



COUNTY OF HUMBOLDT

AGENDA ITEM NO. **C9**

For the meeting of: October 10⁷, 2017

Date: September 19, 2017
To: Board of Supervisors
From: Connie Beck, Director *MS & AW Connie Beck*
Department of Health and Human Services – Public Health
Subject: State Standard Agreement #17-10223 between California Department of Public Health and County of Humboldt for Fiscal Years 2017- 2020

RECOMMENDATION(S):

That the Board of Supervisors:

1. Approve state standard agreement #17-10223 with the California Department of Public Health (CDPH) for the Childhood Lead Poisoning Prevention Program (CLPPP) for the period beginning July 1, 2017 and ending June 30, 2020 or upon approval by CDPH or Department of General Services (DGS), if required, whichever is later;
2. Direct the Chair of the Board to sign three (3) originals of the cover page of the State Standard Agreement;
3. Authorize the Director of DHHS-Public Health to sign any subsequent amendments directly related to State Standard Agreement #17-10223; and
4. Direct the Clerk of the Board to return the three (3) signed originals of the agreement and certification to the Department of Health and Human Services (DHHS) – Contracts Unit for transmittal to DHHS – Public Health.

SOURCE OF FUNDING:

Public Health Funds

Prepared by Karen Baker, Administrative Analyst

CAO Approval *E. Schmidt*

REVIEW: Auditor *MS* County Counsel _____ Human Resources *KB* Other _____

TYPE OF ITEM:
 Consent
 Departmental
 Public Hearing
 Other

PREVIOUS ACTION/REFERRAL:

Board Order No. C-21

Meeting of: 5/23/2014

BOARD OF SUPERVISORS, COUNTY OF HUMBOLDT
Upon motion of Supervisor *Wilson* Seconded by Supervisor *Sundberg*
Ayes *Wilson, Sundberg, Bass, Bohn, Fennell*
Nays _____
Abstain _____
Absent _____

and carried by those members present, the Board hereby approves the recommended action contained in this Board report.

Dated: 10/17/17
By: *Kathy Hayes*
Kathy Hayes, Clerk of the Board

DISCUSSION:

The State of California has mandated that a childhood lead poisoning prevention program be successfully administered in the jurisdiction of each local health department throughout California. This program has been in effect since 1995 and is designed to decrease the exposure of children to lead and the incidence of childhood lead poisoning, improve the detection of lead-poisoned children, and assure timely and appropriate case management of lead-poisoned children. CLPPP also raises community awareness about childhood lead exposures, lead poisoning effects and prevention through outreach to health care providers, community events and directly to families.

During the 2014-2017 contract period, the state lowered the level of acceptable blood lead levels in children, resulting in increased case management and targeted outreach in Humboldt County. As a result, in fiscal year (FY) 2016-17, the County of Humboldt CLPPP expanded its preventative lead enforcement activities to better protect Humboldt citizens from childhood lead poisoning. The agreement before your board today allows these activities to continue during the period of July 1, 2017 through June 30, 2020.

This item is coming to your Board after the agreement effective date because it was not issued by the State until September 11, 2017.

FINANCIAL IMPACT:

Approval of State Standard Agreement #14-10045 will allow for the reimbursement of services provided up to \$326,494 for a three year period beginning July 1, 2017 and ending June 30, 2020. The amount payable under this contract for FY 2017-18 was anticipated and included in the county budget in the amount of \$113,498, in Fund 1175 Budget Unit 407 – Childhood Lead Program. The funding amounts of \$106,498 for FY 2018-19 and FY 2019-2020 will be included in the county budget process. There will be no net increase or decrease to the County General Fund.

This agreement supports the Board’s Strategic Framework by protecting vulnerable populations and providing community-appropriate levels of service.

OTHER AGENCY INVOLVEMENT:

The California Department of Public Health is the grantor of funds.

ALTERNATIVES TO STAFF RECOMMENDATIONS:

The Board could choose not to approve the recommendations. However, this is not recommended as these funds would not be available to the DHHS-Public Health’s Childhood Lead Poisoning Prevention Program, resulting in an inability to adequately increase childhood lead poisoning prevention services in Humboldt County.

ATTACHMENTS:

Three (3) original and certifications of State Standard Agreement #17-10223

REGISTRATION NUMBER	AGREEMENT NUMBER 17-10223
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1. This Agreement is entered into between the State Agency and the Contractor named below:
- | | |
|---|---|
| STATE AGENCY'S NAME | (Also referred to as CDPH or the State) |
| California Department of Public Health | |
| CONTRACTOR'S NAME | (Also referred to as Contractor) |
| Humboldt County Department of Health and Human Services | |
2. The term of this Agreement is: July 1, 2017 through June 30, 2020
3. The maximum amount of this Agreement is: \$ 326,494
 Three Hundred Twenty Six Thousand Four Hundred Ninety Four Dollars
4. The parties agree to comply with the terms and conditions of the following exhibits, which are by this reference made a part of this Agreement.

Exhibit A – Scope of Work/Work Plan	42 pages
Exhibit B – Budget Detail and Payment Provisions	3 pages
Attachment I – Budget Detail (Years 1- 3)	1 page
Exhibit C* - General Terms and Conditions	GTC 04/2017
Exhibit D - Special Terms and Conditions	16 pages
Exhibit E – Additional Provisions	1 pages
Exhibit F – Federal Terms and Conditions	8 pages
Exhibit G – Information Privacy and Security Requirements	11 pages
Exhibit H - Inventory/Disposition of CDPH-Funded Equipment	2 pages
Exhibit I – Contract Equipment Purchased with CDPH Funds	2 pages
Exhibit J – Glossary of CLPPB Related Acronyms and Terms	4 pages

Items shown above with an Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at <http://www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx>.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		California Department of General Services Use Only
CONTRACTOR'S NAME (if other than an individual, state whether a corporation, partnership, etc.)		
Humboldt County Department of Health and Human Services		
BY (Authorized Signature)	DATE SIGNED (Do not type)	
	10/17/17	
PRINTED NAME AND TITLE OF PERSON SIGNING		
Virginia Bass, Chairperson, Board of Supervisors		
ADDRESS		
C/O Sandra Earl, CLPPP Coordinator 908 7th Street, Eureka, CA 95501		
STATE OF CALIFORNIA		
AGENCY NAME		
California Department of Public Health		
BY (Authorized Signature)	DATE SIGNED (Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING		
Jeff Mapes, Chief, Contracts Management Unit		
ADDRESS		
1616 Capitol Avenue, Suite 74.317, MS 1800, PO Box 997377 Sacramento, CA 95899-7377		
		<input type="checkbox"/> Exempt per:

Exhibit A
Scope of Work / Work Plan

1. Service Overview

Contractor agrees to provide to the local communities the services described herein.

This contract provides Local Assistance funds which are specifically authorized by the Health and Safety Code, Section 105290, to the contractor. The contractor will provide direct case management for the children of California, as well as education to the communities, families, and health care providers within its jurisdiction. The contractor will coordinate lead-related activities of local agencies and organizations, alert the Childhood Lead Poisoning Prevention Branch to new sources of lead exposure and to barriers in the continuum of care and prevention, and help develop creative new strategies towards realizing a healthy, lead-safe environment in which all the children of the State of California can achieve their full potential. This agreement is a Cooperative Act Agreement, pursuant to Health and Safety Code 38070 et.seq.

2. Service Location

The services shall be performed at applicable facilities in Humboldt County.

3. Service Hours

The services shall be provided during normal Contractor working hours, 8:00AM – 5:00PM, Monday through Friday, excluding national and State holidays.

4. Project Representatives

A. The project representatives during the term of this Agreement will be:

California Department of Public Health	Humboldt County
Name: Ingrid Galindo Telephone: (510) 620-3674 Fax: (510) 620-5656 Email: Ingrid.Galindo@cdph.ca.gov	Sandy Earl, CLPPP Coordinator Telephone: 707-445-6025 Fax: 707-268-0415 Email: searl@co.humboldt.ca.us

B. Direct all inquiries to:

California Department of Public Health	Humboldt County
Childhood Lead Poisoning Prevention Branch Attention: Ingrid Galindo, Contract Manager 850 Marina Bay Parkway, Building P, Third Floor Richmond, CA 94804-6403 Telephone: (510) 620-3674 Fax: (510) 620-5656 Email: Ingrid.Galindo@cdph.ca.gov	Childhood Lead Poisoning Prevention Program Attention: Sandy Earl 908 7 th Street Eureka, CA 95501 Telephone: 707-445-6025 Fax: 707-268-0415 Email: searl@co.humboldt.ca.us

C. Either party may make changes to the information above by giving written notice to the other party. Said changes shall not require an amendment to this Agreement.

Exhibit A
Scope of Work / Work Plan

5. Scope of Work Changes

- A. Pursuant to Health and Safety code Section 38077(b)(2), changes and revisions to the Scope of Work (SOW) contained in the agreement, utilizing the "allowable cost payment system" may be proposed by the Contractor in writing. Failure to notify the CDPH of proposed revisions to the SOW may result in an audit finding.
- B. The CDPH will respond, in writing, as to the approval or disapproval of all such requests for changes or revisions to the SOW within thirty (30) calendar days of the date the request is first received in the Department. Should the CDPH fail to respond to the Contractor's request within thirty (30) calendar days of receipt, the Contractor's request shall be deemed approved.
- C. The CDPH may also request changes and revisions to the SOW. The CDPH will make a good-faith effort to provide the Contractor thirty (30) calendar days advance written notice of said changes or revisions.
- D. No changes to the SOW agreed to pursuant to this paragraph shall take effect until the cooperative agreement is amended and the amendment is approved as required by law and this agreement.

6. Required Deliverables for Program Review and Evaluation

- A. The Contractor will submit as deliverables to the CLPPB the following documents:
 - 1) Biannual Progress Reports using the CLPPB Progress Report format.
 - 2) Quarterly invoices as outlined in Exhibit B, Provision 1, page 1 of 4.
 - 3) Completed pages of the Lead Poisoning Follow-up Form (LPFF) and attachments.
 - 4) Completed Form 8552 for each Lead Hazard Evaluation (includes clearance, Environmental Investigation (EI) and risk assessment) that is performed.
 - 5) Status report, case management information, and other contract-related information as requested by CLPPB for program review.
 - 6) Entry of data into the Response and Surveillance System for Childhood Lead Exposures II (RASSCLE II), as negotiated with CLPPB.
 - 7) Contractor-developed CLPPP educational materials, if any (must be approved by CLPPB).

7. Subcontracts Requirements

Subcontracts with other governmental agencies may be allowed with prior CDPH approval.

- 8. See the following pages for a detailed description of the services to be performed

Exhibit A
Scope of Work / Work Plan

Goal 1: A Childhood Lead Poisoning Prevention Program (CLPPP) shall be successfully administered in the jurisdiction of each local health department.

Objective 1-I: Maintain (or establish) and successfully administer a local CLPPP.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. Designate a CLPPP Coordinator responsible for conducting or overseeing the activities below. Other CLPPP staff may be assigned to perform specific duties of the CLPPP Coordinator, with the exception of the role of primary program contact, which must be performed by the CLPPP Coordinator.</p>	<p>Within thirty (30) days of start date</p>	<p>Health Education Specialist / CLPPP Coordinator (HES/CC); HHS Program Services Coordinator (PSC)</p>	<p><i>CLPPPs must conduct all Goal 1 deliverables.</i> <i>All CLPPPs are responsible for completing activities that have been selected:</i></p>
<p><i>All CLPPPs must conduct all of the following Goal 1 activities:</i></p>			<p><input checked="" type="checkbox"/> Designated CLPPP coordinator.</p>
<p>a. Prepare and implement a CLPPP Work Plan that identifies appropriate activities and staff for the needs and resources available to the Local Health Jurisdiction (LHJ).</p>	<p>Ongoing</p>	<p>HES/ CC; Senior Health Education Specialist (SHES)</p>	<p><input checked="" type="checkbox"/> Prepared CLPPP Work Plan. <input checked="" type="checkbox"/> CLPPP Personnel Justification Form submitted. <input checked="" type="checkbox"/> Completed CLPPP Contact List.</p>
<p>b. Coordinate all CLPPP services and activities within the LHJ.</p>	<p>Ongoing</p>	<p>HES/ CC</p>	<p><input checked="" type="checkbox"/> Executed Work Plan.</p>
<p>c. Act as primary program contact with the State Childhood Lead Poisoning Prevention Branch (CLPPB).</p>	<p>Ongoing</p>	<p>HES/ CC</p>	<p><input checked="" type="checkbox"/> CLPPP Coordinator designated as primary program contact for all CLPPB communications.</p>

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Scope of Work / Work Plan**

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>d. Ensure adherence with and implementation of all CLPPB contract requirements, including the CLPPP Work Plan, and with CLPPB policies and procedures.</p>	<p>Ongoing</p>	<p>HES/ CC Administrative Analyst (AA)</p>	<p><input checked="" type="checkbox"/> Monitor compliance of SOW and contract. <input checked="" type="checkbox"/> Maintain evidence of CLPPP contract performance (e.g., Progress Reports, quarterly meeting minutes, duty statements). <input checked="" type="checkbox"/> Ensure staff providing services to children have and maintain professional qualifications and criteria.</p>
<p>e. Ensure CLPPP representation in person or by phone conferencing, audio or video formats, at CLPPB-sponsored meetings and trainings, and CLPPB working groups as requested. These would include but not be limited to, regional and statewide program meetings, trainings for new CLPPP coordinators, training on time study documentation as appropriate, training on the use of the CLPPB data system, and trainings for other CLPP personnel as required.</p>	<p>Ongoing</p>	<p>HES/ CC AA</p>	<p><input checked="" type="checkbox"/> Participate in CLPPB-sponsored meetings, trainings, and working groups.</p>
<p>f. Ensure all staff providing services to children under this contract have and maintain the professional qualifications and criteria (education, licenses, and training) required by CLPPB. Notify CLPPB when staff changes occur, no later than five working days after the change.</p>	<p>Ongoing</p>	<p>HES/ CC</p>	<p><input checked="" type="checkbox"/> Record of (current) professional qualifications for all staff providing services to children.</p>
<p>g. Convene and conduct CLPPP Team quarterly meetings, in person or through phone conferencing, video or audio formats, with participation by all CLPPP team members.</p>	<p>Quarterly</p>	<p>HES/ CC</p>	<p><input checked="" type="checkbox"/> Minutes from quarterly meetings.</p>

