

## AGREEMENT

THIS AGREEMENT is made and entered into this 11th day of December, 2018, by and between the COUNTY OF FRESNO, a Political Subdivision of the State of California, hereinafter referred to as "COUNTY", and each Contractor listed in Exhibit A, "Non-DMC Outpatient Services Vendor List," attached hereto and by this reference incorporated herein, collectively herein after referred to as "CONTRACTOR", and such additional CONTRACTOR as may, from time to time during the term of this Agreement, be added by COUNTY. Reference in this Agreement to "party" or "parties" shall be understood to refer to COUNTY and each CONTRACTOR, unless otherwise specified.

WITNESSETH:

WHEREAS, COUNTY is authorized through its Intergovernmental Agreement with the California Department of Health Care Services, hereinafter referred to as State or DHCS, to subcontract for Substance Use Disorder (SUD) treatment services in Fresno County; and

WHEREAS, COUNTY is authorized to contract with privately operated agencies for the provision of alcohol and other drug treatment services, pursuant to Title 9, Division 4 of the California Code of Regulations and Division 10.5 (commencing with Section 11750) of the California Health and Safety Code; and

WHEREAS, CONTRACTOR(S) are certified by the State to provide services required by the COUNTY, pursuant to the terms and conditions of this Agreement.

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

## 1. SERVICES

A. CONTRACTOR shall perform all services and fulfill all responsibilities for the provision of adult outpatient SUD treatment services, as identified in this Agreement, including all Exhibits, COUNTY's Request for Statement of Qualifications (RFSQ) # 18-064 dated July 3, 2018; Addendum No. One (1) dated July 26, 2018; and Addendum No. Two (2) dated August 10, 2018, hereinafter collectively referred to as COUNTY Revised RFSQ #18-064, and CONTRACTOR's response to said RFSQ #18-064, dated August 15, 2018, all incorporated herein by reference and made part of this

1 Agreement.

2           B.        In the event of any inconsistency among these documents, the inconsistency  
3 shall be resolved by giving precedence in the following order of priority: 1) to this Agreement, including  
4 any Exhibits and amendments attached hereto but excluding RFSQ # 18-064 and the Response to the  
5 Revised RFSQ; 2) to the Revised RFSQ # 18-064, and; 3) to the Response to the Revised RFSQ. A  
6 copy of COUNTY's Revised RFSQ #18-064, and CONTRACTOR's response shall be retained and made  
7 available during the term of this Agreement by COUNTY's Purchasing Division.

8           C.        CONTRACTOR shall provide services as described in Exhibit B, Modality of Service  
9 Descriptions – Non-DMC Outpatient, attached hereto and incorporated by this reference.

10          D.        CONTRACTOR shall comply with requirements stated within the Intergovernmental  
11 Agreement as listed in Exhibit C, SAPT Specific Requirements, attached hereto and by this reference  
12 incorporated herein; and with all other provisions set forth in the Intergovernmental Agreement, made  
13 available by the Department of Behavioral Health (DBH), Contracts Division - Substance Use Disorder  
14 (SUD) Services at the following web address and by this reference incorporated herein:  
15 <https://www.co.fresno.ca.us/departments/behavioral-health/substance-use-disorder-services/provider-page>.  
16 CONTRACTOR is referred to therein as "Subcontractor" and COUNTY is referred to therein as  
17 "Contractor."

18          E.        CONTRACTOR shall comply with the Fresno County Substance Use Disorder  
19 (FCSUD) Provider Manual, herein after referred to as the "Provider Manual" and by this reference  
20 incorporated herein, available at the DBH website at  
21 <https://www.co.fresno.ca.us/departments/behavioral-health/substance-use-disorder-services/provider-page>. No formal amendment of this agreement is required for changes to the Provider Manual to apply.

22          F.        CONTRACTOR shall align program, services, and practices with the vision and  
23 mission within Exhibit D, DBH Guiding Principles of Care Delivery, attached hereto and by this reference  
24 incorporated herein. Contractor may be required to utilize and integrate clinical tools such as Reaching  
25 Recovery at DBH's discretion.

26          G.        CONTRACTORs serving beneficiaries referred by Drug Court or Probation shall  
27 carry out the following:

1                   1)     Comply with reporting requirements of Court or Probation relating to  
2 beneficiary status change and treatment progress if an appropriate Release of Information (ROI) is in  
3 place; and

4                   2)     Conduct beneficiary outpatient intake within ten (10) days from referral or  
5 initial contact.

6                   H.     CONTRACTOR shall maintain, at CONTRACTOR's cost, a computer system  
7 compatible with COUNTY's current billing and electronic health record (EHR) system for the provision of  
8 submitting information required under the terms and conditions of this Agreement. CONTRACTOR shall  
9 complete billing and EHR data entry as follows: initial contact, when applicable; appointments; admissions;  
10 ASAM level of care; discharge; and referrals.

11                  I.     CONTRACTOR's staff will be required to attend meetings and trainings on an as-  
12 needed basis, which may include but are not limited to, SUD treatment and fiscal trainings provided by the  
13 State of California. Refer to the Provider Manual for a listing of required trainings.

14                  **2.     ADDITIONS/DELETIONS OF CONTRACTOR(S)**

15                  COUNTY's DBH Director or her designee reserves the right at any time during the term of  
16 this Agreement to add new CONTRACTOR(S) to those listed in Exhibit A, "Non-DMC Outpatient Services  
17 Vendor List." It is understood any such additions will not affect compensation paid to the other  
18 CONTRACTOR(S), and therefore such additions may be made by COUNTY without notice to or approval  
19 from other CONTRACTOR(S) under this Agreement. These same provisions shall apply to the deletion of  
20 any CONTRACTOR listed in Exhibit A, "Non-DMC Outpatient Services Vendor List," except that deletions  
21 shall be made by written mutual agreement between the COUNTY and the particular CONTRACTOR to be  
22 deleted, or shall be in accordance with the provisions of Section Four (4), TERMINATION, of this  
23 Agreement.

24                  **3.     TERM**

25                  The term of this Agreement shall be for a period of six (6) months, commencing on January  
26 1, 2019 through and including June 30, 2019. This Agreement may be extended for three (3) additional  
27 consecutive twelve (12) month periods upon written approval of both parties no later than thirty (30) days  
28 prior to the first day of the next twelve (12) month extension period. The DBH Director or his or her

1 designee is authorized to execute such written approval on behalf of COUNTY based on CONTRACTOR's  
2 satisfactory performance.

3 **4. TERMINATION**

4 A. Non-Allocation of Funds - The terms of this Agreement, and the services to be  
5 provided hereunder, are contingent on the approval of funds by the appropriating government agency.  
6 Should sufficient funds not be allocated, the services provided may be modified, or this Agreement  
7 terminated, at any time by giving the CONTRACTOR thirty (30) days advance written notice.

8 B. Breach of Contract - The COUNTY may immediately suspend or terminate this  
9 Agreement in whole or in part, where in the determination of the COUNTY there is:

10 1) An illegal or improper use of funds;  
11 2) A failure to comply with any term of this Agreement;  
12 3) A substantially incorrect or incomplete report submitted to the COUNTY; or  
13 4) Improperly performed service.

14 In no event shall any payment by the COUNTY constitute a waiver by the COUNTY of any  
15 breach of this Agreement or any default which may then exist on the part of the CONTRACTOR. Neither  
16 shall such payment impair or prejudice any remedy available to the COUNTY with respect to the breach or  
17 default. The COUNTY shall have the right to demand of the CONTRACTOR the repayment to the  
18 COUNTY of any funds disbursed to the CONTRACTOR under this Agreement, which in the judgment of  
19 the COUNTY were not expended in accordance with the terms of this Agreement. The CONTRACTOR  
20 shall promptly refund any such funds upon demand.

21 C. Without Cause - Under circumstances other than those set forth above, this  
22 Agreement may be terminated by COUNTY upon the giving of thirty (30) days advance written notice of an  
23 intention to terminate to CONTRACTOR.

24 D. Voluntary Termination of Intergovernmental Agreement - The COUNTY may  
25 terminate its Agreement with DHCS at any time, for any reason, by giving sixty (60) days written notice  
26 to DHCS. In the event the Intergovernmental Agreement is terminated, COUNTY may terminate this  
27 contractor agreement. CONTRACTOR shall be paid for services provided to beneficiaries up to the  
28 date of termination.

## 5. COMPENSATION

A. **COMPENSATION** - For claims submitted for services rendered under this Agreement, COUNTY agrees to pay CONTRACTOR and CONTRACTOR agrees to receive the negotiated contractor-specific rates as approved by DHCS "Fresno County Drug Medi-Cal Rates for Fiscal Year 2018-19," attached hereto as Exhibit E and by this reference incorporated herein, and updated annually, for each term of this Agreement, not to exceed the contractor-specific maximum compensation. It is understood that all expenses incidental to CONTRACTOR'S performance of services under this Agreement shall be borne by CONTRACTOR. In no event shall the total compensation for actual service performed under this Agreement be in excess of One Million One Hundred Thirty-Six Thousand Two Hundred Thirty-Eight and No/100 Dollars (\$1,136,238) for the first six (6) month period from January 1, 2019 through June 30, 2019 and Two Million Two Hundred Seventy Two Thousand Four Hundred Seventy-Six and No/100 Dollars (\$2,272,476) for each twelve (12) month period from July 1, 2019 through June 30, 2022. CONTRACTOR shall be reimbursed to the extent that funds are available.

1) The contract maximum amount as identified in this Agreement may be reduced based upon State, Federal, and local funding availability. In the event of such action, the COUNTY's DBH Director or her designee shall notify the CONTRACTOR in writing of the reduction in the maximum amount within thirty (30) days.

In the event that funding for these services is delayed by the State Controller, COUNTY may defer payment to CONTRACTOR. The amount of the deferred payment shall not exceed the amount of funding delayed by the State Controller to the COUNTY. The deferral by COUNTY shall not exceed the period of time of the State Controller's delay of payment to COUNTY plus forty-five (45) days. In addition, if the State of California does not allocate funding for services described in the terms and conditions of this Agreement, DBH-SUD Services shall not be obligated to reimburse CONTRACTOR for services performed.

B. **PAYMENTS** – Regardless of the contract maximum, CONTRACTOR shall be reimbursed only for costs up to the set DMC rates herein.

1) Payment by COUNTY shall be in arrears, based on CONTRACTOR's monthly invoices submitted for services provided during the preceding month, within forty-five (45) days after receipt and verification of CONTRACTOR's monthly invoices by COUNTY's DBH, Contracts Division – SUD Services.

2) If payment for services is denied or disallowed by State, and subsequently resubmitted to COUNTY by CONTRACTOR, disallowed portion will be withheld from the next reimbursement to CONTRACTOR until COUNTY has received reimbursement from State for said services.

3) CONTRACTOR must accept, as payment in full, the amounts paid by County.. CONTRACTOR may not demand any additional payment from DHCS, client, or other third party payers.

4) CONTRACTOR shall comply with 45 CFR 162.410(a)(1) for any subpart that would be a covered health care provider if it were a separate legal entity. For purposes of this paragraph, a covered health care provider shall have the same definition as set forth in 45 CFR 160.103. DHCS shall make payments for covered services only if CONTRACTOR is in compliance with federal regulations.

C. **COMPLIANCE** – If CONTRACTOR should fail to comply with any provision of this Agreement, COUNTY shall be relieved of its obligation for further compensation. CONTRACTOR's and COUNTY's obligations under this section shall survive the termination of this Agreement with respect to services provided during the term of this Agreement without regard to the cause of termination of this Agreement.

D. QUALITY ASSURANCE – For services rendered herein, CONTRACTOR shall assure that an on-going quality assurance component is in place and is occurring. CONTRACTOR shall assure that clinical records for each participant are of such detail and length that a review of said record will verify that appropriate services were provided. If the record is unclear, incomplete, and/or indicates that appropriate services were not provided, COUNTY reserves the right to withhold payment for the applicable unit(s) of service.

1                   E. PUBLIC INFORMATION – CONTRACTOR shall disclose its funding source in all  
2 public information; however, this requirement of disclosure of funding source shall not be required in  
3 spot radio or television advertising.

4                   F. LOBBYING ACTIVITY – CONTRACTOR shall not directly or indirectly use any of  
5 the funds provided under this Agreement for publicity, lobbying, or propaganda purposes designed to  
6 support or defeat legislation pending before the Congress of the United States or the Legislature of the  
7 State of California.

8                   G. POLITICAL ACTIVITY – CONTRACTOR shall not directly or indirectly use any of  
9 the funds under this Agreement for any political activity or to further the election or defeat of any  
10 candidate for public office.

11                  H. FUNDING SOURCES – It shall be the obligation of CONTRACTOR to determine  
12 and claim all revenue possible from private pay sources and third party payers. CONTRACTOR shall  
13 not use any funds under this Agreement for services covered by Drug Medi-Cal or other health  
14 insurance for eligible beneficiaries. CONTRACTOR shall claim all Drug Medi-Cal covered services for  
15 eligible beneficiaries through the Drug Medi-Cal claiming process. CONTRACTOR(S) with a Youth  
16 Treatment contract with the County must bill services for DMC-ineligible adolescents to the Youth  
17 Treatment contract. COUNTY will only reimburse CONTRACTOR for services rendered that are not  
18 covered by Drug Medi-Cal, other insurance or other revenue sources.

19                  CONTRACTOR shall not use any funds under this Agreement to the extent that a  
20 participant is eligible for Medi-Cal, insurance or other revenue reimbursement for services rendered.

21                  Any revenues generated by CONTRACTOR in excess of the amounts budgeted  
22 in this Agreement may be utilized to expand/enhance the services during COUNTY's fiscal years in  
23 which revenues are collected or in the following COUNTY fiscal year. Additional revenues will be  
24 considered separate and distinct from COUNTY's payment to CONTRACTOR. The manner and  
25 means of service expansion/enhancement shall be subject to the prior written approval of COUNTY's  
26 DBH Director or her designee. CONTRACTOR shall disclose all sources of revenue to COUNTY.  
27 Under no circumstances will COUNTY funded staff time be used for fund-raising purposes.

28                  //

1           6.        INVOICING

2           A.        CONTRACTOR shall invoice COUNTY by the twentieth (20<sup>th</sup>) of each month for  
3        actual services rendered in the previous month in accordance with the established rates in Exhibit E.  
4        Invoices shall be submitted via e-mail to the assigned staff analyst and to [SAS@co.fresno.ca.us](mailto:SAS@co.fresno.ca.us).

5               If an invoice is incorrect or is otherwise not in proper form or substance, COUNTY's  
6        DBH Director or her designee shall have the right to withhold payment as to only that portion of the invoice  
7        that is incorrect or improper after five (5) days prior notice to CONTRACTOR. CONTRACTOR agrees to  
8        continue to provide services for a period of ninety (90) days after notification of an incorrect or improper  
9        invoice. If after said ninety (90) day period said invoice(s) is still not corrected to COUNTY'S DBH  
10      Director's or her designee's satisfaction, COUNTY'S DBH, Director or her designee may elect to terminate  
11      this Agreement, pursuant to the termination provisions stated in Section Four (4), TERMINATION of this  
12      Agreement. In addition, CONTRACTOR shall submit all invoices to COUNTY's DBH Director or her  
13      designee for services provided within ninety (90) days after each twelve (12) month period expires or this  
14      Agreement is terminated. If invoices are not submitted within ninety (90) days after each twelve (12)  
15      month period expires or this Agreement is terminated, COUNTY's DBH Director or her designee shall  
16      have the right to deny payment on such invoices.

17           B.        In addition to billing, CONTRACTOR shall submit on a monthly basis, an  
18      Operational Expense Review, along with a general ledger, payroll register and supporting  
19      documentation for any line items CONTRACTOR's assigned Analyst selects, per modality, by the  
20      twenty-fifth (25<sup>th</sup>) of each month. For the purposes of verifying costs are allowable and equitable,  
21      CONTRACTOR shall submit any additional documentation as deemed necessary by DBH.

22           C.        COUNTY's DBH shall invoice CONTRACTOR in arrears by the fifth (5<sup>th</sup>) day of  
23      the month for the prior month's hosting fee for access to COUNTY's electronic information system in  
24      accordance with the fee schedule set forth in Exhibit F, "Electronic Health Records Software Charges,"  
25      attached hereto and incorporated herein by this reference and made part of this Agreement. COUNTY  
26      shall invoice CONTRACTOR(S) annually for the annual maintenance and licensing fee for access to  
27      COUNTY's electronic information system in accordance with the fee schedule as set forth in Exhibit F.  
28      CONTRACTOR shall provide payment for these expenditures to COUNTY's Department of Behavioral

1 Health, Accounts Receivable, P.O. Box 712, Fresno, CA 93717-0712, Attention: Business Office, within  
2 forty-five (45) days after the date of receipt by CONTRACTOR of the invoicing provided by COUNTY.

3 **7. LICENSING-CERTIFICATES**

4 Throughout each term of this Agreement, CONTRACTOR and CONTRACTOR's staff shall  
5 maintain all necessary licenses, permits, approvals, certificates, waivers and exemptions necessary for the  
6 provision of the services hereunder and required by the laws and regulations of the United States of  
7 America, State of California, the County of Fresno, and any other applicable governmental agencies.  
8 CONTRACTOR shall notify COUNTY immediately in writing of its inability to obtain or maintain such  
9 licenses, permits, approvals, certificates, waivers and exemptions irrespective of the pendency of any  
10 appeal related thereto. Additionally, CONTRACTOR and CONTRACTOR's staff shall comply with all  
11 applicable laws, rules or regulations, as may now exist or be hereafter changed.

12 **8. PERINATAL SERVICES**

13 CONTRACTOR shall comply with the requirements of the "Perinatal Practice Guidelines,"  
14 available at the DHCS web address at: <http://www.dhcs.ca.gov/individuals/Pages/Perinatal->  
15 Services.aspx and by this reference incorporated herein, until such time new Perinatal Practice  
16 Guidelines are updated and adopted. No formal amendment of this contract is required for new  
17 guidelines to apply.

18 CONTRACTOR shall comply with federal and state mandates to provide alcohol and  
19 other drug treatment services deemed medically necessary for Medi-Cal eligible: (1) pregnant and  
20 postpartum women, and (2) youth under age 21 who are eligible under the Early and Periodic  
21 Screening, Diagnostic, and Treatment (EPSDT) Program.

22 CONTRACTOR shall require that counselors of perinatal DMC services are properly  
23 certified to provide these services and comply with the requirements contained in Title 22, § 51341.1,  
24 Services for Pregnant and Postpartum Women and Title 9 commencing with section 10360.

25 **10. PROHIBITION ON PUBLICITY**

26 None of the funds, materials, property or services provided directly or indirectly under this  
27 Agreement shall be used for CONTRACTOR's advertising, fundraising, or publicity (i.e., purchasing of  
28 tickets/tables, silent auction donations, etc.) for the purpose of self-promotion. Notwithstanding the above,

1 publicity of the services described in Section One (1), SERVICES, of this Agreement shall be allowed as  
2 necessary to raise public awareness about the availability of such specific services when approved in  
3 advance by the DBH Director or her designee, and at a cost to be provided for such items as written/printed  
4 materials, the use of media (i.e., radio, television, newspapers) and any other related expense(s).

5 **11. NO THIRD PARTY BENEFICIARIES**

6 It is understood and agreed by and between the parties that the services provided by  
7 CONTRACTOR for COUNTY herein are solely for the benefit of the COUNTY, and that nothing in this  
8 Agreement is intended to confer on any person other than the parties hereto any right under or by reason  
9 of this Agreement.

10 **12. INDEPENDENT CONTRACTOR**

11 In performance of the work, duties and obligations assumed by CONTRACTOR under this  
12 Agreement, it is mutually understood and agreed that CONTRACTOR, including any and all of the  
13 CONTRACTOR'S officers, agents, and employees will at all times be acting and performing as an  
14 independent contractor, and shall act in an independent capacity and not as an officer, agent, servant,  
15 employee, joint venturer, partner, or associate of the COUNTY. Furthermore, COUNTY shall have no right  
16 to control or supervise or direct the manner or method by which CONTRACTOR shall perform its work and  
17 function. However, COUNTY shall retain the right to administer this Agreement so as to verify that  
18 CONTRACTOR is performing its obligations in accordance with the terms and conditions thereof.

