase with receipt for goods/equipment	\$58,500.00 \$182,000.00 \$90,000.00
Total Equipment		\$330,500.00

Quarter #/Date Range	Invoice Description	Amount of Invoice
Quarter 2: 1/01/22 – 3/31/22	Progress Report detailing progress made towards Deliverable 1	\$6,000.00
Quarter 2: 1/01/22 – 3/31/22	Progress Report detailing progress made towards Deliverable 2(CRRSAA Funds)	\$3,000.00
Quarter 3: 04/01/22 – 6/30/22	Progress Report detailing progress made towards Deliverable 3	\$146,765.00
Quarter 3: 04/01/22 – 6/30/22	Progress Report detailing progress made towards Deliverable 4 (CRRSAA Funds)	\$7,000.00
Quarter 4: 07/01/22 – 9/30/22	Progress Report detailing progress made towards Deliverable 5	\$131,765.00
Quarter 4: 07/01/22 – 9/30/22	Progress Report detailing progress made towards Deliverable 6 (CRRSAA Funds)	\$2,500.00
Quarter 5: 10/01/22 – 12/31/22	Progress Report detailing progress made towards Deliverable 7	\$144,085.00
Quarter 5: 10/01/22 – 12/31/22	Progress Report detailing progress made towards Deliverable 8	\$2,500.00
Quarter 6: 1/1/23 – 2/14/23	Progress Report detailing progress made towards Deliverable 9	\$131,765.00
Quarter 6: 1/1/23 – 2/14/23	Progress Report detailing progress made towards Deliverable 10	\$2,500.00
Quarter 7: 4/1/23 – 6/30/23	Progress Report detailing progress made towards Deliverable 11	\$131,765.00
Quarter 8: 07/01/23 – 9/30/23	Progress Report detailing progress made towards Deliverable 12	\$131,765.00
Quarter 9: 10/01/23 – 12/31/23	Progress Report detailing progress made towards Deliverable 13	\$131,765.00
Quarter 10: 1/1/24 – 2/14/24	Progress Report detailing progress made towards Deliverable 14	\$131,765.00
Quarter 11: 4/1/24 - 6/30/24	Progress Report detailing progress made towards Deliverable 15	\$131,765.00
Quarter 12: 07/01/24 – 9/30/24	Progress Report detailing progress made towards Deliverable 16	\$131,765.00
Quarter 13: 10/01/24 – 12/31/24	Progress Report detailing progress made towards Deliverable 17	\$131,765.00
Quarter 14: 1/1/25 – 2/14/25	Progress Report detailing progress made towards Deliverable 18	\$131,765.00

Quarter 15: 4/1/25 – 6/30/25	Progress Report detailing progress made towards Deliverable 19	\$15,000.00
Total Deliverables and Other Directs		\$1,647,000.00
Total Deliverables, Other Direct and Equipment		\$1,977,500.00



State of California—Health and Human Services Agency
Department of Health Care Services



MICHELLE BAASS
DIRECTOR

GAVIN NEWSOM
GOVERNOR

November 10, 2021

Re: Crisis Care Mobile Units (CCMU) Program
Attn: Matthew L. Goldman, M.D., M.S.
matthew.goldman@sfdph.org

Dear Matthew L. Goldman, M.D., M.S.:

Thank you for your submission for the California Department of Health Care Services (DHCS) CCMU Program, funded by the Behavioral Health Continuum Infrastructure Program (BHCIP) and by the Substance Abuse and Mental Health Services Administration (SAMHSA) through the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA).

Congratulations! This letter serves as your Notice of Award.

DHCS is pleased to announce that San Francisco County has been selected to receive funding in the amount of \$1,977,500.00. The award amount is based on your funding request and proposal for the period starting from September 15, 2021 through June 30, 2025.

The final award is contingent upon Advocates for Human Potential, Inc.'s (AHP's) receipt of an executed contract from DHCS as the CCMU Administrative Entity, AHP's receipt of the funding for this expressed purpose and the completion of an executed contract with AHP. We anticipate these shall all be completed in the near term.

By completing the following form, you are officially accepting this award:
<https://survey.alchemer.com/s3/6532053/SURVEY-FOR-ACCEPTING-Crisis-Care-Mobile-Units-CCMU-Program-FUNDING-ALLOCATION>.

Please submit the form at the link above no later than 4 p.m. PT November 18, 2021. If you have any questions, please contact the AHP CCMU team at CCMU@ahpnet.com.

Sincerely,

DocuSigned by:
A handwritten signature in black ink that reads 'Marlies Perez'.

C595D8836F1F429...
Marlies Perez, Division Chief
Community Services Division
Department of Health Care Services

**San Francisco Department of Public Health Behavioral Health Services (CBHS)
Comprehensive Crisis Services Program**

**California Department of Health Care Services
Crisis Care Mobile Units (CCMU) Program Application**

Application Narrative

A. Application Organizational Information

- **County Name:** San Francisco County
- **Supporting a Fiscal Sponsor?** No
- **Address:** 1380 Howard Street, San Francisco, CA, 94103
- **Phone:** (415) 255-3737
- **URL:** <https://www.sfdph.org/dph/default.asp>
- **Application Contact:** Matthew L. Goldman, M.D., M.S.
- **Application Contact Email Address:** matthew.goldman@sfdph.org
- **Application Contact Phone:** 415-317-4142
- **What is the Applicant's Annual Budget Amount?** \$446,435,136
- **Does the Applicant Have an Annual Financial Audit?** Annual financial monitoring audits and internal auditing of all County programs and department, including civil service programs and contracts, is conducted by the San Francisco Department of Public Health Business Office and Contract Compliance (BOCC) program.

B. Project Information

- **Project Name:** San Francisco Crisis Care Mobile Units Infrastructure Expansion Project
- **Brief Summary and Purpose of Project:** (100 Words Maximum)

Through the Infrastructure Expansion Project, San Francisco (SF) Comprehensive Crisis Services will significantly expand the quality, scope, and impact of our existing crisis care mobile units program by, among other activities: a) adding 1.67 FTE in new analyst staff to improve continuous quality improvement to support mobile crisis calls; b) acquiring two new vehicles to increase the time spent in the field by mobile teams; c) upgrading existing phone systems to improve communication quality and facilitate automated data collection; d) purchasing laptops and tablets for telehealth and remote documentation in the field; and e) providing deescalation trainings to clinical staff.

- **Start Date:** September 15, 2021
- **Direct Service End Date:** February 14, 2023
- **Infrastructure End Date:** June 30, 2025
- **Amount Requested:** \$1 million

Focus Populations Estimate:

Race / Ethnicity:

- **African American or Black:** 21.4%
- **American Indian or Alaska Native:** 0.4%
- **Asian / Asian American:** 17.2%
- **Chicanx or Latinx or Hispanic:** 19.5%
- **Native Hawaiian or Pacific Islander:** 0.4%
- **White:** 34.8%
- **Native Hawaiian / Pacific Islander:** 0.4%
- **Biracial:** 6.3%

Age:

- **< 5 year-olds:** 0.2%
- **5 to 9 year-olds:** 3.7%
- **10 to 14 year-olds:** 10.1%
- **15 to 19 year-olds:** 33.4%
- **20 to 25 year-olds:** 3.6%
- **26 to 34 year-olds:** 9.8%
- **35 to 44 year-olds:** 8.9%
- **45 to 54 year-olds:** 10.7%
- **55 to 64 year-olds:** 10.0%
- **65 to 74 year-olds:** 4.8%
- **75 to 84 year-olds:** 3.2%
- **85+ year-olds:** 1.6%

C. Narrative Questions

Track Record: Describe your county's current behavioral health crisis system and CCMU program or capacity within your existing behavioral health crisis system to implement a new CCMU program. (200 words maximum)

San Francisco Behavioral Health Services (BHS) operates a robust and well-established Comprehensive Crisis Services (CCS) program that incorporates a strong emphasis on young people ages 25 and lower, who make up roughly **half** of all clients served by the program. The CCS program has continually evolved since its founding as a Child Crisis response program in **1981**, incorporating innovative programs and services while expanding to meet growing local crisis needs. The city's **Adult Mobile Crisis** program was founded in 1996 and the **Crisis Response Team** program became part of BHS in 2006. These three programs were merged to form Comprehensive Crisis Services in 2012, which also includes a call center to coordinate mobile team dispatch. A **Crisis Intervention Team** was added to this service array in collaboration with the San Francisco Police Department in 2016. CCS is aligned with the

National Guidelines for Behavioral Health Crisis Care, incorporating a 24/7 crisis line, mobile crisis teams, partnerships with crisis facilities, and post-crisis follow-up, aiming to decrease criminal-legal system involvement and emergency department use. The **mission** of CCS is to provide compassionate, culturally appropriate, trauma-informed interventions that bring safety and foster resiliency, strength, and hope for individuals, families, and communities in crisis.