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>h. Ensure that required CLPPP documentation is submitted in a timely manner and according to CLPPB requirements, including but not limited to, case management forms and documents, and biannual CLPPP Progress Reports.</p>	<p>Ongoing</p>	<p>HES/ CC Public Health Nurse (PHN) AA Fiscal Assistant (FA); Senior Fiscal Assistant (SFA)</p>	<p>Submit the following documents to CLPPB: <input checked="" type="checkbox"/> Case management forms and documents <input checked="" type="checkbox"/> Biannual CLPPP Progress Reports <input checked="" type="checkbox"/> Quarterly invoices <input checked="" type="checkbox"/> Other (<i>please specify</i>):</p>
<p><u>2. Tier 2- All CLPPPs receiving basic State funding allocations greater than \$300,000 annually, are expected to carry out additional activities above those described in the core goals listed as "All CLPPPs", in the SOW. These additional activities are referred to as Tier 2 activities, and are listed throughout the SOW. (Details of the activities are to be specified by the LHJ.)</u></p> <p><u>Indicate which activities will be conducted with a "X":</u> <input type="checkbox"/> Host, facilitate, and/or take minutes at one or more regional meetings or CLPPB-sponsored trainings. <input type="checkbox"/> Other (<i>please specify</i>):</p>	<p><i>Indicate timeline for Tier 2 activities:</i></p>		<p><i>Indicate which items will be completed with an "X":</i> <input type="checkbox"/> Agendas from CLPPB-sponsored meetings/trainings. <input type="checkbox"/> Other (<i>please specify</i>):</p>

Goal 2: Decrease the exposure of children to lead and the incidence of increased childhood blood lead levels (BLLs).

Objective 2-I: Inform families and child caregivers who are responsible for children at risk of lead exposure about how to prevent lead exposure and teach them that there is no known safe level of lead in the body.

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>2. Tier 2- The LHJ is to add one or more additional activities to support the objective, as resources allow. These additional activities require prior approval from CLPPB. The number, breadth, and extent of the activities are expected to be proportional to the funding and resources provided in the contract.</p> <p><i>(Details of the activities are to be specified by the Local Health Jurisdiction LHJ.)</i></p> <p><i>Please specify:</i> One educational display per year in a public building to increase awareness of childhood lead exposure.</p>	<p><i>Indicate timeline for Tier 2 activities:</i> Annually, summer month</p>		<p>CLPPPs must maintain all items below. <i>Boxes marked with an "X" indicate items will be maintained:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Description of activities <input type="checkbox"/> Quantity and description of people reached by activities <input type="checkbox"/> Quantity of outreach materials distributed at each activity <p><i>Indicate which additional item(s) will be completed with an "X":</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Educational print materials, and/or presentations for families, caregivers, and/or schools. (Must be approved by CLPPB) <input type="checkbox"/> Quantity and description of people reached by activities <input type="checkbox"/> Presentation evaluation <input type="checkbox"/> Survey instruments (e.g., pre/post-tests, needs assessments, field tests) <input type="checkbox"/> Behavior change and/or knowledge gain outcomes <input type="checkbox"/> Other <i>(please specify):</i>

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Objective 2-II: Inform health care providers of their legal responsibilities with respect to counseling on how to avoid lead exposure and lead poisoning, and of available case management, and other services for children with increased blood lead.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
1. Provide outreach and education to health care providers. <i>(Details to be specified by the CLPPP, examples given below)</i> Activities should be appropriate for the applicant's resources. Programs are encouraged to collaborate with other health programs to maximize resources and health care providers reached.	Ongoing	HES/ CC with support from CHDP program; PHN	Pre/post testing

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<p>All CLPPPs must indicate at least two activities below they will conduct.</p> <p><input type="checkbox"/> Grand Rounds presentations to health care providers</p> <p><input type="checkbox"/> Brown-bag presentations</p> <p><input type="checkbox"/> Nursing or medical school lectures</p> <p><input checked="" type="checkbox"/> Mailing or distributing newsletters, brochures, or informational program materials for healthcare providers and distribution to their patient population.</p> <p><input checked="" type="checkbox"/> Outreach to clinics</p> <p><input checked="" type="checkbox"/> Outreach to centers and staff of the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) and the Child Health and Disability Prevention Program (CHDP)</p> <p><input type="checkbox"/> Other CLPPP activities (approved by CLPPB).</p> <p><i>Please specify:</i></p>		<p>HES/CC;</p> <p>PHN</p>	<p>CLPPPs must maintain all items below: <i>"X" mark indicates items will be maintained:</i></p> <p><input checked="" type="checkbox"/> Description of outreach to providers and/or WIC/CHDP staff</p> <p><input checked="" type="checkbox"/> Record of number of clinics/staff/providers reached</p> <p><input checked="" type="checkbox"/> Record of number of material distributed to clinics/staff/providers</p> <p>Indicate which additional item(s) below will be completed with an "X":</p> <p><input type="checkbox"/> Presentation materials (Must be approved by CLPPB)</p> <p><input type="checkbox"/> Presentation evaluation</p> <p><input checked="" type="checkbox"/> Pre/post-tests examining knowledge gains and/or behavior change</p> <p><input type="checkbox"/> Informational program materials (Must be approved by CLPPB.)</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>
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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>2. Tier 2- The LHJ is to add one or more additional activities (approved by CLPPB) to support the objective, as resources allow. The number, breadth, and extent of the activities are expected to be proportional to the funding and resources provided in the contract.</p> <p><i>Please specify activities:</i></p>	<p><i>Indicate timeline for Tier 2 activities:</i></p>		<p>CLPPPs must maintain all items below: <i>"X" mark indicates items will be maintained:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Description of outreach to providers and/or WIC/CDPH staff <input type="checkbox"/> Record of number of clinics/staff/providers reached <input type="checkbox"/> Record of number of materials distributed to clinics/staff/providers <p><i>Indicate which additional item(s) will be completed with an "X":</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Presentation materials (Must be approved by CLPPB) <input type="checkbox"/> Presentation evaluation <input type="checkbox"/> Pre/post-tests examining knowledge gains and/or behavior change <input type="checkbox"/> Informational program materials (Must be approved by CLPPB) <input type="checkbox"/> Other (<i>please specify</i>):

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Objective 2-III: Increase awareness of lead hazards among those local governmental agencies and businesses that can assist in decreasing lead exposures to children. Examples include code enforcement, building departments, other environmental agencies, and health officer and business associations. Examples of businesses include home improvement stores, hardware stores, paint stores, garden supply and landscaping.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. Maintain collaborative working relationships with local enforcement agencies and businesses. This should be achieved by collaborative activities that reach these groups. Programs are encouraged to collaborate with other local governmental or business programs, to maximize resources and groups reached.</p> <p><i>All CLPPPs must indicate at least two activities below they will conduct. The number, breadth and extent of the activities chosen are expected to be proportional to the funding and resources provided in the contract.</i></p> <p><input type="checkbox"/> Promote displays and educational activities concerning lead hazard awareness at meetings that are focused on potential lead hazard-related activities, such as local code enforcement groups or environmental groups.</p> <p><input checked="" type="checkbox"/> Stock lead hazard awareness materials at local building permit offices and/or at other government agencies or businesses.</p> <p><input checked="" type="checkbox"/> Inform local agencies about applicable regulations and statutes, including legislative and regulatory requirements in: Health and Safety Code 105251 to 105256; State Housing Law, Health and Safety Code, Sections 17961 and 17920.10; Civil Code, Section 1941.1, and California Code of Regulations, Sections 35001</p>	<p>Ongoing</p>	<p>HES/CC; Registered Environmental Health Specialist (REHS)</p>	<p>CLPPPs must maintain all items below: <i>"X" mark indicates items will be maintained:</i></p> <p><input checked="" type="checkbox"/> Description of lead hazard awareness promotion undertaken at local enforcement agencies and businesses</p> <p><input checked="" type="checkbox"/> Number of people reached through outreach to local enforcement agencies and businesses</p> <p><input checked="" type="checkbox"/> Number of materials distributed to local enforcement agencies and businesses</p> <p><i>Indicate which additional item(s) below will be completed with an "X":</i></p> <p><input type="checkbox"/> Educational materials regarding codes and requirements (Must be approved by CLPPB)</p> <p><input type="checkbox"/> Number of phone calls, referrals, and interagency meetings</p> <p><input type="checkbox"/> Meeting agendas, minutes, sign-in-sheets</p> <p><input type="checkbox"/> Other (please specify):</p>

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>to 36100.</p> <p><input type="checkbox"/> Promote displays and educational activities concerning lead hazard awareness in businesses that are focused on potential lead hazard-related activities, such as hardware, home improvement, and garden supply stores.</p> <p><input type="checkbox"/> Promote displays in businesses that deal in products that have been found to contain lead, such as children's furniture stores.</p> <p><input type="checkbox"/> Other CLPPP activities (approved by the CLPPB). <i>Please specify:</i></p>			
<p>2. Tier 2- The LHJ is to add one or more additional activities or other types of activities (approved by CLPPB) to support the objective, as resources allow. The number, breadth, and extent of the activities are expected to be proportional to the funding and resources provided in the contract.</p> <p><i>Please specify activities:</i></p>	<p><i>Indicate timeline for Tier 2 activities:</i></p>		<p><i>"X" mark indicates items will be maintained:</i></p> <p><input type="checkbox"/> Description of lead awareness activities undertaken in relevant businesses and/or governmental agencies</p> <p><input type="checkbox"/> Number of people reached through outreach activities</p> <p><input type="checkbox"/> Number of materials distributed</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>

Objective 2-IV: Inform CLPPB of any newly suspected or newly identified sources of childhood lead exposure (other than paint, dust, or soil), such as specific home remedies and brands of imported foods, etc., so that CLPPB can follow up with State and federal agencies. This refers especially to substances not previously known to contain lead, rather than recognized sources newly identified as associated with a particular child. (Once CLPPB confirms that the source is lead-contaminated, CLPPB will advise all the CLPPPs and provide information to help them address the problem locally, as appropriate. CLPPB will also work with State and federal authorities to eliminate the source.)

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. All CLPPPs shall be alert to potential new sources of childhood lead exposure and report any such sources to CLPPB within seven (7) days.</p>	<p>Ongoing/ Episodic</p>	<p>HES/CC; PHN</p>	<p><input checked="" type="checkbox"/> Reports of sources to CLPPB</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>2. Tier 2- The CLPPP is encouraged to consider approaches to identification of other sources of lead exposure and add further activities (approved by CLPPB) to support the objective, as resources allow. <i>(Details are to be provided by the LHJ.)</i></p> <p><i>Please specify activities:</i></p>	<p><i>Indicate timeline for Tier 2 activities:</i></p>		<input type="checkbox"/> Description of approaches to identification of other sources of lead exposure <input type="checkbox"/> Other <i>(please specify):</i>

Objective 2-V: Identify and maintain contact with liaisons in other health programs and community groups in the CLPPP's jurisdiction to facilitate information-sharing, and potential development of joint outreach and education programs. Other health programs include, in particular, CHDP, MCAH, WIC, Head Start, and appropriate managed care plans serving low-income children, including Medi-Cal Managed Care.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. Develop and maintain contact file, including the names of liaisons, for all government-assisted health programs in the CLPPP jurisdiction, to include CHDP, MCAH, WIC, Head Start, and Medi-Cal (including Medi-Cal Managed Care Plans). For example, if the county provides Medi-Cal through a Managed Care organization, identify the Plan's liaison for lead.</p>	<p>If the CLPPP has not already established such relationships, they shall be established within six months of the start of the contract.</p>	<p>HES/CC</p>	<p><i>For all Objective 2-V deliverables, indicate which items will be completed with an "X":</i></p> <input checked="" type="checkbox"/> Contact file, including names of liaisons for government-assisted health programs in the CLPPP's jurisdiction <input checked="" type="checkbox"/> Description of collaborative strategies <input type="checkbox"/> Evaluation of collaborative strategies <input type="checkbox"/> Other <i>(please specify):</i>

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
Collaborate with the liaisons in developing strategies for preventing lead exposure, increasing screening, identifying lead-exposed children, and disseminating information on available government-assisted health care programs.	Ongoing	HES/CC	
<p>All CLPPPs must indicate at least one activity which will be accomplished. Outreach activities conducted with other health programs to achieve this objective may coincide with those specified in Objectives 2-I and 2-II.</p> <p><input type="checkbox"/> CLPPP will offer to participate in other government-assisted health care program meetings on development of their forms and tools, to ensure the inclusion of required lead poisoning anticipatory guidance and screening.</p> <p><input checked="" type="checkbox"/> CLPPP will inform other programs about services provided, such as compiling a brief annual summary of the care management and outreach activities provided to plan members for the local Medi-Cal Managed Care Plan.</p> <p><input type="checkbox"/> Other CLPPP activities (approved by the CLPPB). <i>Please specify:</i></p>	Ongoing	HES/CC	<p><input type="checkbox"/> Participation in government-assisted health care program meetings</p> <p><input type="checkbox"/> Agendas, meeting minutes, meeting outcomes</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p> <p><input checked="" type="checkbox"/> Description of outreach to other programs</p> <p><input type="checkbox"/> Evaluation of outreach to other programs</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>2. Tier 2- The CLPPP is to add one or more activity of the type indicated above, or with community groups as in the example below, to support the objective. The number, breadth, and extent of activities are expected to be proportional to the funding and resources provided in the contract. An example of further potential activities is given below:</p> <p><input type="checkbox"/> Conduct liaison activities with additional groups such as Early Start, Black Infant Health, and other groups in the jurisdiction that conduct health-related outreach and education, and/or improve access to health care.</p> <p>Activities are to be approved by CLPPB. <i>(Details of the activities are to be specified by the LHJ).</i></p> <p>Other activities (approved by CLPPB). <i>Please specify:</i></p>	<p><i>Indicate timeline for Tier 2 activities:</i></p>		<p><input type="checkbox"/> Description of collaborative strategies</p> <p><input type="checkbox"/> Evaluation of collaborative strategies</p> <p><input type="checkbox"/> Description of outreach to other programs</p> <p><input type="checkbox"/> Evaluation of outreach to other programs</p> <p><input type="checkbox"/> Other <i>(please specify):</i></p>

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Goal 3: Improve the detection of lead-burdened children by assuring that all at-risk children receive blood lead screening tests at appropriate ages.