19 CONTRACTOR and COUNTY shall comply with all applicable provisions of law and the  
20 rules and regulations, if any, of governmental authorities having jurisdiction over matters the subject  
21 thereof.

22 Because of its status as an independent contractor, CONTRACTOR shall have absolutely  
23 no right to employment rights and benefits available to COUNTY employees. CONTRACTOR shall be  
24 solely liable and responsible for providing to, or on behalf of, its employees all legally-required employee  
25 benefits. In addition, CONTRACTOR shall be solely responsible and save COUNTY harmless from all  
26 matters relating to payment of CONTRACTOR'S employees, including compliance with Social Security  
27 withholding and all other regulations governing such matters. It is acknowledged that during the term of this  
28 Agreement, CONTRACTOR may be providing services to others unrelated to the COUNTY or to this

1 Agreement.

2       **13. NON-ASSIGNMENT / SUBCONTRACTS**

3           Neither party shall assign, transfer or sub-contract this Agreement nor their rights or duties  
4 under this Agreement without the prior written consent of the other party.

5           CONTRACTOR shall be required to assume full responsibility for all services and activities  
6 covered by this Agreement, whether or not CONTRACTOR is providing services directly. Further,  
7 CONTRACTOR shall be the sole point of contact with regard to contractual matters, including payment of  
8 any and all charges resulting from this Agreement.

9           If CONTRACTOR should propose to subcontract with one or more third parties to carry out  
10 a portion of services covered by this Agreement, any such subcontract shall be in writing and approved as  
11 to form and content by COUNTY's DBH Director or her designee prior to execution and implementation.  
12 COUNTY's DBH Director or her designee shall have the right to reject any such proposed subcontract.  
13 Any such subcontract together with all activities by or caused by CONTRACTOR shall not require  
14 compensation greater than the total budget contained herein. An executed copy of any such subcontract  
15 shall be received by COUNTY before any implementation and shall be retained by COUNTY.  
16 CONTRACTOR shall be responsible to COUNTY for the proper performance of any subcontract. Any  
17 subcontractor shall be subject to the same terms and conditions that CONTRACTOR is subject to under  
18 this Agreement.

19           It is expressly recognized that CONTRACTOR cannot engage in the practice of physical  
20 health medicine. If any medical services outside of the scope of the CONTRACTOR's medical director are  
21 provided in connection with the services under this Agreement, such medical services shall be performed  
22 by an independent contract physician. In this instance, the requirements of the Confidential Medical  
23 Information Act (Civil Code 56 et seq.) shall be met.

24           If CONTRACTOR hires an independent contract physician, CONTRACTOR shall require  
25 and ensure that such independent contract physician carries Professional Liability (Medical Malpractice)  
26 Insurance, with limits of not less than One Million Dollars (\$1,000,000.00) per occurrence, Three Million  
27 Dollars (\$3,000,000.00) annual aggregate.

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1           **14. CONFLICT OF INTEREST**

2           No officer, agent, or employee of COUNTY who exercises any function or responsibility for  
3 planning and carrying out the services provided under this Agreement shall have any direct or indirect  
4 personal financial interest in this Agreement. CONTRACTOR shall comply with all Federal, State of  
5 California, and local conflict of interest laws, statutes, and regulations, which shall be applicable to all  
6 parties and beneficiaries under this Agreement and any officer, agent, or employee of COUNTY.

7           **15. DISCLOSURE OF SELF-DEALING TRANSACTIONS**

8           This provision is only applicable if the CONTRACTOR is operating as a corporation (a  
9 for-profit or non-profit corporation) or if during the term of the agreement, the CONTRACTOR changes  
10 its status to operate as a corporation.

11           Members of the CONTRACTOR's Board of Directors shall disclose any self-dealing  
12 transactions that they are a party to while CONTRACTOR is providing goods or performing services  
13 under this agreement. A self-dealing transaction shall mean a transaction to which the CONTRACTOR  
14 is a party and in which one or more of its directors has a material financial interest. Members of the  
15 Board of Directors shall disclose any self-dealing transactions that they are a party to by completing and  
16 signing a Self-Dealing Transaction Disclosure Form, attached hereto as Exhibit G and incorporated  
17 herein by reference, and submitting it to the COUNTY prior to commencing with the self-dealing  
18 transaction or immediately thereafter.

19           **16. ASSURANCES**

20           In entering into this Agreement, CONTRACTOR certifies that it is not currently excluded,  
21 suspended, debarred, or otherwise ineligible to participate in the Federal Health Care Programs; that it has  
22 not been convicted of a criminal offense related to the provision of health care items or services; nor has it  
23 been reinstated to participation in the Federal Health Care Programs after a period of exclusion,  
24 suspension, debarment, or ineligibility. If COUNTY learns, subsequent to entering into a contract, that  
25 CONTRACTOR is ineligible on these grounds, COUNTY will remove CONTRACTOR from responsibility  
26 for, or involvement with, COUNTY's business operations related to the Federal Health Care Programs and  
27 shall remove such CONTRACTOR from any position in which CONTRACTOR's compensation, or the  
28 items or services rendered, ordered or prescribed by CONTRACTOR may be paid in whole or part, directly

1 or indirectly, by Federal Health Care Programs or otherwise with Federal Funds at least until such time as  
2 CONTRACTOR is reinstated into participation in the Federal Health Care Programs. Further the  
3 CONTRACTOR agrees to the Disclosure of Criminal History and Civil Actions and Certification regarding  
4 debarment suspension and other responsibility matters primary covered transactions; CONTRACTOR  
5 must sign an appropriate Certification regarding debarment, suspension, and other responsibility matters,  
6 attached hereto as Exhibit H, incorporated herein by reference and made part of this Agreement.

7           A.     If COUNTY has notice that CONTRACTOR has been charged with a criminal  
8 offense related to any Federal Health Care Program, or is proposed for exclusion during the term on any  
9 contract, CONTRACTOR and COUNTY shall take all appropriate actions to ensure the accuracy of any  
10 claims submitted to any Federal Health Care Program. At its discretion given such circumstances,  
11 COUNTY may request that CONTRACTOR cease providing services until resolution of the charges or the  
12 proposed exclusion.

13           B.     CONTRACTOR agrees that all potential new employees of CONTRACTOR or  
14 subcontractors of CONTRACTOR who, in each case, are expected to perform professional services under  
15 this Agreement, will be queried as to whether (1) they are now or ever have been excluded, suspended,  
16 debarred, or otherwise ineligible to participate in the Federal Health Care Programs; (2) they have been  
17 convicted of a criminal offense related to the provision of health care items or services; and or (3) they  
18 have been reinstated to participation in the Federal Health Care Programs after a period of exclusion,  
19 suspension, debarment, or ineligibility.

20           1)     In the event the potential employee or subcontractor informs  
21 CONTRACTOR that he or she is excluded, suspended, debarred or otherwise ineligible, or has been  
22 convicted of a criminal offense relating to the provision of health care services, and CONTRACTOR hires  
23 or engages such potential employee or subcontractor, CONTRACTOR will ensure that said employee or  
24 subcontractor does no work, either directly or indirectly relating to services provided to COUNTY.

25           2)     Notwithstanding the above, COUNTY at its discretion may terminate this  
26 Agreement in accordance with Section Four (4) TERMINATION of this Agreement, or require adequate  
27 assurance (as defined by COUNTY) that no excluded, suspended or otherwise ineligible employee or  
28 subcontractor of CONTRACTOR will perform work, either directly or indirectly, relating to services

1 provided to COUNTY. Such demand for adequate assurance shall be effective upon a time frame to be  
2 determined by COUNTY to protect the interests of COUNTY beneficiaries.

3           C. CONTRACTOR shall verify (by asking the applicable employees and  
4 subcontractors) that all current employees and existing subcontractors who, in each case, are expected to  
5 perform professional services under this Agreement (1) are not currently excluded, suspended, debarred,  
6 or otherwise ineligible to participate in the Federal Health Care Programs; (2) have not been convicted of a  
7 criminal offense related to the provision of health care items or services; and (3) have not been reinstated  
8 to participation in the Federal Health Care Program after a period of exclusion, suspension, debarment, or  
9 ineligibility. In the event any existing employee or subcontractor informs CONTRACTOR that he or she is  
10 excluded, suspended, debarred or otherwise ineligible to participate in the Federal Health Care Programs,  
11 or has been convicted of a criminal offense relating to the provision of health care services,  
12 CONTRACTOR will ensure that said employee or subcontractor does no work, either direct or indirect,  
13 relating to services provided to COUNTY.

14           1) CONTRACTOR agrees to notify COUNTY immediately during the term of  
15 this Agreement whenever CONTRACTOR learns that an employee or subcontractor who, in each case, is  
16 providing professional services under this Agreement is excluded, suspended, debarred or otherwise  
17 ineligible to participate in the Federal Health Care Programs, or is convicted of a criminal offense relating  
18 to the provision of health care services.

19           2) Notwithstanding the above, COUNTY at its discretion may terminate this  
20 Agreement in accordance with the Section Four (4) TERMINATION of this Agreement, or require  
21 adequate assurance (as defined by COUNTY) that no excluded, suspended or otherwise ineligible  
22 employee or subcontractor of CONTRACTOR will perform work, either directly or indirectly, relating to  
23 services provided to COUNTY. Such demand for adequate assurance shall be effective upon a time  
24 frame to be determined by COUNTY to protect the interests of COUNTY beneficiaries.

25           D. CONTRACTOR agrees to cooperate fully with any reasonable requests for  
26 information from COUNTY which may be necessary to complete any internal or external audits relating to  
27 this Agreement.

28           E. CONTRACTOR agrees to reimburse COUNTY for the entire cost of any penalty

1 imposed upon COUNTY by the Federal Government as a result of CONTRACTOR's violation of the terms  
2 of this Agreement.

3 **17. MODIFICATION**

4 Any matters of this Agreement may be modified from time to time by the written consent of  
5 all the parties without, in any way, affecting the remainder.

6 Notwithstanding the above, changes to Section One (1), SERVICES, as needed to  
7 accommodate changes in State and Federal Law relating to SUD treatment may be made with the signed  
8 written approval of COUNTY's DBH Director or her designee and respective CONTRACTOR(S) through an  
9 amendment approved by County Counsel and Auditor.

10 **18. INSURANCE**

11 Without limiting the COUNTY's right to obtain indemnification from CONTRACTOR or any  
12 third parties, CONTRACTOR, at its sole expense, shall maintain in full force and effect, the following  
13 insurance policies or a program of self-insurance, including but not limited to, an insurance pooling  
14 arrangement or Joint Powers Agreement (JPA) throughout the term of the Agreement:

15 A. Commercial General Liability

16 Commercial General Liability Insurance with limits of not less than Two Million  
17 Dollars (\$2,000,000.00) per occurrence and an annual aggregate of Four Million Dollars (\$4,000,000.00).  
18 This policy shall be issued on a per occurrence basis. COUNTY may require specific coverages including  
19 completed operations, products liability, contractual liability, Explosion-Collapse-Underground, fire legal  
20 liability or any other liability insurance deemed necessary because of the nature of this contract.

21 B. Automobile Liability

22 Comprehensive Automobile Liability Insurance with limits of not less than One  
23 Million Dollars (\$1,000,000.00) per accident for bodily injury and for property damages. Coverage should  
24 include any auto used in connection with this Agreement.

25 C. Professional Liability

26 If CONTRACTOR employs licensed professional staff, (e.g., Ph.D., R.N., L.C.S.W.,  
27 M.F.C.C.) in providing services, Professional Liability Insurance with limits of not less than One Million  
28 Dollars (\$1,000,000.00) per occurrence, Three Million Dollars (\$3,000,000.00) annual aggregate.

1                   D. Worker's Compensation

2                   A policy of Worker's Compensation insurance as may be required by the California  
3 Labor Code.

4                   E. Molestation

5                   Sexual abuse / molestation liability insurance with limits of not less than One Million  
6 Dollars (\$1,000,000.00) per occurrence, Two Million Dollars (\$2,000,000.00) annual aggregate. This policy  
7 shall be issued on a per occurrence basis.

8                   CONTRACTOR shall obtain endorsements to the Commercial General Liability insurance  
9 naming the County of Fresno, its officers, agents, and employees, individually and collectively, as additional  
10 insured, but only insofar as the operations under this Agreement are concerned. Such coverage for  
11 additional insured shall apply as primary insurance and any other insurance, or self-insurance, maintained  
12 by COUNTY, its officers, agents and employees shall be excess only and not contributing with insurance  
13 provided under CONTRACTOR's policies herein. This insurance shall not be cancelled or changed without  
14 a minimum of thirty (30) days advance written notice given to COUNTY.

15                  CONTRACTOR hereby waives its right to recover from COUNTY, its officers, agents, and  
16 employees any amounts paid by the policy of worker's compensation insurance required by this  
17 Agreement. CONTRACTOR is solely responsible to obtain any endorsement to such policy that may be  
18 necessary to accomplish such waiver of subrogation, but CONTRACTOR's waiver of subrogation under  
19 this paragraph is effective whether or not CONTRACTOR obtains such an endorsement.

20                  Within thirty (30) days from the date CONTRACTOR signs and executes this Agreement,  
21 CONTRACTOR shall provide certificates of insurance and endorsement as stated above for all of the  
22 foregoing policies, as required herein, to the assigned analyst at the County of Fresno, Department of  
23 Behavioral Health, Contracts Division – SUD Services at 3133 N Millbrook Avenue, Fresno, California,  
24 93703, stating that such insurance coverages have been obtained and are in full force; that the County of  
25 Fresno, its officers, agents and employees will not be responsible for any premiums on the policies; that for  
26 such worker's compensation insurance the CONTRACTOR has waived its right to recover from the  
27 COUNTY, its officers, agents, and employees any amounts paid under the insurance policy and that waiver  
28 does not invalidate the insurance policy; that such Commercial General Liability insurance names the

1 County of Fresno, its officers, agents and employees, individually and collectively, as additional insured, but  
2 only insofar as the operations under this Agreement are concerned; that such coverage for additional  
3 insured shall apply as primary insurance and any other insurance, or self-insurance, maintained by  
4 COUNTY, its officers, agents and employees, shall be excess only and not contributing with insurance  
5 provided under CONTRACTOR's policies herein; and that this insurance shall not be cancelled or changed  
6 without a minimum of thirty (30) days advance, written notice given to COUNTY.

7                   In the event CONTRACTOR fails to keep in effect at all times insurance coverage as herein  
8 provided, the COUNTY may, in addition to other remedies it may have, suspend or terminate this  
9 Agreement upon the occurrence of such event.

10                  All policies shall be issued by admitted insurers licensed to do business in the State of  
11 California, and such insurance shall be purchased from companies possessing a current A.M. Best, Inc.  
12 rating of A FSC VII or better.

13                  **19. HOLD HARMLESS**

14                  CONTRACTOR agrees to indemnify, save, hold harmless, and at COUNTY'S request,  
15 defend the COUNTY, its officers, agents, and employees from any and all costs and expenses (including  
16 attorney's fees and costs), damages, liabilities, claims, and losses occurring or resulting to COUNTY in  
17 connection with the performance, or failure to perform, by CONTRACTOR, its officers, agents, or  
18 employees under this Agreement, and from any and all costs and expenses (including attorney's fees and  
19 costs), damages, liabilities, claims, and losses occurring or resulting to any person, firm, or corporation who  
20 may be injured or damaged by the performance, or failure to perform, of CONTRACTOR, its officers,  
21 agents, or employees under this Agreement.

22                  CONTRACTOR agrees to indemnify COUNTY for Federal, State of California audit  
23 exceptions resulting from noncompliance herein on the part of the CONTRACTOR.

24                  **20. SINGLE AUDIT**

25                  A.        If CONTRACTOR expends Seven Hundred Fifty Thousand Dollars (\$750,000.00) or  
26 more in Federal and Federal flow-through monies, CONTRACTOR agrees to conduct an annual audit in  
27 accordance with the requirements of the Single Audit Standards as set forth in 2 Code of Federal  
28 Regulations (CFR) Part 200. CONTRACTOR shall submit said audit and management letter to COUNTY.

1 The audit must include a statement of findings or a statement that there were no findings. If there were  
2 negative findings, CONTRACTOR must include a corrective action plan signed by an authorized  
3 individual. CONTRACTOR agrees to take action to correct any material non-compliance or weakness  
4 found as a result of such audit. Such audit shall be delivered to COUNTY's Department of Behavioral  
5 Health, Business Office for review within nine (9) months of the end of any fiscal year in which funds were  
6 expended and/or received for the program. Failure to perform the requisite audit functions as required by  
7 this Agreement may result in COUNTY performing the necessary audit tasks, or at COUNTY's option,  
8 contracting with a public accountant to perform said audit, or, may result in the inability of COUNTY to  
9 enter into future agreements with CONTRACTOR. All audit costs related to this Agreement are the sole  
10 responsibility of CONTRACTOR.

11           B.       A single audit report is not applicable if CONTRACTOR's Federal contracts do not  
12 exceed the Seven Hundred Fifty Thousand Dollars (\$750,000.00) requirement or CONTRACTOR's only  
13 funding is through Drug related Medi-Cal. If a single audit is not applicable, a program audit must be  
14 performed and a program audit report with management letter shall be submitted by CONTRACTOR to  
15 COUNTY as a minimum requirement to attest to CONTRACTOR's solvency. Said audit report shall be  
16 delivered to COUNTY's Department of Behavioral Health, Business Office for review, no later than nine (9)  
17 months after the close of the fiscal year in which the funds supplied through this Agreement are expended.  
18 Failure to comply with this Act may result in COUNTY performing the necessary audit tasks or contracting  
19 with a qualified accountant to perform said audit. All audit costs related to this Agreement are the sole  
20 responsibility of CONTRACTOR who agrees to take corrective action to eliminate any material  
21 noncompliance or weakness found as a result of such audit. Audit work performed by COUNTY under this  
22 section shall be billed to the CONTRACTOR at COUNTY's cost, as determined by COUNTY's Auditor-  
23 Controller/Treasurer-Tax Collector.

24           C.       CONTRACTOR shall make available all records and accounts for inspection by  
25 COUNTY, the State of California, if applicable, the Comptroller General of the United States, the Federal  
26 Grantor Agency, or any of their duly authorized representatives, at all reasonable times for a minimum of  
27 ten (10) years, in accordance with 42 CFR Part 438.3(h), from the finalized cost settlement process or, if an  
28 audit by the Federal government or DHCS has been started before the expiration of the ten (10) year

1 period, records shall be maintained until completion of the audit and final resolution of all findings.

2 **21. AUDITS AND INSPECTIONS**

3 The CONTRACTOR shall at any time during business hours, and as often as the COUNTY  
4 may deem necessary, make available to the COUNTY for examination all of its records and data with  
5 respect to the matters covered by this Agreement. The CONTRACTOR shall, upon request by the  
6 COUNTY, permit the COUNTY to audit and inspect all of electronic or print books and records as well as  
7 inspection of the premises, physical facilities and equipment where Medicaid-related activities are  
8 conducted to ensure CONTRACTOR'S compliance with the terms of this Agreement.

9 The refusal of CONTRACTOR to permit access to, and inspection of, electronic or print  
10 books and records, physical facilities, and/or refusal to permit interviews with employees, as described in  
11 this part, constitutes an express and immediate material breach of this Agreement and will be sufficient  
12 basis to terminate the Agreement for cause or default.

13 The right to audit under this section exists for ten (10) years from the final date of the  
14 agreement period or from the date of completion of any audit, whichever is later.