1. What services are currently available in your county for adults in crisis?

a. Mobile Crisis Units:

i) Staff composition of unit(s):

- San Francisco currently employs **20** crisis responders in the CCS program. These individuals are responsible for answering the crisis line requests for service and are also deployable through **five 2-person teams** that are able to be dispatched into the field for emergencies. Through the purchase of **2** new vehicles through the CCMU grant program, our program will be able to maintain **3** of these teams in the field on an ongoing basis, in turn decreasing the time needed to respond to psychiatric emergencies and increasing the number of field visits to which they will be able to respond.

ii) Number of units and cumulative hours of coverage:

- Crisis call line inquiries are received and responded to on a **24-hours-per-day / 7-days-per-week** basis. San Francisco CCS team members are **dispatched to child crisis calls 24/7** and to both adult and child crisis calls during regular CCS office hours, which are **Monday through Friday from 8:30 AM to 11:00 PM** and **Saturday from 9:00 AM to 7:00 PM**, for a cumulative total of 82.5 hours per week. Meanwhile, the **CCS Crisis Response Team (CRT)** collaborates with the SF Police Department to provide **24/7 community response** to incidents involving homicides, suicides, critical shootings, and Vision Zero traffic fatalities. CRT services incorporate linkages to victim services, assistance with funeral and burial arrangements, and ongoing short or long-term individual support to family and community members exposed to violence.

iii) How are these teams dispatched?

- San Francisco CCS operates a robust crisis call line that is responsible for dispatching CCS mobile teams into the field. The CCS crisis line receives an average of approximately **3,000** calls per year. Through highly trained crisis line triage responders, approximately **80%** of calls are able to be resolved on the phone while about **20%** require individuals to go out in the field.

b. Urgent Care / Walk-in Clinics:

- Tom Waddell Urgent Care Clinic
- Zuckerberg San Francisco General Hospital Family Health Center

- San Francisco Behavioral Health Access Center
- San Francisco Behavioral Health Pharmacy
- San Francisco Office-Based Buprenorphine Induction Clinic
- Dore Urgent Care Clinic
- Westside Crisis

c. Crisis Stabilization Unit/23-hour unit (CSU):

i) List program name(s) and number of beds:

- DORE Urgent Care Crisis - 24-hour facility where clients can stay less than 24 hours - 8 beds

d. Crisis Residential Facilities (CRF):

i) List program name(s) and number of beds:

- San Francisco Acute Diversion Units - 39 beds
- Joe Healy Detox / Baker Places - 26 beds
- Walden House Social Detox Center - 27 beds

e. Other Crisis Facility Models:

i) List program name(s) and number of beds:

- Hummingbird Peer Respite Center - Potrero - 29 beds
- Hummingbird Peer Respite Center - Valencia - 30 beds

f. Sobering Centers (SC)

i) List program name(s) and number of beds:

- The SOMA RISE Center - 20 beds
- Community Forward SF Medical Respite and Sobering Center - 8 beds

2. What services are currently available in your county for children / youth in crisis?

a. Mobile Crisis Unit

i. Staff composition of unit(s)

- San Francisco's **20** crisis responders are available to respond to both adults and children and youth in crisis.

ii. Number of units and cumulative hours of coverage

- Crisis call line inquiries are received and responded to on a **24-hours-per-day / 7-days-per-week** basis. San Francisco CCS team members are **dispatched to child crisis calls 24/7** and to both adult and child crisis calls during regular CCS office hours, which are **Monday**

through Friday from 8:30 AM to 11:00 PM and Saturday from 9:00 AM to 7:00 PM, for a cumulative total of **82.5 hours per week**.

iii. How are these teams dispatched?

- San Francisco CCS operates a robust crisis call line that is responsible for dispatching CCS mobile teams into the field. The CCS crisis call line receives approximately **3,000** calls per year, **20%** of which are responded to by immediate dispatch by 2-person crisis response teams.

b. Urgent Care / Walk-in Clinics:

- None - N/A

c. Crisis Stabilization Unit/23-hour unit (CSU):

- Edgewood Crisis Stabilization Unit - 4 youth beds

d. Crisis Residential Facilities (CRF):

- Edgewood Crisis Residential - 2 youth beds

e. Other Crisis Facility Models:

- None - N/A

f. Sobering Centers (SC)

- None - N/A

3. Are there any behavioral health crisis service facilities or units (CSU, CRF, SC, or others) that your county contracts for that are not located within your county?

a. List program name(s), location (i.e., county), facility or unit type, population served (i.e., adults or children/youth) and number of beds

- None - N/A

4. What is the current (or intended) process for dispatch of mobile crisis units in your county's behavioral health crisis system?

- As noted above, San Francisco CCS operates a robust crisis call line that is responsible for dispatching CCS mobile teams into the field. The crisis line receives an average of approximately **3,000** calls per year, and approximately **20%** of these are responded to by mobile crisis team members who are dispatched and coordinated based on clinical acuity,

location, availability, and time of day. Whenever possible, cultural concordance is considered in decisions about which CCS team members respond to the individual in crisis.

5. How does your county incorporate telehealth/mobile technology in its behavioral health crisis system?

- San Francisco mobile crisis team members are able to conduct remote telehealth evaluations and follow-up sessions in the field using Zoom. These sessions can be conducted both for new and existing clients, and in a variety of ways. For example, SF mobile crisis staff often conducts remote assessments of children who are experiencing crisis **while they are in the Emergency Room** at UCSF / Benioff Children's Hospital. However, the city's existing mobile telehealth capacity is limited because of dated equipment and a shortage of units, while staff are often unable to connect to local wireless networks depending on their location. Through the current grant program, CCS will acquire new tablets to improve the quality and availability of telehealth sessions in the field, while supporting the cost of monthly mobile hot spot access that will ensure client remote access anywhere in the city.

6. How are law enforcement involved in your county's behavioral health crisis system?

- San Francisco CCS includes the Crisis Response Team, which work in collaboration with members of the San Francisco Police Department (SFPD) to respond to families and community members impacted by suicides, homicides, and pedestrian fatalities that occur in the city. In these cases, crisis team members work on site with families and witnesses who are affected by these events. Additionally, CCS partners with the SFPD to operate its **Crisis Intervention Team (CIT)** program, which conducts planned co-response visits for individuals who are becoming increasingly violent due to suspected or known behavioral health disorders. The CIT also provides consultation to SFPD when there is a barricaded subject who may have behavioral health issues, including providing on-site support for family members who may be on the scene of a barricade incident.

7. How many crisis services within your county operate 24/7?

a. Please include information regarding patient wait times

- As noted above, CCS crisis call line inquiries are received and responded to on a **24-hours-per-day / 7-days-per-week** basis. Given the location of CCS in the Bayview neighborhood in San Francisco and the lack of resource to currently keep teams out in the field continually throughout the day, CCS response times are typically within the goal of 90 minutes, though they are sometimes scheduled for the following day if requested by the client and clinically appropriate for next day response. These CCS patient wait times are a key metric that we aim to improve with the support of the CCMU grant opportunity. At the same time, the SF DPH **Street Crisis Response Team (SCRT)** is also available on a **24/7** basis to respond to clients in San Francisco who are experiencing a behavioral health crisis in public spaces, with a special emphasis on engaging people experiencing homelessness. The SCRT is dispatched directly through calls to 911 and maximum response time for the SCRT is 15 minutes.

Use of Funds: Describe in detail your plan for using these funds to expand your current CCMU program or to implement a new CCMU program, including your 1) goals, 2) activities, 3) timeline, and 4) resources. (300 words maximum)

Track 2 Implementation Grant funds will enable SF Comprehensive Crisis Services (CCS) to implement an integrated range of activities that significantly enhance the quality, scope, and impact of our crisis care mobile unit program. The **goal** of these activities is to alleviate suffering and improve the health and well-being of San Franciscans experiencing behavioral health crises, with a focus on individuals aged 25 and younger, who will make up **half** of the project population. The program will add **one full-time** and **one 67%-time Performance Analyst** who will enhance the effectiveness and document the success of SF's **mobile crisis call center** by continually reviewing calls to ensure appropriate follow-up while synthesizing key client data to demonstrate the success of the system. Funds will support the purchase of **two new vehicles** that will allow mobile crisis teams to be **continually in the field**, providing more rapid response while enhancing relationships with local schools and CBO partners. Funds will also allow our program to upgrade its antiquated phone system to a **voice over internet protocol (VOIP)** system that improves quality of communication while facilitating collection of automated caller data. Grant funds will support the purchase of **new laptops and tablets** with mobile hot spots that allow for telehealth and remote documentation in the field. Funds will also support an intensive **de-escalation training** for clinical staff while providing a small pool of **flex funds** that support client engagement in care. Finally, the grant will facilitate additional qualitative evaluation of the program through a **year-long post-call interactive voice response survey** that invites clients to give feedback on the quality and impact of crisis line communication and support. New staff will work for a total of **41 months** beginning 2/1/22 while most program enhancements will take place in the **first project period** from 9/15/21-6/30/22.