Objective 3-I: Develop and implement strategies to increase the proportion of at-risk children who are blood lead tested, using 2012 or later data as available, as a baseline for the number of children tested in the jurisdiction as reported to CLPPB, or other appropriate data source chosen in consultation with CLPPB.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. All CLPPPs must conduct the following activities:</p> <p>a. Provide outreach and education to families of high-risk children targeted by California's most current blood lead screening regulations and to child caregivers for such families, regarding screening for lead poisoning. (For guidance, you may refer to the CLPPB's <i>A Planning Guide for Lead Program Coordinators: Planning Outreach and Education to Prevent Childhood Lead Exposures</i> and updates.)</p> <p>b. Inform health care providers of their legal responsibilities with respect to screening and testing for lead poisoning and of available case management services, and communicate the importance of supplying complete patient information to laboratories when sending samples out for blood lead analysis or when referring children for blood lead analysis.</p> <p>c. In its application, the CLPPP may propose additional activities reaching other children and families if resources permit or if a high risk is demonstrated. (Details are to be specified by LHH.) Outreach activities conducted to achieve this objective may coincide with those specified in Objectives 2-I and 2-II. Indicate activity here:</p>	<p>Ongoing</p>	<p>HES/ CC; SHES</p>	<p>For all Goal 3 deliverables, indicate which items will be completed with an "X":</p> <p><input checked="" type="checkbox"/> Description of outreach to families</p> <p><input checked="" type="checkbox"/> Evaluation of outreach to families (e.g., number of families reached, pre/post-tests)</p> <p><input type="checkbox"/> Other (please specify):</p> <p><input checked="" type="checkbox"/> Description of activity for health care providers</p> <p><input checked="" type="checkbox"/> Evaluation of activity for health care providers (e.g., number of providers reached, pre/post-tests, training evaluation)</p> <p><input type="checkbox"/> Other (please specify):</p> <p>CLPPP will submit:</p> <p><input checked="" type="checkbox"/> Status reports (box must be checked)</p> <p><input type="checkbox"/> Other (please specify):</p>

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>d. Inform CLPPB if the CLPPP learns of laboratories, including in-office testing by health care providers, which are not reporting blood lead test results to CLPPB.</p> <p><input type="checkbox"/> Other CLPPP activities (approved by CLPPB). <i>Please specify:</i></p>			

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Activities to Support The Objectives	Timeline	Staff	Evaluation/Deliverables
<p>2. Tier 2- The CLPPP is encouraged to add other, additional activities to support the objective, as resources allow. The number, breadth, and extent of activities are expected to be proportional to the funding and resources provided in the contract. Examples are given below. Activities are to be approved by CLPPB. <i>(Details are to be specified by the LHJ.)</i></p> <p><i>Indicate which activities will be completed with a check mark:</i></p> <p><input type="checkbox"/> Engage local community-based and ethnic organizations to assist in outreach to providers and at-risk communities.</p> <p><input type="checkbox"/> Identify high-risk communities or neighborhoods in which to focus the strategies.</p> <p><input type="checkbox"/> Improve access and remove barriers to screening by building finger stick testing capacity, setting up (with prior CLPPB approval) screening sites that are alternatives to existing clinical sites, etc.</p> <p><input type="checkbox"/> Other CLPPP activities (approved by the CLPPB). <i>Please specify:</i></p>			<p><i>Indicate which items will be completed with an "X":</i></p> <p><input type="checkbox"/> Description of outreach to local community-based and ethnic organizations</p> <p><input type="checkbox"/> Evaluation of outreach (e.g., pre/post-tests)</p> <p><input type="checkbox"/> Plan for improving finger stick testing capacity</p> <p><input type="checkbox"/> Other <i>(please specify):</i></p>

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Goal 4: Management of lead-burdened children shall meet standards of care.

Objective 4-I: Ensure timely and appropriate case management of lead-burdened children in accordance with CLPPB standards.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. All CLPPPs must conduct all of the following activities:</p> <p>a. Ensure that when the CLPPP is notified of a lead-exposed child whose BLL meets the "State Case" definition of a single venous BLL ≥ 14.5 mcg/dL, or persistent blood lead values ≥ 9.5 mcg/dL at least 30 days apart, with the second test being venous, or any program updates to this definition, the Public Health Nurse (PHN) shall coordinate care in compliance with:</p> <p>i. California Health and Safety Code Section 105275 et seq. (appropriate case management);</p> <p>ii. CLPPB Program Letters</p>	Ongoing	PHN	<p>CLPPPs must maintain all items below. <i>"X" mark indicates items will be maintained:</i></p> <p><input checked="" type="checkbox"/> Care management information</p> <p><input checked="" type="checkbox"/> Case Status reports</p>

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>b. Ensure that when the CLPPP is notified of a lead-exposed child whose BLL meets "State Case" definition, all appropriate PHN and Environmental Professional (EP) case management activities, including maintenance of accurate and complete surveillance and case management documentation and provision of education and informational materials, are conducted in accordance with:</p> <ul style="list-style-type: none"> i. The most recent <i>CLPPB Public Health Nursing Manual (PHN Manual)</i>, September 2002, or its subsequent updates, and Program Letters, and updates; ii. The most recent <i>CLPPB Guidance Manual for Environmental Professionals (EP Manual, June 26, 2012)</i>, or its subsequent updates, and subsequent Program Letters and updates. iii. California Code of Regulations, Title 17 Section 35001, <i>et. seq.</i> (Accreditation, Certification, and Work Practices for Lead-Based Paint and Lead Hazards); iv. The most recent <i>CLPPB Surveillance and Data Management Manual</i>, and Program Letters that update it. v. Lead Test Kit Fact Sheet and 	<p>Ongoing</p>	<p>PHN; REHS</p>	<p><i>For all activities under Objective 4-I, CLPPP shall conduct described activities and submit the following: (All must be marked with an "X" except "other").</i></p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Biannual Progress Report <input checked="" type="checkbox"/> Case Status reports and case management information <input checked="" type="checkbox"/> CLPPB LPFF <p>Other <i>(please specify)</i>:</p>

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updates.			
<p>c. Ensure that when notified of a lead-exposed child whose BLL meets "State Case" definition, or of a child with an elevated BLL requiring follow-up to confirm the child's "State Case" status, the primary care provider is contacted by the PHN about the lead level, and services available through and being provided by the CLPPP. These include a PHN home visit and an environmental investigation by an EP for a State Case. Ensure that if these services will be provided through the Medi-Cal Early and Periodic Screening, Diagnosis and Treatment (EPSDT), Supplemental Services program, the primary care provider recommends an environmental investigation.</p>	Ongoing	PHN	<input checked="" type="checkbox"/> CLPPP will maintain and submit when requested, documentation of contact with Primary Care Provider (e.g., chart progress-notes, and copies of faxes).
<p>d. Ensure the CLPPP is notified of a lead-exposed child with a single BLL equal to or greater than 9.5 mcg/dL, which would meet State Case definition if persistent, the child receives appropriate follow-up venous blood lead testing as delineated in the most recent <i>PHN manual (September 2002)</i>, Program Letters and updates.</p>	Ongoing	PHN	

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
e. Ensure all children meeting CLPPB State Case criteria receive appropriate case management as delineated in the most recent <i>PHN Manual (September 2002)</i> Program Letters and updates, and the <i>EP Guidance Manual (June 26, 2012)</i> and updates.	Ongoing	PHN, REHS	
<p>f. Ensure all children meeting State Case criteria whose BLLs do not decline as expected, receive appropriate follow-up including repeat home visits and environmental investigations, including secondary addresses if indicated.</p> <p>g. Ensure all children with increased BLLs as defined by CLPPB, at and above 4.5 mcg/dL, but not meeting the criteria for full case management, receive at minimum appropriate services as delineated in the CLPPB <i>PHN Manual</i>, CLPPB Program Letters and updates. These would include at a minimum outreach and education, and may include other graded responses, up to and including public health nursing, and environmental investigations, as is done for cases, as trend in BLLs and resources allow.</p> <p>h. Ensure the CLPPB is notified if a child is found to have been designated as a "State Case" in error or on follow up, does not achieve "State Case" status.</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>PHN, REHS</p> <p>HES/CC with PHN and EHS support as appropriate;</p> <p>SHES;</p> <p>Office Assistant</p> <p>HES/CC</p>	

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<p>i. Ensure CLPPB is notified if a child identified as a "State Case," or a potential case pending another venous BLL, has been designated in error as residing within the CLPPP's jurisdiction but actually lives elsewhere, or has moved out of the jurisdiction, before case management or follow up is started.</p>	Ongoing	HES/CC	
<p>j. Ensure a child who is a State Case of lead poisoning, or a child who is being followed to determine if they will meet case criteria, based on persistent increased BLLs, moves out of the jurisdiction, case management is coordinated with other CLPPPs as described in the <i>PHN Manual</i> and subsequent Program Letters and updates; and <i>the Guidance Manual for Environmental Professionals</i>.</p> <p>k. Ensure follow-up information is provided to the primary care provider on case management and status throughout the case.</p> <p>l. Submit Follow-up Forms, related documentation and environmental information to CLPPB at the appropriate times, as specified in the <i>PHN Manual</i>, <i>Guidance Manual for Environmental Professionals</i>, and subsequent CLPPB Program Letters and updates. CLPPPs with write capability are to enter case data into RASSCLE II as per objective 6-l.</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>PHN, REHS</p> <p>PHN</p> <p>PHN, REHS</p>	

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<p>m. Ensure if there are significant changes in the status of a case, an updated interim LPFF is submitted to the CLPPB in a timely manner. Significant changes, for example, include chelation, change of address or provider, updated source information, and clearance inspections by EPs.</p>	Ongoing	PHN, REHS	
<p>n. Ensure if the child is eligible for, but does not receive services through a government-assisted health care or nutrition program (Medi-Cal, CHDP, or local plan, WIC or an early childhood development program, such as Head Start or Early Head Start), the family is advised of the availability of such services.</p> <p>o. Ensure that a lead poisoning case is referred to California Children’s Services for determination of eligibility and medical case management, as appropriate.</p> <p>p. Ensure if take-home lead exposure is suspected as the source of the child’s elevated BLL, the PHN will contact the California Occupational Lead Poisoning Prevention Program, as per Program Letters.</p> <p>q. Review and reconcile lists from the State database of open and closed lead poisoning cases for the LHJ as requested.</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>PHN,REHS</p> <p>PHN</p> <p>PHN</p> <p>HES/CC; PHN</p>	

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<p>r. If the applicant is or applies to be a participant in the X-Ray Fluorescent (XRF) Instrument Loan Program, the applicant shall participate fully in that program, as specified in CLPPB Program Letters and the <i>Guidance Manual for Environmental Professionals June 26, 2012</i> and updates, including monthly submittal of XRF printouts for quality assurance.</p>		REHS	<input checked="" type="checkbox"/> Monthly submission by each EP of XRF Print-out Form, EI/Clearance, or office practice if no fieldwork was done. <input checked="" type="checkbox"/> Conduct routine maintenance, resourcing, and assure biannual leak testing of each XRF instrument.
<p>s. The CLPPP is encouraged to partner with nongovernmental organizations (such as community groups) to enhance education on lead and prevent further lead exposure.</p> <p>t. Case records shall be retained and handled according to CLPPB requirements, including those set forth in Program Letters, this contract, and the <i>CLPPB Surveillance and Data Management Manual</i>.</p> <p>u. The LHJ is encouraged to add additional activities to support this objective for other lead-exposed children, as resources allow.</p> <p>Specify other CLPPP activities (approved by the CLPPB).</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>HES/CC</p> <p>HES/CC; PHN</p> <p>HES/CC; PHN; REHS</p>	<input checked="" type="checkbox"/> Description of partnerships with nongovernmental groups <input checked="" type="checkbox"/> Meeting agenda and minutes <input checked="" type="checkbox"/> Training materials <input checked="" type="checkbox"/> Attendance sheets <input type="checkbox"/> Other (<i>please specify</i>):

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<p>2. Tier 2- The LHJ is encouraged to add additional activities to support the objective, as resources allow. The number, and extent of activities are expected to be proportional to the funding and resources provided under the contract. An example of such an activity is given below:</p> <p><input type="checkbox"/> When notified about a child with an increased BLL that does not meet State Case blood lead criteria for required public health nursing and environmental services as described above, all such children are required to receive at a minimum outreach and education. However, services beyond this level, including home visits and inspections, may be addressed by a jurisdiction for all such children down to a specified BLL (e.g., all children with persistent BLLs \geq 7 receive home visits).</p> <p>Specify other CLPPP activities (approved by CLPPB).</p>	<p><i>Indicate timeline for Tier 2 activities</i></p>		<p><input type="checkbox"/> Evaluation of strategies to address children with increased BLLs that do not meet the State Case definition.</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>

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Objective 4-II: Assure that non-environmental sources of lead exposure are eliminated.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. All CLPPPs must conduct all of the following activities:</p> <ul style="list-style-type: none"> a. Monitor BLLs to ensure all sources of lead exposure have been identified and removed. b. Ensure the family is informed of housing hazards and other possible sources of lead, such as remedies or potentially lead-contaminated food, spices, dishware, and other consumer products. c. Ensure CLPPB is notified of newly suspected or identified sources of lead as outlined in Objective 2-V. 	Ongoing	HES/CC; PHN	<p>Indicate which additional item(s) below will be completed with an "X":</p> <p>For all activities under this objective CLPPP will submit:</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Biannual Progress Reports <input checked="" type="checkbox"/> Status reports, case management information, and other contract-related information. <input checked="" type="checkbox"/> CLPPB LPFF <input type="checkbox"/> Other (please specify):

Goal 5: Lead hazards that are identified shall be eliminated.