15 Notwithstanding the provisions stated in Section Three (3), TERM, of this Agreement, it is  
16 acknowledged by the parties hereto that this Agreement shall continue in full force and effect until all audit  
17 procedures and requirements as stated in this Agreement have been completed to the review and  
18 satisfaction of COUNTY. CONTRACTOR shall bear all costs in connection with or resulting from any audit  
19 and/or inspections including, but not limited to, actual costs incurred and the payment of any expenditures  
20 disallowed by either COUNTY, State, or Federal governmental entities, including any assessed interest and  
21 penalties.

22 If CONTRACTOR, through an audit by the STATE or COUNTY, is found to be in violation of  
23 this contract which results in the recoupment of funds paid to CONTRACTOR, COUNTY may, upon mutual  
24 consent between CONTRACTOR and COUNTY, enter into a repayment agreement with the  
25 CONTRACTOR, with total monthly payments not to exceed twelve (12) months from the date of the  
26 repayment agreement, to recover the amount of funds to be recouped. The monthly repayment amounts  
27 shall be netted against the CONTRACTOR's monthly billing for services rendered during the month.  
28 COUNTY reserves the right to forgo a repayment agreement and recoup all funds immediately.

1           **22. EVALUATION – MONITORING**

2           CONTRACTOR shall participate in a review of the program at least yearly or more  
3 frequently, or as needed, at the discretion of COUNTY. The CONTRACTOR agrees to supply all  
4 information requested by the COUNTY, DHCS, and/or the subcontractor during the program evaluation,  
5 monitoring, and/or review.

6           COUNTY's DBH Director, or her designee, and DHCS or their designees shall monitor and  
7 evaluate the performance of CONTRACTOR under this Agreement to determine to the best possible  
8 degree the success or failure of the services provided under this Agreement. At the discretion of the  
9 COUNTY, a subcontractor may be obtained by the COUNTY to independently evaluate and monitor the  
10 performance of the CONTRACTOR. CONTRACTOR shall participate in the evaluation of the program as  
11 needed, at the discretion of COUNTY.

12           COUNTY shall recapture from CONTRACTOR the value of any services or other  
13 expenditures determined to be ineligible based on the COUNTY or State monitoring results. At the  
14 discretion of the COUNTY, CONTRACTOR shall enter into a repayment agreement with the COUNTY, with  
15 total monthly payments not to exceed twelve (12) months from the date of the repayment agreement, to  
16 recover the amount of funds to be recouped. The monthly repayment amounts shall be netted against the  
17 CONTRACTOR's monthly billing for services rendered during the month. COUNTY reserves the right to  
18 forgo a repayment agreement and recoup all funds immediately.

19           **23. REPORTS—SUBSTANCE USE DISORDER SERVICES**

20           CONTRACTOR(S) shall submit all information and data required by State, including, but  
21 not limited to the following:

22           A.       Drug and Alcohol Treatment Access Report (DATAR) in an electronic format  
23 provided by the State and due no later than five (5) days after the preceding month; and

24           B.       CalOMS Treatment – Submit CalOMS treatment admission, discharge, annual  
25 update, and “provider activity report” record in an electronic format through COUNTY's information  
26 system, and on a schedule as determined by the COUNTY which complies with State requirements for  
27 data content, data quality, reporting frequency, reporting deadlines, and report method and due no later  
28 than five (5) days after the preceding month. All CalOMS admissions, discharges, and annual updates

1 must be entered into the COUNTY's CalOMS system within twenty-four (24) hours of occurrence; and

2                   C. CONTRACTOR(S) shall submit to COUNTY monthly fiscal and all program  
3 reports, including DMC Monthly Status Report (MSR), within twenty (20) days of the end of each month;  
4 and

5                   D. ASAM Level of Care (LOC) – Submit ASAM LOC data in an electronic format  
6 through COUNTY's information system, on a schedule as determined by the COUNTY which complies  
7 with State requirements; and

8                   E. Americans with Disabilities (ADA) – Annually, upon request by DBH,  
9 CONTRACTOR(S) shall complete a system-wide accessibility survey in a format determined by DBH for  
10 each service location and modality and shall submit an ADA Accessibility Certification and Self-  
11 Assessment, including an Implementation Plan, for each service location; and

12                  F. Culturally and Linguistically Appropriate Services (CLAS) - Annually, upon request  
13 by DBH, CONTRACTOR(S) shall complete an agency CLAS survey in a format determined by DBH and  
14 shall submit a CLAS Self-Assessment, including an Implementation Plan; and

15                  G. Risk Assessment – Annually, upon request by DBH, CONTRACTOR shall submit  
16 a Risk Assessment on a form and in a format to be provided by DBH. The Assessment must be  
17 submitted to the COUNTY in hard copy as well as electronically by the due date set by COUNTY; and

18                  H. Outcome Reports – CONTRACTOR shall submit outcomes reports as requested.  
19 Outcomes reports and requirements are subject to change at COUNTY's discretion; and

20                  I. Network Adequacy Certification Tool (NACT) – CONTRACTOR shall submit  
21 NACT as requested by COUNTY; and

22                  J. Cost Reports – On an annual basis for each fiscal year ending June 30th  
23 CONTRACTOR(S) shall submit a complete and accurate detailed cost report(s). Cost reports must be  
24 submitted to the COUNTY as a hard copy with a signed cover letter and an electronic copy by the due  
25 date. Submittal must also include any requested support documents such as general ledgers and  
26 detailed electronic (e.g. Excel) schedules demonstrating how costs were allocated both within programs,  
27 if provider has multiple funding sources (e.g. DMC and SAPT), and between programs, if  
28 CONTRACTOR provides multiple SUD modalities (e.g. residential, detox, sober living, outpatient, etc.).

1 Provider shall maintain general ledgers that reflect the original transaction amounts where each entry in  
2 their accounting records represents one-hundred percent (100%) of the total transaction cost and can  
3 be supported with the original source documentation (i.e. receipts, bills, invoices, payroll registers, etc.).  
4 Bank statements reflecting purchases are not original source documents and will not be accepted as  
5 such. All costs found to not be supported by original source documentation will be disallowed. Total  
6 unallowable costs shall be allocated their percentage share of the indirect Costs along with the  
7 Contractor's direct costs. All reports submitted by CONTRACTOR(S) to COUNTY must be typewritten.  
8 COUNTY will issue instructions for completion and submittal of the annual cost report, including the  
9 relevant cost report template(s) and due dates within forty-five (45) days of each fiscal year end. All cost  
10 reports must be prepared in accordance with Generally Accepted Accounting Principles. Unallowable  
11 costs such as those denoted in 2 CFR 200 Subpart E, [Cost Principles](#), 41 U.S.C. [4304](#), and the Center  
12 for Medicare and Medicaid Studies (CMS) Provider Reimbursement Manual ([PRM](#)) 15-1, must not be  
13 included as an allowable cost on the cost report and all invoices. Unallowable costs must be kept in the  
14 provider's General Ledger in accounts entitled Unallowable followed by name of the account (e.g.  
15 Unallowable – Food) or in some other appropriate form of segregation in the provider's accounting  
16 records. For further information on unallowable costs refer to regulations provided above. If the  
17 CONTRACTOR(S) does not submit the cost report by the due date, including any extension period  
18 granted by the COUNTY, the COUNTY may withhold payment of pending invoices until the cost  
19 report(s) has been submitted and clears COUNTY desk audit for completeness and accuracy. Once the  
20 cost reports have been approved by the County, originally-executed signed certification pages attesting  
21 to the accuracy of the information contained in cost reports shall be submitted to the County.

22           1)     DMC - A DMC cost report must be submitted in a format prescribed by the  
23 DHCS for the purposes of Short Doyle Medi-Cal reimbursement of total costs for all programs.  
24 CONTRACTOR(S) shall report costs under their approved legal entity number established during the  
25 DMC certification process. Total units of service reported on the cost report will be compared to the  
26 units of services entered by CONTRACTOR(S) into COUNTY's data system. CONTRACTOR(S) will be  
27 required to correct discrepancies and resubmit to COUNTY prior to COUNTY's final acceptance of the  
28 cost report.

2) OTHER FUNDING SOURCES – CONTRACTOR(S) will be required to submit a cost report on a form approved and provided by the COUNTY to reflect actual costs and reimbursement for services provided through funding sources other than DMC. Contracts that include a negotiated rate per unit of service will be reimbursed for actual costs incurred (the sum of both direct costs as defined in 2 CFR 200.413, and allocated indirect costs as defined in 2 CFR 200.414) not to exceed the contract maximum. If the cost report indicates an amount due to COUNTY, CONTRACTOR(S) shall submit payment with the report. If an amount is due to CONTRACTOR(S) COUNTY shall reimburse CONTRACTOR within forty-five (45) days of receiving and accepting the year-end cost report.

3) MULTIPLE FUNDING SOURCES – CONTRACTOR(S) with multiple agreements for the same services (e.g. Outpatient, Residential) provided at the same location where at least one of the Agreements is funded through DMC and the other funding is other federal or county realignment funding will be required to complete DMC cost reports and COUNTY approved cost reports. Such Agreements will be settled for actual allowable costs in accordance with Medicaid reimbursement requirements as specified in Title XIX or Title XXI of the Social Security Act; Title 22, and the State's Medicaid Plan. Within forty-five (45) days of the reconciliation by COUNTY, CONTRACTOR shall make payment to COUNTY or COUNTY shall reimburse CONTRACTOR as appropriate.

During the term of this Agreement and thereafter, COUNTY and CONTRACTOR(S) agree to settle dollar amounts disallowed or settled in accordance with DHCS and COUNTY audit settlement findings. DHCS audit process is approximately eighteen (18) to thirty-six (36) months following the close of the State fiscal year. COUNTY may choose to appeal DHCS settlement results and therefore reserves the right to defer payback settlement with CONTRACTOR(S) until resolution of the appeal.

CONTRACTOR shall furnish to COUNTY such statements, records, reports, data, and information as COUNTY may request pertaining to matters covered by this Agreement. All reports submitted to the COUNTY must be typewritten.

In the event that CONTRACTOR(S) fails to provide such reports or other information

1 required hereunder, it shall be deemed sufficient cause for the COUNTY to withhold monthly payments  
2 until there is compliance. In addition, the CONTRACTOR shall provide written notification and  
3 explanation to the COUNTY within fifteen (15) days of any funds received from another source to  
4 conduct the same services covered by this Agreement.

5 **24. PROPERTY OF COUNTY**

6 A. CONTRACTOR shall submit purchase invoices for the purchase of any fixed assets  
7 with their monthly invoices. All purchases over Five Thousand and No/100 Dollars (\$5,000.00), and certain  
8 purchases under Five Thousand and No/100 Dollars (\$5,000.00) such as fans, calculators, cameras,  
9 VCRs, DVDs and other sensitive items as determined by COUNTY's DBH Director, or her designee, made  
10 during the life of this Agreement shall be identified as assets that can be inventoried and maintained in  
11 COUNTY's DBH Asset Inventory System. These assets shall be retained by COUNTY, as COUNTY  
12 property, in the event this Agreement is terminated or upon expiration of this Agreement. CONTRACTOR  
13 agrees to participate in an annual inventory of all COUNTY fixed assets and shall be physically present  
14 when fixed assets are returned to COUNTY's possession at the termination or expiration of this Agreement.  
15 CONTRACTOR is responsible for returning to COUNTY all COUNTY owned fixed assets, or the monetary  
16 value of said fixed assets if unable to produce the fixed assets at the expiration or termination of this  
17 Agreement.

18 B. The purchase of any equipment by CONTRACTOR with funds provided  
19 hereunder shall require the prior written approval of COUNTY's DBH Director or her designee, shall  
20 fulfill the provisions of this Agreement as appropriate, and must be directly related to CONTRACTOR's  
21 services or activity under the terms of this Agreement. COUNTY's DBH Director or her designee may  
22 refuse reimbursement for any costs resulting from equipment purchased, which are incurred by  
23 CONTRACTOR, if prior written approval has not been obtained from COUNTY.

24 C. The terms and conditions described in this Section are not applicable to the  
25 leasing of vehicles by CONTRACTOR with the funds provided under this Agreement.

26 **25. RECORDS**

27 A. RECORD ESTABLISHMENT AND MAINTENANCE –CONTRACTOR shall  
28 establish and maintain records in accordance with State and Federal rules and regulations in addition to

1 those requirements prescribed by COUNTY with respect to all matters covered by this Agreement.  
2 Except as otherwise authorized by COUNTY, CONTRACTOR shall retain all other records for a period  
3 of ten (10) years from the finalized cost settlement process, or from the date of completion of any audit,  
4 whichever is later.

5                   B. DOCUMENTATION – CONTRACTOR shall maintain adequate records in  
6 sufficient detail to make possible an evaluation of services, and contain all the data necessary in  
7 reporting to the State of California and/or Federal agency. All client records shall be maintained  
8 pursuant to applicable State of California and Federal requirements concerning confidentiality.

9                   C. REPORTS – CONTRACTOR shall submit to COUNTY monthly fiscal and all  
10 program reports as further described in Section Twenty-Three (23) REPORTS – Substance Use  
11 Disorder Services. CONTRACTOR shall submit a complete and accurate year-end cost report for each  
12 fiscal year affected by this Agreement, following the end of each fiscal year affected by this Agreement.  
13 CONTRACTOR shall also furnish to COUNTY such statements, records, reports, data, and information  
14 as COUNTY may request pertaining to matters covered by this Agreement. All reports submitted by  
15 CONTRACTOR to COUNTY must be typewritten.

16                   D. SUSPENSION OF COMPENSATION – In the event that CONTRACTOR fails to  
17 provide reports specified in this Agreement, it shall be deemed sufficient cause for COUNTY to withhold  
18 payments until there is compliance.

19                   E. CLIENT CONFIDENTIALITY – CONTRACTOR shall conform to and COUNTY  
20 shall monitor compliance with all State and Federal statutes and regulations regarding confidentiality,  
21 including but not limited to confidentiality of information requirements of 42 CFR § 2.1 et seq., Welfare  
22 and Institutions Code §§ 5328, 10850 and 14100.2, Health and Safety Code §§ 11977 and 11812, Civil  
23 Code, Division 1, Part 2.6, and CCR Title 22 § 51009.

24                   **26. DATA SECURITY**

25                   For the purpose of preventing the potential loss, misappropriation or inadvertent access,  
26 viewing, use or disclosure of COUNTY data including sensitive or personal beneficiary information; abuse  
27 of COUNTY resources; and/or disruption to COUNTY operations, individuals and/or agencies that enter  
28 into a contractual relationship with the COUNTY for the purpose of providing services under this Agreement

must employ adequate data security measures to protect the confidential information provided to CONTRACTOR by the COUNTY, including but not limited to the following:

A. CONTRACTOR-OWNED MOBILE, WIRELESS, OR HANDHELD DEVICES

CONTRACTOR may not connect to COUNTY networks via personally-owned mobile, wireless or handheld devices, unless the following conditions are met:

1) CONTRACTOR has received authorization by COUNTY for telecommuting purposes;

- 2) Current virus protection software is in place;
- 3) Mobile device has the remote wipe feature enabled; and
- 4) A secure connection is used.

**B. CONTRACTOR-OWNED COMPUTERS OR COMPUTER PERIPHERALS**

CONTRACTOR may not bring CONTRACTOR-owned computers or computer peripherals into the COUNTY for use without prior authorization from the COUNTY's Chief Information Officer, and/or designee(s), including but not limited to mobile storage devices. If data is approved to be transferred, data must be stored on a secure server approved by the COUNTY and transferred by means of a Virtual Private Network (VPN) connection, or another type of secure connection. Said data must be encrypted.

C. COUNTY-OWNED COMPUTER EQUIPMENT

CONTRACTOR or anyone having an employment relationship with the COUNTY may not use COUNTY computers or computer peripherals on non-COUNTY premises without prior authorization from the COUNTY's Chief Information Officer, and/or designee(s).

D. CONTRACTOR may not store COUNTY's private, confidential or sensitive data on any hard-disk drive, portable storage device, or remote storage installation unless encrypted.

E. CONTRACTOR shall be responsible to employ strict controls to ensure the integrity and security of COUNTY's confidential information and to prevent unauthorized access, viewing, use or disclosure of data maintained in computer files, program documentation, data processing systems, data files and data processing equipment which stores or processes COUNTY data internally and externally.

F. Confidential beneficiary information transmitted to one party by the other by means

1 of electronic transmissions must be encrypted according to Advanced Encryption Standards (AES) of 128  
2 BIT or higher. Additionally, a password or pass phrase must be utilized.

3 G. CONTRACTOR is responsible to immediately notify COUNTY of any violations,  
4 breaches or potential breaches of security related to COUNTY's confidential information, data maintained  
5 in computer files, program documentation, data processing systems, data files and data processing  
6 equipment which stores or processes COUNTY data internally or externally.

7 H. COUNTY shall provide oversight to CONTRACTOR's response to all incidents  
8 arising from a possible breach of security related to COUNTY's confidential beneficiary information  
9 provided to CONTRACTOR. CONTRACTOR will be responsible to issue any notification to affected  
10 individuals as required by law or as deemed necessary by COUNTY in its sole discretion. CONTRACTOR  
11 will be responsible for all costs incurred as a result of providing the required notification.

12 **27. EHR CERTIFICATION**

13 CONTRACTOR shall obtain certification from the Certification Commission for Healthcare  
14 Information Technology (CCHIT) for Security Access Control, Audit, and Authentication if using a non-  
15 Avatar electronic health record (EHR) and shall provide a copy of the certification to COUNTY. Additionally,  
16 CONTRACTOR shall recertify their EHR annually and provide a copy of the recertification to COUNTY.  
17 CONTRACTOR shall ensure all employees who use an EHR other than Avatar sign an Electronic  
18 Signature Agreement (See example, Exhibit I) and maintain a copy in the employee's personnel file.

19 **28. COMPLIANCE WITH LAWS, POLICIES AND RULES**

20 CONTRACTOR shall comply with all applicable rules and regulations set forth in CCR Titles  
21 9 and 22, and California Health and Safety Code § 11750 et seq., with the exception of regulations waived  
22 by the Centers for Medicare and Medicaid Services and DHCS, as stated within the DMC-Organized  
23 Delivery System (ODS) Special Terms and Conditions (STCs) and the DMC Intergovernmental Agreement.  
24 CONTRACTOR shall comply with any other Federal and State laws or guidelines applicable to  
25 CONTRACTOR's performance under this Agreement or any local ordinances, regulations, or policies  
26 applicable. Such provisions include, but are not restricted to:

27 A. CONTRACTOR shall comply with 42 CFR Part 438.

28 B. CONTRACTOR shall comply with Early and Periodic Screening, Diagnostic and

1 Treatment (EPSDT) statutes and regulations.

2           C. CONTRACTOR shall ensure that each beneficiary's ability to pay for services is  
3 determined by the use of the method approved by COUNTY.

4           D. CONTRACTOR shall establish and use COUNTY's approved method of  
5 determining and collecting fees from beneficiaries.

6           E. CONTRACTOR shall furnish beneficiary records in accordance with the applicable  
7 Federal, State and local regulations and requirements, including in such records a treatment plan for each  
8 beneficiary, and evidence of each service rendered.

9           F. CONTRACTOR shall submit accurate, complete and timely claims and cost reports,  
10 reporting only allowable costs.

11           G. CONTRACTOR shall comply with statistical reporting and program evaluation  
12 systems as provided in State of California regulations and in this Agreement.

13           H. CONTRACTOR shall comply with requirements contained in the Intergovernmental  
14 Agreement with DHCS by this reference incorporated herein, until such time that a new Intergovernmental  
15 Agreement is established. Upon amendment of the Intergovernmental Agreement, the terms of the  
16 amended Contract shall automatically be incorporated into this Agreement.

17           I. CONTRACTOR shall inform every beneficiary of their rights regarding Grievance  
18 and Appeals as described in the Provider Manual, attached hereto and by this reference incorporated.

19           J. CONTRACTOR shall file an incident report for all incidents involving beneficiaries,  
20 following the Protocol for Completion of Incident Report described in the Provider Manual, attached hereto  
21 and by this reference incorporated.

22           K. In the event any law, regulation, or policy referred to in this Agreement is amended  
23 during the term thereof, the parties hereto agree to comply with the amended provision as of the effective  
24 date of such amendment. Exhibits will be updated as needed and no formal amendment of this contract is  
25 required for new rules to apply.