Expected Outcomes: List 2-5 expected direct outcomes of the proposed activities. (200 words maximum)

Over the 44½-month project period, the Infrastructure Enhancement Project will produce several key outcomes in relation to our CCMU program, including the following:

- The new 1.67-FTE Performance Analysts will significantly increase the speed and accuracy with which crisis callers are linked to appropriate services to meet their needs, while proposing enhancements that improve the overall quality and impact of call center services.
- The 1.67-FTE Performance Analysts will help secure long-term funding for the CCMU program by producing data that demonstrates the success of the program in achieving key systemic outcomes such as reduced criminal justice involvement and reduced Emergency Department visits.
- The two new purchased vehicles will allow for significantly faster mobile response to crisis incidents throughout the city, while increasing day-to-day contact with key project referral partners for youth.

- The upgraded VOIP phone system will measurably increase the quality of caller communications, facilitate automated data functions such as the creation of caller profiles and the collection of client metrics, and improve communication across the BHS system.
- The post-call IVR survey will enhance the quality of the mobile crisis call center by soliciting immediate client feedback and input on the quality of center services.

Evaluation Process: Describe how you will document or evaluate progress toward the outcomes. (200 words maximum)

Over the past two years, SF Comprehensive Crisis Services has implemented extensive systems to track user and service metrics and to document outcomes of the CCMU program. CCS utilizes the **Avatar** behavioral health EHR system, which is **already structured** to track and report on virtually **all** of the performance data measures listed in the RFA. This includes **quantitative** data on factors such as number and type of individuals served, primary diagnoses and rate of co-occurring disorders, average response time, number and reasons for CCMU dispatch, length of time to receive follow-up, degree of family involvement, and percentage of encounters resolved successfully within 2 hours. The system is also able to track **qualitative** outcomes such as reduced criminal justice and reduced emergency department engagement. However, the system currently lacks the QI resources to review client documentation, examine the thoroughness of client recordkeeping, and assess the quality of client follow-up to continually improve the impact and efficacy of the program. The system is also in urgent need of staff resources to document the value and impact of the program in collaboration with stakeholders, including the degree to which the program reduces overall systemic costs as a strategy to advocate for long-term funding.

Organizational Capacity: Describe 1) your county's capacity to implement the project (including staffing capacity), and 2) how this project may further build your county's capacity. (250 words maximum)

As a unit of a large and advanced county behavioral health services program, SF Comprehensive Crisis Services has the experience, resources, and systems needed to effectively and efficiently implement the proposed capacity expansion activities. Under the leadership of Director Stephanie Felder and Medical Director Dr. Matthew Goldman, CCS has made tremendous strides over the past several years in expanding the number of mobile crisis staff available in the city while bringing about systemic enhancements such as an improved and more widely publicized crisis call center, enhanced community partnerships, and expanded collaboration and integration with other BHS units and programs, including the county's expanding TAY system of care. The CCS call center currently fields more than **3,000** calls annually, **20%** of which result in crisis dispatch, most to young people aged 25 and younger. The system also incorporates an advanced **child crisis system** for SF youth, including services conducted in emergency rooms, schools, foster homes, and group homes. CCS's **Crisis Response Team (CRT)** is available on a 24/7 basis providing 30-60-day treatment to children and families impacted by violence, while CCS staff on the SF **Crisis Intervention Team (CIT)** partner with law enforcement to provide co-response aimed at diverting clients from criminal-legal system involvement. The

proposed Infrastructure Expansion Project offers an ideally timed opportunity for CCS to make a series of **strategic investments** that build on these successes with the goal of increasing the quality, impact, and scope of the program, while generating data needed to help secure long-term program funding.

Partnerships: Describe clinic or community partnerships and resources that could be readily established or are already in place to support implementation of program goals. (200 words maximum)

Both SF BHS and CCS engage actively in community partnerships to carry out program services and to achieve countywide goals and objectives in relation to behavioral health crisis response. CCS regularly coordinates with 911 and SF Suicide Prevention hotline when calls need to be transferred, SF Police and Fire Departments around co-response and client transport, the Street Crisis Response Team when homeless clients are in crisis, as well as child and adolescent programs such as school-based mental health services, the SF foster mental health program, and child protective services. Furthermore, the County maintains and actively participates in a myriad of planning and coordinating bodies that incorporate and exemplify meaningful community partnership, and that continually seek to coordinate and integrate available resources to ensure the broadest and deepest impact on SF populations affected by behavioral health issues. At the same time, the majority of direct behavioral health services supported through BHS are provided through **direct community service contracts** in which local providers offer and provide trauma-informed, population-sensitive services, including services tailored to specific ethnic groups and key sub-populations. These contracts are particularly critical in the case of young people aged 25 and younger, who require tailored, developmentally specific services.

Sustainability: Describe how your project will utilize this funding to support sustainability of your work after the funding ends. (100 words maximum)

As noted in the narrative above, the proposed program generates important new resources for tracking and documenting both the quantitative and qualitative impacts of the CCS and CCMU programs, particularly through the two new Performance Analysts and through proposed phone system upgrades and the post-call IVR survey. These approaches will enable our program to better track and document our program's effectiveness in promptly linking clients to appropriate crisis services, while continually generating data summaries and reports that help secure long-term funding by building a case for the impact and cost-effectiveness of the CCS and CCMU programs, particularly among SF youth.

Coordination: If your county manages multiple CCMUs, describe how you will structure and coordinate the administration of these entities. (200 words maximum)

The SF CCS CCMU program is currently staffed to answer all incoming crisis calls while providing 2-person mobile team response to up to four field visits simultaneously during daytime hours, and up to one team on a 24/7 basis. The proposed infrastructure expansion seeks a series of

enhancements that relate to the work of all of these teams simultaneously and will allow for improved coordination of these CCS mobile teams. SF County also manages the Street Crisis Response Team (SCRT), which includes six teams comprised of a behavioral health clinician, a Fire paramedic, and a peer specialist and is dispatched directly by 911 to respond to people experiencing homelessness who are in crisis. CCS coordinates regularly with SCRT in its role as an alternative number for SCRT deployment, which was arranged to ensure access to SCRT services for clients who otherwise would not feel comfortable contacting 911 due to fear of police response.

Technical Assistance: What technical assistance would your county benefit from in implementing this project? (100 words maximum)

The SF CCS does not currently foresee requiring outside technical assistance services to implement the proposed program, although we are open to support and input on specific components of the program.

Crisis Care Mobile Units Program		Year 1	Year 2	Year 3	Year 4	Total
		9/1/21 - 6/30/22	7/1/22 - 6/30/23	7/1/23- 6/30/24	7/1/24 - 6/30/25	Amount
Infrastructure	Personnel -					-
	1.00 fte 1803 Performance Analysts	22,932	91,728	91,728	68,796	275,184
	1.00 fte 2591 HPC II (Training coordinator)	28,250	113,000	113,000	84,750	339,000
	1.00 fte 2591 HPC II (Outreach coordinator)	28,250	113,000	113,000	84,750	339,000
						-
Infrastructure	Fringe benefits @ 47%	37,333	149,332	149,332	111,999	447,996
Infrastructure	Equipment					
	2 new Sedens @ \$32,000 each	64,000				64,000
	1 SUV	40,000				40,000
	1 Mobile Health Clinic		90,000			90,000
	Convert 1 van for ADA accommodation	10,000				10,000
	Mobile office outfit for all cars (3 new, 3 existing) @ \$3,000 each	18,000				18,000
	Phone system upgrade	50,000				50,000
Infrastructure	Supplies					
	Labtop Computers @ \$2,250/pcs x 20 units (hot-spot enabled)	45,000				45,000
	Tables @ \$1,200/pcs x 10 units (hot spot/telepsych enabled)	12,000				12,000
	Cellular hot spot equipment \$250 each x 6 units	1,500				1,500
	Cellular plan subscription for mobile hot spots \$1,000/mths x 41 months	5,000	12,000	12,000	12,000	41,000
	Suvery Incentive \$20 each x 116 units		2,320			2,320
Infrastructure	Contractual					
	Post-call IVR survey	-	10,000			10,000
	CPI Verbal Intervention Instructor Certification Program \$3,500 each x 6 units	21,000	-			21,000
	Consultant for clinical support group facilitation (monthly expense for multiple weekly groups) \$2,000/mth x 41 months	10,000	24,000	24,000	24,000	82,000
	Telehealth and dispatch software platform \$1,500/mth x 36 months		18,000	18,000	18,000	54,000
	Flex funds (9/1/2021 to 2/14/2023)	10,000	7,500			17,500
Infrastructure	Other					
	Parking for CCMU vehicles \$500/month x 36		6,000	6,000	6,000	18,000
Total		403,265	636,880	527,060	410,295	1,977,500