Objective 5-I: Use progressive notification and action to achieve elimination of lead hazards identified during environmental investigations for lead-exposed children.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. All CLPPPs must conduct all of the following activities:</p> <ul style="list-style-type: none"> a. When lead hazards are identified during an environmental investigation for a lead-exposed child whose BLL meets "case" definition, the EP shall use progressive notification and other follow-up actions (including property visits, administrative hearings, and referrals to coordinate with other enforcement agencies) as needed to ensure sources of exposure are reduced or 	Ongoing	REHS	<p>Indicate which additional item(s) below will be completed with an "X":</p> <p>For all activities under this objective CLPPP will submit:</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Copy of relevant page of CLPPB LPFF for addresses achieving clearance, attached to appropriate Progress Report. <input checked="" type="checkbox"/> Biannual Progress Reports <input type="checkbox"/> Other (please specify):

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<p>eliminated and that the address has achieved clearance. Lead hazards to be eliminated and procedures to be followed are described in:</p> <ul style="list-style-type: none"> i. Title 17, Section 35001 <i>et seq.</i> (Accreditation, Certification, and Work Practice Practices for Lead-Based Paint and Lead Hazards); ii. Childhood Lead Poisoning Prevention Branch, <i>Guidance Manual for Environmental Professionals, June 26, 2012</i>, and updates. 			
<ul style="list-style-type: none"> b. Track the following regarding State Case-related properties for submittal in the biannual CLPPP progress report: number of properties with identified lead hazards, number of property owner lead hazard notification letters and other correspondence, number of properties currently open for follow-up and the number of calls/e-mails and visits to open properties, and number of properties achieving clearance. c. When a property owner fails to comply with lead hazard reduction or elimination, the EP will contact local enforcement agencies and take other steps to secure enforcement. d. The LHJ is encouraged to add further activities to support this objective, and to enhance collaboration with other groups and agencies in achieving this objective, as resources allow. Examples of such activities are given under Tier Two, below. 	<ul style="list-style-type: none"> Ongoing Ongoing Ongoing 	<ul style="list-style-type: none"> REHS REHS 	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Documentation of all correspondence to property owners. <input checked="" type="checkbox"/> Semi-annual list of cleared inspections. <input checked="" type="checkbox"/> Documentation of follow-up steps with local enforcement agency

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Specify other CLPPP activities (approved by CLPPB):			
<p>2. Tier 2- The LHJ is to add one or more activities to support this objective and to enhance collaboration with other groups and agencies in achieving this objective, as resources allow.</p> <p>a. Indicate which activities below will be completed with a check mark:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Elimination of lead hazards identified for other lead-exposed children with increased BLLs, whose BLLs do not meet CLPPB "State Case" definition. <input type="checkbox"/> Education of enforcement agency partners (i.e., city and/or county building departments, housing departments) in protecting children with increased blood lead levels, or children at risk for lead exposure, by providing education in lead hazard compliance and enforcement, lead-safe work practices, and visual assessment. <input type="checkbox"/> Evaluation of other units in multi-unit buildings where a source of lead is identified. <input type="checkbox"/> Education of other tenants in multi-unit buildings where a child with a blood lead level that meets case definition has 	<p><i>Indicate timeline for Tier 2 activities:</i></p>		<ul style="list-style-type: none"> <input type="checkbox"/> Provide documentation of follow-up and management of elevated blood levels and lead hazard mitigation. <p><i>Indicate which items will be completed with an "X":</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Description of outreach to enforcement agency partners <input type="checkbox"/> Results of evaluation of other units in multi-unit buildings where a source of lead is identified <input type="checkbox"/> Description of outreach to other tenants in multi-unit buildings where a child with a BLL that meets State Case definition has been identified. <input type="checkbox"/> Other (<i>please specify</i>):

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<p>been identified, while maintaining confidentiality about the presence of the lead-exposed child.</p> <p><input type="checkbox"/> Other activities suggested by the CLPPP (and approved by CLPPB). Please specify:</p> <p>b. Outreach and education activities carried out in support of this objective may coincide with Tier 2 activities specified in Objective 2-III.</p> <p>c. The number, breadth, and extent of activities are expected to be proportional to the funding and resources provided in the contract.</p>			

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<ul style="list-style-type: none"> i. Range of BLLs; ii. Population group(s) and/or geographic area(s). 			
<p>2. Implement a program to reduce the opportunity for children being exposed to environmental lead hazards, by investigating locations where children are being exposed or have been exposed in the past, and responding as necessary with appropriate enforcement actions.</p> <ul style="list-style-type: none"> a. Efforts may focus on a specific high-risk geographic area, or areas of concern. b. If not already identified in the contract work plan, within six months from the start of the contract, submit a plan to CLPPB as to which geographic area(s) will be addressed, or other criteria that will be used to determine the sites of these investigations. 	Ongoing	REHS, HES/CC, SHES	<input checked="" type="checkbox"/> Summary of steps taken to reduce childhood lead exposure, attached to the Biannual Progress Report.
<p>3. Implement a program to reduce the opportunity for children being further exposed or at-risk children being exposed to environmental lead hazards by investigating tips and complaints about lead hazards, and by identifying lead hazards in pre-1978 dwellings and public buildings and their surroundings that are exposing children to lead, responding to each as necessary with appropriate enforcement actions.</p> <ul style="list-style-type: none"> a. Efforts may focus on a specific high-risk geographic area or areas. b. If not already identified in the contract work plan, by six months from the start of the contract, submit a plan to CLPPB as 	Ongoing	REHS, HES/CC; SHES	<input checked="" type="checkbox"/> Plan for conducting investigations in identified high-risk geographic areas. <input checked="" type="checkbox"/> Documentation of identified high-risk geographic areas.

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to which geographic area(s) will be addressed or other criteria that will be used to determine the sites of these investigations.			
<p>4. Develop a written progressive enforcement procedure and submit to CLPPB with the first CLPPP progress report. Progressive enforcement activities would include, for example, a letter to the property owner, followed by a Notice of Violation, an administrative hearing, and then an order to abate.</p> <ul style="list-style-type: none"> a. In the absence of clearance of hazards using the above remedies, a system will be required to be in place to resolve the lead hazards, using the provisions of the State Housing Law, or local ordinances. b. The CLPPP is required to develop criteria for a property follow-up schedule, with a time line for referral to the County District Attorney for properties found to be non-compliant with the above-described enforcement actions. c. In counties where a large number of cases occur in a specific jurisdiction (high-risk area), in which the county plans to focus efforts but where the county lacks authority for legal resolution of State Housing Law cases, the county should enter into an agreement with that jurisdiction to allow for abatement and enforcement of lead hazards. 	Ongoing	REHS	<input checked="" type="checkbox"/> Progressive Enforcement Procedure

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5. As resources allow, ensure interventions (including lead abatement activities) carried out to prevent lead hazards and exposing at-risk children to lead are conducted as required by Title 17, California Code of Regulations Section 35001 et seq.		REHS, HES/CC	
6. The breadth and extent of activities planned and carried out for items 1, 2, 3, 4, and 5 in this objective are expected to be proportional to the amount of optional funding and resources provided.		REHS, HES/CC	<i>Indicate which activities are to be completed with an "X":</i> <input type="checkbox"/> Pre/post tests <input checked="" type="checkbox"/> Supplemental education materials supplied to enforcement staff as needed <input type="checkbox"/> Other <i>(please specify):</i>
7. Information on activities carried out under this objective; specific populations, areas and properties targeted; and hazards eliminated, is to be submitted with each biannual CLPPP progress report.	Ongoing	REHS, HES/CC	<input checked="" type="checkbox"/> CLPPP Progress Reports <input checked="" type="checkbox"/> List of targeted areas and hazards eliminated
8. LHJs are encouraged to evaluate and modify activities that support the objective, with approval from CLPPB.			

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Objective 5-III: Increase collaboration with local building departments, housing departments, code enforcement groups, environmental agencies, and other groups to see that lead hazards are properly identified and eliminated.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>All CLPPPs must conduct the following activities under Objective 5-III:</p> <p>1. Develop collaboration and partnerships with investigation and enforcement agencies (i.e., city and/or county building departments, housing departments, code enforcement agencies and environmental agencies), particularly those in specific jurisdictions that are identified as high risk for lead hazards. These would include:</p> <ul style="list-style-type: none"> a. Development and implementation of programs for training of investigation and enforcement agency personnel on identifying and appropriate correction of lead hazards, as indicated for your jurisdiction. b. Fiscal support for training if needed, and as resources allow. c. Development and implementation of other activities specified by the CLPPP (and approved by CLPPB). <i>(Details of the activities are to be specified by LHJ.)</i> 	<p>Ongoing</p>	<p>REHS; HES/CC; SHES, PSC</p>	<p><i>For all activities under this objective, CLPPP will submit:</i></p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Meeting agendas and minutes <input checked="" type="checkbox"/> Copies of response policy (e.g., personnel roles and responsibilities, enforcement) <input checked="" type="checkbox"/> Documentation of training <input checked="" type="checkbox"/> Biannual Progress Reports <input type="checkbox"/> Other <i>(please specify):</i> <p><i>CLPPP must submit all of the following:</i></p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> List of enforcement agency contacts <input checked="" type="checkbox"/> Description of collaborations with enforcement agencies. <input type="checkbox"/> Other <i>(please specify):</i>

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<p>2. Develop and implement interagency referral, reporting procedures, and cooperation with investigation and enforcement agency partners.</p> <p>a. Include activities such as responding to practices that create lead hazards by implementing lead hazard compliance and enforcement procedures.</p> <p>b. Delineate roles and responsibilities.</p>	<p>Ongoing</p>	<p>REHS</p>	<p><input checked="" type="checkbox"/> Interagency referral procedures</p> <p><input checked="" type="checkbox"/> Interagency reporting procedures</p> <p><input checked="" type="checkbox"/> List of delineated roles and responsibilities</p> <p><input checked="" type="checkbox"/> Compliance and enforcement procedures</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>
<p>3. Develop an enforcement response policy, including the roles and responsibilities of partnering enforcement agencies.</p> <p>a. Submit this policy to the CLPPB, by the end of the first year of this contract.</p>	<p>June 30, 2018</p>		<p><input checked="" type="checkbox"/> Enforcement policy</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>
<p>The following 2 activities are optional. Please indicate with a check mark if you choose to conduct them.</p> <p>4. <input type="checkbox"/> As resources allow, assess the effectiveness of local government laws, ordinances, housing codes, and enforcement structures covering identified lead hazards, and determine if changes are required to ensure children are protected.</p>	<p>Ongoing</p>		<p><input type="checkbox"/> Assessment of local government laws, ordinances, housing codes and enforcement structures covering identified lead hazards</p> <p><input type="checkbox"/> Other (<i>please specify</i>):</p>

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Activities to Support the Objective.	Timeline	Staff	Evaluation/Deliverables
<p>5. <input type="checkbox"/> As resources allow, carry out other outreach and education activities with enforcement partners. Examples of such activities are:</p> <ul style="list-style-type: none"> a. Providing program materials for public distribution on lead hazards to housing and building departments. b. Encouraging building department to incorporate information about lead-safe work practices into their building permit process (such as attaching pamphlets to building permits that educate about lead hazards for housing built before 1978). c. Ensure building department and permit office incorporate information about lead-safe work practices into their building permit process by asking clients if the buildings are built before 1978 to prompt staff to attach lead-safe work practices brochures and Renovation, Repair, and Painting (RRP) rule brochures to the permits. 	Ongoing		<ul style="list-style-type: none"> <input type="checkbox"/> Description of outreach <input type="checkbox"/> Materials on renovation and remodeling. <input type="checkbox"/> Other (<i>please specify</i>):

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>6. Collaboration and partnering with community-based organizations (CBOs) addressing lead hazards is strongly encouraged, as resources allow. Examples of activities are:</p> <ul style="list-style-type: none"> a. Providing up-to-date training and educational material to CBO staff that they can employ in outreach efforts to their communities. b. Helping CBOs identify high-risk areas c. Other activities specified by the CLPPP (and approved by CLPPB). <p><i>Please specify activities:</i></p>	Ongoing	HES/CC	<p>CLPPPs must submit all of the following:</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> List of CBO contacts <input checked="" type="checkbox"/> Description of collaborations with CBOs <input checked="" type="checkbox"/> Training and/or educational materials for CBOs <input type="checkbox"/> Other (<i>please specify</i>):
<p>7. The breadth and extent of activities planned and carried out for items 1, 2, 4, and 5 in this objective, are expected to be proportional to the supplemental funding and resources provided.</p>			
<p>8. Information on activities carried out under this objective is to be submitted with each biannual CLPPP progress report.</p>			
<p>9. LHJs are encouraged to evaluate and modify activities that support the objective, with approval from the CLPPB.</p>			

Exhibit A
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Goal 6: Program data will be maintained according to CLPPB security and confidentiality standards and a data system will be in place that will enable the collection, analysis, and dissemination of information on childhood lead exposure that can be used effectively for surveillance, identification of lead-exposed children, management of cases, epidemiology, evaluation, and program planning.