26           **29. NON-DISCRIMINATION PROVISION**

27           ELIGIBILITY FOR SERVICES – CONTRACTOR shall prepare, prominently post in its  
28 facility, and make available to the DBH Director or her designee and to the public all eligibility

1 requirements to participate in the program funded under this Agreement. CONTRACTOR shall not  
2 unlawfully discriminate in the provision of services because of race, religious creed, color, national  
3 origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital  
4 status, sex, gender, gender identity, gender expression, age, sexual orientation, or military or veteran  
5 status as provided by State of California and Federal law in accordance with Title VI of the Civil Rights  
6 Act of 1964 (42 USC § 2000(d)); Age Discrimination Act of 1975 (42 USC § 1681); Rehabilitation Act of  
7 1973 (29 USC § 794); Education Amendments of 1972 (20 USC § 1681); Americans with Disabilities Act  
8 of 1990 (42 USC § 12132); 45 CFR, Part 84; provisions of the Fair Employment and Housing Act  
9 (California Government Code § 12900); and regulations promulgated thereunder (CCR Title 2, §  
10 7285.0); Title 2, Division 3, Article 9.5 of the California Government Code commencing with section  
11 11135; and CCR Title 9, Division 4, Chapter 6 commencing with section 10800.

12           A.     EQUAL OPPORTUNITY – CONTRACTOR shall comply with California Government  
13 Code, § 2990 and CCR Title 2, Division 4, Chapter 5, in matters related to the development,  
14 implementation, and maintenance of a nondiscrimination program. CONTRACTOR shall not discriminate  
15 against any employee or applicant for employment because race, religious creed, color, national origin,  
16 ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex,  
17 gender, gender identity, gender expression, age, sexual orientation, or military or veteran status. Such  
18 practices include retirement, recruitment, advertising, hiring, layoff, termination, upgrading, demotion,  
19 transfer, rates of pay or other forms of compensation, use of facilities, and other terms and conditions of  
20 employment. CONTRACTOR agrees to post in conspicuous places, notices available to all employees and  
21 applicants for employment setting forth the provisions of the Equal Opportunity Act (42 USC § 2000(e)) in  
22 conformance with Federal Executive Order No. 11246. CONTRACTOR agrees to comply with the  
23 provisions of the Rehabilitation Act of 1973 (29 USC § 794).

24           B.     SUSPENSION OF COMPENSATION – If an allegation of discrimination occurs,  
25 DBH may withhold all further funds, until CONTRACTOR can show by clear and convincing evidence to the  
26 satisfaction of DBH that funds provided under this Agreement were not used in connection with the alleged  
27 discrimination.

28           C.     NEPOTISM – Except by consent of the DBH Director or her designee, no person

1 shall be employed by CONTRACTOR who is related by blood or marriage to or who is a member of the  
2 Board of Directors or an officer of CONTRACTOR.

3                   D. NEW FACILITIES AND DISABILITY ACCESS – New facilities shall be wheelchair  
4 accessible and provide access to the disabled, consistent with CCR Title 9, § 10820. If a new facility will be  
5 utilized, a plan ensuring accessibility to the disabled must be developed. DBH shall assess, monitor, and  
6 document CONTRACTOR's compliance with the Rehabilitation Act of 1973 and Americans with Disabilities  
7 Act of 1990 to ensure that recipients/beneficiaries and intended recipients/beneficiaries of services are  
8 provided services without regard to physical or mental disability and that CONTRACTOR has provided a  
9 facility accessible to the physically disabled.

10                  **30. COMPLIANCE**

11                  CONTRACTOR(S) shall comply with all requirements of the "Fresno County Behavioral  
12 Health Compliance Program Contractor Code of Conduct and Ethics" as set forth in Exhibit J. Within  
13 thirty (30) days of entering into this Agreement with the COUNTY, CONTRACTOR(S) shall have all of  
14 CONTRACTOR(S) employees, agents and subcontractors providing services under this Agreement  
15 certify in writing, that they have received, read, understood, and shall abide by the requirements set  
16 forth in Exhibit J. CONTRACTOR(S) shall ensure that within thirty (30) days of hire, all new employees,  
17 agents and subcontractors providing services under this Agreement certify in writing that they have  
18 received, read, understood, and shall abide by the requirements set forth in Exhibit J.  
19 CONTRACTOR(S) understands that the promotion of and adherence to such requirements is an  
20 element in evaluating the performance of CONTRACTOR(S) and its employees, agents and  
21 subcontractors.

22                  Within thirty (30) days of entering into this Agreement, and annually thereafter, all  
23 employees, agents and subcontractors providing services under this Agreement shall complete general  
24 compliance training and appropriate employees, agents and subcontractors shall complete  
25 documentation and billing or billing/reimbursement training. All new employees, agents and  
26 subcontractors shall attend the appropriate training within thirty (30) days of hire. Each individual who is  
27 required to attend training shall certify in writing that he or she has received the required training. The  
28 certification shall specify the type of training received and the date received. The certification shall be

1 provided to the COUNTY's Compliance Officer at 3133 N. Millbrook, Room 171, Fresno, CA 93703.  
2 CONTRACTOR(S) agrees to reimburse COUNTY for the entire cost of any penalty imposed upon  
3 COUNTY by the Federal Government as a result of CONTRACTOR(S) violation of the terms of this  
4 Agreement.

5 **31. COMPLAINTS**

6 CONTRACTOR shall log complaints and the disposition of all complaints from a beneficiary  
7 or a beneficiary's family. CONTRACTOR shall provide a summary of the complaint log entries concerning  
8 COUNTY-sponsored beneficiaries to COUNTY at monthly intervals by the fifteenth (15th) day of the  
9 following month, in a format that is mutually agreed upon. CONTRACTOR shall post signs informing  
10 beneficiary of their right to file a complaint or grievance. CONTRACTOR shall notify COUNTY of all  
11 incidents reportable to state licensing bodies that affect COUNTY beneficiaries within twenty-four (24)  
12 hours of receipt of a complaint.

13 Within fifteen (15) days after each incident or complaint affecting COUNTY-sponsored  
14 beneficiaries, CONTRACTOR shall provide COUNTY with information relevant to the complaint,  
15 investigative details of the complaint, the complaint and CONTRACTOR's disposition of, or corrective  
16 action taken to resolve the complaint.

17 **32. CULTURAL COMPETENCY**

18 As related to Cultural and Linguistic Competence, CONTRACTOR shall comply with:

19 A. Compliance with Title 6 of the Civil Rights Act of 1964 (42 U.S.C. § 2000d, and 45  
20 CFR Part 80) and Executive Order 12250 of 1979 which prohibits recipients of federal financial assistance  
21 from discriminating against persons based on race, color, national origin, sex, disability or religion. This is  
22 interpreted to mean that a limited English proficient (LEP) individual is entitled to equal access and  
23 participation in federally funded programs through the provision of comprehensive and quality bilingual  
24 services.

25 B. Policies and procedures for ensuring access and appropriate use of trained  
26 interpreters and material translation services for all LEP beneficiaries, including, but not limited to,  
27 assessing the cultural and linguistic needs of its beneficiaries, training of staff on the policies and  
28 procedures, and monitoring its language assistance program. The CONTRACTOR's procedures must

1 include ensuring compliance of any sub-contracted providers with these requirements.

2           C. CONTRACTOR assurances that minors shall not be used as interpreters.

3           D. CONTRACTOR shall provide and pay for interpreting and translation services to  
4 persons participating in CONTRACTOR's services who have limited or no English language proficiency,  
5 including services to persons who are deaf or blind. Interpreter and translation services shall be provided  
6 as necessary to allow such participants meaningful access to the programs, services and benefits  
7 provided by CONTRACTOR. Interpreter and translation services, including translation of  
8 CONTRACTOR's "vital documents" (those documents that contain information that is critical for accessing  
9 CONTRACTOR's services or are required by law) shall be provided to participants at no cost to the  
10 participant. CONTRACTOR shall ensure that any employees, agents, subcontractors, or partners who  
11 interpret or translate for a program participant, or who directly communicate with a program participant in a  
12 language other than English, demonstrate proficiency in the participant's language and can effectively  
13 communicate any specialized terms and concepts peculiar to CONTRACTOR's services.

14           E. In compliance with the State mandated Culturally and Linguistically Appropriate  
15 Services standards as published by the Office of Minority Health, CONTRACTOR must submit to  
16 COUNTY for approval, within 60 days from date of contract execution, CONTRACTOR's plan to address  
17 all fifteen national cultural competency standards as set forth in the "National Standards on Culturally and  
18 Linguistically Appropriate Services" (CLAS), attached hereto as Exhibit K, and incorporated herein by this  
19 reference. County's annual on-site review of CONTRACTOR shall include collection of documentation to  
20 ensure all national standards are implemented. As the national competency standards are updated,  
21 CONTRACTOR's plan must be updated accordingly.

22           F. CONTRACTOR shall complete and submit county-issued CLAS self-assessment  
23 annually. CONTRACTOR shall update CLAS plan as necessary.

24           **33. CLEAN AIR AND WATER**

25           In the event funding under this Agreement exceeds One Hundred Thousand Dollars  
26 (\$100,000.00), the CONTRACTOR must comply with all applicable standards, orders, or requirements  
27 issued under section 306 of the Clean Air Act (42 U.S.C. 1857 (h)), section 506 of the Clean Water Act (33  
28 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency Regulations (40 CFR part

1 32).

2 **34. HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT**

3 COUNTY and CONTRACTOR each consider and represent themselves as covered  
4 entities as defined by the U.S. Health Insurance Portability and Accountability Act of 1996, Public Law  
5 104-191(HIPAA) and agree to use and disclose protected health information as required by law.

6 COUNTY and CONTRACTOR acknowledge that the exchange of protected health  
7 information between them is only for treatment, payment, and health care operations.

8 COUNTY and CONTRACTOR intend to protect the privacy and provide for the security of  
9 Protected Health Information (PHI) pursuant to the Agreement in compliance with HIPAA, the Health  
10 Information Technology for Economic and Clinical Health Act, Public Law 111-005 (HITECH), and  
11 regulations promulgated thereunder by the U.S. Department of Health and Human Services (HIPAA  
12 Regulations) and other applicable laws.

13 As part of the HIPAA Regulations, the Privacy Rule and the Security Rule require  
14 CONTRACTOR to enter into a contract containing specific requirements prior to the disclosure of PHI,  
15 as set forth in, but not limited to, Title 45, Sections 164.314(a), 164.502(e) and 164.504(e) of the Code  
16 of Federal Regulations (CFR).

17 Additionally, CONTRACTOR shall comply with the HIPAA requirements stated in Exhibit  
18 C, "SAPT Specific Requirements."

19 **35. CHILD ABUSE REPORTING**

20 CONTRACTOR shall utilize a procedure acceptable to the COUNTY to ensure that all of  
21 CONTRACTOR's employees, volunteers, consultants, subcontractors or agents performing services under  
22 this Agreement shall report all known or suspected child abuse or neglect to one or more of the agencies  
23 set forth in Penal Code § 11165.9. This procedure shall include having all of CONTRACTOR's employees,  
24 volunteers, consultants, subcontractors or agents performing services under this Agreement sign a  
25 statement that he or she knows of and will comply with the reporting requirements set forth in Penal Code §  
26 11166. The statement to be utilized by CONTRACTOR for reporting is set forth in Exhibit L, "Notice of  
27 Child Abuse Reporting," attached hereto and by this reference incorporated herein.

28 //

1           **36. RESTRICTION ON DISTRIBUTION OF STERILE NEEDLES**

2           CONTRACTOR shall adhere to the requirement that no funds shall be used to carry out any  
3 program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug unless the  
4 DHCS chooses to implement a demonstration syringe services program for intravenous drug users.

5           **37. DISCLOSURE OF OWNERSHIP AND/OR CONTROL INTEREST**  
6           **INFORMATION**

7           This provision is only applicable if CONTRACTOR is a disclosing entity, fiscal agent, or  
8 managed care entity as defined in 42 CFR § 455.101 455.104, and 455.106(a)(1),(2).

9           In accordance with 42 CFR §§ 455.101, 455.104, 455.105 and 455.106(a)(1),(2), the  
10 following information must be disclosed by CONTRACTOR by completing Exhibit M "Disclosure of  
11 Ownership and Control Interest Statement," attached hereto and by this reference incorporated herein.  
12 CONTRACTOR shall submit this form to the Department of Behavioral Health within thirty (30) days of  
13 the effective date of this Agreement. Submissions shall be scanned pdf copies and are to be sent via  
14 email to DBHAdministration@co.fresno.ca.us attention: Contracts Administration.

15           A.       Name and address of any person(s) whether it be an individual or corporation with  
16 an ownership or controlling interest in the disclosing entity or managed care entity.

17           1)       Address must include the primary business address, every business  
18 location and P.O. Box address(es).

19           2)       Date of birth and Social Security Number for individuals.

20           3)       Tax identification number for other corporations or entities with ownership  
21 or controlling interest in the disclosing entity.

22           B.       Any subcontractor(s) in which the disclosing entity has five (5) percent or more  
23 interest.

24           C.       Whether the person(s) with an ownership or controlling interest of the disclosing  
25 entity is related to another person having ownership or controlling interest as a parent, spouse, sibling  
26 or child. Including whether the person(s) with ownership or controlling interest of the disclosing entity is  
27 related to a person (parent, spouse, sibling or child) with ownership or has five (5) percent or more

1 interest in any of its subcontractors.

2 D. Name of any other disclosing entity in which an owner of the disclosing entity has  
3 an ownership or control interest.

4 E. The ownership of any subcontractor with whom CONTRACTOR has had business  
5 transactions totaling more than twenty-five thousand dollars (\$25,000) during the 12-month period  
6 ending on the date of the request; and

7 F. Any significant business transactions between CONTRACTOR and any wholly  
8 owned supplier, or between CONTRACTOR and any subcontractor, during the five (5) year period  
9 ending on the date of the request.

10 G. Any person(s) with an ownership or control interest in CONTRACTOR, or agent or  
11 managing employee of CONTRACTOR; and

12 1) Has been convicted of a criminal offense related to that person's  
13 involvement in any program under Medicare, Medicaid, or the title XX services program since the  
14 inception of those programs.

15 H. The ownership of any subcontractor with whom CONTRACTOR has had  
16 business transactions totaling more than twenty-five thousand dollars (\$25,000) during the 12-month  
17 period ending on the date of the request; and

18 I. Any significant business transactions between CONTRACTOR and any wholly  
19 owned supplier, or between CONTRACTOR and any subcontractor, during the five (5) year period  
20 ending on the date of the request.

21 **38. CHANGE OF LEADERSHIP/MANAGEMENT**

22 Any and all notices between COUNTY and CONTRACTOR(S) provided for or permitted  
23 under this Agreement or by law, shall be in writing and shall be deemed duly served when personally  
24 delivered to one of the parties, or in lieu of such personal service, when deposited in the United States  
25 Mail, postage prepaid, addressed to such party.

26 In the event of any change in the status of CONTRACTOR's leadership or management,  
27 CONTRACTOR shall provide written notice to COUNTY within thirty (30) days from the date of change.  
28 Such notification shall include any new leader or manager's name, address and qualifications. "Leadership

1 or management" shall include any employee, member, or owner of CONTRACTOR who either a) directs  
2 individuals providing services pursuant to this Agreement; b) exercises control over the manner in which  
3 services are provided; or c) has authority over CONTRACTOR's finances.

4 **39. NOTICES**

5 The persons and their addresses having authority to give and receive notices under this  
6 Agreement include the following:

<u>COUNTY</u>	<u>CONTRACTOR</u>
Director, Fresno County	See Exhibit A
Department of Behavioral Health	
4441 East Kings Canyon	
Fresno, CA 93702	

7  
8  
9  
10 All notices between the COUNTY and CONTRACTOR provided for or permitted under this  
11 Agreement must be in writing and delivered either by personal service, by first-class United States mail, by  
12 an overnight commercial courier service, or by telephonic facsimile transmission. A notice delivered by  
13 personal service is effective upon service to the recipient. A notice delivered by first-class United States  
14 mail is effective three COUNTY business days after deposit in the United States mail, postage prepaid,  
15 addressed to the recipient. A notice delivered by an overnight commercial courier service is effective one  
16 COUNTY business day after deposit with the overnight commercial courier service, delivery fees prepaid,  
17 with delivery instructions given for next day delivery, addressed to the recipient. A notice delivered by  
18 telephonic facsimile is effective when transmission to the recipient is completed (but, if such transmission is  
19 completed outside of COUNTY business hours, then such delivery shall be deemed to be effective at the  
20 next beginning of a COUNTY business day), provided that the sender maintains a machine record of the  
21 completed transmission. For all claims arising out of or related to this Agreement, nothing in this section  
22 establishes, waives, or modifies any claims presentation requirements or procedures provided by law,  
23 including but not limited to the Government Claims Act (Division 3.6 of Title 1 of the Government Code,  
24 beginning with section 810).

25 **40. SEPARATE AGREEMENT**

26 It is mutually understood by the parties that this Agreement does not, in any way, create  
27 a joint venture among CONTRACTOR(S). By execution of this Agreement, CONTRACTOR(S)  
28 understands that a separate Agreement is formed between each individual CONTRACTOR and

## COUNTY.

**41. GOVERNING LAW**

Venue for any action arising out of or related to this Agreement shall only be in Fresno County, California.

The rights and obligations of the parties and all interpretation and performance of this Agreement shall be governed in all respects by the laws of the State of California.

## 42. SUPERSEDE

Effective January 1, 2019, this Agreement shall supersede in its entirety and render null and void the Agreement between the parties for these same services identified in Non-Drug Medi-Cal Master 16-36, and all agreements thereto.

**43. SEVERABILITY**

The provisions of this Agreement are severable. The invalidity or unenforceability of any one provision in the Agreement shall not affect the other provisions.

**44. ENTIRE AGREEMENT**

This Agreement, including all Exhibits, COUNTY's RFSQ No. 18-064 and CONTRACTOR's responses thereto, constitutes the entire agreement between the CONTRACTOR and COUNTY with respect to the subject matter hereof and supersedes all previous Agreement negotiations, proposals, commitments, writings, advertisements, publications, and understanding of any nature whatsoever unless expressly included in this Agreement.

1                   IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the day  
2 and year first hereinabove written.

3  
4 **CONTRACTOR**

**COUNTY OF FRESNO**

5  
6 **SEE EXHIBIT A**

Sal Quintero  
7                   Sal Quintero, Chairperson of the Board of  
Supervisors of the County of Fresno

8  
9  
10                  ATTEST:

11                  Bernice E. Seidel  
12                  Clerk of the Board of Supervisors  
13                  County of Fresno, State of California

14  
15  
16  
17                  FOR ACCOUNTING USE ONLY:

18  
19                  ORG No.: 56302081  
20                  Account No.: 7295/0  
21                  Fund/Subclass: 0001/10000  
22                  Requisition No.: 5631810050

23                  By: Susan Bishop  
24                  Deputy

1 Provider: CENTRAL CALIFORNIA RECOVERY, INC.  
2  
3 By Dale L. White  
4

5 Print Name: Dale White  
6  
7 Title: Exec. Director  
8 Chairman of the Board, President, or Vice President  
9

10 Date: 11-19-18  
11  
12 By Barbara White  
13

14 Print Name: Barbara White  
15  
16 Title: Treasurer  
17 Secretary (of Corporation), Assistant Secretary,  
Chief Financial Officer, or Assistant Treasurer  
18

19 Date: 11-19-18  
20  
21  
22  
23  
24  
25  
26  
27  
28

1 Provider: **FRESNO NEW CONNECTIONS, INC.**

2 By Suzanne Kotkin-Jaszi

3  
4 Print Name: Suzanne Kotkin-Jaszi

5  
6 Title: President  
7 Chairman of the Board, President, or Vice President

8  
9 Date: 11/16/18

10  
11 By Joanna Tilghman

12 Print Name: Joanna Tilghman

13  
14 Title: Secretary  
15 Secretary (of Corporation), Assistant Secretary,  
16 Chief Financial Officer, or Assistant Treasurer

17  
18 Date: 11/19/18

1 Provider: **KINGS VIEW COPORATION**

2

3 By Amanda Nugent Divine, LMFT

4

5 Print Name: Amanda Nugent Divine

6

7 Title: CEO

8 Chairman of the Board, President, or Vice President

9

10 Date: 11/20/2018

11

12 By J. Rodriguez

13

14 Print Name: Jim Rodriguez

15

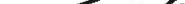
16 Title: CFO

17 Secretary (of Corporation), Assistant Secretary,  
18 Chief Financial Officer, or Assistant Treasurer

19

20 Date: 11/20/2018

Provider: **MENTAL HEALTH SYSTEMS, INC.**

By   
James C. Callaghan, Jr.