SAN FRANCISCO DEPARTMENT OF PUBLIC HEALTH						
California Department of Health Services Crisis Care Mobile Units Program						
Infrastructure Component - September 15, 2021 - June 30, 2025 (44.5 Total Months)						
A. PERSONNEL						
Name	Position	Annual Salary	Monthly Salary	Prog FTEs	# of Months	Total
TBH	1803 Performance Analyst	\$ 91,728	\$ 7,644	100%	36	\$ 275,184
TBH	2591 HPC II (Training coordinator)	\$ 113,000	\$ 9,417	100%	36	\$ 339,000
TBH	2591 HPC II (Outreach coordinator)	\$ 113,000	\$ 9,417	100%	36	\$ 339,000
		\$ -	\$ -	0%	0	\$ -
		\$ -	\$ -	0%	0	\$ -
Subtotal, Personnel						\$ 953,184
B. FRINGE BENEFITS					47.00%	\$ 447,996
Total Personnel						\$ 1,401,180
C. TRAVEL				Mileage Rate	# Mi./Mo.	# Mos.
Local Mileage				\$ 0.560	0	0
Total Travel						\$ -
D. EQUIPMENT						
2 Sedans				\$ 32,000	2	\$ 64,000
1 SUV				\$ 40,000	1	\$ 40,000
1 Mobile Health Clinic				\$ 90,000	1	\$ 90,000
Convert 1 van for ADA accommodation				\$ 10,000	1	\$ 10,000
Mobile office outfit for all cars (3 new, 3 existing)				\$ 3,000	6	\$ 18,000
Phone system upgrade				\$ 50,000	1	\$ 50,000
Total Supplies						\$ 272,000
E. SUPPLIES				Unit / Monthly Cost	# of Units / Months	Total
Laptop computers (hot-spot enabled)				\$ 2,250	20	\$ 45,000
Tablets (hot spot/telepsych enabled)				\$ 1,200	10	\$ 12,000
Cellular hot spot equipment				\$ 250	6	\$ 1,500
Cellular plan subscription for hot spots				\$ 1,000	41	\$ 41,000
Survey incentives				\$ 20	116	\$ 2,320
Total Supplies						\$ 101,820
F. CONTRACTUAL				Rate Per Unit	Total # of Units	Total
Post-call IVR survey				\$ 10,000	1	\$ 10,000
CPI Verbal Intervention Instructor Certification Program				\$ 3,500	6	\$ 21,000
Consultant for clinical support group facilitation (monthly expense for multiple weekly groups)				\$ 2,000	41	\$ 82,000
Telehealth and dispatch software platform				\$ 1,500	36	\$ 54,000
Total Contractual						\$ 167,000
G. CONSTRUCTION - None						
H. OTHER				Unit / Monthly Cost	# of Units / Months	Total
Parking for CCMU vehicles				\$ 500	36	\$ 18,000
				\$ -	0	\$ -
				\$ -	0	\$ -
Total Other						\$ 18,000
I. TOTAL DIRECT CHARGES						\$ 1,960,000
J. INDIRECT CHARGES					0.00%	\$ -
K. TOTAL PROJECT BUDGET - INFRASTRUCTURE						\$ 1,960,000
L. TOTAL PROJECT BUDGET - DIRECT SERVICES						\$ 17,500

San Francisco Department of Public Health (SFDPH)
Comprehensive Crisis Services

Crisis Care Mobile Units (CCMU) Program

BUDGET JUSTIFICATION

09/15/2021 – 06/30/2025

A.	PERSONNEL	
B.	MANDATORY FRINGE	
1.	1.00 1803 – Performance Analyst	
	Annual Salary \$91,728 x 1.00 FTE for 36 months = \$275,184	
	Mandatory Fringe Benefits (@ 47%) = \$129,336	\$404,520
	1.00 2591 – Health Program Coordinator II	
	Annual Salary \$113,000 x 1.00 FTE for 36 months = \$339,000	
	Mandatory Fringe Benefits (@ 47%) = \$159,330	\$498,330
	1.00 2591 – Health Program Coordinator II	
	Annual Salary \$113,000 x 1.00 FTE for 36 months = \$339,000	
	Mandatory Fringe Benefits (@ 47%) = \$159,330	\$498,330
	Total Salaries	\$953,184
	Total Fringe	\$447,996
	TOTAL PERSONNEL:	\$1,401,180
C.	TRAVEL	\$0
D.	EQUIPMENT	\$272,000
E.	SUPPLIES	\$101,820
F.	CONTRACTUAL	\$184,500
G.	OTHER	\$18,000
H.	DIRECT SERVICES	\$0
	TOTAL DIRECT COSTS	\$1,977,500
I.	INDIRECT COSTS	\$0
	TOTAL BUDGET:	\$1,977,500

Crisis Care Mobile Unit Program — Revised Budget Submission Form

Prior to California Department of Health Care Services (DHCS) award approval, you must submit a revised budget and justification that demonstrates 1) funds will be used only for allowable infrastructure to support crisis care mobile unit (CCMU) teams, and 2) direct service funds are used for enhanced and expanded mobile crisis care units. This may involve significant changes in the current proposed expenses. See the CCMU Funding Fact Sheet for a list of allowable and unallowable expenses. Representatives from Advocates for Human Potential (AHP) will schedule meetings with you during the next week to review your proposed program and provide technical assistance on completion of an approvable budget.

Review the CCMU Funding Fact Sheet against the deliverable schedule and budget justification that you originally submitted with your application and revise accordingly. **Submit this revised budget form and budget justification to CCMU@ahpnet.com for review and approval of an award.** Do not use the deliverable schedule template originally submitted as part of the RFA response.

This program has two funding sources. Infrastructure funds are from the State Behavioral Health Continuum Infrastructure Program (BHCIP). Direct services funds are from the Substance Abuse and Mental Health Services Administration (SAMHSA) through the Coronavirus Response and Relief Supplemental Appropriations Act (SAMHSA-CRRSAA). Provide separate budgets for each funding source using the updated templates below.

TABLE 1: PROGRAM OVERVIEW/TEAM INFORMATION	
Total number of CCMU teams included in budget:	2 (though SF has a total of 4 that we intend to apply for in re-released CCMU RFA; this was a misunderstanding of the definition of “team”)
Number of new CCMU teams included in budget:	0
Number of enhanced CCMU teams included in budget:	2
Does the funding request include CCMU dispatch?	Yes, to cover a new phone system; we intend to request additional funds in the re-released CCMU RFA to support dispatch and coordination with 988 to support all of our teams
Does the funding request include other infrastructure not directly related to the CCMU teams (e.g., CIT training for law enforcement)?	No
Confirmation: The CCMU teams respond to calls related to mental health, substance use and/or co-occurring disorders.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Confirmation: All the CCMU teams will respond to calls to people under 25 years of age. Some may prioritize or only serve this population.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Confirmation: All infrastructure purchased will continue to support CCMU teams through June 30, 2025.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
---	---

TOTAL BUDGET OVERVIEW

The CCMU Program includes two funding sources. The BHCIP funds commence September 1, 2021, end on June 30, 2025, and may only be used for infrastructure. The SAMHSA-CRRSAA funds end on February 14, 2023, and are for direct services. **A minimum of 75% of the total budget must be for infrastructure.**

TABLE 2: TOTAL BUDGET OVERVIEW					
	Year 1	Year 2	Year 3	Year 4	TOTAL
Total requested funding (All teams combined)	\$403,265	\$636,880	\$572,060	\$410,295	\$1,977,500
Percent of total requested funding in infrastructure funding (no less than 75%) (BHCIP funding)	\$393,265	\$629,380	\$572,060	\$410,295	\$1,960,000
Percent of total requested funding in direct service funding (no more than 25%) (SAMHSA-CRRSAA funding)	\$ 10,000	\$ 7,500	-	-	\$ 17,500
Are you requesting less than the original budget submitted with your application?					<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

TEAM BUDGET OVERVIEW TABLE

If you have only one team, complete the Team 1 and total rows. If you have multiple teams and all teams have the exact same budget, you can note this and complete only the Team 1 and total rows. If teams have different annual budgets, use the rows below to enter each team's annual budget figures. Add/delete rows as needed. The total for all teams should match the aggregate total in the previous table. Note: The maximum allowable funding (including both base and competitive funds) is \$1 million per team.