Objective 6-I: Laboratory, case management, and environmental data will be maintained in an electronic database that will allow access to timely and accurate information on individual cases, exposure sources, administrative status, summary statistics, and quality of care indicators.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. All CLPPPs shall utilize RASSCLE II (Response and Surveillance System for Childhood Lead Exposure II), to:</p> <ul style="list-style-type: none"> a. Receive email alerts for new state defined cases, emergency blood lead test results, subsequent blood lead tests for existing cases, and transfers of state-defined cases. The Coordinator shall receive these alerts and coordinate with CLPPB RASSCLE II Administrators to ensure that appropriate CLPPP staff receive the alerts necessary for their assigned activities. b. Monitor medical and environmental information related to cases, including LPFF, data entered by CLPPB. c. Monitor blood lead tests and follow up information for individuals with increased BLLs who have not yet achieved case status. 	Ongoing	REHS, HES/CC, PHN	<p>For all activities listed under this objective. CLPPP will submit and retain:</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Reports as specified in the CLPPB <i>Surveillance and Data Management Manual</i>. <input checked="" type="checkbox"/> Documentation in case management records as appropriate <input checked="" type="checkbox"/> Report of RASSCLE II discrepancies <input checked="" type="checkbox"/> Documentation from CLPPP's Information Technology (IT) department regarding installation, upgrading, and maintenance of CLPPP information technology systems <input type="checkbox"/> Other (please specify):

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>2. All CLPPPs shall support the quality and security of RASSCLE II data by:</p> <ul style="list-style-type: none"> a. Using the RASSCLE II system in accordance with the <i>CLPPB Surveillance and Data Management Manual</i>. <ul style="list-style-type: none"> i. The Coordinator shall notify CLPPB RASSCLE II Administrators immediately when staff with RASSCLE II access leave the program, and submit requests for new user accounts when additional staff need access to the system. ii. The Coordinator shall include RASSCLE II training, policies, and procedures in CLPPB staff turnover and new employee orientation plans. iii. Report any RASSCLE II data discrepancies immediately to CLPPB. b. Attending CLPPB RASSCLE II web-based and regional meetings. When possible, attendance should comprise a broad spectrum of user types, including PHNs, data management personnel, EPs, epidemiologists, and nutritionists. c. Coordinating with the CLPPP's IT Department or local department that supports CLPPP data functions, to ensure that any CLPPP system on which RASSCLE II is run, conforms to CLPPB technical and security standards. 	<p>Ongoing</p>	<p>HES/CC</p>	

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>3. CLPPPs inputting into RASSCLE II – Implemented on a mutually agreed upon timeframe and under the consent and direction of CLPPB:</p> <ul style="list-style-type: none"> a. CLPPPs electing to enter selected clinical and/or environmental LPFF data in RASSCLE II shall: <ul style="list-style-type: none"> i. Enter and manage data in RASSCLE II in accordance with the CLPPP <i>RASSCLE Data Entry Manual</i> and adhere to any future changes to these data entry protocols or requirements. ii. Report any technical issues that prevent or hamper complete data entry to CLPPB RASSCLE II Administrators. iii. Attend RASSCLE II data entry and management protocols web-based and regional trainings. Attendance should include all CLPPP data entry personnel. iv. Designate a staff member to serve as the primary point of contact for CLPPB communications regarding data entry issues. b. CLPPPs electing to enter complete clinical and/or environmental LPFF data in RASSCLE II shall: <ul style="list-style-type: none"> i. Fulfill all requirements in Activity 3-a above. ii. Under a mutually agreed upon timeline and with the approval of CLPPB, implement a process to periodically audit the entry of LPFF data into RASSCLE II for accuracy, 	<p>Ongoing</p>		

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Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
completeness, and compliance with the CLPPB <i>RASSCLE II Data Management Manual</i> and all revisions.			

Objective 6-II: Adhere to requirements for data security and confidentiality.

Activities to Support the Objective	Timeline	Staff	Evaluation/Deliverables
<p>1. All CLPPPs must adhere to CLPPB data security and program confidentiality policies and procedures when obtaining, storing, and transmitting protected health information. These policies and procedures are delineated in:</p> <ul style="list-style-type: none"> a. Health and Safety Code, Sections 124130 and 100330. b. CLPPB <i>Surveillance and Data Management Manual</i> c. Contract attachments d. CLPPB Program Letters e. Other relevant national and state confidentiality provisions, such as the <i>Health Insurance Portability and Accountability Act (HIPAA)</i>. 	Ongoing	HES/CC	<input checked="" type="checkbox"/> Copies of data security and program confidentiality protocols. <input type="checkbox"/> Other (please specify):

Exhibit B
Budget Detail and Payment Provisions

1. Invoicing and Payment

- A. In no event shall the Contractor request reimbursement from the State for obligations entered into or for costs incurred prior to the commencement date or after the expiration of this Agreement
- B. For services satisfactorily rendered, and upon receipt and approval of the invoices, the State agrees to compensate the Contractor for actual expenditures incurred in accordance with the Budget Line Items amounts specified in Attachment I of this Exhibit.
- C. Invoices shall include the Agreement Number and shall be submitted in triplicate not more frequently than quarterly in arrears to:

Ingrid Galindo, Contract Manager
California Department of Public Health
Childhood Lead Poisoning Prevention Branch
850 Marina Bay Parkway,
Bldg. P, 3rd Floor
Richmond, CA. 94804-6403

- D. Invoices shall:
 - 1) Be prepared using the newly implemented and required electronic invoice process and template, which will be provided by CDPH Contract Manager.
 - 2) Invoices must be submitted to CDPH electronically only. Hard copies are not required. **Invoices must be submitted within thirty (30) calendar days after the end of each quarter.**
 - 3) Identify the billing and/or performance period covered by the invoice.
 - 4) Itemize costs for the billing period in the same or greater level of detail as indicated in this agreement. Subject to the terms of this agreement, reimbursement may only be sought for those costs and/or cost categories expressly identified as allowable in this agreement and approved by CDPH.

E. Amounts Payable

The amounts payable under this agreement shall not exceed:

- 1) \$113,498 for the budget period of 07/01/17 through 06/30/18.
- 2) \$106,498 for the budget period of 07/01/18 through 06/30/19.
- 3) \$106,498 for the budget period of 07/01/19 through 06/30/20.

2. Budget Contingency Clause

- A. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor or to furnish any other considerations under this Agreement and Contractor shall not be obligated to perform any provisions of this Agreement.

Exhibit B
Budget Detail and Payment Provisions

- B. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either cancel this Agreement with no liability occurring to the State, or offer an agreement amendment to Contractor to reflect the reduced amount.

3. Prompt Payment Clause

Payment will be made in accordance with, and within the time specified in Government Code Chapter 4.5, commencing with Section 927.

4. Timely Submission of Final Invoice

- A. A final undisputed invoice shall be submitted for payment no more than *thirty (30)* calendar days following the expiration or termination date of this agreement, unless a later or alternate deadline is agreed to in writing by the program contract manager. Said invoice should be clearly marked "Final Invoice", indicating that all payment obligations of the State under this agreement have ceased and that no further payments are due or outstanding. The State may, at its discretion, choose not to honor any delinquent final invoice if the Contractor fails to obtain prior written State approval of an alternate final invoice submission deadline.
- B. The Contractor is hereby advised of its obligation to submit to the state, with the final invoice, a completed copy of the "**Contractor's Release**".

5. Allowable Line Item Shifts

- A. Subject to the prior review and approval of the State, line item shifts of up to fifteen percent (15%) of the annual contract total, not to exceed a maximum of one hundred thousand dollars (\$100,000) annually are allowed, so long as the annual agreement total neither increases nor decreases.
- B. The \$100,000 maximum limit shall be assessed annually and automatically adjusted by the State in accordance with cost-of-living indexes. Said adjustments shall not require a formal agreement amendment. The State shall annually inform the Contractor in writing of the adjusted maximum.
- C. Line item shifts meeting this criteria shall not require a formal agreement amendment.
- D. The Contractor shall adhere to State requirements regarding the process requesting approval to line item shifts.
- E. Line item shifts may be proposed/requested by either the State or the Contractor.

6. Expense Allowability / Fiscal Documentation

- A. Invoices, received from the Contractor and accepted for payment by the State, shall not be deemed evidence of allowable agreement costs.
- B. Contractor shall maintain for review and audit and supply to CDPH upon request, adequate documentation of all expenses claimed pursuant to this agreement to permit a determination of expense allowability.

Exhibit B
Budget Detail and Payment Provisions

- C. If the allowability of an expense cannot be determined by the State because invoice detail, fiscal records, or backup documentation is nonexistent or inadequate according to generally accepted accounting principles or practices, all questionable costs may be disallowed and payment may be withheld by the State. Upon receipt of adequate documentation supporting a disallowed or questionable expense, reimbursement may resume for the amount substantiated and deemed allowable.

7. Recovery of Overpayments

- A. Contractor agrees that claims based upon the terms of this agreement or an audit finding and/or an audit finding that is appealed and upheld, will be recovered by the State by one of the following options:
 - 1) Contractor's remittance to the State of the full amount of the audit exception within 30 days following the State's request for repayment;
 - 2) A repayment schedule agreeable between the State and the Contractor.
- B. The State reserves the right to select which option as indicated above in paragraph A will be employed and the Contractor will be notified by the State in writing of the claim procedure to be utilized.
- C. Interest on the unpaid balance of the audit finding or debt will accrue at a rate equal to the monthly average of the rate received on investments in the Pooled Money Investment Fund commencing on the date that an audit or examination finding is mailed to the Contractor, beginning thirty (30) days after Contractor's receipt of the State's demand for repayment.
- D. If the Contractor has filed a valid appeal regarding the report of audit findings, recovery of the overpayments will be deferred until a final administrative decision on the appeal has been reached. If the Contractor loses the final administrative appeal, Contractor shall repay, to the State, the over-claimed or disallowed expenses, plus accrued interest. Interest accrues from the Contractor's first receipt of State's notice requesting reimbursement of questioned audit costs or disallowed expenses.

8. Travel and Per Diem Reimbursement

Any reimbursement for necessary travel and per diem shall, unless otherwise specified in this Agreement, be at the rates currently in effect, as established by the California Department of Human Resources (Cal HR). If the Cal HR rates change during the term of the Agreement, the new rates shall apply upon their effective date and no amendment to this Agreement shall be necessary. No travel outside the state of California shall be reimbursed without prior authorization from the CDPH. Verbal authorization should be confirmed in writing. Written authorization may be in a form including fax or email confirmation.

See CalHR website: <http://www.calhr.ca.gov/employees/Pages/travel-reimbursements.aspx>