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

**President & CEO**  
Title: \_\_\_\_\_  
Chairman of the Board, President, or Vice President

Date: 11/16/18

By Stacy M

Print Name: Stacy Maxa

Title: CFO Secretary (of Corporation), Assistant Secretary,  
Chief Financial Officer, or Assistant Treasurer

Date: 11/20/18

1 Provider: **PANACEA, INC.**

2

3 By P. G.

4

5 Print Name: Philip Cowing S

6

7 Title: President

8 Chairman of the Board, President, or Vice President

9

10 Date: 11.19.18

11

12 By S. Rose

13

14 Print Name: SEAN ROSE

15

16 Title: SECRETARY

17 Secretary (of Corporation), Assistant Secretary,  
18 Chief Financial Officer, or Assistant Treasurer

19

20 Date: 11.19.18

1 Provider: PROMESA BEHAVIORAL HEALTH, INC.  
2

3 By Michael de Manouil  
4

5 Print Name: MICHAEL DER MANOUEL  
6

7 Title: PRESIDENT  
8 Chairman of the Board, President, or Vice President

9 Date: 11/19/2018  
10

11  
12 By Erldon Zuniga  
13

14  
15 Print Name: ERLDON ZUNIGA  
16

17 Title: FINANCE DIRECTOR/CHIEF FINANCIAL OFFICER  
18 Secretary (of Corporation), Assistant Secretary,  
19 Chief Financial Officer, or Assistant Treasurer

20 Date: 11/19/18  
21

22  
23  
24  
25  
26  
27  
28

1 Provider: **WESTCARE CALIFORNIA, INC.,**  
2 **CA 501c3 Net-�-Plat**  
corporation

3 By Shawn L. Jenkins

5 Print Name: Shawn Jenkins

7 Title: Sr. Vice President  
8 Chairman of the Board, President, or Vice President

9 Date: 11/19/18

11 Attesting to authority to execute  
12 pursuant to WCCA 2018-03

13 By Jim Hanna CCN

14 Print Name: Jim Hanna

16 Title: Corporate Secretary  
17 Secretary (of Corporation), Assistant Secretary,  
18 Chief Financial Officer, or Assistant Treasurer

19 Date: 11/20/2018

<b>Non-DMC Outpatient Services Vendor List</b>						
<b>VENDOR</b>	<b>PHONE NUMBER</b>	<b>TYPE OF BUSINESS</b>	<b>Contract Max Jan 1, 2019 to June 30, 2019</b>	<b>Contract Max FY 2019-20</b>	<b>Contract Max FY 2020-21</b>	<b>Contract Max FY 2021-22</b>
<b>Central California Recovery, Inc.</b> Remit to: 1204 W. Shaw Ave. #102 Fresno, CA 93711	(559) 681-1947 (559) 273-2942	501(c)3 Non-Profit Corporation	\$43,689	\$87,378	\$87,378	\$87,378
<b>Fresno New Connections, Inc.</b> Remit to: 4411 N. Cedar Ave. #108 Fresno, CA 93726	(559) 248-1548	501(c)3 Non-profit Corporation	\$71,002	\$142,004	\$142,004	\$142,004
<b>Kings View Corporation</b> Remit to: 7170 N. Financial Drive, #110 Fresno, CA 93720	(559)251-0100 x3011	501(c)3 Non-profit Corporation	\$21,488	\$42,976	\$42,976	\$42,976
<b>Mental Health Systems, Inc.</b> Remit to: 9465 Farnham St. San Diego, CA 92123	(858) 573-2600	501(c)3 Non-profit Corporation	\$48,372	\$96,744	\$96,744	\$96,744
<b>Panacea Services, Inc.</b> Remit to: 3152 N. Millbrook Ave., Suite D/E Fresno, CA 93703	(559) 241-0364	For Profit Corporation	\$68,648	\$137,297	\$137,297	\$137,297
<b>Promesa Behavioral Health</b> Remit to: 7120 N. Marks Ave, #110 Fresno, Ca 93711	(559) 439-5437	501(c)3 Non-profit Corporation	\$65,921	\$131,843	\$131,843	\$131,843
<b>WestCare California, Inc.</b> Remit to: 1900 N. Gateway Blvd, 100 Fresno, CA 93727	(559) 251-4800	501(c)3 Non-profit Corporation	\$104,531	\$209,062	\$209,062	\$209,062

\*\* A list of current provider sites can be found at:

<https://www.co.fresno.ca.us/departments/behavioral-health/substance-use-disorder-services>

**Fresno County, Department of Behavioral Health  
Non-DMC Adult Substance Use Disorder Outpatient Treatment  
Modality of Service Descriptions**

Adult outpatient services available in Fresno County will be provided parallel to the Drug Medi-Cal Organized Delivery System (DMC-ODS) to beneficiaries who are not DMC eligible. Non-DMC eligible beneficiaries will have access to the same services as DMC beneficiaries with costs reimbursed through other sources. These services, available to all perinatal and non-perinatal adults and adolescents, include outpatient, intensive outpatient and additional medication assisted treatment (MAT). Case management, physician consultation and recovery services are also available to non-DMC eligible beneficiaries as a component of outpatient modalities.

Covered services under this agreement shall conform to the requirements of the Drug Medi-Cal Organized Delivery System (DMC-ODS) and shall be furnished in an amount, duration, and scope that is no less than the amount, duration, and scope for the same services furnished to beneficiaries under fee-for-service Medicaid, as set forth in 42 CFR 440.230. Contractors shall ensure that the services are sufficient in amount, duration, or scope to reasonably be expected to achieve the purpose for which the services are furnished. Contractors may not arbitrarily deny or reduce the amount duration, or scope of a required service solely because of diagnosis, type of illness, or condition of the beneficiary (IA III.C, Covered Services).

Contractors are required to ensure services are provided timely. Timeliness is defined as no more than ten (10) days from initial contact for non-emergency outpatient services and no more than 24 hours from initial contact for urgent services.

Placement in an appropriate level of care must be determined through an assessment based on the American Society of Addiction Medicine (ASAM) criteria and prescribed by the contractor's medical director.

**NON-DRUG MEDI-CAL OUTPATIENT SERVICES:**

**OUTPATIENT SERVICES (ASAM LEVEL 1.0)**

Outpatient services consist of up to nine (9) hours per week of medically necessary services for adults and less than six (6) hours per week of services for adolescents.

Outpatient services shall include: assessment; treatment planning; individual and group counseling; family therapy; beneficiary education; medication services; collateral services; crisis intervention services; and discharge planning and coordination.

Services may be provided in-person, by telephone, or by telehealth in any appropriate setting in the community.

## **INTENSIVE OUTPATIENT SERVICES (ASAM LEVEL 2.1)**

Intensive outpatient involves structured programming provided to beneficiaries as medically necessary for a minimum of nine (9) hours and a maximum of nineteen (19) hours per week for adult perinatal and non-perinatal beneficiaries. Adolescents are provided a minimum of six (6) and a maximum of nineteen (19) hours of service per week.

Intensive outpatient services shall include: assessment; treatment planning; individual and/or group counseling; beneficiary education; family therapy; medication services; collateral services; crisis intervention services; and discharge planning and coordination.

Services may be provided in-person, by telephone, or by telehealth in any appropriate setting in the community.

## **ADDITIONAL MEDICATION ASSISTED TREATMENT (MAT)**

Additional MAT involves the ordering, prescribing, administering, and monitoring of medications for substance use disorders. Medically necessary services are provided in accordance with an individualized treatment plan determined by a licensed physician or licensed prescriber.

The program providing MAT is responsible for the prescribing, ordering, and monitoring of medications to beneficiaries receiving SUD treatment. Allowable medications include: buprenorphine; naltrexone; disulfiram; acamprosate; and naloxone.

## **CASE MANAGEMENT SERVICE**

Case management services are defined as a service that assists a beneficiary to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services.

Case management services shall focus on coordination of SUD care, integration around primary care especially for beneficiaries with a chronic SUD, and interaction with the criminal justice system, if needed.

Case management services will be provided by contractors once the beneficiary is enrolled in an SUD program. Case management services will be monitored by County during the annual site review.

Case management services may be provided by a Licensed Practitioner of the Healing Arts or certified counselor.

Contractors shall use case management services to coordinate with physical and/or mental health systems of care.

Case management services may be provided in person, by telephone, or by telehealth with the beneficiary and may be provided anywhere in the community.

Case management shall be consistent with and shall not violate confidentiality of alcohol or drug beneficiaries as set forth in 42 CFR Part 2, and California law.

## **RECOVERY SERVICES**

Recovery services are available to beneficiaries who have completed an SUD treatment program and must be addressed in the beneficiary's discharge plan. Recovery services can be utilized when the beneficiary is triggered, when the beneficiary has relapsed or simply as a measure to prevent relapse.

Contractors that do not opt to make recovery services available must refer beneficiaries to a contractor that provides recovery services.

Recovery Services shall include:

1. Outpatient counseling services in the form of individual or group counseling to stabilize the beneficiary and then reassess if the beneficiary needs further care;
2. Recovery Monitoring: Recovery coaching, monitoring via telephone and internet;
3. Substance Abuse Assistance: Peer-to-peer services (once Fresno County has implemented a DHCS-approved Peer Support Specialist Training Plan) and relapse prevention;
4. Education and Job Skills: Linkages to life skills, employment services, job training, and education services;
5. Family Support: Linkages to childcare, parent education, child development support services, family/marriage education;
6. Support Groups: Linkages to self-help and support, spiritual and faith-based support; and
7. Ancillary Services: Linkages to housing assistance, transportation, case management, individual services coordination.

The contractor shall provide:

1. Recovery services to beneficiaries as medically necessary;
2. Beneficiaries with access to recovery services after completing their course of treatment; and
3. Recovery services in person, by telephone, or by telehealth with the beneficiary.

## **PHYSICIAN CONSULTATION**

Physician Consultation services include DMC physicians' consulting with addiction medicine physicians, addiction psychiatrists or clinical pharmacists. Physician consultation services are designed to assist DMC physicians by allowing them to seek expert advice with regards to

designing treatment plans for specific DMC-ODS beneficiaries. Physician consultation services may address medication selection, dosing, side effect management, adherence, drug-drug interactions, or level of care considerations.

County will provide DMC certified contractors with access to one or more American Board of Addiction Medicine-certified physicians or pharmacists in order to facilitate consultations.

Access to physician consultation will only be available to DMC contracted treatment providers.

## **SUBSTANCE ABUSE PREVENTION AND TREATMENT (SAPT) SPECIFIC REQUIREMENTS**

Fresno County, through the Department of Behavioral Health, makes substance use disorder treatment services available throughout the county to Medi-Cal eligible beneficiaries through funds provided under an Intergovernmental Agreement with the California Department of Health Care Services. The County, and all contracted providers, must comply with the terms of the Intergovernmental Agreement, and any amendments thereto, including but not limited to the following:

### **1. RESTRICTIONS ON USE OF SABG FUNDS TO PAY FOR SERVICES REIMBURSABLE BY MEDI-CAL**

CONTRACTOR shall ensure that billing SABG funds only occurs for services that are not reimbursable by Medi-Cal. If CONTRACTOR utilizes SABG funds to pay for a service included in the DMC-ODS, CONTRACTOR shall maintain documentation sufficient to demonstrate that Medi-Cal reimbursement was not available. This documentation shall be provided to COUNTY at the time of billing and retained in the beneficiary file for review.

### **2. STATE ALCOHOL AND DRUG REQUIREMENTS**

#### **A. INDEMNIFICATION**

The CONTRACTOR agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, materialmen, laborers and any other person, firm or corporation furnishing or supplying work, services, materials or supplies in connection with the performance of this Agreement and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by the CONTRACTOR in the performance of this Agreement.

#### **B. INDEPENDENT CONTRACTOR**

The CONTRACTOR and the agents and employees of CONTRACTOR, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of State of California.

#### **C. CONTROL REQUIREMENTS**

This Agreement is subject to all applicable Federal and State laws, regulations and standards. CONTRACTOR(S) shall establish written procedures consistent with State-County Contract requirements. The provisions of this Agreement are not intended to abrogate any provisions of law or regulation existing or enacted during the term of this Agreement.

#### **D. CONFIDENTIALITY**

CONTRACTOR shall conform to and COUNTY shall monitor compliance with all State of California and Federal statutes and regulations regarding confidentiality, including but not limited to confidentiality of information requirements at Part 2, Title 42, Code of Federal Regulations; California Welfare and Institutions Code, sections 14100.2, 11977, 11812, 5328; Division 10.5 and 10.6 of the California Health and Safety Code; Title 22, California Code of Regulations, section 51009; and Division 1, Part 2.6, Chapters 1-7 of the California Civil Code.

**E. REVENUE COLLECTION POLICY**

CONTRACTOR shall conform to all policies and procedures regarding revenue collection issued by the State under the provisions of the Health and Safety Code, Division 10.5.

**F. EXPENDITURE OF STATE GENERAL AND FEDERAL FUNDS**

CONTRACTOR agrees that all funds paid out by the State shall be used exclusively for providing alcohol and/or drug program services, administrative costs, and allowable overhead.

**G. ACCESS TO SERVICES**

CONTRACTOR shall provide accessible and appropriate services in accordance with Federal and State statutes and regulations to all eligible persons.

**H. REPORTS**

CONTRACTOR agrees to participate in surveys related to the performance of this Agreement and expenditure of funds and agrees to provide any such information in a mutually agreed upon format.

**I. AUDITS**

All State and Federal funds furnished to the CONTRACTOR(S) pursuant to this Agreement along with related patient fees, third party payments, or other related revenues and funds commingled with the foregoing funds are subject to audit by the State. The State may audit all alcohol and drug program revenue and expenditures contained in this Agreement for the purpose of establishing the basis for the subsequent year's negotiation.

**J. RECORDS MAINTENANCE**

1) CONTRACTOR shall maintain books, records, documents, and other evidence necessary to monitor and audit this Agreement.

2) CONTRACTOR shall maintain adequate program and fiscal records relating to individuals served under the terms of this Agreement, as required, to meet the needs of the State in monitoring quality, quantity, fiscal accountability, and accessibility of services. Information on each individual shall include, but not be limited

to, admission records, patient and participant interviews and progress notes, and records of service provided by various service locations, in sufficient detail to make possible an evaluation of services provided and compliance with this Agreement.

### **3. FEDERAL CERTIFICATIONS**

#### **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

A. DBH and CONTRACTOR recognize that Federal assistance funds will be used under the terms of this Agreement. For purposes of this section, DBH will be referred to as the "prospective recipient".

B. This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, section 98.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

1) The prospective recipient of Federal assistance funds certifies by entering this Agreement, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2) The prospective recipient of funds agrees by entering into this Agreement, that it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Federal department or agency with which this transaction originated.

3) Where the prospective recipient of Federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this Agreement.

4) The CONTRACTOR shall provide immediate written notice to DBH if at any time CONTRACTOR learns that its certification in this clause of this Agreement was erroneous when submitted or has become erroneous by reason of changed circumstances.

5) The prospective recipient further agrees that by entering into this Agreement, it will include a clause identical to this clause of this Agreement, and titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions", in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

6) The certification in this clause of this Agreement is a material representation of fact upon which reliance was placed by COUNTY when this transaction was entered into.

C. CONTRACTOR shall not employ or subcontract with any party listed in the government wide exclusions in the System for Award Management (SAM) in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp. p. 189) and 12689 (3 CFR part 1989., p. 235), "Debarment and Suspension." SAM exclusions contain the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549. If CONTRACTOR employs or subcontracts an excluded party, DHCS has the right to withhold payments, disallow costs, or issue a CAP, as appropriate, pursuant to HSC Code 11817.8(h).

#### **4. SMOKING PROHIBITION REQUIREMENTS**

CONTRACTOR shall comply with Public Law 103-227, also known as the Pro-Children Act of 1994 (20 USC Section 6081, et seq.), and with California Labor Code Section 6404.5, the California Smoke-Free Workplace Law.

#### **5. CONFIDENTIALITY OATH**

CONTRACTOR shall ensure that all of its employees sign a written confidentiality oath, attached hereto as Attachment A, before they begin employment with CONTRACTOR and shall renew said document annually thereafter. CONTRACTOR shall retain each employee's written confidentiality oath for COUNTY and DHCS inspection for a period of six (6) years following the termination of this agreement.

#### **6. CULTURALLY COMPETENT SERVICES**

CONTRACTOR shall ensure equal access to quality care by diverse populations by adopting the federal Office of Minority Health Culturally and Linguistically Appropriate Service (CLAS) national standards and complying with 42 CFR 438.206(c)(2). CONTRACTOR shall promote the delivery of services in a culturally competent manner to all beneficiaries, including those with limited English proficiency and diverse cultural and ethnic backgrounds, disabilities, and regardless of gender, sexual orientation or gender identity.

#### **7. ADA CONSIDERATIONS**

CONTRACTOR shall ensure that physical access, reasonable accommodations, and accessible equipment for Medicaid beneficiaries with physical or mental disabilities are provided to all beneficiaries.

#### **8. ADDITIONAL CONTRACT RESTRICTIONS**

This Contract is subject to any additional restrictions, limitations, or conditions enacted by the Congress, or any statute enacted by the Congress, as well as federal or

state governments which may affect the provisions, terms, or funding of this Contract in any manner.

**9. HATCH ACT**

CONTRACTOR shall comply with the provisions of the Hatch Act (Title 5 USC, Sections 1501-1508), which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.

**10. UNLAWFUL USE OF DRUGS AND ALCOHOL OR UNLAWFUL USE MESSAGES**

CONTRACTOR shall ensure that information produced with Federal funds pertaining to drug and alcohol related programs contains a clearly written statement that there shall be no unlawful use of drugs or alcohol associated with the program. Additionally, CONTRACTOR shall ensure that no aspect of the program includes any message in materials, curricula, teachings, or promotion of the responsible use, if the use is unlawful, of drugs or alcohol pursuant to Health and Safety Code (HSC) 11999-11999.3.

CONTRACTOR must sign the Unlawful Use of Drugs and Alcohol Certification, attached hereto as Attachment B, incorporated herein by reference and made part of this Agreement agreeing to uphold the obligations of HSC 11999 – 11999.3.

This agreement may be unilaterally terminated, without penalty, if CONTRACTOR or a subcontractor that is a private entity is determined to have violated a prohibition of the Unlawful Use of Drugs and Alcohol message or has an employee who is determined by the DBH Director or her designee to have violated a prohibition of the Unlawful Use of Drugs and Alcohol message.

**11. LIMITATION ON USE OF FUNDS FOR PROMOTION OF LEGALIZATION OF CONTROLLED SUBSTANCES**

CONTRACTOR shall ensure that none of the funds made available through this Agreement with COUNTY may be used for any activity that promotes the legalization of any drug or other substance included in Schedule I of Section 202 of the Controlled Substances Act (21 USC 812).

**12. NONDISCRIMINATION AND INSTITUTIONAL SAFEGUARDS FOR RELIGIOUS CONTRACTORS**

CONTRACTOR shall establish such processes and procedures as necessary to comply with the provisions of Title 42, USC, Section 300x-65 and Title 42, CFR, Part 54 to prohibit discrimination against nongovernmental organizations and certain individuals on the basis of religion in the distribution of government funds to provide substance abuse services and to allow the organizations to accept the funds to provide the services to the individuals without impairing the religious character of the organizations or the religious freedom of the individuals.