TABLE 3: TEAM BUDGET OVERVIEW								
	Infrastructure Funds					Direct Service Funds		
	Year 1	Year 2	Year 3	Year 4	Total	Year 1	Year 2	Total
Requested funding Team 1	\$196,632	\$314,690	\$263,530	\$205,148	\$980,000	\$5,000	\$3,750	\$8,750
Requested funding Team 2	\$196,633	\$314,690	\$263,530	\$205,147	\$980,000	\$5,000	\$3,750	\$8,750
Requested funding Team 3								
Requested funding Team 4								
Total (all teams)	\$393,265	\$629,380	\$527,060	\$410,295	\$1,960,000	\$10,000	\$7,500	\$17,500

UPDATED DETAILED BUDGET TEMPLATE INSTRUCTIONS

The budget template is separated into BHCIP (infrastructure funding) and SAMHSA-CRRSAA (direct service funding). The budget templates are pre-loaded with expense categories. Please respond to each category either by describing your funding request or by entering N/A (“not applicable”) if you are not requesting funding in that category for that year. See Figure 1 below for additional instruction. If you need assistance, email CCMU@ahpnet.com and an AHP representative will be able to assist you.

Please use these updated budget templates to clearly identify and label the elements in your funding request. **Provide detailed budget justifications for both the BHCIP infrastructure budget and the SAMHSA-CRRSAA direct service budget.**

Figure 1: Expense Category Instructions

The image shows a screenshot of a budget template titled "BHCIP INFRASTRUCTURE FUNDING - YEAR 1 (9/1/21-6/30/22)". The table has two columns: "Item #" and "Description".

Item #	Description
	Vehicles (type, date, requirements, customizing):
	<i>insert description here or enter N/A where appropriate</i>
	CCMU Team Member Communications equipment (provide description in justification):
	<i>N/A where appropriate</i>

Review each expense category (the bold cells).

Respond to each expense category in the cell immediately below showing italics instruction. If you are requesting funds in that category for that year, add details. If you are not requesting funds, enter "N/A" and move to the next category. Be sure that the expenses are also included and adequately described in the budget justification.

DETAILED BUDGET TEMPLATES

TABLE 4A: BHCIP FUNDING - INFRASTRUCTURE - YEAR 1 (9/15/21–6/30/22)		
Item #	Description	Amount
PURCHASES		
	Vehicles (type, date, requirements, customizing): <i>Purchase 3 new mobile crisis response vehicles - 2 new Sedan @ \$32,000 each, 1 new SUV @ \$40,000, Convert 1 van for ADA accommodation @ \$10,000, Mobile office outfit for all cars (3 new, 3 existing @ \$3,000 each x 6 units)</i>	\$ 132,000
	CCMU team member communications equipment (provide description in justification): <i>Cellular hot spot equipment \$250 each x 6 units = \$1,500 Cellular plan subscription for mobile hot spots \$1,000/mth x 5 months = \$5,000</i>	\$ 6,500
	Dispatch communication equipment (provide explanation and cost sharing methodology in justification): <i>Comprehensively upgrade crisis call phone system, incorporating voice over internet protocol (VOIP)</i>	\$ 50,000
	Other hardware and equipment: <i>Purchase 20 mobile hot spot-enabled Laptop Computers @ \$2,250/ea. and 10 hot-spot enabled Tablets @ \$1,200/ea. for mobile crisis staff</i>	\$ 57,000
	Software (provide explanation and cost sharing methodology in justification): <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Other purchases necessary for CCMU program (e.g., secure parking for vehicle):	\$ -
ADDITIONAL INFRASTRUCTURE		
	Trainings (list major training activities—include topics, audience, how delivered, frequency, number reached in budget justification): <i>CPI Verbal Intervention Instructor Certification Program \$3,500 each x 6 units to support 6 supervising staff to attend the Crisis Prevention Institute's Verbal Intervention training, which equips staff with de-escalation skills and non-restrictive intervention techniques, giving them the confidence and competence to manage escalating behaviors. Total costs \$21,000 Consultant for clinical support group facilitation (monthly expense for multiple weekly groups) \$2,000/month x 5 months. CCS will engage a consultant to facilitate clinical groups for program staff to discuss and learn from challenging cases and identify opportunities to improve clinical practice. Total costs \$10,000</i>	\$ 31,000
	Coordination and planning activities (to manage multiple CCMUs, develop policies and protocols, coordinate across jurisdictions): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	Developing peer supports (within mobile crisis and non-crisis, including recruiting, training, and marketing) (include any staffing or other costs here): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	Marketing/community outreach/education for CCMU services:	\$ -

	<i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	
	Admin support for CCMU dispatch (describe cost sharing methodology in justification): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	CCMU data collection and analysis: <i>1.00 fte Performance Analyst to monitor and collect crisis call data to ensure quality and impact. (\$33,710 with benefits x 3 months)</i> <i>1.00 fte Health Program Coordinator (Training coordinator) to oversee training for new staff, to provide training updates of existing staff to strengthen clinical skills and promote professional development, and to conduct trainings and in-services for other city partners. (\$41,528 with benefits x 3 months)</i> <i>1.00 fte Health Program Coordinator (Outreach coordinator) - CCS will hire a Health Program Coordinator to engage with city partners (e.g., schools, foster care, juvenile justice, child protective services, violence prevention, mayor's office, behavioral health providers, SF suicide prevention/988 line) to provide information to partners about CCS programs and support development of policies and procedures to streamline referral workflows from partners (non-clinical work). (\$41,527 with benefits x 3 months)</i>	\$ 116,765
	YEAR 1 TOTAL:	\$ 393,265

TABLE 4B: BHCIP FUNDING - INFRASTRUCTURE - YEAR 2 (7/1/22–6/30/23)		
Item #	Description	Amount
	PURCHASES	
	Vehicles (type, date, requirements, customizing): <i>Purchase 1 Mobile Health Clinic</i>	\$ 90,000
	CCMU team member communications equipment (provide description in justification): <i>Cellular plan subscription for mobile hot spots \$1,000/mth x 12 months</i>	\$ 12,000
	Dispatch communication equipment (provide explanation and cost sharing methodology in justification): <i>Insert description here or enter N/A where appropriate.</i>	\$
	Other hardware and equipment: <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Software (provide explanation and cost sharing methodology in justification): <i>Telehealth and dispatch software platform @ \$1,500/month x 12 months. SFDPH will contract with a mobile crisis telehealth specialist to develop a telehealth solution that can be used on the cellular hotspot-enabled laptops and tablets to facilitate consultations and telepsychiatry.</i>	\$ 18,000
	Other purchases necessary for CCMU program (e.g., secure parking for vehicle): <i>Parking for CCMU vehicles \$500/month x 12 months = \$6,000</i>	\$ 8,320

Survey Incentive \$20 each x 116 units = \$2,320. CCS will conduct a survey with community stakeholders to ensure that our program is serving community needs.

ADDITIONAL INFRASTRUCTURE

Trainings (list major training activities—include topics, audience, how delivered, frequency, number reached in budget justification):
Post-call IVR survey - Conduct one-year crisis call center quality review through post-call client feedback using automated interactive voice respons. Total costs \$10,000
Consultant for clinical support group facilitation (monthly expense for multiple weekly groups) \$2,000/mth x 12 months. CCS will engage a consultant to facilitate clinical groups for program staff to discuss challenging cases, identify opportunities to improve clinical practice, and offer support to each other. Total costs \$24,000

\$ 34,000

Coordination and planning activities (to manage multiple CCMUs, develop policies and protocols, coordinate across jurisdictions):
Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification), or N/A where appropriate.

\$ -

Developing peer supports (within mobile crisis and non-crisis, including recruiting, training, and marketing) (include any staffing or other costs here):
Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification), or N/A where appropriate.

\$ -

Marketing/community outreach/education for CCMU services:
Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification), or N/A where appropriate.

\$ -

Admin support for CCMU dispatch (describe cost sharing methodology in justification):
Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification), or N/A where appropriate.