Personnel	SOW Reference	Year (1)			Year (2)			Year (3)			Totals
		FTE	Annual Salary	Budget	FTE	Annual Salary	Budget	FTE	Annual Salary	Budget	
Health Education Spec./CLPPP Coordinator (HES/CC)	Goal 1,2,3,5,6	50.00%	\$54,146	\$27,073	50.00%	\$56,854	\$28,427	50.00%	\$56,854	\$28,427	\$83,927
Registered Environmental Health Specialist (REHS)	Goal 2,4,5,6	2.32%	\$63,112	\$1,464	2.70%	\$66,267	\$1,789	2.70%	\$66,267	\$1,789	\$5,043
Registered Environmental Health Specialist (REHS)	Goal 2,4,5,6	2.34%	\$57,120	\$1,337	2.69%	\$59,976	\$1,613	2.69%	\$59,976	\$1,613	\$4,563
Supervising Reg. Env. Health Specialist (SREHS)	Goal 2,4,5	4.00%	\$83,416	\$3,337	2.50%	\$83,416	\$2,085	2.50%	\$83,416	\$2,085	\$7,507
Senior Health Education Specialist (SHES)	Goal 1,3,4,5	5.50%	\$54,146	\$2,978	5.50%	\$56,854	\$3,127	5.50%	\$59,696	\$3,283	\$9,388
Administrative Analyst (AA)	Goal 1	3.50%	\$46,771	\$1,637	3.50%	\$49,110	\$1,719	3.50%	\$51,565	\$1,805	\$5,161
Fiscal Assistant (FA)	Goal 1	4.50%	\$34,697	\$1,561	4.50%	\$36,434	\$1,640	4.50%	\$38,256	\$1,722	\$4,922
Senior Fiscal Assistant (SFA)	Goal 1	1.00%	\$38,526	\$385	1.00%	\$40,452	\$405	1.00%	\$42,475	\$425	\$1,215
Public Health Nurse (PHN)	Goal 1,2,4,6	10.00%	\$64,255	\$6,426	10.00%	\$67,468	\$6,747	10.00%	\$70,842	\$7,084	\$20,257
Office Assistant (OA)	Goal 4	1.00%	\$25,980	\$260	1.00%	\$27,279	\$273	1.00%	\$28,643	\$286	\$819
Program Services Coordinator (PSC)	Goal 1,5	1.00%	\$74,522	\$745	1.00%	\$74,522	\$745	1.00%	\$74,522	\$745	\$2,236
Total Salaries and Wages				\$47,203			\$48,570			\$49,265	\$145,037
Fringe Benefits			Percentage		Percentage		Percentage				
			53.08%	\$25,055	53.11%	\$25,795	53.17%	\$26,194			\$77,045
Total Personnel				\$72,258		\$74,365		\$75,459			\$222,082
Operating Expenses	SOW Reference			Budget		Budget		Budget			
General Expenses				\$1,167		\$1,211		\$1,253			\$3,631
Space / Rent ①				\$3,922		\$4,118		\$4,324			\$12,364
Equipment, Minor & Electrical Equipment				\$0		\$0		\$0			\$0
Printing	Goal 2,3,4,5			\$2,097		\$1,667		\$1,388			\$5,152
Travel & Per Diem ②	Goal 2,3,4,5			\$6,006		\$4,873		\$4,025			\$14,904
Training Expenses	Goal 2,3,4,5			\$839		\$250		\$150			\$1,239
Total Operating Expenses				\$14,031		\$12,119		\$11,140			\$37,290
Subcontracts	SOW Reference			Budget		Budget		Budget			
				\$0		\$0		\$0			\$0
Total Subcontracts				\$0		\$0		\$0			\$0
Other Cost	SOW Reference			Budget		Budget		Budget			
Tier 3 Funding	Goal 5			\$13,737		\$13,737		\$13,737			\$41,211
XRF Loan Program	Goal 4,5			\$9,000		\$2,000		\$2,000			\$13,000
Educational Materials	Goal			\$0		\$0		\$0			\$0
Environmental Sampling	Goal			\$0		\$0		\$0			\$0
Publicity	Goal 2			\$2,053		\$1,697		\$1,400			\$5,150
Total Other Costs				\$24,790		\$17,434		\$17,137			\$59,361
Total Indirect Costs			Percentage	Budget		Percentage	Budget		Percentage	Budget	
	Personnel Costs		3.35%	\$2,421		3.47%	\$2,580		3.66%	\$2,762	\$7,763
Total Costs				\$113,498		\$106,498		\$106,498			\$326,494

① FY 2017-2018 - 146.41 square feet x \$26.60/ square foot plus \$27.55 cost of building maintenance and repairs including plumbing.
 FY 2018-2019 - 146.41 square feet x \$27.93/square foot plus \$28.93 costs of building maintenance and repairs including plumbing.
 FY 2019-2020 - 146.41 square feet x \$29.32/square foot plus \$30.38 costs of building maintenance and repairs including plumbing.

② FY 2017-2018 - Travel by REHS (for recertification) 550 miles x \$0.535/mile = \$294.25 + Per Diem \$382 = \$676.25 x 2 = \$1,353;
 SHES (regional meetings) -560 miles x \$0.535/mile = \$299.60 + Per Diem \$322 = \$622; SHES, PHN or REHSs (Downey conferences) \$1,200 including flight, airport parking, baggage fees, shuttle to/from LAX + Per Diem \$466 = \$1,666;
 PHN, SHES (Sacramento conference or training) 560 miles x \$0.535 = \$299.60 + \$322 = \$622 x 2 = \$1,243; SHES (within Humboldt County) 23.50 miles x \$0.535 x 12 months = \$150; REHSs (in County) 23 miles x \$0.535 x 12 months = \$148;
 PHN (within Humboldt County) 23 miles x \$0.535 x 12 months = \$148.

FY 2018-2019 - Travel by REHS (2) (for recertification) 550 miles x \$0.535/mile = \$294.25 + Per Diem \$382 = \$676.25 x 2 = \$1,353; SHES, (regional meetings) 560 miles x \$0.535/mile \$299.60 + Per Diem \$322 = \$622;
 SHES, PHN or REHSs (Downey conferences) \$1,200 including flight, airport parking, baggage fees, shuttle to/from LAX + Per Diem \$450 = \$1,650; PHN, SHES (Sacramento conference/training) 560 miles x \$0.535 \$299.60 + Per Diem \$322 = \$622; SHES (within Humboldt County) 57 miles x \$0.535 x 12 months = \$365; REHS (within Humboldt County) 20 miles x \$0.535 x 12 months = \$130; PHN (within Humboldt County) 20 miles x \$0.535 x 12 months = \$130.

FY 2019-2020 - Travel by REHS (for recertification) 550 miles x \$0.535/mile = \$294.25 + Per Diem \$382 = \$676.25; SHES, PHN, REHSs (Downey conferences) \$1,200 including flight, airport parking, baggage fees, shuttle to and from LAX + Per Diem \$450 = \$1,650; SHES (regional meetings) 560 miles x \$0.535 = \$299.60 + Per Diem \$322 = \$622; SHES (within County) 100 miles x \$0.535 x 12 months = \$640; REHSs (within County) 50 miles x \$0.535 x 12 months = \$321;
 PHN (within County) 18 miles x \$0.535 x 12 months = \$116.

Exhibit D
Special Terms and Conditions
(Rev 6/16)

(For Cooperative Agreement in accordance with HSC 38070)

The provisions herein apply to this Agreement unless the provisions are removed by reference, the provisions are superseded by an alternate provision appearing elsewhere in this Agreement, or the applicable conditions do not exist.

Index of Special Terms and Conditions

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3. Subcontract Requirements	13. Contract Uniformity (Fringe Benefit Allowability)
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Exhibit D
Special Terms and Conditions

1. Procurement Rules

(Applicable to all agreements in which equipment, property, commodities and/or supplies are furnished by CDPH or expenses for said items are reimbursed with state or federal funds.)

a. Equipment definitions

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

- (1) **Major equipment/property:** A tangible or intangible item having a base unit cost of **\$5,000 or more** with a life expectancy of one (1) year or more and is either furnished by CDPH or the cost is reimbursed through this Agreement. Software and videos are examples of intangible items that meet this definition.
 - (2) **Minor equipment/property:** A tangible item having a base unit cost of **less than \$5,000** with a life expectancy of one (1) year or more and is either furnished by CDPH or the cost is reimbursed through this Agreement.
- b. Government and public entities** (including state colleges/universities and auxiliary organizations), whether acting as a contractor, may secure all commodities, supplies, equipment and services related to such purchases that are required in performance of this Agreement. Said procurements are subject to Paragraphs d through g of this provision. Paragraph c of this provision shall also apply, if equipment purchases are delegated to subcontractors that are nonprofit organizations or commercial businesses.
- c. Nonprofit organizations and commercial businesses**, whether acting as a contractor and/or subcontractor, may secure commodities, supplies, equipment and services related to such purchases for performance under this Agreement.

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

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

- (2) All equipment purchases are subject to paragraphs d through g of this provision. Paragraph b of this provision shall also apply, if equipment purchases are delegated to subcontractors that are either a government or public entity.
- (3) Nonprofit organizations and commercial businesses, shall use a procurement system that meets the following standards:
 - (a) Maintain a code or standard of conduct that shall govern the performance of its officers, employees, or agents engaged in awarding procurement contracts. No employee,

Exhibit D
Special Terms and Conditions

officer, or agent shall participate in the selection, award, or administration of a procurement, or bid contract in which, to his or her knowledge, he or she has a financial interest.

- (b) Procurements shall be conducted in a manner that provides, to the maximum extent practical, open, and free competition.
- (c) Procurements shall be conducted in a manner that provides for all of the following:
 - [1] Avoid purchasing unnecessary or duplicate items.
 - [2] Equipment solicitations shall be based upon a clear and accurate description of the technical requirements of the goods to be procured.
 - [3] Take positive steps to utilize small and veteran owned businesses.
- d. Unless waived or otherwise stipulated in writing by CDPH, prior written authorization from the appropriate CDPH Program Contract Manager will be required before the Contractor will be reimbursed for any purchase **exceeding** \$5,000 or more for commodities, supplies, equipment, and services related to such purchases. The Contractor must provide in its request for authorization all particulars necessary, as specified by CDPH, for evaluating the necessity or desirability of incurring such costs. The term "purchase" excludes the purchase of services from a subcontractor and public utility services at rates established for uniform applicability to the general public.
- e. In special circumstances, determined by CDPH (e.g., when CDPH has a need to monitor certain purchases, etc.), CDPH may require prior written authorization and/or the submission of paid vendor receipts for any purchase, regardless of dollar amount. CDPH reserves the right to either deny claims for reimbursement or to request repayment for any Contractor purchase that CDPH determines to be unnecessary in carrying out performance under this Agreement.
- f. The Contractor must maintain a copy or narrative description of the procurement system, guidelines, rules, or regulations that will be used to make purchases under this Agreement. The State reserves the right to request a copy of these documents and to inspect the purchasing practices of the Contractor at any time.
- g. For all purchases, the Contractor must maintain copies of all paid vendor invoices, documents, bids and other information used in vendor selection, for inspection or audit. Justifications supporting the absence of bidding (i.e., sole source purchases) shall also be maintained on file by the Contractor for inspection or audit.

2. Equipment Ownership / Inventory / Disposition

(Applicable to agreements in which equipment and/or property is furnished by CDPH and/or when said items are purchased or reimbursed with state)

- a. Wherever the terms equipment and/or property are used in this provision, the definitions in provision 1, paragraph a., shall apply.

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

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

Upon receipt of equipment and/or property, the Contractor shall report the receipt to the CDPH Program Contract Manager. To report the receipt of said items and to receive property tags, Contractor shall use a form or format designated by CDPH's Asset Management Unit. If the appropriate form (i.e., Contractor Equipment Purchased with CDPH Funds) does not accompany this Agreement, Contractor shall request a copy from the CDPH Program Contract Manager.

- (2) If the Contractor enters into an agreement with a term of more than twelve months, the Contractor shall submit an annual inventory of state equipment and/or property to the CDPH Program Contract Manager using a form or format designated by CDPH's Asset Management Unit. If an inventory report form (i.e., Inventory/Disposition of CDPH-Funded Equipment) does not accompany this Agreement, Contractor shall request a copy from the CDPH Program Contract Manager. Contractor shall:

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

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

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

- e. Unless otherwise stipulated by the program funding this Agreement, equipment and/or property purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, shall only be used for performance of this Agreement or another CDPH agreement.
- f. Within sixty (60) calendar days prior to the termination or end of this Agreement, the Contractor

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shall provide a final inventory report of equipment and/or property to the CDPH Program Contract Manager and shall, at that time, query CDPH as to the requirements, including the manner and method, of returning state equipment and/or property to CDPH. Final disposition of equipment and/or property shall be at CDPH expense and according to CDPH instructions. Equipment and/or property disposition instructions shall be issued by CDPH immediately after receipt of the final inventory report. At the termination or conclusion of this Agreement, CDPH may at its discretion, authorize the continued use of state equipment and/or property for performance of work under a different CDPH agreement.

g. Motor Vehicles

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

- (1) If motor vehicles are purchased/reimbursed or furnished by CDPH under the terms of this Agreement, within thirty (30) calendar days prior to the termination or end of this Agreement, the Contractor shall return such vehicles to CDPH and shall deliver all necessary documents of title or registration to enable the proper transfer of a marketable title to CDPH.
- (2) If motor vehicles are purchased/reimbursed or furnished by CDPH under the terms of this Agreement, **the State of California shall be the legal owner of said motor vehicles and the Contractor shall be the registered owner.** The Contractor shall only use said vehicles for the performance under the terms of this Agreement.
- (3) The Contractor agree that all operators of motor vehicles, purchased/reimbursed or furnished by CDPH under the terms of this Agreement, shall hold a valid State of California driver's license. In the event that ten or more passengers are to be transported in any one vehicle, the operator shall also hold a State of California Class B driver's license.
- (4) If any motor vehicle is purchased/reimbursed or furnished by CDPH under the terms of this Agreement, the Contractor, as applicable, shall provide, maintain, and certify that, at a minimum, the following type and amount of automobile liability insurance is in effect during the term of this Agreement or any extension period during which any vehicle remains in the Contractor's possession:

Automobile Liability Insurance

- (a) The Contractor, by signing this Agreement, hereby certifies that it possesses or will obtain automobile liability insurance in the amount of \$1,000,000 per occurrence for bodily injury and property damage combined. Said insurance must be obtained and made effective upon the delivery date of any motor vehicle, purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, to the Contractor.
- (b) The Contractor shall, as soon as practical, furnish a copy of the certificate of insurance to the CDPH Program Contract Manager. The certificate of insurance shall identify the CDPH contract or agreement number for which the insurance applies.
- (c) The Contractor agree that bodily injury and property damage liability insurance, as required herein, shall remain in effect at all times during the term of this Agreement or until such time as the motor vehicle is returned to CDPH.

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- (d) The Contractor agree to provide, at least thirty (30) days prior to the expiration date of said insurance coverage, a copy of a new certificate of insurance evidencing continued coverage, as indicated herein, for not less than the remainder of the term of this Agreement, the term of any extension or continuation thereof, or for a period of not less than one (1) year.
- (e) The Contractor, if not a self-insured government and/or public entity, must provide evidence, that any required certificates of insurance contain the following provisions:
 - [1] The insurer will not cancel the insured's coverage without giving thirty (30) calendar days prior written notice to the State.
 - [2] The State of California, its officers, agents, employees, and servants are included as additional insureds, but only with respect to work performed for the State under this Agreement and any extension or continuation of this Agreement.
 - [3] The insurance carrier shall notify CDPH, in writing, of the Contractor's failure to pay premiums; its cancellation of such policies; or any other substantial change, including, but not limited to, the status, coverage, or scope of the required insurance. Such notices shall contain a reference to each agreement number for which the insurance was obtained.
- (f) The Contractor is hereby advised that copies of certificates of insurance may be subject to review and approval by the Department of General Services (DGS), Office of Risk and Insurance Management. The Contractor shall be notified by CDPH, in writing, if this provision is applicable to this Agreement. If DGS approval of the certificate of insurance is required, the Contractor agrees that no work or services shall be performed prior to obtaining said approval.
- (g) In the event the Contractor fails to keep insurance coverage, as required herein, in effect at all times during vehicle possession, CDPH may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event.