**13. COUNSELOR CERTIFICATION**

CONTRACTOR shall ensure that any counselor or registrant providing intake, assessment of need for services, treatment or recovery planning, individual or group counseling to participants, patients, or residents in a DHCS licensed or certified program is required to be certified as defined in Title 9, Division 4, Chapter 8.

**14. INTRAVENOUS DRUG USE (IVDU) TREATMENT**

CONTRACTOR shall ensure that beneficiaries in need of IVDU treatment shall be encouraged to undergo AOD treatment adhering to provisions in 42 USC 300x-23 and 45 CFR 96.126(e). DHCS shall monitor programs for compliance with this requirement.

**15. TUBERCULOSIS TREATMENT**

CONTRACTOR shall ensure the following related to Tuberculosis (TB):

- A. Routinely make available TB services to each individual receiving treatment for AOD use and/or abuse.
- B. Reduce barriers to patients' accepting TB treatment.
- C. Develop strategies to improve follow-up monitoring, particularly after patients leave treatment, by disseminating information through educational bulletins and technical assistance.

**16. TRAFFICKING IN PERSONS PROVISIONS – PRIVATE ENTITY**

CONTRACTOR shall conform to all Federal statutes and regulations prohibiting trafficking in persons, as well as trafficking-related activities, including, but not limited to the trafficking of persons provisions in Section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA) as amended by Section 1702.

CONTRACTOR, CONTRACTOR's employees, subrecipients, and subrecipients' employees may not:

- A. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- B. Procure a commercial sex act during the period of time that the award is in effect; or
- C. Use forced labor in the performance of the award or subawards under the award.

This agreement may be unilaterally terminated, without penalty, if CONTRACTOR or a subrecipient that is a private entity is determined to have violated a prohibition of the TVPA or has an employee who is determined by the DBH Director or her designee to have violated a prohibition of the TVPA through conduct that is either associated with performance under the award or imputed to the CONTRACTOR or their subrecipient using the standards and due process for imputing the conduct of

an individual to an organization that are provided in 2 C.F.R. Part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement).

CONTRACTOR must inform the DBH Director or her designee immediately of any information received from any source alleging a violation of a prohibition of the TVPA.

CONTRACTOR must sign a certification annually acknowledging the Trafficking Victims Protection Act of 2000 requirements (TVPA Certification), attached hereto as Attachment C, incorporated herein by reference and made part of this Agreement and must require all employees to complete annual TVPA training.

#### **17. BYRD ANTI-LOBBYING AMENDMENT**

CONTRACTOR certifies that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 USC 1352. CONTRACTOR shall also disclose to DHCS any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award.

#### **18. NONDISCRIMINATION IN EMPLOYMENT AND SERVICES**

CONTRACTOR certifies that under the laws of the United States and the State of California, incorporated into the State-County Intergovernmental Agreement, CONTRACTOR shall not unlawfully discriminate against any person.

#### **19. FEDERAL LAW REQUIREMENTS**

CONTRACTORS shall comply with the following Federal law requirements:

- A. Title VI of the Civil Rights Act of 1964, Section 2000d, as amended, prohibiting discrimination based on race, color, or national origin in federally funded programs.
- B. Title VIII of the Civil Rights Act of 1968 (42 USC 3601 et seq.) prohibiting discrimination on the basis of race, color, religion, sex, handicap, familial status or national origin in the sale or rental of housing.
- C. Age Discrimination Act of 1975 (45 CFR Part 90), as amended (42 USC Sections 6101 – 6107), which prohibits discrimination on the basis of age.
- D. Age Discrimination in Employment Act (29 CFR Part 1625).

- E. Title I of the Americans with Disabilities Act (29 CFR Part 1630) prohibiting discrimination against the disabled in employment.
- F. Americans with Disabilities Act (28 CFR Part 35) prohibiting discrimination against the disabled by public entities.
- G. Title III of the Americans with Disabilities Act (28 CFR Part 36) regarding access.
- H. Rehabilitation Act of 1973, as amended (29 USC Section 794), prohibiting discrimination on the basis of individuals with disabilities.
- I. Executive Order 11246 (42 USC 2000(e) et seq. and 41 CFR Part 60) regarding nondiscrimination in employment under federal contracts and construction contracts greater than \$10,000 funded by federal financial assistance.
- J. Executive Order 13166 (67 FR 41455) to improve access to federal services for those with limited English proficiency.
- K. The Drug Abuse Office and Treatment Act of 1972, as amended, relating to nondiscrimination on the basis of drug abuse.
- L. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism.

**20. STATE LAW REQUIREMENTS**

CONTRACTOR shall comply with the following State law requirements:

- A. Fair Employment and Housing Act (Government Code Section 12900 et seq.) and the applicable regulations promulgated thereunder (California Administrative Code, Title 2, Section 7285.0 et seq.).
- B. Title 2, Division 3, Article 9.5 of the Government Code, commencing with Section 11135.
- C. Title 9, Division 4, Chapter 8, commencing with Section 10800.
- D. No state or Federal funds shall be used by COUNTY, or CONTRACTOR, for sectarian worship, instruction, and/or proselytization. No state funds shall be used by CONTRACTOR, or CONTRACTOR, to provide direct, immediate, or substantial support to any religious activity.
- E. Noncompliance with the requirements of nondiscrimination in services shall constitute grounds for state to withhold payments

under this Agreement or terminate all, or any type, of funding provided hereunder.

**21. INFORMATION ACCESS FOR INDIVIDUALS WITH LIMITED ENGLISH PROFICIENCY**

CONTRACTOR shall comply with all applicable provisions of the Dymally-Alatorre Bilingual Services Act (Government Code sections 7290-7299.8) regarding access to materials that explain services available to the public as well as providing language interpretation services.

CONTRACTOR shall comply with the applicable provisions of Section 1557 of the Affordable Care Act (45 CFR Part 92), including, but not limited to, 45 CFR 92.201, when providing access to:

- A. Materials explaining services available to the public,
- B. Language assistance,
- C. Language interpreter and translation services, and
- D. Video remote language interpreting services.

**22. INTERIM SERVICES**

CONTRACTOR must adhere to the State-County Contract requirement to provide Interim Services in the event that an individual must wait to be placed in treatment.

Interim Substance Abuse Services means services that are provided until an individual is admitted to a substance abuse treatment program. The purposes of the services are to reduce the adverse health effects of such abuse, promote the health of the individual, and reduce the risk of transmission of disease. At a minimum, interim services include counseling and education about HIV and tuberculosis (TB), about the risks of needle-sharing, the risks of transmission to sexual partners and infants, and about steps that can be taken to ensure the HIV and TB transmission does not occur, as well as referral for HIV or TB treatment services if necessary. For pregnant women, interim services also include counseling on the effects of alcohol and drug use on the fetus, as well as referral for prenatal care.

Records must indicate evidence that Interim Services have been provided and documentation will be reviewed for compliance.

**23. CHARITABLE CHOICE**

CONTRACTOR may not discriminate in its program delivery against a client or potential client on the basis of religion or religious belief, a refusal to hold a religious belief, or a refusal to actively participate in a religious practice. Any specifically religious activity or service made available to individuals by the CONTRACTOR must be voluntary as well as separate in time and location from County funded activities and services. CONTRACTOR shall inform County as to whether it is faith-based. If CONTRACTOR

identifies as faith-based it must submit to DBH Contracts Division - SUD Services a copy of its policy on referring individuals to alternate treatment CONTRACTOR, and include a copy of this policy in its client admission forms. The policy must inform individuals that they may be referred to an alternative provider if they object to the religious nature of the program, and include a notice to SUD Services. Adherence to this policy will be monitored during annual site reviews, and a review of client files. If CONTRACTOR identifies as faith-based, by July 1 of each year CONTRACTOR will be required to report to SUD Services the number of individuals who requested referrals to alternate providers based on religious objection. In addition, CONTRACTOR shall comply with the provisions of Title 42, USC, Section 300x-65 and Title 42, CFR, Part 54.

#### **24. MINIMUM QUALITY DRUG TREATMENT STANDARDS**

CONTRACTOR shall comply with the Minimum Quality Drug Treatment Standards for SABG for all Substance Use Disorder (SUD) treatment programs. The Minimum Quality Drug Treatment Standards are attached hereto and by this reference incorporated herein as Attachment D.

#### **25. RISK ASSESSMENT**

CONTRACTOR shall comply with the sub-recipient pre-award risk assessment requirements contained in 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards. COUNTY, as the SABG first-tier sub-recipient, shall review the merit and risk associated with all potential grant second-tier sub-recipients (CONTRACTOR) annually prior to making an award. COUNTY shall perform and document annual subrecipient pre-award risk assessments for each CONTRACTOR and retain documentation for audit purposes.

#### **26. CONTROL REQUIREMENTS**

Performance under this Agreement is subject to all applicable Federal and State laws, regulations and standards. In accepting the State drug and alcohol combined program allocation pursuant to California Health and Safety Code section 11757, CONTRACTOR shall establish written accounting procedures consistent with applicable Federal and State laws, regulations and standards, and shall be held accountable for audit exceptions taken by the State or COUNTY for failure to comply with these requirements. These requirements include, but may not be limited to, those set forth in this Agreement, and:

- A. HSC, Division 10.5, Part 2 commencing with Section 11760.
- B. Title 9, California Code of Regulations (CCR) (herein referred to as Title 9), Division 4, commencing with Section 9000.
- C. Government Code, Title 2, Division 4, Part 2, Chapter 2, Article 1.7.
- D. Government Code, Article 7, Federally Mandated Audits of Block Grant Funds Allocated to Local Agencies, Chapter 1, Part 1, Division 2, Title 5, commencing at Section 53130.
- E. Title 42 United State Code (USC), Sections 300x-21 through 300x-31, 300x-34, 300x-53, 300x-57, and 330x-64 through 66.

F. Title 2, CFR 200 -The Uniform Administration Requirements, Cost Principles and Audit Requirements for Federal Awards.

G. Title 45, Code of Federal Regulations (CFR), Sections 96.30 through 96.33 and Sections 96.120 through 96.137.

H. Title 42, CFR, Sections 8.1 through 8.6.

I. Confidentiality of Alcohol and Drug Abuse Patient Records (42 CFR Part 2, Subparts A - E).

J. Title 21, CFR, Sections 1301.01 through 1301.93, Department of Justice, Controlled Substances.

K. State Administrative Manual (SAM), Chapter 7200 (General Outline of Procedures).

**27. DRUG FREE WORKPLACE**

CONTRACTOR shall comply with the requirements of the Drug-Free Workplace Act of 1990 (California Government Code section 8350).

**28. YOUTH TREATMENT GUIDELINES**

CONTRACTOR shall follow the "Youth Treatment Guidelines," available at the DHCS web address at:

<http://www.dhcs.ca.gov/individuals/Pages/youthSUDservices.aspx> and by this reference incorporated herein, in developing and implementing youth treatment programs funded under this Agreement until such time new Youth Treatment Guidelines are established and adopted. No formal amendment of this contract is required for new guidelines to apply.

**29. HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA) OF 1996**

If any of the work performed under this Agreement is subject to the HIPAA, CONTRACTOR shall perform the work in compliance with all applicable provisions of HIPAA. As identified in Exhibit F of the State County Intergovernmental Agreement, DHCS, COUNTY and CONTRACTOR shall cooperate to assure mutual agreement as to those transactions between them, to which this Provision applies. Refer to Exhibit F for additional information.

**A. Trading Partner Requirements**

1) No Changes: CONTRACTOR hereby agrees that for the personal health information (PHI), it shall not change any definition, data condition or use of a data element or segment as proscribed in the federal Health and Human Services Transaction Standard Regulation [45 CFR Part 162.915(a)].

2) No Additions: CONTRACTOR hereby agrees that for PHI, it shall not add any data elements or segments to the maximum data set as proscribed in the HHS Transaction Standard Regulation [45 CFR Part 162.915 (b)].

3) No Unauthorized Uses: CONTRACTOR hereby agrees that for PHI, it shall not use any code or data elements that are marked 'not used' in the in the HHS Transactions Implementation specification or are not in the HHS Transaction Standard's implementation specification [45CFR Part 162.915 (c)].

4) No Changes to Meaning or Intent: CONTRACTOR hereby agrees that for PHI, it shall not change the meaning or intent of the HHS Transaction Standard's implementation specification [45CFR Part 162.915 (d)].

**B. Concurrence for Test Modifications to HHS Transaction Standards**

CONTRACTOR agrees and understands that there exists the possibility that DHCS or others may request an extension from the uses of a standard in the HHS Transaction Standards. If this occurs, CONTRACTOR agrees that it shall participate in such test modifications.

**C. Adequate Testing**

CONTRACTOR is responsible to adequately test all business rules appropriate to their types and specialties. If the CONTRACTOR is acting as a clearinghouse for enrolled providers, CONTRACTOR has obligations to adequately test all business rules appropriate to each and every provider type and specialty for which they provide clearinghouse services.

**D. Deficiencies**

The CONTRACTOR agrees to cure transactions errors or deficiencies identified by DHCS, and transactions errors or deficiencies identified by an enrolled CONTRACTOR if the COUNTY is acting as a clearinghouse for that CONTRACTOR. If the CONTRACTOR is a clearinghouse, the CONTRACTOR agrees to properly communicate deficiencies and other pertinent information regarding electronic transactions to enrolled CONTRACTORS for which they provide clearinghouse services.

**E. Code Set Retention**

Both Parties understand and agree to keep open code sets being processed or used in this Agreement for a least the current billing period or any appeal period, whichever is longer.

**F. Data Transmission Log**

Both Parties shall establish and maintain a Data Transmission Log, which shall record any and all data transmissions taking place between the Parties during the term of this Agreement. Each Party shall take necessary and reasonable steps to ensure that such Data Transmission Logs constitute a current, accurate, complete and unaltered record of any and all Data Transmissions between the Parties, and shall be retained by each Party for no less than twenty-four (24) months following the date of the Data Transmission. The Data Transmission Log may be maintained on computer

media or other suitable means provided that, if necessary to do so, the information contained in the Data Transmission Log may be retrieved in a timely manner and presented in readable form.

PRIVACY AND SECURITY AGREEMENT REGARDING AUTHORIZED ACCESS TO  
CONFIDENTIAL PROTECTED HEALTH INFORMATION FOR FRESNO COUNTY DEPARTMENT  
OF BEHAVIORAL HEALTH (DBH) EMPLOYEES AND/OR NON-DBH SUD SERVICES  
WORKFORCE MEMBERS

OATH OF CONFIDENTIALITY

As a condition of obtaining access to any Protected Health Information (PHI) that is necessary to carry out my function with DBH, I \_\_\_\_\_, agree to not divulge any PHI to unauthorized persons. Furthermore, I maintain that I will not publish or otherwise make public any information regarding persons who receive Substance Use Disorder Services such that the persons who receive or have received such services are identifiable.

Access to such data shall be limited to Fresno County DBH personnel, subcontractors, and subcontractors' personnel who require this information in the performance of their duties and have signed an Oath of Confidentiality with DBH.

By signing this oath, I agree to uphold the security and confidentiality requirements outlined by the Medi-Cal Privacy and Security Agreement signed by DBH, surveillance and safeguarding announcements issued by DHCS, and other applicable terms and stipulations provided by the HIPAA doctrine as well as other relevant state and federal regulations.

I hereby certify my understanding of the need to:

1. Exercise due care to preserve data integrity and confidentiality.
2. Treat passwords and user accounts as confidential information.
3. Take reasonable precautions to ensure the protection of PHI from unauthorized access.
4. Notify DHCS when there is a possible security violation including unauthorized access to PHI by completing a "Privacy Incident Report" at:  
<http://www.dhcs.ca.gov/formsandpubs/laws/priv/Pages/DHCSBusinessAssociatesOnly.aspx> and return the completed form to: [privacyofficer@dhcs.ca.gov](mailto:privacyofficer@dhcs.ca.gov).

I recognize that unauthorized release of confidential information may make me subject to civil and criminal sanctions pursuant to the provisions of the Welfare and Institutions Code Section 14100.2, Welfare and Institutions Code Section 5328 et seq. and the Health Insurance Portability and Accountability Act of 1996 (HIPAA). I further acknowledge that the unauthorized release of confidential information as described in this document may result in disciplinary action up to and including termination of any office of employment or contract.

Agency Name:

Signature:

Date:

## UNLAWFUL USE OF DRUGS AND ALCOHOL CERTIFICATION

I, \_\_\_\_\_, as an authorized agent of  
(Print Name)

\_\_\_\_\_, acknowledge the requirement to  
(Organization Name)

comply with California HSC 11999-11999.3, which authorizes the County of Fresno to terminate a contract, without penalty, if this organization or its employees, or a subcontractor or its employees fail to ensure that:

- The program contains a component that clearly explains in written materials that there shall be no unlawful use of drugs or alcohol. No aspect of a drug- or alcohol-related program shall include any message on the responsible use, if the use is unlawful, of drugs or alcohol;
- All aspects of a drug- or alcohol-related program are consistent with the “no unlawful use” message, including, but not limited to, program standards, curricula, materials, and teachings; and
- The “no unlawful use” of drugs and alcohol message contained in drug- or alcohol-related programs applies to the use of drugs and alcohol prohibited by law.

I understand that the State of California enforces an Unlawful Use policy in which there is zero tolerance for promoting the unlawful use of drugs or alcohol in an AOD treatment facility. If this organization fails to satisfy the guidelines adopted by the State of California, the drug or alcohol program shall not receive state funds and their contract with Fresno County will be terminated.

I understand that this organization is obligated to ensure any subcontractors are informed of the requirements of HSC 11999-11999.3 and, if found in violation, will be immediately terminated.

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

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

## TRAFFICKING VICTIMS PROTECTION ACT OF 2000

### CERTIFICATION

I, \_\_\_\_\_, as an authorized agent of  
(Print Name)

\_\_\_\_\_, acknowledge the requirement to  
(Organization Name)

comply with the Trafficking Victims Protection Act of 2000 (TVPA), specifically Section 106(g), which authorizes the County of Fresno to terminate a contract, without penalty, if this organization or its employees, or a subcontractor or its employees:

- Engages in severe forms of trafficking in persons during the period of time that the award is in effect;
- Procures a commercial sex act during the period of time that the award is in effect; or
- Uses forced labor in the performance of the award or subawards under the award.

I understand that the TVPA establishes human trafficking and related offenses as federal crimes and attaches severe penalties to them. I will immediately inform the County of Fresno, Department of Behavioral Health, Contracts Division – Substance Use Disorder (SUD) Services immediately of any information received from any source alleging a violation of the TVPA by either this organization or its employees, or a subcontractor or its employees during the term of this contract.

I understand that this organization is obligated to ensure any subcontractors are informed of the requirements of the TVPA and, if found in violation, will be immediately terminated. I agree to submit this signed certification annually on behalf of the organization acknowledging requirements under the TVPA and attesting that all employees will receive annual TVPA training, and that documentation of training will be placed in personnel files.

Signature: \_\_\_\_\_

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

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

## **Minimum Quality Drug Treatment Standards**

Compliance with the following Minimum Quality Treatment Standards is required for all SUD treatment programs (contractors and sub-contractors).

### **A. Personnel Policies**

1. Personnel files shall be maintained on all employees and volunteers/interns and shall contain the following:
  - a) Application for employment and/or resume;
  - b) Signed employment confirmation statement/duty statement;
  - c) Job description;
  - d) Performance evaluations;
  - e) Health records/status as required by program or Title 9;
  - f) Other personnel actions (e.g., commendations, discipline, status change, employment incidents and/or injuries);
  - g) Training documentation relative to substance use disorders and treatment;
  - h) Current registration, certification, intern status, or licensure;
  - i) Proof of continuing education required by licensing or certifying agency and program;
  - j) Program Code of Conduct and for registered, certified, and licensed staff, a copy of the certifying/licensing body's code of conduct as well; and
  - k) Salary schedule and salary adjustment information.
2. Job descriptions shall be developed, revised as needed, and approved by the Program's governing body. The job descriptions shall include:
  - a) Position title and classification;
  - b) Duties and responsibilities;
  - c) Lines of supervision; and
  - d) Education, training, work experience, and other qualifications for the position.