\$ -

CCMU data collection and analysis:
1.00 fte Performance Analyst to monitor and collect crisis call data to ensure quality and impact. (\$134,840 with benefits x 12 months)
1.00 fte Health Program Coordinator (Training coordinator) to oversee training for new staff, to provide training updates of existing staff to strengthen clinical skills and promote professional development, and to conduct trainings and in-services for other city partners. (\$166,110 with benefits x 12 months)
1.00 fte Health Program Coordinator (Outreach coordinator) - CCS will hire a Health Program Coordinator to engage with city partners (e.g., schools, foster care, juvenile justice, child protective services, violence prevention, mayor's office, behavioral health providers, SF suicide prevention/988 line) to provide information to partners about CCS programs and support development of policies and procedures to streamline referral workflows from partners (non-clinical work). (\$166,110 with benefits x 12 months)

\$ 467,060

YEAR 2 TOTAL:

\$ 629,380

TABLE 4C: BHCIP FUNDING - INFRASTRUCTURE - YEAR 3 (7/1/23–6/30/24)

Item #	Description	Amount
PURCHASES		
	Vehicles (type, date, requirements, customizing): <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	CCMU team member communications equipment (provide description in justification): <i>Cellular plan subscription for mobile hot spots \$1,000/mth x 12 months</i>	\$ 12,000
	Dispatch communication equipment (provide explanation and cost sharing methodology in justification):	\$
	Other hardware and equipment: <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Software (provide explanation and cost sharing methodology in justification): <i>Telehealth and dispatch software platform @ \$1,500/month x 12 months. SFDPH will contract with a mobile crisis telehealth specialist to develop a telehealth solution that can be used on the cellular hotspot-enabled laptops and tablets to facilitate consultations and telepsychiatry.</i>	\$ 18,000
	Other purchases necessary for CCMU program (e.g., secure parking for vehicle): <i>Parking for CCMU vehicles \$500/month x 12 months</i>	\$ 6,000
ADDITIONAL INFRASTRUCTURE		
	Trainings (list major training activities—include topics, audience, how delivered, frequency, number reached in budget justification): <i>Consultant for clinical support group facilitation (monthly expense for multiple weekly groups) \$2,000/mth x 12 months. CCS will engage a consultant to facilitate clinical groups for program staff to discuss challenging cases, identify opportunities to improve clinical practice, and offer support to each other.</i>	\$ 24,000
	Coordination and planning activities (to manage multiple CCMUs, develop policies and protocols, coordinate across jurisdictions): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	Developing peer supports (within mobile crisis and non-crisis, including recruiting, training, and marketing) (include any staffing or other costs here): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	Marketing/community outreach/education for CCMU services: <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	Admin support for CCMU dispatch (describe cost sharing methodology in justification): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	CCMU data collection and analysis: <i>1.00 fte Performance Analyst to monitor and collect crisis call data to ensure quality and impact. (\$134,840 with benefits x 12 months)</i>	\$ 467,060

1.00 fte Health Program Coordinator (Training coordinator) to oversee training for new staff, to provide training updates of existing staff to strengthen clinical skills and promote professional development, and to conduct trainings and in-services for other city partners. (\$166,110 with benefits x 12 months)

1.00 fte Health Program Coordinator (Outreach coordinator) - CCS will hire a Health Program Coordinator to engage with city partners (e.g., schools, foster care, juvenile justice, child protective services, violence prevention, mayor's office, behavioral health providers, SF suicide prevention/988 line) to provide information to partners about CCS programs and support development of policies and procedures to streamline referral workflows from partners (non-clinical work). (\$166,110 with benefits x 12 months)

YEAR 3 TOTAL:

\$ 527,060

TABLE 4D: BHCIP FUNDING - INFRASTRUCTURE - YEAR 4 (7/1/24–6/30/25)

Item #	Description	Amount
PURCHASES		
	Vehicles (type, date, requirements, customizing): <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	CCMU team member communications equipment (provide description in justification): <i>Cellular plan subscription for mobile hot spots \$1,000/month x 12 months</i>	\$ 12,000
	Dispatch communication equipment (provide explanation and cost sharing methodology in justification): <i>Insert description here or enter N/A where appropriate.</i>	\$
	Other hardware and equipment: <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Software (provide explanation and cost sharing methodology in justification): <i>Telehealth and dispatch software platform @ \$1,500/month x 12 months. SFDPH will contract with a mobile crisis telehealth specialist to develop a telehealth solution that can be used on the cellular hotspot-enabled laptops and tablets to facilitate consultations and telepsychiatry.</i>	\$ 18,000
	Other purchases necessary for CCMU program (e.g., secure parking for vehicle): <i>Parking for CCMU vehicles \$500/month x 12 months</i>	\$ 6,000
ADDITIONAL INFRASTRUCTURE		
	Trainings (list major training activities—include topics, audience, how delivered, frequency, number reached in budget justification): <i>Consultant for clinical support group facilitation (monthly expense for multiple weekly groups) \$2,000/mth x 12 months. CCS will engage a consultant to facilitate clinical groups for program staff to discuss challenging cases, identify opportunities to improve clinical practice, and offer support to each other.</i>	\$ 24,000
	Coordination and planning activities (to manage multiple CCMUs, develop policies and protocols, coordinate across jurisdictions): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	Developing peer supports (within mobile crisis and non-crisis, including recruiting, training, and marketing) (include any staffing or other costs here): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$
	Marketing/community outreach/education for CCMU services: <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	Admin support for CCMU dispatch (describe cost sharing methodology in justification): <i>Insert description here, include staff allocated (position, FTE, activity) and other costs (list here, describe in justification) or N/A where appropriate.</i>	\$ -
	CCMU data collection and analysis <i>1.00 fte Performance Analyst to monitor and collect crisis call data to ensure quality and impact. (\$101,130 with benefits x 9 months)</i>	\$ 350,295

1.00 fte Health Program Coordinator (Training coordinator) to oversee training for new staff, to provide training updates of existing staff to strengthen clinical skills and promote professional development, and to conduct trainings and in-services for other city partners. (\$124,583 with benefits x 9 months)

1.00 fte Health Program Coordinator (Outreach coordinator) - CCS will hire a Health Program Coordinator to engage with city partners (e.g., schools, foster care, juvenile justice, child protective services, violence prevention, mayor's office, behavioral health providers, SF suicide prevention/988 line) to provide information to partners about CCS programs and support development of policies and procedures to streamline referral workflows from partners (non-clinical work). (\$124,582 with benefits x 9 months)

YEAR 4 TOTAL:

\$ 410,295

ATTACH BHCIP FUNDING — INFRASTRUCTURE BUDGET JUSTIFICATION

TABLE 5A: SAMHSA-CRRSAA FUNDING - DIRECT SERVICES - YEAR 1 (9/15/2021–6/30/2022 — 10 months)		
Item	Description/Deliverable	Amount
	Staffing (team, position, FTE, activity) for CCMU Team members: <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Staffing (team, position, FTE, activity) for other staff supporting CCMU teams (e.g., supervision): <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Crisis supplies (incentive items, basic needs for de-escalation): <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Other direct service deliverables: <i>Provide small-scale flex funds to support engagement of youth in crisis services @ \$1,000/mo. x 10 months</i>	\$ 10,000
YEAR 1 TOTAL:		\$ 10,000

TABLE 5B: SAMHSA-CRRSAA FUNDING - DIRECT SERVICES - YEAR 2 (7/1/2022–2/14/2023 — 7.5 months)		
Item	Description/Deliverable	Amount
	Staffing (team, position, FTE, activity) for CCMU Team members: <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Staffing (team, position, FTE, activity) for other staff supporting CCMU teams (e.g., supervision): <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Crisis supplies (incentive items, basic needs for de-escalation): <i>Insert description here or enter N/A where appropriate.</i>	\$ -
	Other direct service deliverables: <i>Provide small-scale flex funds to support engagement of youth in crisis services @ \$1,000/mo. x 7.5 months</i>	\$ 7,500
YEAR 2 TOTAL:		\$ 7,500
ATTACH SAMHSA-CRRSAA FUNDING - DIRECT SERVICES BUDGET JUSTIFICATION		



Crisis Care Mobile Units Program Funding Fact Sheet



The Crisis Care Mobile Units (CCMU) Program integrates funds from two sources with different allowable uses:

- The California Department of Health Care Services (DHCS) received \$55 million in funds from the Substance Abuse and Mental Health Services Administration (SAMHSA) through the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA). These funds can be used for direct services as described in the Request for Application (RFA) and must be expended by February 14, 2023.
- \$150 million of state general funds are part of the Behavioral Health Continuum Infrastructure Program (BHCIP). These funds are only available for behavioral health authorities to develop infrastructure that supports *mobile* crisis units that are not available through other sources, such as the Community Mental Health Services Block Grant (MHBG) or Substance Abuse Prevention and Treatment Block Grant (SABG).