3. Subcontract Requirements

(Applicable to agreements under which services are to be performed by subcontractors including independent consultants.)

- a. Prior written authorization will be required before the Contractor enters into or is reimbursed for any subcontract for services exceeding \$5,000 for any articles, supplies, equipment, or services. The Contractor shall obtain at least three competitive quotations which should be submitted or adequate justification provided for the absence of bidding.
- b. CDPH reserves the right to approve or disapprove the selection of subcontractors and with advance written notice, require the substitution of subcontractors and require the Contractor to terminate subcontracts entered into in support of this Agreement.
 - (1) Upon receipt of a written notice from CDPH requiring the substitution and/or termination of a subcontract, the Contractor shall take steps to ensure the completion of any work in progress and select a replacement, if applicable, within 30 calendar days, unless a longer period is agreed to by CDPH.

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- c. Actual subcontracts (i.e., written agreement between the Contractor and a subcontractor) exceeding \$5,000 are subject to the prior review and written approval of CDPH.
- d. Contractor shall maintain a copy of each subcontract entered into in support of this Agreement and shall, upon request by CDPH, make copies available for approval, inspection, or audit.
- e. CDPH assumes no responsibility for the payment of subcontractors used in the performance of this Agreement. Contractor accepts sole responsibility for the payment of subcontractors used in the performance of this Agreement.
- f. The Contractor is responsible for all performance requirements under this Agreement even though performance may be carried out through a subcontract.
- g. The Contractor shall ensure that all subcontracts for services include provision(s) requiring compliance with applicable terms and conditions specified in this Agreement and shall be the subcontractor's sole point of contact for all matters related to the performance and payment during the term of this Agreement.
- h. The Contractor agrees to include the following clause, relevant to record retention, in all subcontracts for services:

"(Subcontractor Name) agrees to maintain and preserve, until three years after termination of (Agreement Number) and final payment from CDPH to the Contractor, to permit CDPH or any duly authorized representative, to have access to, examine or audit any pertinent books, documents, papers and records related to this subcontract and to allow interviews of any employees who might reasonably have information related to such records."

4. Income Restrictions

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

5. Site Inspection

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

6. Intellectual Property Rights

a. Ownership

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- (1) Except as set forth below and except where CDPH has agreed in a signed writing to accept a license, CDPH shall be and remain, without additional compensation, the sole owner of any and all rights, title and interest in all Intellectual Property, from the moment of creation, whether or not jointly conceived, that are made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement. Notwithstanding the foregoing or any other language in this Agreement, Contractor and not CDPH shall own Intellectual Property relating to any clinical lab test or lab assay that is made, conceived, derived from or reduced to practice by contractor, regardless of whether it results directly /indirectly from this Agreement ("Clinical Tests or Assays")
- (2) For the purposes of this Agreement, Intellectual Property means recognized protectable rights and interest such as: patents, (whether or not issued) copyrights, trademarks, service marks, applications for any of the foregoing, inventions, trade secrets, trade dress, logos, insignia, color combinations, slogans, moral rights, right of publicity, author's rights, contract and licensing rights, works, mask works, industrial design rights, rights of priority, know how, design flows, methodologies, devices, business processes, developments, innovations, good will and all other legal rights protecting intangible proprietary information as may exist now and/or here after come into existence, and all renewals and extensions, regardless of whether those rights arise under the laws of the United States, or any other state, country or jurisdiction.
 - (a) For the purposes of the definition of Intellectual Property, "works" means all literary works, writings and printed matter including the medium by which they are recorded or reproduced, photographs, art work, pictorial and graphic representations and works of a similar nature, film, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, educational materials, interactive videos and any other materials or products created, produced, conceptualized and fixed in a tangible medium of expression. It includes preliminary and final products and any materials and information developed for the purposes of producing those final products. Works does not include articles submitted to peer review or reference journals or independent research projects.
- (3) In the performance of this Agreement, Contractor will exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this Agreement. In addition, under this Agreement, Contractor may access and utilize certain of CDPH's Intellectual Property in existence prior to the effective date of this Agreement. Except as otherwise set forth herein, Contractor shall not use any of CDPH's Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of CDPH. **Except as otherwise set forth herein, neither the Contractor nor CDPH shall give any ownership interest in or rights to its Intellectual Property to the other Party.** If during the term of this Agreement, Contractor accesses any third-party Intellectual Property that is licensed to CDPH, Contractor agrees to abide by all license and confidentiality restrictions applicable to CDPH in the third-party's license agreement.
- (4) Contractor agrees to cooperate with CDPH in establishing or maintaining CDPH's exclusive rights in the Intellectual Property, and in assuring CDPH's sole rights against third parties with respect to the Intellectual Property. If the Contractor enters into any agreements or subcontracts with other parties in order to perform this Agreement, Contractor shall require the terms of the Agreement(s) to include all Intellectual Property provisions. Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to CDPH all rights, title and interest in Intellectual Property other than Clinical Tests or Lab Assays made, conceived, derived from, or reduced to practice by the subcontractor,

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Contractor or CDPH and which result directly or indirectly from this Agreement or any subcontract.

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

b. Retained Rights / License Rights

- (1) Contractor shall retain title to all of its Intellectual Property to the extent such Intellectual Property is in existence prior to the effective date of this Agreement.
- (2) Nothing in this provision shall restrict, limit, or otherwise prevent Contractor from using any ideas, concepts, know-how, methodology or techniques related to its performance under this Agreement, provided that Contractor's use does not infringe the patent, copyright, trademark rights, license or other Intellectual Property rights of CDPH or third party, or result in a breach or default of any provisions of this Exhibit or result in a breach of any provisions of law relating to confidentiality.

c. Copyright

- (1) Contractor agrees that for purposes of copyright law, all works [as defined in Paragraph a, subparagraph (2)(a) of this provision] of authorship made by or on behalf of Contractor in connection with Contractor's performance of this Agreement shall be deemed "works made for hire". Contractor further agrees that the work of each person utilized by Contractor in connection with the performance of this Agreement will be a "work made for hire," whether that person is an employee of Contractor or that person has entered into an agreement with Contractor to perform the work. Contractor shall enter into a written agreement with any such person that: (i) all work performed for Contractor shall be deemed a "work made for hire" under the Copyright Act and (ii) that person shall assign all right, title, and interest to CDPH to any work product made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement.
- (2) All materials, including, but not limited to, visual works or text, reproduced or distributed pursuant to this Agreement that include Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement, shall include CDPH's notice of copyright, which shall read in 3mm or larger typeface: "© [Enter Current Year e.g., 2014, etc.], Department of Public Health. This material may not be reproduced or disseminated without prior written permission from the Department of Public Health." This notice should be placed prominently on the materials and set apart from other matter on the page where it appears. Audio productions shall contain a similar audio notice of copyright.

d. Third-Party Intellectual Property

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

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the Intellectual Property should be included in or is required for Contractor's performance of this Agreement, Contractor shall obtain a license under terms acceptable to CDPH.

e. Warranties

(1) Contractor represents and warrants that:

- (a) It is free to enter into and fully perform this Agreement.
- (b) It has secured and will secure all rights and licenses necessary for its performance of this Agreement.
- (c) Neither Contractor's performance of this Agreement, nor the exercise by either Party of the rights granted in this Agreement, nor any use, reproduction, manufacture, sale, offer to sell, import, export, modification, public and private display/performance, distribution, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement will infringe upon or violate any Intellectual Property right, non-disclosure obligation, or other proprietary right or interest of any third-party or entity now existing under the laws of, or hereafter existing or issued by, any state, the United States, or any foreign country. There is currently no actual or threatened claim by any such third party based on an alleged violation of any such right by Contractor.
- (d) Neither Contractor's performance nor any part of its performance will violate the right of privacy of, or constitute a libel or slander against any person or entity.
- (e) It has secured and will secure all rights and licenses necessary for Intellectual Property including, but not limited to, consents, waivers or releases from all authors of music or performances used, and talent (radio, television and motion picture talent), owners of any interest in and to real estate, sites, locations, property or props that may be used or shown.
- (f) It has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to CDPH in this Agreement.
- (g) It has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.
- (h) It has no knowledge of any outstanding claims, licenses or other charges, liens, or encumbrances of any kind or nature whatsoever that could affect in any way Contractor's performance of this Agreement.

(2) CDPH MAKES NO WARRANTY THAT THE INTELLECTUAL PROPERTY RESULTING FROM THIS AGREEMENT DOES NOT INFRINGE UPON ANY PATENT, TRADEMARK, COPYRIGHT OR THE LIKE, NOW EXISTING OR SUBSEQUENTLY ISSUED.

f. Intellectual Property Indemnity

(1) Contractor shall indemnify, defend and hold harmless CDPH and its licensees and assignees, and its officers, directors, employees, agents, representatives, successors, and

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not apply to necessary staff meetings or training sessions held for the staff of the Contractor in order to conduct routine business matters.

8. Confidentiality of Information

The Contractor and its employees, agents, or subcontractors shall:

- a. Protect from unauthorized disclosure names and other identifying information concerning persons either receiving services pursuant to this Agreement or persons whose names or identifying information become available or are disclosed to the Contractor, its employees, agents, or subcontractors as a result of services performed under this Agreement, except for statistical information not identifying any such person.
- b. Not use such identifying information for any purpose other than carrying out the Contractor's obligations under this Agreement.
- c. Promptly transmit to the CDPH Contract Manager all requests for disclosure of such identifying information not emanating from the client or person.
- d. Not disclose, except as otherwise specifically permitted by this Agreement or authorized by the client, any such identifying information to anyone other than CDPH without prior written authorization from the CDPH Contract Manager, except if disclosure is required by State or Federal law.
- e. For purposes of this provision, identity shall include, but not be limited to name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or a photograph.
- f. As deemed applicable by CDPH, this provision may be supplemented by additional terms and conditions covering personal health information (PHI) or personal, sensitive, and/or confidential information (PSCI). Said terms and conditions will be outlined in one or more exhibits that will either be attached to this Agreement or incorporated into this Agreement by reference.

9. Documents, Publications and Written Reports

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

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

10. Dispute Resolution Process

- a. A Contractor grievance exists whenever there is a dispute arising from CDPH's action in the administration of an agreement. If there is a dispute or grievance between the Contractor and CDPH, the Contractor must seek resolution using the procedure outlined below.

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users of its products, ("Indemnitees") from and against all claims, actions, damages, losses, liabilities (or actions or proceedings with respect to any thereof), whether or not rightful, arising from any and all actions or claims by any third party or expenses related thereto (including, but not limited to, all legal expenses, court costs, and attorney's fees incurred in investigating, preparing, serving as a witness in, or defending against, any such claim, action, or proceeding, commenced or threatened) to which any of the Indemnitees may be subject, whether or not Contractor is a party to any pending or threatened litigation, which arise out of or are related to (i) the incorrectness or breach of any of the representations, warranties, covenants or agreements of Contractor pertaining to Intellectual Property; or (ii) any Intellectual Property infringement, or any other type of actual or alleged infringement claim, arising out of CDPH's use, reproduction, manufacture, sale, offer to sell, distribution, import, export, modification, public and private performance/display, license, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement. This indemnity obligation shall apply irrespective of whether the infringement claim is based on a patent, trademark or copyright registration that issued after the effective date of this Agreement. CDPH reserves the right to participate in and/or control, at Contractor's expense, any such infringement action brought against CDPH.

- (2) Should any Intellectual Property licensed by the Contractor to CDPH under this Agreement become the subject of an Intellectual Property infringement claim, Contractor will exercise its authority reasonably and in good faith to preserve CDPH's right to use the licensed Intellectual Property in accordance with this Agreement at no expense to CDPH. CDPH shall have the right to monitor and appear through its own counsel (at Contractor's expense) in any such claim or action. In the defense or settlement of the claim, Contractor may obtain the right for CDPH to continue using the licensed Intellectual Property; or, replace or modify the licensed Intellectual Property so that the replaced or modified Intellectual Property becomes non-infringing provided that such replacement or modification is functionally equivalent to the original licensed Intellectual Property. If such remedies are not reasonably available, CDPH shall be entitled to a refund of all monies paid under this Agreement, without restriction or limitation of any other rights and remedies available at law or in equity.
- (3) Contractor agrees that damages alone would be inadequate to compensate CDPH for breach of any term of this Intellectual Property Exhibit by Contractor. Contractor acknowledges CDPH would suffer irreparable harm in the event of such breach and agrees CDPH shall be entitled to obtain equitable relief, including without limitation an injunction, from a court of competent jurisdiction, without restriction or limitation of any other rights and remedies available at law or in equity.

g. Survival

The provisions set forth herein shall survive any termination or expiration of this Agreement or any project schedule.