3. Written code of conduct for employees and volunteers/interns shall be established which address at least the following:
  - a) Use of drugs and/or alcohol;
  - b) Prohibition of social/business relationship with clients or their family members for personal gain;
  - c) Prohibition of sexual contact with clients;
  - d) Conflict of interest;
  - e) Providing services beyond scope;
  - f) Discrimination against clients or staff;
  - g) Verbally, physically, or sexually harassing, threatening, or abusing clients, family members or other staff;
  - h) Protection of client confidentiality;
  - i) The elements found in the code of conduct(s) for the certifying organization(s) the program's counselors are certified under; and
  - j) Cooperation with complaint investigations.
4. If a program utilizes the services of volunteers and or interns, procedures shall be implemented which address:
  - a) Recruitment;
  - b) Screening;
  - c) Selection;
  - d) Training and orientation;
  - e) Duties and assignments;
  - f) Scope of practice;
  - g) Supervision;
  - h) Evaluation;
  - i) Protection of client confidentiality; and
  - j) Code of Conduct

5. Written roles and responsibilities and a code of conduct for the medical director (if applicable) shall be clearly documented, signed and dated by an authorized program representative and the medical director.

B. Program Management

1. Admission or Readmission

- a) Each program shall include in its policies and procedures written admission and readmission criteria for determining client's eligibility and suitability for treatment. These criteria shall include, at minimum:
  - i. Use of alcohol/drugs of abuse;
  - ii. Physical health status;
  - iii. Documentation of social and psychological problems; and
  - iv. A statement of nondiscrimination requiring that admission shall not be denied on the basis of ethnic group identification, religion, age, gender, race, disability, or sexual orientation. The above shall not preclude programs from emphasizing services for specific populations.
- b) If a potential client does not meet the admission criteria, the client shall be referred to an appropriate service provider.
- c) If a client is admitted to treatment, a consent to treatment form shall be signed by the client.
- d) All referrals made by the program shall be documented in the client record.
- e) Copies of the following documents shall be provided to the client upon admission:
  - i. Client rights, client fee policies, and consent to treatment.
- f) Copies of the following shall be provided to the client or posted in a prominent place accessible to all clients:
  - i. A statement of nondiscrimination by race, religion, sex, gender identity, ethnicity, age, disability, sexual preference, and ability to pay;
  - ii. Grievance procedures;
  - iii. Appeal process for involuntary discharge; and
  - iv. Program rules, expectations and regulations.

g) Where drug screening by urinalysis is deemed appropriate the program shall:

- i. Establish procedures which protect against the falsification and/or contamination of any urine sample; and
- ii. Document urinalysis results in the client's file.

2. Treatment

a) Assessment for all clients shall include:

- i. Drug/Alcohol use history;
- ii. Medical history;
- iii. Family history;
- iv. Psychiatric history;
- v. Social/recreational history;
- vi. Financial status/history;
- vii. Educational history;
- viii. Employment history;
- ix. Criminal history, legal status; and
- x. Previous SUD treatment history.

b) Treatment plans shall be developed with the client within 30 days of admission and include:

- i. A problem statement for all problems identified through the assessment whether addressed or deferred;
- ii. Goals to address each problem statement (except when deferred);
- iii. Action steps to meet the goals that include who is responsible for the action and the target date for completion; and
- iv. Signature of primary counselor and client.

All treatment plans shall be reviewed periodically and updated to accurately reflect the client's progress or lack of progress in treatment.

- c) Progress notes shall document the client's progress toward completion of activities and achievement of goals on the treatment plan.
- d) Discharge documentation shall be developed with the client, if possible and include:
  - i. Description of the treatment episode;
  - ii. Prognosis;
  - iii. Client's plan for continued recovery including support systems and plans for relapse prevention;
  - iv. Reason and type of discharge;
  - v. Signature of primary counselor and client;
  - vi. A copy of the discharge documentation shall be given to the client;
  - vii. Current alcohol and/or other drug usage;
  - viii. Vocational and educational achievements;
  - ix. Transfers and referrals; and
  - x. Client comments.

# Fresno County Department of Behavioral Health

## Guiding Principles of Care Delivery

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### **DBH VISION:**

Health and well-being for our community.

### **DBH MISSION:**

The Department of Behavioral Health is dedicated to supporting the wellness of individuals, families and communities in Fresno County who are affected by, or are at risk of, mental illness and/or substance use disorders through cultivation of strengths toward promoting recovery in the least restrictive environment.

### **DBH GOALS:**

Quadruple Aim

- Deliver quality care
- Maximize resources while focusing on efficiency
- Provide an excellent care experience
- Promote workforce well-being

### **GUIDING PRINCIPLES OF CARE DELIVERY:**

The DBH 11 principles of care delivery define and guide a system that strives for excellence in the provision of behavioral health services where the values of wellness, resiliency, and recovery are central to the development of programs, services, and workforce. The principles provide the clinical framework that influences decision-making on all aspects of care delivery including program design and implementation, service delivery, training of the workforce, allocation of resources, and measurement of outcomes.

#### **1. Principle One - Timely Access & Integrated Services**

- Individuals and families are connected with services in a manner that is streamlined, effective, and seamless
- Collaborative care coordination occurs across agencies, plans for care are integrated, and whole person care considers all life domains such as health, education, employment, housing, and spirituality
- Barriers to access and treatment are identified and addressed
- Excellent customer service ensures individuals and families are transitioned from one point of care to another without disruption of care

# Fresno County Department of Behavioral Health

## Guiding Principles of Care Delivery

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### 2. Principle Two - Strengths-based

- Positive change occurs within the context of genuine trusting relationships
- Individuals, families, and communities are resourceful and resilient in the way they solve problems
- Hope and optimism is created through identification of, and focus on, the unique abilities of individuals and families

### 3. Principle Three - Person-driven and Family-driven

- Self-determination and self-direction are the foundations for recovery
- Individuals and families optimize their autonomy and independence by leading the process, including the identification of strengths, needs, and preferences
- Providers contribute clinical expertise, provide options, and support individuals and families in informed decision making, developing goals and objectives, and identifying pathways to recovery
- Individuals and families partner with their provider in determining the services and supports that would be most effective and helpful and they exercise choice in the services and supports they receive

### 4. Principle Four - Inclusive of Natural Supports

- The person served identifies and defines family and other natural supports to be included in care
- Individuals and families speak for themselves
- Natural support systems are vital to successful recovery and the maintaining of ongoing wellness; these supports include personal associations and relationships typically developed in the community that enhance a person's quality of life
- Providers assist individuals and families in developing and utilizing natural supports.

### 5. Principle Five - Clinical Significance and Evidence Based Practices (EBP)

- Services are effective, resulting in a noticeable change in daily life that is measurable.
- Clinical practice is informed by best available research evidence, best clinical expertise, and client values and preferences
- Other clinically significant interventions such as innovative, promising, and emerging practices are embraced

# Fresno County Department of Behavioral Health

## Guiding Principles of Care Delivery

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### 6. Principle Six - Culturally Responsive

- o Values, traditions, and beliefs specific to an individual's or family's culture(s) are valued and referenced in the path of wellness, resilience, and recovery
- o Services are culturally grounded, congruent, and personalized to reflect the unique cultural experience of each individual and family
- o Providers exhibit the highest level of cultural humility and sensitivity to the self-identified culture(s) of the person or family served in striving to achieve the greatest competency in care delivery

### 7. Principle Seven - Trauma-informed and Trauma-responsive

- o The widespread impacts of all types of trauma are recognized and the various potential paths for recovery from trauma are understood
- o Signs and symptoms of trauma in individuals, families, staff, and others are recognized and persons receive trauma-informed responses
- o Physical, psychological and emotional safety for individuals, families, and providers is emphasized

### 8. Principle Eight - Co-occurring Capable

- o Services are reflective of whole-person care; providers understand the influence of bio-psycho-social factors and the interactions between physical health, mental health, and substance use disorders
- o Treatment of substance use disorders and mental health disorders are integrated; a provider or team may deliver treatment for mental health and substance use disorders at the same time

### 9. Principle Nine - Stages of Change, Motivation, and Harm Reduction

- o Interventions are motivation-based and adapted to the client's stage of change
- o Progression through stages of change are supported through positive working relationships and alliances that are motivating
- o Providers support individuals and families to develop strategies aimed at reducing negative outcomes of substance misuse through a harm reduction approach
- o Each individual defines their own recovery and recovers at their own pace when provided with sufficient time and support

# Fresno County Department of Behavioral Health

## Guiding Principles of Care Delivery

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### 10. Principle Ten - Continuous Quality Improvement and Outcomes-Driven

- o Individual and program outcomes are collected and evaluated for quality and efficacy
- o Strategies are implemented to achieve a system of continuous quality improvement and improved performance outcomes
- o Providers participate in ongoing professional development activities needed for proficiency in practice and implementation of treatment models

### 11. Principle Eleven - Health and Wellness Promotion, Illness and Harm Prevention, and Stigma Reduction

- o The rights of all people are respected
- o Behavioral health is recognized as integral to individual and community well-being
- o Promotion of health and wellness is interwoven throughout all aspects of DBH services
- o Specific strategies to prevent illness and harm are implemented at the individual, family, program, and community levels
- o Stigma is actively reduced by promoting awareness, accountability, and positive change in attitudes, beliefs, practices, and policies within all systems
- o The vision of health and well-being for our community is continually addressed through collaborations between providers, individuals, families, and community members

**Exhibit E**

Fresno County DMC-ODS Approved Rates by Provider	OPT	IOT	Case Management	Recovery Services	Physician Consultation	Withdrawal Management	WM Room/Board	Residential 3.1	3.1 Room/Board	Residential 3.5	Residential Room/Board	MAT
<b>APPROVED MAXIMUM UOS RATE</b>	<b>36.79</b>	<b>22.71</b>	<b>35.00</b>	<b>33.30</b>	<b>153.60</b>	<b>129.36</b>		<b>180.44</b>		<b>178.62</b>		<b>153.60</b>
<b>COUNTY APPROVED PROVIDER RATES:</b>												
Central California Recovery	31.69	22.18	27.42	31.96								
Fresno New Connections	28.14	22.18	21.50	23.99								
Kings View	29.45		27.03	30.02								
Mental Health Systems	36.79	22.18	33.67	32.74				157.11	68.51	157.11	68.51	
Panacea	30.24	22.18	27.28	16.83								
Promesa	33.68		28.73	23.86								
Turning Point	31.15		29.73	16.42				111.05	72.35	111.05	78.61	
Transitions Children's Services	36.23		26.38									
WestCare	32.13	22.18	35.00	32.13	153.60	100.00	37.74	180.44				153.60
WestCare - Perinatal									37.74	178.62	37.03	
WestCare - Mens									35.35	133.51	35.15	
WestCare - Womens									36.81	150.92	36.81	

**Department of Health Care Services**  
**Substance Use Disorders - Program, Prevention and Fiscal**  
**Division Drug Medi-Cal (DMC) Rates for Fiscal Year 2018-19**

**Non-Perinatal DMC**

Description	Unit of Service (UOS)	FY 2018-19 UOS Rate**
Narcotic Treatment Program (NTP) - Methadone	Daily	\$13.54
NTP - Individual Counseling	One 10-minute Increment	\$15.88
NTP - Group Counseling	One 10-minute Increment	\$3.43
Intensive Outpatient Treatment	Face-to-Face Visit	\$58.53
Naltrexone (*)	Face-to-Face Visit	\$19.06
Residential - for EPSDT Beneficiaries	Daily	\$90.14
Outpatient Drug Free (ODF) Individual Counseling	Face-to-Face Visit (Per Person)	\$79.44
ODF Group Counseling	Face-to-Face Visit (Per Person)	\$30.89

**Perinatal DMC**

Description	Unit of Service (UOS)	FY 2018-19 UOS Rate**
NTP - Methadone	Daily	\$14.58
NTP - Individual Counseling	One 10-minute Increment	\$16.39
NTP - Group Counseling	One 10-minute Increment	\$4.28
Intensive Outpatient Treatment	Face-to-Face Visit	\$87.21
Perinatal Residential	Daily	\$90.14
ODF Individual Counseling	Face-to-Face Visit (Per Person)	\$81.93
ODF Group Counseling	Face-to-Face Visit (Per Person)	\$38.56

\* From FY 2002-03 through FY 2008-09, Naltrexone was frozen at the \$21.19 (FY 1999-2000) approved rate. Counties and service providers have not provided, submitted claims, nor reported cost for this service since FY 1997-98. For FY 2009-10, the \$21.19 frozen rate was reduced by 10 percent to \$19.07. Excluding county administration from the cost data used to produce the \$21.19 frozen approved rate decreased it to \$19.06. Drug Medi-Cal used \$19.06 as the FY 2018-19 developed rate.

\*\* FY 2009-2010 rates were adjusted by a 19.4 percent cumulative growth in the Implicit Price Deflator (IDP), in accordance with Welfare & Institutions Code Section 14021.9(b). The change from year to year are as follows: 0% for FY 2009-10, 3.2% for FY 2010-11, 2.5% for FY 2011-12, 1.9% for FY 2012-13, 2.1% for FY 2013-14, 1.2% for FY 2014-15, 0.4% for FY 2015-16, 1.9% for FY 2016-17, 2.4% for FY 2017-18 and 2.3% for FY 2018-19.

## Department of Health Care Services

## Substance Use Disorders - Program, Policy and Fiscal Division

## Drug Medi-Cal Rates for Fiscal Year 2018-19

Additional Medication Assisted Treatments Available in Waiver Opt-In  
Counties, Narcotic Treatment Programs

Description	Unit of Service (UOS)	FY 2018-19 UOS Rate Regular DMC	FY 2018-19 UOS Rate Perinatal DMC
Narcotic Treatment Program (NTP) Buprenorphine - Mono <sup>1</sup>	Daily	\$16.91	\$20.15
NTP - Buprenorphine-Naloxone Combination Product <sup>2</sup>	Daily	\$20.10	\$23.34
NTP – Disulfiram <sup>3</sup>	Daily	\$7.36	\$7.59
NTP - Naloxone: 2-pack Nasal Spray <sup>4</sup>	Dispensed according to need	\$144.60	\$144.60

<sup>1</sup> Buprenorphine-Mono: Average daily dose of 16 milligrams, sublingual tablets<sup>2</sup> Buprenorphine-Naloxone Combination<sup>3</sup> Disulfiram: Average daily dose between 250 and 500 milligrams<sup>4</sup> Naloxone: One dose equal to 4 milligrams per 0.1 milliliter

## ELECTRONIC HEALTH RECORD SOFTWARE CHARGES

CONTRACTOR(S) understand that COUNTY utilizes NetSmart's Avatar for its Electronic Health Records Management. CONTRACTOR(S) agree to reimburse COUNTY for all user license fees for accessing NetSmart's Avatar, as set forth below.

Description	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23
<b>General Users</b>					
<b>Avatar Named User Hosting</b> (per active user per month; every Avatar "active" log on ID is a named user)	\$37.00	\$37.00	\$37.00	\$37.00	\$37.00
<b>Avatar Named User Maintenance*</b> (per active user per month)	\$14.00	\$14.00	\$14.00	\$14.00	\$14.00
<b>Cloud Hosting- Perceptive Disaster Recovery</b> (per active user per month)	\$4.66	\$4.66	\$4.66	\$4.66	\$4.66
<b>eRx Users</b>					
<b>Full Suite Prescriber</b> (per active user per month; applicable to an active Prescriber user)	\$104.00	\$104.00	\$104.00	\$104.00	\$104.00
<b>ePrescribing Controlled Substances Tokens</b> (per active user per month; applicable to an active Prescriber user of Controlled Substances)	\$8.00	\$8.00	\$8.00	\$8.00	\$8.00
<b>Non-Prescribing User</b> (per active user per month; applicable to an active Non-Prescriber user)	\$13.00	\$13.00	\$13.00	\$13.00	\$13.00
<b>Reaching Recovery Users</b>					
<b>Reaching Recovery</b> (per <b>adult</b> client/person served per year; applicable to adult treatment programs except contracted triage/CI, CSU or PHF)	\$10.00	\$10.00	\$10.00	\$10.00	\$10.00
<b>ProviderConnect Users</b>					
<b>Individual Subscription<sup>1</sup></b> (per user per month; applicable to provider-user whose claims are reviewed and posted by Managed Care)	\$41.25	\$41.25	\$41.25	\$41.25	\$41.25

Should CONTRACTOR(S) choose not to utilize NetSmart's Avatar for its Electronic Health Records management, CONTRACTOR(S) will be responsible for obtaining its own system for Electronic Health Records management.

\*Annual Maintenance increases by 3% each FY on July 1<sup>st</sup>.

<sup>1</sup>Includes 100 faxed pages per month. An additional fee of \$0.20 per faxed page will apply thereafter.

## SELF-DEALING TRANSACTION DISCLOSURE FORM

In order to conduct business with the County of Fresno (hereinafter referred to as "County"), members of a contractor's board of directors (hereinafter referred to as "County Contractor"), must disclose any self-dealing transactions that they are a party to while providing goods, performing services, or both for the County. A self-dealing transaction is defined below:

*"A self-dealing transaction means a transaction to which the corporation is a party and in which one or more of its directors has a material financial interest"*

The definition above will be utilized for purposes of completing this disclosure form.

### INSTRUCTIONS

- (1) Enter board member's name, job title (if applicable), and date this disclosure is being made.
- (2) Enter the board member's company/agency name and address.
- (3) Describe in detail the nature of the self-dealing transaction that is being disclosed to the County. At a minimum, include a description of the following:
  - a. The name of the agency/company with which the corporation has the transaction; and
  - b. The nature of the material financial interest in the Corporation's transaction that the board member has.
- (4) Describe in detail why the self-dealing transaction is appropriate based on applicable provisions of the Corporations Code.
- (5) Form must be signed by the board member that is involved in the self-dealing transaction described in Sections (3) and (4).

<b>(1) Company Board Member Information:</b>			
Name:		Date:	
Job Title:			
<b>(2) Company/Agency Name and Address:</b>			
<b>(3) Disclosure (Please describe the nature of the self-dealing transaction you are a party to):</b>			
<b>(4) Explain why this self-dealing transaction is consistent with the requirements of Corporations Code 5233 (a):</b>			
<b>(5) Authorized Signature</b>			
Signature:		Date:	

## DISCLOSURE – CRIMINAL HISTORY & CIVIL ACTIONS:

In their proposal, the bidder is required to disclose if any of the following conditions apply to them, their owners, officers, corporate managers and partners (hereinafter collectively referred to as “Bidder”):

- Within the three-year period preceding the proposal, they have been convicted of, or had a civil judgment rendered against them for:
  - fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction;
  - violation of a federal or state antitrust statute;
  - embezzlement, theft, forgery, bribery, falsification, or destruction of records; or
  - false statements or receipt of stolen property
- Within a three-year period preceding their proposal, they have had a public transaction (federal, state, or local) terminated for cause or default.

Disclosure of the above information will not automatically eliminate a Bidder from consideration. The information will be considered as part of the determination of whether to award the contract and any additional information or explanation that a Bidder elects to submit with the disclosed information will be considered. If it is later determined that the Bidder failed to disclose required information, any contract awarded to such Bidder may be immediately voided and terminated for material failure to comply with the terms and conditions of the award.

Any Bidder who is awarded a contract must sign an appropriate Certification Regarding Debarment, Suspension, and Other Responsibility Matters, pages 2 and 3 of this Exhibit. Additionally, the Bidder awarded the contract must immediately advise the County in writing if, during the term of the agreement: (1) Bidder becomes suspended, debarred, excluded or ineligible for participation in federal or state funded programs or from receiving federal funds as listed in the excluded parties list system (<http://www.epls.gov>); or (2) any of the above listed conditions become applicable to Bidder. The Bidder will indemnify, defend and hold the County harmless for any loss or damage resulting from a conviction, debarment, exclusion, ineligibility or other matter listed in the signed Certification Regarding Debarment, Suspension, and Other Responsibility Matters.

## CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS--PRIMARY COVERED TRANSACTIONS

### INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

**CERTIFICATION**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it, its owners, officers, corporate managers and partners:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
- (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signature: \_\_\_\_\_

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

(Printed Name & Title)

(Name of Agency or Company)

## ELECTRONIC SIGNATURE AGREEMENT

This Agreement governs the rights, duties, and responsibilities of \_\_\_\_\_ County in the use of an electronic signature in \_\_\_\_\_ County. The undersigned (I) understands that this Agreement describes my obligations to protect my electronic signature, and to notify appropriate authorities if it is stolen, lost, compromised, unaccounted for, or destroyed. I agree to the following terms and conditions:

I agree that my electronic signature will be valid for one year from date of issuance or earlier if it is revoked or terminated per the terms of this agreement. I will be notified and given the opportunity to renew my electronic signature each year prior to its expiration. The terms of this Agreement shall apply to each such renewal.

I will use my electronic signature to establish my identity and sign electronic documents and forms. I am solely responsible for protecting my electronic signature. If I suspect or discover that my electronic signature has been stolen, lost, used by an unauthorized party, or otherwise compromised, then I will immediately notify the County Mental Health Director or his/her designee and request that my electronic signature be revoked. I will then immediately cease all use of my electronic signature. I agree to keep my electronic signature secret and secure by taking reasonable security measures to prevent it from being lost, modified or otherwise compromised, and to prevent unauthorized disclosure of, access to, or use of it or of any media on which information about it is stored.

I will immediately request that my electronic signature be revoked if I discover or suspect that it has been or is in danger of being lost, disclosed, compromised or subjected to unauthorized use in any way. I understand that I may also request revocation at any time for any other reason.

If I have requested that my electronic signature be revoked, or I am notified that someone has requested that my electronic signature be suspended or revoked, and I suspect or discover that it has been or may be compromised or subjected to unauthorized use in any way, I will immediately cease using my electronic signature. I will also immediately cease using my electronic signature upon termination of employment or termination of this Agreement.

I further agree that, for the purposes of authorizing and authenticating electronic health records, my electronic signature has the full force and effect of a signature affixed by hand to a paper document.

Requestor

Signature \_\_\_\_\_

Date \_\_\_\_\_

Requestor

Printed Name \_\_\_\_\_

Approver

Signature \_\_\_\_\_

Date \_\_\_\_\_

Title \_\_\_\_\_

## FRESNO COUNTY BEHAVIORAL HEALTH COMPLIANCE PROGRAM

### *CONTRACTOR CODE OF CONDUCT AND ETHICS*

Fresno County is firmly committed to full compliance with all applicable laws, regulations, rules and guidelines that apply to the provision and payment of behavioral health services. Behavioral health contractors and the manner in which they conduct themselves are a vital part of this commitment.

Fresno County has established this Contractor Code of Conduct and Ethics with which contractor, contractor's employees and subcontractors shall comply. Contractor shall require its employees and subcontractors to attend a compliance training that will be provided by Fresno County DBH. After completion of this training, each contractor, contractor's employee and subcontractor must sign the Behavioral Health Compliance Training Acknowledgment and Agreement form and return this form to the Compliance officer or designee.

#### **Contractor and its employees and subcontractor shall:**

1. Comply with all applicable laws, regulations, rules or guidelines when providing and billing for behavioral health services.
2. Conduct themselves honestly, fairly, courteously and with a high degree of integrity in their professional dealing related to their contract with the County and avoid any conduct that could reasonably be expected to reflect adversely upon the integrity of the County.
3. Treat County employees, beneficiaries, and other behavioral health contractors fairly and with respect.
4. NOT engage in any activity in violation of the County's Compliance Program, nor engage in any other conduct which violates any applicable law, regulation, rule or guideline
5. Take precautions to ensure that claims are prepared and submitted accurately, timely and are consistent with all applicable laws, regulations, rules or guidelines.
6. Ensure that no false, fraudulent, inaccurate or fictitious claims for payment or reimbursement of any kind are submitted.
7. Bill only for eligible services actually rendered and fully documented. Use billing codes that accurately describe the services provided.
8. Act promptly to investigate and correct problems if errors in claims or billing are discovered.
9. Promptly report to the Compliance Officer any suspected violation(s) of this Code of Conduct and Ethics by County employees or other behavioral health contractors, or report any activity that they believe may violate the standards of the Compliance Program, or any other applicable

law, regulation, rule or guideline. Fresno County prohibits retaliation against any person making a report. Any person engaging in any form of retaliation will be subject to disciplinary or other appropriate action by the County. Contractor may report anonymously.

10. Consult with the Compliance Officer if you have any questions or are uncertain of any Compliance Program standard or any other applicable law, regulation, rule or guideline.
11. Immediately notify the Compliance Officer if they become or may become an Ineligible person and therefore excluded from participation in the Federal Health Care Programs.
12. Immediately contact the DBH Business Office inbox using the [DBHADPBusinessOffice@fresnocountyca.gov](mailto:DBHADPBusinessOffice@fresnocountyca.gov) and your assigned DBH analyst and report any overpayment.

# FRESNO COUNTY BEHAVIORAL HEALTH PLAN

Exhibit J

## COMPLIANCE PROGRAM

### 2018 New Hire Behavioral Health Compliance Training

#### Acknowledgment and Agreement

I hereby acknowledge that I have completed the Mandatory New Hire Behavioral Health Compliance Training which provided information on Fresno County's Behavioral Health Compliance Program and that I understand the contents thereof. I further acknowledge that I have received, read and understand Fresno County's Compliance Program policy titled "Prevention, Detection, and Correction of Fraud, Waste and Abuse". I agree to abide by the Code of Conduct, and all Compliance Program requirements as they apply to my responsibilities as a County employee, contractor/subcontractor, volunteer or student.

I understand and accept my responsibilities under this Acknowledgment and Agreement and understand that any violation of the Code of Conduct or the Compliance Program is a violation of County policy and may also be a violation of applicable laws, regulations, rules or guidelines. I further understand that violation of these policies can result in disciplinary action, up to and including termination of my employment or contractual agreement with the County.

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#### County Employees Only – Complete this Section

Full Name (printed): \_\_\_\_\_

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

Discipline (for licensed staff only):  Psychiatrist  Psychologist  Substance Abuse Specialist  
 LCSW  LMFT  NP  RN  LVN  LPT

DBH Department:  Adult MH  Children MH  Finance Division  Managed Care  
 Administration  Substance Abuse Services  Other: \_\_\_\_\_

Cost Center# \_\_\_\_\_ Program Name: \_\_\_\_\_

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

Employee Signature: \_\_\_\_\_ Date: \_\_\_ / \_\_\_ / \_\_\_

Phone: \_\_\_\_\_

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#### Contractors/Contractor Staff, Volunteers, Students only – Complete this Section

Agency Name (If applicable): \_\_\_\_\_

Full Name (Printed): \_\_\_\_\_

Discipline (Indicate below if applicable):

**Licensed:**  Psychiatrist  Psychologist  LCSW  LMFT  NP  RN  LVN  LPT  
 MD

**Unlicensed:**  Psychologist  ACSW  AMFT  APCC  Certified AOD Counselor  
 Registered AOD Counselor Other \_\_\_\_\_

Job Title (If different from Discipline): \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_ / \_\_\_ / \_\_\_

Phone: \_\_\_\_\_ E-mail: \_\_\_\_\_

Mail this completed form with your original signature (not a copy) to:

Elizabeth Vasquez, Behavioral Health Compliance Officer Stop #100-Heritage Center  
3133 N. Millbrook, Rm. 171, Fresno, CA 93703

Revised 09/20/18

2014 Annual Ack Rev: 1/8/14, 12/22/16, 1/8/18, 6/7/18

## **CULTURALLY AND LINGUISTICALLY APPROPRIATE SERVICES**

CONTRACTOR shall adhere to and develop written procedures in accordance with the below standards adapted from the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health Care:

### Culturally Competent Care:

1. Organizations must ensure that beneficiaries receive from all staff members effective, understandable, and respectful care that is provided in a manner compatible with their cultural health beliefs and practices and preferred language.
2. Organizations must implement strategies to recruit, retain, and promote at all levels of the organization a diverse staff and leadership that are representative of the demographic characteristics of the service area.
3. Organizations must ensure that staff at all levels and across all disciplines receive ongoing education and training in culturally and linguistically appropriate service delivery.

### Language Access Services:

4. Organizations must offer and provide language assistance services, including bilingual staff and interpreter services, at no cost to beneficiaries with limited English proficiency at all points of contact, in a timely manner during all hours of operation.
5. Organizations must provide to beneficiaries in their preferred language both verbal offers and written notices informing them of their right to receive language assistance services.
6. Organizations must assure the competence of language assistance provided to limited English proficient beneficiaries by interpreters and bilingual staff. Family and friends should not be used to provide interpretation services (except on the request of the beneficiary).
7. Organizations must make available easily understood beneficiary-related materials and post signage in the languages of the commonly encountered groups and/or groups represented in the service area.

### Organizational Supports:

8. Organizations must develop, implement, and promote a written strategic plan that outlines clear goals, policies, operational plans, and management accountability/oversight mechanisms to provide culturally and linguistically appropriate services.

9. Organizations must conduct initial and ongoing organizational self-assessments of CLAS related activities and are encouraged to integrate cultural and linguistic competence-related measures into their internal audits, performance improvement programs, beneficiary satisfaction Assessments, and Outcomes-Based Evaluations.
10. Organizations must ensure that data on the individual beneficiary's race, ethnicity, and spoken and written language are collected in program records, integrated into the organizations management information systems, and periodically updated.
11. Organizations must maintain a current demographic, cultural, and epidemiological profile of the community as well as a needs assessment to accurately plan for and implement services that respond to the cultural and linguistic characteristics of the service area.
12. Organizations must develop participatory, collaborative partnerships with communities and utilize a variety of formal and informal mechanisms to facilitate community and beneficiary involvement in designing and implementing CLAS-related activities.
13. Organizations must ensure that conflict and grievance resolution processes are culturally and linguistically sensitive and capable of identifying, preventing, and resolving cross-cultural conflicts or complaints by beneficiaries.
14. Organizations must regularly make available to the public information about their progress and successful innovations in implementing these standards and to provide public notice in their communities about the availability of this information.
15. Organizations must ensure communication regarding the organization's progress in implementing and sustaining CLAS to all stakeholders, constituents, and general public.

CONTRACTOR shall develop written procedures in accordance with the above standards. The provisions of this Agreement are not intended to abrogate any provisions of law or regulation existing or enacted during the term of this Agreement.

**NOTICE OF CHILD ABUSE REPORTING LAW**

The undersigned hereby acknowledges that Penal Code section 11166 and the contractual obligations between County of Fresno (COUNTY) and PROVIDER(S) related to provision of alcohol and drug abuse treatment services for Fresno County residents, require that the undersigned report all known or suspected child abuse or neglect to one or more of the agencies set forth in Penal Code (P.C.) section (§) 11165.9.

For purposes of the undersigned's child abuse reporting requirements, "child abuse or neglect" includes physical injury inflicted by other than accidental means upon a child by another person, sexual abuse as defined in P.C. §11165.1, neglect as defined in P.C. §11165.2, willful cruelty or unjustifiable punishment as defined in P.C. §11165.3, and unlawful corporal punishment or injury as defined in P.C. §11165.4.

A child abuse report shall be made whenever the undersigned, in his or her professional capacity or within the scope of his or her employment, has knowledge of or observes a child whom the undersigned knows or reasonably suspects has been the victim of child abuse or neglect. (P.C §11166.) The child abuse report shall be made to any police department or sheriff's department (not including a school district police or security department), or to any county welfare department, including Fresno County Department of Children and Family Services' 24 Hour CARELINE. (See PC §11165.9.)

For purposes of child abuse reporting, a "reasonable suspicion" means that it is objectively reasonable for a person to entertain a suspicion, based upon facts that could cause a reasonable person in a like position, drawing, when appropriate, on his or her training and experience, to suspect child abuse or neglect. The pregnancy of a child does not, in and of itself, constitute a basis for reasonable suspicion of sexual abuse. (P.C. §11166(a)(1).)

Substantial penalties may be imposed for failure to comply with these child abuse reporting requirements.

Further information and a copy of the law may be obtained from the department head or designee.

I have read and understand the above statement and agree to comply with the child abuse reporting requirements.

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SIGNATURE

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DATE

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## DISCLOSURE OF OWNERSHIP AND CONTROL INTEREST STATEMENT

### I. Identifying Information

Name of Entity		D/B/A		
Address (number, street)		City	State	ZIP Code
CLIA Number	Taxpayer ID Number (EIN) / Social Security Number		Telephone Number (        )	

II. Answer the following questions by checking "Yes" or "No." If any of the questions are answered "Yes," list all names and addresses (primary, every business location, and P.O. Box address) of individuals or corporations under "Remarks" on page 2. Identify each item number to be continued.

A. Are there any individuals or organizations having a direct or indirect ownership or control interest of five percent or more in the institution, organizations, or agency that have been convicted of a criminal offense related to the involvement of such persons or organizations in any of the programs established by Titles XVIII, XIX, or XX? .....

B. Are there any directors, officers, agents, or managing employees of the institution, agency, or organization who have ever been convicted of a criminal offense related to their involvement in such programs established by Titles XVIII, XIX, or XX? .....

C. Are there any individuals currently employed by the institution, agency, or organization in a managerial, accounting, auditing, or similar capacity who were employed by the institution's, organization's, or agency's fiscal intermediary or carrier within the previous 12 months? (Title XVIII providers only) .....

III. A. List names, addresses for individuals, or the EIN for organizations having direct or indirect ownership or a controlling interest in the entity. (See instructions for definition of ownership and controlling interest.) List any additional names and addresses (primary, every business location, and P.O. Box address) under "Remarks" on page 2. If more than one individual is reported and any of these persons are related to each other, this must be reported under "Remarks."

NAME	DOB	ADDRESS	EIN

B. Type of entity:  Sole proprietorship  Partnership  Corporation  
 Unincorporated Associations  Other (specify) \_\_\_\_\_

C. If the disclosing entity is a corporation, list names, addresses of the directors, and EINs for corporations under "Remarks."

D. Are any owners of the disclosing entity also owners of other Medicare/Medicaid facilities? (Example: sole proprietor, partnership, or members of Board of Directors) If yes, list names, addresses of individuals, and provider numbers. .....

NAME	DOB	ADDRESS	PROVIDER

	YES	NO	
IV. A. Has there been a change in ownership or control within the last year? .....	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, give date. _____			
B. Do you anticipate any change of ownership or control within the year?.....	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, when? _____			
C. Do you anticipate filing for bankruptcy within the year?.....	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, when? _____			
V. Is the facility operated by a management company or leased in whole or part by another organization?.....	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, give date of change in operations. _____			
VI. Has there been a change in Administrator, Director of Nursing, or Medical Director within the last year?.....	<input type="checkbox"/>	<input type="checkbox"/>	
VII. A. Is this facility chain affiliated? .....	<input type="checkbox"/>	<input type="checkbox"/>	
<u>(If yes, list name, address of corporation, and EIN.)</u>			
Name	EIN		
Address (number, name)	City	State	ZIP code
B. If the answer to question VII.A. is NO, was the facility ever affiliated with a chain?			
<u>(If yes, list name, address of corporation, and EIN.)</u>			
Name	EIN		
Address (number, name)	City	State	ZIP code

*Whoever knowingly and willfully makes or causes to be made a false statement or representation of this statement, may be prosecuted under applicable federal or state laws. In addition, knowingly and willfully failing to fully and accurately disclose the information requested may result in denial of a request to participate or where the entity already participates, a termination of its agreement or contract with the agency, as appropriate.*

Name of authorized representative (typed)	Title
Signature	Date

Remarks

## INSTRUCTIONS FOR COMPLETING DISCLOSURE OF CONTROL AND INTEREST STATEMENT

Please answer all questions as of the current date. If the yes block for any item is checked, list requested additional information under the Remarks Section on page 2, referencing the item number to be continued. If additional space is needed use an attached sheet.

### DETAILED INSTRUCTIONS

These instructions are designed to clarify certain questions on the form. Instructions are listed in question order for easy reference. No instructions have been given for questions considered self-explanatory.

**IT IS ESSENTIAL THAT ALL APPLICABLE QUESTIONS BE ANSWERED ACCURATELY AND THAT ALL INFORMATION BE CURRENT.**

**Item I** - Under "Identifying Information" specify in what capacity the entity is doing business as (DBA) (e.g. name of trade or corporation).

**Item II** - Self-explanatory

**Item III** - List the names of all individuals and organizations having direct or indirect ownership interests, or controlling interest separately or in combination amounting to an ownership interest of 5 percent or more in the disclosing entity.

Direct ownership interest - is defined as the possession of stock, equity in capital or any interest in the profits of the disclosing entity. A disclosing entity is defined as a Medicare provider or supplier, or other entity that furnishes services or arranges for furnishing services under Medicaid or the Maternal and Child Health program, or health related services under the social services program.

Indirect ownership interest - is defined as ownership interest in an entity that has direct or hospital-based home health agencies, are not indirect ownership interest in the disclosing entity. The amount of indirect ownership in the disclosing entity that is held by any other entity is determined by multiplying the percentage of ownership interest at each level. An indirect ownership interest must be reported if it equates to an ownership interest of 5 percent or more in the disclosing entity. Example: if A owns 10 percent of the stock in a corporation that owns 80 percent of the stock of the disclosing entity, A's interest equates to an 8 percent indirect ownership and must be reported.

Controlling interest - is defined as the operational direction or management of disclosing entity which may be maintained by any or all of the following devices: the ability or authority, expressed or reserved, to amend or change the corporate identity (i.e., joint venture agreement, unincorporated business status) of the disclosing entity; the ability or authority to nominate or name members of the Board of Directors or Trustees of the disclosing entity; the ability or authority, expressed or reserved, to amend or change the by-laws, constitution, or other operating or management direction of the disclosing entity; the right to control any or all of the assets or other property of the disclosing entity upon the sale or dissolution of that entity; the ability or authority, expressed or reserved, to control the sale of any or all of the assets, to encumber such assets by way of mortgage or other indebtedness, to dissolve the entity or to arrange for the sale or transfer of the disclosing entity to new ownership or control.

**Item IV-VII** - (Changes in Provider Status) For Items IV-VII, if the yes box is checked, list additional information requested under Remarks. Clearly identify which item is being continued.

Change in provider status - is defined as any change in management control. Examples of such changes would include; a change in Medical or Nursing Director, a new Administrator, contracting the operation of the facility to a management corporation, a change in the composition of the owning partnership which under applicable State law is not considered a change in ownership, or the hiring or dismissing of any employees with 5 percent or more financial interest in the facility or in an owning corporation, or any change of ownership.

**Item IV - (A & B)** If there has been a change in ownership within the last year or if you anticipate a change, indicate the date in the appropriate space.

**Item V** - If the answer is yes, list name of the management firm and employer identification number (EIN), or the name of the leasing organization. A management company is defined as any organization that operates and manages a business on behalf of the owner of that business, with the owner retaining ultimate legal responsibility for operation of the facility.

**Item VI** - If the answer is yes, identify which has changed (Administrator, Medical Director, or Director of Nursing) and the date the change was made. Be sure to include name of the new Administrator, Director of Nursing or Medical Director, as appropriate.

**Item VII** - A chain affiliate is any free-standing health care facility that is either owned, controlled, or operated under lease or contract by an organization consisting of two or more free-standing health care facilities organized within or across State lines which is under the ownership or through any other device, control and direction of a common party. Chain affiliates include such facilities whether public, private, charitable or proprietary. They also include subsidiary organizations and holding corporations. Provider-based facilities, such as hospital-based home health agencies, are not considered to be chain affiliates.