Applicants must provide clear information on how these funds are to be used. This can be done through a separate budget justification that clearly indicates direct and infrastructure costs and is traceable back to the specific budgeted deliverables, or through detailed deliverable schedules with the specific infrastructure/direct services breakdown included. Likewise, awardees must ensure that they are tracking and reporting the costs funded by CRRSAA separately from those funded through BHCIP and that all activities and expenditures are allowable for that funding source.

The following information is intended to provide applicants for the CCMU Program Track 2 Implementation Grants with a general list of allowable activities and expenditures. (It will also inform Track 1 Planning Grant action planning.) Please review the RFA [here](#) for additional information on Tracks 1 and 2.

For questions regarding specific allowable and unallowable activities and expenditures, please email CCMU@ahpnet.com.

Grant Purpose and Program Intent

This funding will provide infrastructure and some initial direct service costs that make it possible for awardees to “implement a new, or expand an existing, CCMU program to be utilized for mobile crisis and non-crisis services.”

CCMUs are expected to be mobile and field based—not facility based.

These funds are primarily to support the expansion of CCMU teams and their access to the community.

A behavioral health CCMU program must

- Provide services to individuals experiencing behavioral health crises, including mental health crises, substance use crises, or co-occurring mental health and substance use crises;
- Prioritize services to individuals 25 years old and younger;
- Include appropriate staff, acting within their scope, who can assess the needs of individuals within the region of operation and provide direct treatment services, as well as a licensed mental health professional to oversee the program;
- Develop mobile crisis services available to reach any person in the service area in a home, school, workplace, or any other field-based location in a timely manner; and
- Connect individuals to facility-based or other follow-up care as needed through warm handoffs and coordinating transportation when and only when situations warrant transition to other available locations.

Percentage of Funds Used for Infrastructure

As indicated in both the [RFA](#) and the [Frequently Asked Questions](#) document questions 5 and 6, “Up to 25 percent of funding may be allocated for direct services, and no less than 75 percent of funding may be allocated for infrastructure. These restrictions are for both Base Allocation and Competitive Funding. The primary purpose of the CCMU funding opportunity is to support mobile crisis infrastructure needs and not direct service costs, due to the availability of other funding sources that support direct services,” such as SABG and MHBG. Note: the RFA also requires that applicants must “describe how they intend to fund CCMU direct services beyond the expiration of CRRSAA funding.”

Applicants applying for funding for more than one team are required to provide both an aggregated summary of the costs across all teams and individual team budgets.

Applicants must clearly distinguish between direct service costs and infrastructure costs. Direct service costs may not be moved into infrastructure after the direct service funding period ends.

What Type of Infrastructure Is Allowable? (\$150 Million BHCIP Funding)

CCMUs are a specific part of a crisis care continuum. Not all infrastructure related to crisis response is part of the CCMU Program.

Consider the following questions in providing a justification that the costs are reasonable, allowable, and allocated appropriately.

- This infrastructure is specifically and directly for CCMU teams that are delivering crisis response services in the field or intended to support the effective and efficient operation of CCMU teams. Costs for infrastructure that supports CCMU teams as well as crisis lines or other services must be allocated appropriately. BHCIP will only fund the portion of the infrastructure directly related to the CCMU program.
- This infrastructure is necessary for the new and expanded CCMU teams to be able to deliver mobile crisis response services.
- This infrastructure is not part of a facility-based telehealth service.
- This infrastructure is not part of isolated call centers.

Vehicles for CCMUs

Allowable

- Funds may be used to purchase or lease vehicles necessary for CCMU teams to be able to reach and serve individuals in crisis. Vehicles may include, but are not limited to, cars, SUVs, mobile medical clinics, and vans. Vehicles may also be customized to serve as a mobile behavioral health office, transport individuals in crisis, and be equipped with necessary technology and/or health equipment.
- Maintenance, gas, and insurance for vehicles is allowable.
- Vehicles must be dedicated to CCMU service, or costs must be allocated appropriately. Some ancillary services may be co-located, but the primary service must be crisis response. Vehicles may also be used for some non-crisis mobile services in the field.
- Secure parking for CCMU vehicles, including construction of a garage for safe storage when not in use, is allowable.
- Vehicles must remain dedicated to the CCMU use for the duration of the project and for the vehicle's lifecycle.

Phone line support, including administrative staff to support calls

Allowable

- Limited administrative support to link individual crisis calls to the specific CCMU teams and the CCMU team with the necessary resources, up to a maximum of five percent of total budget.
- Staff to support CCMU dispatch. If CCMU dispatch is part of a larger service (e.g., a call center), then only that portion of costs that are directly related to CCMU dispatch may be allocated to BHCIP funding. For example, if a crisis intervention specialist answers calls, conducts triage, and either refers the person to facility-based services or dispatches a CCMU team, then only that portion of the cost of that crisis intervention specialist work that is directly related to dispatch of the CCMU teams is allowable. Likewise, if a call is received and as a result either emergency medical services (EMS), law enforcement, or a CCMU

team is dispatched, only the costs related to dispatch of the CCMU team are allowable. Awardees must have a clear rationale for funding through this program (e.g., percentage of calls dispatched to CCMU, percentage of time involved in CCMU dispatch and follow up).

- Technology to support CCMU dispatch. If CCMU dispatch is part of a larger service, only that portion related specifically to CCMU dispatch may be allocated to BHCIP funding.

Unallowable

- Development of centralized call centers, including leases, facilities, purchase of equipment and/or software not in support of CCMU dispatch.
- Staffing of hotlines and behavioral health staff to field crisis phone calls or perform telephone crisis services not in support of dispatch.

Hardware and software for mobile units

Note: Hardware, software, and phone lines are only allowable when directly supporting a CCMU team. Other technology (e.g., texting apps, data collection software) that CCMUs share with other services may be allowable, but only if cost-shared appropriately with those other services (e.g., law enforcement, EMS, crisis call centers).

Allowable

- GPS
- Integrated communication systems in the mobile unit
- Any materials to interface CCMU teams with existing systems, including internet access
- iPads, laptops, and tablets for CCMU team members' use
- iPads, laptops, tablets, and telephones for use by individuals in crisis while they are at the mobile crisis vehicle or with a CCMU team member (not for telehealth services)
- Radios linking CCMU teams to law enforcement and/or medical partners
- Mobile phones, hot spots, and related service plans
- Software and hardware costs necessary to document and bill for crisis services
- IT and help center support specifically for the CCMU team(s)
- Purchase of dispatch technology specifically for the CCMU team(s)
- Software and hardware costs for CCMU data collection purposes, up to a maximum of 10 percent of total budget
- Software and hardware costs to connect individuals experiencing crises to services in the community during the crisis or for follow-up care, up to a maximum of five percent of total budget (exclusive of data collection 10 percent cap)

Unallowable

- Expansion of communication systems not specifically related to the needs of the CCMU
- Purchase of call center technology not for dispatch services
- Disproportionately high annual software licenses
- Purchase of hardware and software at the behavioral health or law enforcement offices that are not explicitly linked to the CCMU team
- IT and help center support to support the overall crisis response system

Developing peer supports within mobile crisis and non-crisis programs, including recruiting, training, and marketing

Allowable

- Establishing policies, protocols, job descriptions
- Recruitment and training for mobile/field-based peer positions
- Limited planning to ensure clear understanding of peer role and inclusion in CCMU teams
- Peer certification training and application fees

Unallowable

- Peers providing crisis response services (This is an allowable direct service cost under the CRRSAA funds.)
- Supervision of peers delivering crisis response services (This is an allowable direct service cost under the CRRSAA funds.)
- Peers providing hotline triage (unless related to dispatch services)

Training

Allowable

- Training of CCMU team members on evidence-based crisis intervention services
- Training for CCMU dispatch staff
- Crisis Intervention Training or other behavioral health CCMU-related training for law enforcement and other responders that are part of the CCMU team
- Training for facility-based crisis dispatch services in interfacing with CCMUs
- Technical assistance/consultation for rural community mobile crisis models
- Technical assistance/consultation on developing sustainable financing models for 24/7 mobile crisis response (Note: This may include a sustainability plan for continuing direct services after the end of BHCIP funding on 2/14/23.)
- Certification in mobile crisis-related best practices for CCMU team members

Unallowable

- Training that is unrelated to mobile crisis or delivery of services in the field
- Training for call center staff if they are not providing CCMU dispatch services
- Development of training facilities (e.g., electronic whiteboards, smart TVs)
- Training that is not both evidence based and directly related to mobile crisis response
- Travel for training that does not fall within the California subsistence guidelines
- Excessive training costs as determined on a case-by-case basis

Coordination and planning activities to manage multiple CCMUs and coordination with local and regional organizations**Allowable**

- Attending or organizing regular planning meetings
- Portion of director, senior manager, or analyst time to build relationships, establish MOUs, coordinate to ensure access for CCMU teams, prevent duplication of effort
- Reasonably allocated amount of time for data collection, quality assurance, and ongoing enhancements of CCMU services
- Improvements to electronic health records (EHRs), development of common data collection tools, modifications to EHRs
- Coordination of CCMU services with local law enforcement agencies, EMS, California Family Urgent Response System, and schools/community centers
- Data collection and submission of quarterly reports through June 30, 2025
- Staff who are engaged strictly in outreach/engagement, community education, and marketing of CCMU program
- Marketing materials

Unallowable

- Supervision of CCMU teams (This is an allowable direct service cost under the CRRSAA funds.)
- Costly data management systems, as determined on a case-by-case basis
- Costs that would normally be included in the indirect services rate

Other infrastructure expenses**Allowable**

- Some reasonable and allocable office-related expenses (e.g., desk, laptop) for CCMU direct service staff to work from while they are not in the field are allowable, but they should not be a primary focus of the grant.

- Field-based telehealth services that are conducted by members of the CCMU team in response to a crisis call are allowable.

Unallowable

- Facility renovations and significant leases that are not a part of the CCMU program.
- Sobering stations or outpatient programs or initial crisis services at psychiatric facilities.
- Facility-based telehealth-related costs are not a part of the CCMU program. Because this is for mobile crisis in the field, facility-based telehealth-related services and infrastructure are outside the intended purpose of these funds.
- Direct service staff initiating crisis services at a behavioral health facility rather than traveling to locations where individuals are experiencing crisis.
- Indirect costs as an individual deliverable.

What Types of Direct Services Are Allowable? (\$55 Million CRRSAA Funding)

Items listed as direct services may not be considered allowable infrastructure. Purchase of CCMU infrastructure may not be considered allowable direct service expense.

Direct services funds are provided through SAMHSA CRRSAA and must be completely expended by February 14, 2023.

The scope of work for a CCMU program is in the [RFA](#) on page 2 and is also listed on page 1 of this document. Direct services staff must deliver these services.

The allowable direct services CCMU teams should provide are described in the RFA. CCMU direct services staff are expected to provide direct services in the field. While not responding to crisis calls, direct services staff may engage in training, outreach, and other activities to support the CCMU in the field.

- Mental health and/or substance use crisis and non-crisis services for uninsured or underinsured individuals without coverage for medically necessary services including:
 - Treatment services by licensed and appropriately certified clinicians
 - Triage/screening and assessment
 - De-escalation/resolution peer support
 - Coordination and referral with medical and behavioral health services
 - Crisis planning and follow-up
- Peer support services in conjunction with crisis intervention services
- Specified engagement activities (e.g., bus passes, gift cards) to facilitate and encourage referral or follow-up care for crisis clients

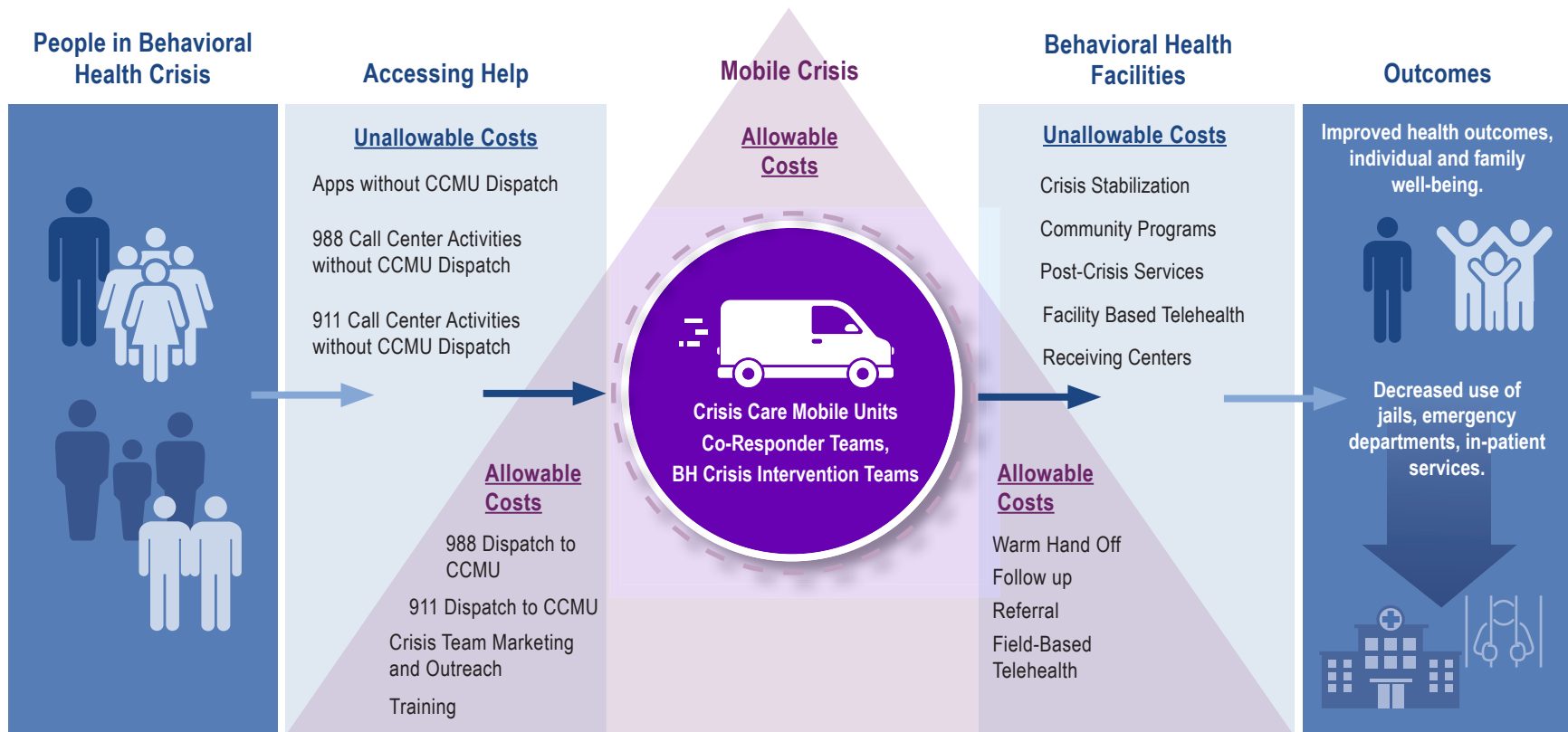
Allowable

- Mental health and substance use clinicians, consultants, or contractors to deliver the required CCMU mental health and/or substance use crisis services in the field when other funding is not available
- Peers working as part of a CCMU to provide peer support services in the field
- Program manager and direct supervision of CCMU direct service staff, including clinical supervision (Note: This is allowable as direct services, not as infrastructure.)
- Expanding number of teams, hours teams are available, geographic reach of teams; implementation of new types of teams is allowable and encouraged
- Mobile services at schools, emergency rooms, community centers, colleges, homes, streets, shelters, etc.
- Follow-up care, including transporting individuals to behavioral health facilities and warm handoffs to staff
- Field-based telehealth services that are conducted by members of the CCMU team in response to a crisis call

Unallowable

- Clinicians, peers, or crisis intervention specialists answering crisis telephone calls to a hotline or call center
- Facility-based telehealth services or staff time engaged in telehealth rather than services directly in the field
- Crisis services that are initiated at a behavioral health facility rather than in the field
- Staff who are providing services at behavioral health agencies rather than primarily in the field
- Salaries for law enforcement or EMS personnel
- Mobile crisis services that are limited to mental illness only and do not also respond to substance use disorder–related crises or only address substance use crises and do not address mental illness
- Teams cannot deny services for youth aged 25 and under, but some teams may specialize in youth.

BHCIP Crisis Care Mobile Units Program





London N. Breed
Mayor

TO: Angela Calvillo, Clerk of the Board of Supervisors
FROM: Dr. Grant Colfax
Director of Health
DATE: 2/5/2022
SUBJECT: Grant Accept and Expend
GRANT TITLE: Accept and Expend Grant - Crisis Care Mobile Units (CCMU)
Program - \$1,977,500

Attached please find the original and 1 copy of each of the following:

- Proposed grant resolution, original signed by Department
- Grant information form, including disability checklist
- Budget and Budget Justification
- Grant application.
- Agreement / Award Letter
- Other (Explain):

Special Timeline Requirements:

Departmental representative to receive a copy of the adopted resolution:

Name: Gregory Wong (greg.wong@sfdph.org) Phone: 554-2521

Interoffice Mail Address: Dept. of Public Health, 101 Grove St # 108

Certified copy required Yes

No