7. Prior Approval of Training Seminars, Workshops or Conferences

Contractor shall obtain prior CDPH approval of the location, costs, dates, agenda, instructors, instructional materials, and attendees at any reimbursable training seminar, workshop, or conference conducted pursuant to this Agreement and of any reimbursable publicity or educational materials to be made available for distribution. The Contractor shall acknowledge the support of the State whenever publicizing the work under this Agreement in any media. This provision does

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- (1) The Contractor should first informally discuss the problem with the CDPH Program Contract Manager. If the problem cannot be resolved informally, the Contractor shall direct its grievance together with any evidence, in writing, to the program Branch Chief. The grievance shall state the issues in dispute, the legal authority or other basis for the Contractor's position and the remedy sought. The Branch Chief shall render a decision within ten (10) working days after receipt of the written grievance from the Contractor. The Branch Chief shall respond in writing to the Contractor indicating the decision and reasons therefore. If the Contractor disagrees with the Branch Chief's decision, the Contractor may appeal to the second level.
 - (2) When appealing to the second level, the Contractor must prepare an appeal indicating the reasons for disagreement with Branch Chief's decision. The Contractor shall include with the appeal a copy of the Contractor's original statement of dispute along with any supporting evidence and a copy of the Branch Chief's decision. The appeal shall be addressed to the Deputy Director of the division in which the branch is organized within ten (10) working days from receipt of the Branch Chief's decision. The Deputy Director of the division in which the branch is organized or his/her designee shall meet with the Contractor to review the issues raised. A written decision signed by the Deputy Director of the division in which the branch is organized or his/her designee shall be directed to the Contractor within twenty (20) working days of receipt of the Contractor's second level appeal.
- b. If the Contractor wishes to appeal the decision of the Deputy Director of the division in which the branch is organized or his/her designee, the Contractor shall follow the procedures set forth in Division 25.1 (commencing with Section 38050) of the Health and Safety Code and the regulations adopted thereunder. (Title 1, Division 2, Chapter 2, Article 3 (commencing with Section 1140) of the California Code of Regulations).
 - c. Disputes arising out of an audit, examination of an agreement or other action not covered by subdivision (a) of Section 20204, of Chapter 2.1, Title 22, of the California Code of Regulations, and for which no procedures for appeal are provided in statute, regulation or the Agreement, shall be handled in accordance with the procedures identified in Sections 51016 through 51047, Title 22, California Code of Regulations.
 - d. Unless otherwise stipulated in writing by CDPH, all dispute, grievance and/or appeal correspondence shall be directed to the CDPH Contract Manager.
 - e. There are organizational differences within CDPH's funding programs and the management levels identified in this dispute resolution provision may not apply in every contractual situation. When a grievance is received and organizational differences exist, the Contractor shall be notified in writing by the CDPH Contract Manager of the level, name, and/or title of the appropriate management official that is responsible for issuing a decision at a given level.

11. Officials Not to Benefit

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

12. Prohibited Use of State Funds for Software

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Contractor certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.

13. Contract Uniformity (Fringe Benefit Allowability)

(Applicable only to nonprofit organizations.)

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

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

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- (2) For multiple year agreements, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the Agreement. Holidays cannot be carried over from one agreement year to the next. See Provision f (3)(b) for an example.
- (3) For single year agreements, vacation, sick leave and holiday compensation that is earned/accrued but not paid, due to employee(s) not taking time off within the term of the Agreement, cannot be claimed as an allowable cost. See Provision f (3)(c) for an example.

(a) **Example No. 1:**

If an employee, John Doe, earns/accrues three weeks of vacation and twelve days of sick leave each year, then that is the maximum amount that may be claimed during a one year agreement. If John Doe has five weeks of vacation and eighteen days of sick leave at the beginning of an agreement, the Contractor during a one-year budget period may only claim up to three weeks of vacation and twelve days of sick leave as actually used by the employee. Amounts earned/accrued in periods prior to the beginning of the Agreement are not an allowable cost.

(b) **Example No. 2:**

If during a three-year (multiple year) agreement, John Doe does not use his three weeks of vacation in year one, or his three weeks in year two, but he does actually use nine weeks in year three; the Contractor would be allowed to claim all nine weeks paid for in year three. The total compensation over the three-year period cannot exceed 156 weeks (3 x 52 weeks).

(c) **Example No. 3:**

If during a single year agreement, John Doe works fifty weeks and used one week of vacation and one week of sick leave and all fifty-two weeks have been billed to CDPH, the remaining unused two weeks of vacation and seven days of sick leave may not be claimed as an allowable cost.

14. Cancellation

- A. This agreement may be cancelled by CDPH without cause upon 30 calendar days advance written notice to the Contractor.
- B. CDPH reserves the right to cancel or terminate this agreement immediately for cause. The Contractor may submit a written request to terminate this agreement only if CDPH substantially fails to perform its responsibilities as provided herein.
- C. The term "for cause" shall mean that the Contractor fails to meet the terms, conditions, and/or responsibilities of this agreement.
- D. Agreement termination or cancellation shall be effective as of the date indicated in CDPH's notification to the Contractor. The notice shall stipulate any final performance, invoicing or payment requirements.

Exhibit D
Special Terms and Conditions

- E. Upon receipt of a notice of termination or cancellation, the Contractor shall take immediate steps to stop performance and to cancel or reduce subsequent agreement costs.
- F. In the event of early cancellation or termination, the Contractor shall be entitled to compensation for services performed satisfactorily under this agreement and expenses incurred up to the date of cancellation and any non-cancelable obligations incurred in support of this agreement.

Exhibit E
Additional Provisions

1. Additional Incorporated Documents

A. The following documents and any subsequent updates are not attached, but are incorporated herein and made a part hereof by this reference. These documents may be updated periodically by CDPH, as required by program directives. CDPH shall provide the Contractor with copies of said documents and any periodic updates thereto, under separate cover. CDPH will maintain on file, all documents referenced herein and any subsequent updates.

- 1) CDPH Health Administrative Manual Section 6-1000
- 2) CLPPB Program Letter
- 3) Lead Poisoning Follow-up Form
- 4) CLPPB Progress Report
- 5) CLPPB Surveillance and Data Management Manual
- 6) CLPPB Public Health Nursing (PHN) Manual and Updates
- 7) Environmental Health on the Childhood Lead Poisoning Prevention (CLPP) Team, Interim Guidance, August 1998 and Updates
- 8) Minimum Environmental Investigation Sampling Strategies (3/01 and Updates)
- 9) Lead Test Kit Fact Sheet 3/01

Federal Terms and Conditions

(For federally funded Cooperative Agreements)

The use of headings or titles throughout this exhibit is for convenience only and shall not be used to interpret or to govern the meaning of any specific term or condition.

The terms "Contractor" and "Subcontractor" shall also mean, "agreement", "contract", "contract agreement", "Contractor" and "Subcontractor" respectively.

The terms "California Department of Public Health" and "CDPH" shall have the same meaning and refer to the California State agency that is a party to this Agreement.

This exhibit contains provisions that require strict adherence to various contracting laws and policies.

Index of Special Terms and Conditions

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|---|
| <ol style="list-style-type: none">1. Federal Contract Funds2. Federal Equal Employment Opportunity Requirements3. Debarment and Suspension Certification4. Covenant Against Contingent Fees5. Lobbying Restrictions and Disclosure Certification6. Additional Restrictions |
|---|

1. Federal Contract Funds

Applicable only to that portion of an agreement funded in part or whole with federal funds.

- a. It is mutually understood between the parties that this Agreement may have been written before ascertaining the availability of congressional appropriation of funds, for the mutual benefit of both parties, in order to avoid program and fiscal delays which would occur if the Agreement were executed after that determination was made.
- b. This agreement is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the fiscal years covered by the term of this Agreement. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by the Congress or any statute enacted by the Congress which may affect the provisions, terms or funding of this Agreement in any manner.
- c. It is mutually agreed that if the Congress does not appropriate sufficient funds for the program, this Agreement shall be amended to reflect any reduction in funds.
- d. CDPH has the option to invalidate or cancel the Agreement with 30-days advance written notice or to amend the Agreement to reflect any reduction in funds.

2. Federal Equal Opportunity Requirements

Applicable to all federally funded agreements entered into by the California Department of Public Health (CDPH).

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

- e. The Contractor will furnish all information and reports required by Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," and the Rehabilitation Act of 1973, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to its books, records, and accounts by the State and its designated representatives and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- f. In the event of the Contractor's noncompliance with the requirements of the provisions herein or with any federal rules, regulations, or orders which are referenced herein, this Agreement may be cancelled, terminated, or suspended in whole or in part and the Contractor may be declared ineligible for further federal and state contracts in accordance with procedures authorized in Federal Executive Order No. 11246 as amended and such other sanctions may be imposed and remedies invoked as provided in Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- g. The Contractor will include the provisions of Paragraphs a through g in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Federal Executive Order No. 11246 as amended, including by Executive Order 11375, 'Amending Executive Order 11246 Relating to Equal Employment Opportunity,' and as supplemented by regulation at 41 CFR part 60, "Office of the Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," or Section 503 of the Rehabilitation Act of 1973 or (38 U.S.C. 4212) of the Vietnam Era Veteran's Readjustment Assistance Act, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as the Director of the Office of Federal Contract Compliance Programs or CDPH may direct as a means of enforcing such provisions including sanctions for noncompliance provided, however, that in the event the Contractor becomes involved in, or is threatened with litigation by a subcontractor or vendor as a result of such direction by CDPH, the Contractor may request in writing to CDPH, who, in turn, may request the United States to enter into such litigation to protect the interests of the State and of the United States.

3. Debarment and Suspension Certification

- a. By signing this Agreement, the Contractor/Subcontractor agrees to comply with applicable federal suspension and debarment regulations including, but not limited to 7 CFR Part 3017, 45 CFR 76, 40 CFR 32 or 34 CFR 85.
- b. By signing this Agreement, the Contractor certifies to the best of its knowledge and belief, that it and its principals:
 - (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency;
 - (2) Have not within a three-year period preceding this application/proposal/agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) 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;
 - (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in Paragraph b(2) herein; and

- (4) Have not within a three-year period preceding this application/proposal/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.
 - (5) Shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under federal regulations (i.e., 48 CFR part 9, subpart 9.4), debarred, suspended, declared ineligible, or voluntarily excluded from participation in such transaction, unless authorized by the State.
 - (6) Will include a clause entitled, "Debarment and Suspension Certification" that essentially sets forth the provisions herein, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- c. If the Contractor is unable to certify to any of the statements in this certification, the Contractor shall submit an explanation to the CDPH Program Contract Manager.
 - d. The terms and definitions herein have the meanings set out in the Definitions and Coverage sections of the rules implementing Federal Executive Order 12549.
 - e. If the Contractor knowingly violates this certification, in addition to other remedies available to the Federal Government, the CDPH may terminate this Agreement for cause or default.

4. Covenant Against Contingent Fees

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

5. Lobbying Restrictions and Disclosure Certification

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

a. Certification and Disclosure Requirements

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

- (4) Each person (or recipient) who requests or receives from a person referred to in Paragraph a(1) of this provision a contract or agreement, subcontract, grant or subgrant exceeding \$100,000 at any tier under a contract or agreement, or grant shall file a certification, and a disclosure form, if required, to the next tier above.
- (5) All disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the person referred to in Paragraph a(1) of this provision. That person shall forward all disclosure forms to CDPH Program Contract Manager.

b. Prohibition

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

6. **Additional Restrictions**

Applicable to all contracts funded in whole or in part with funding from the federal Departments of Labor, Health and Human Services (including CDC funding), or Education.

Contractor shall comply with the restrictions under Division F, Title V, Section 503 of the Consolidated Appropriations Act, 2012 (H.R. 2055), which provides that:

“SEC. 503.(a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111–148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government, except in presentation to the executive branch of any State or local government itself.

(b) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111–148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

(c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.”

STATE OF CALIFORNIA
CALIFORNIA DEPARTMENT OF PUBLIC HEALTH
CERTIFICATION REGARDING LOBBYING

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making, awarding or entering into of this Federal contract, Federal grant, or cooperative agreement, and the extension, continuation, renewal, amendment, or modification of this Federal contract, grant, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency of the United States Government, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities" in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontractor's, subcontracts, and contracts under cooperative agreements) of \$100,000 or more, and that all subrecipients shall certify and disclose accordingly.

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

Humboldt County Department of Health and Human
Services
Name of Contractor

Printed Name of Person Signing for Contractor

17-10223
Contract Number

Signature of Person Signing for Contractor

Date

Title

After execution by or on behalf of Contractor, please return to:

California Department of Public Health

CDPH reserves the right to notify the Contractor in writing of an alternate submission address.

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

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

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

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

Exhibit G
Information Privacy and Security Requirements
(For Non-HIPAA/HITECH Act Contracts)

This Information Privacy and Security Requirements Exhibit (For Non-HIPAA/HITECH Act Contracts) (hereinafter referred to as "this Exhibit") sets forth the information privacy and security requirements Contractor is obligated to follow with respect to all personal and confidential information (as defined herein) disclosed to Contractor, or collected, created, maintained, stored, transmitted or used by Contractor for or on behalf of the California Department of Public Health (hereinafter "CDPH"), pursuant to Contractor's agreement with CDPH. (Such personal and confidential information is referred to herein collectively as "CDPH PCI".) CDPH and Contractor desire to protect the privacy and provide for the security of CDPH PCI pursuant to this Exhibit and in compliance with state and federal laws applicable to the CDPH PCI.

- I. Order of Precedence: With respect to information privacy and security requirements for all CDPH PCI, the terms and conditions of this Exhibit shall take precedence over any conflicting terms or conditions set forth in any other part of the agreement between Contractor and CDPH, including Exhibit A (Scope of Work), all other exhibits and any other attachments, and shall prevail over any such conflicting terms or conditions.
- II. Effect on lower tier transactions: The terms of this Exhibit shall apply to all contracts, subcontracts, and subawards, and the information privacy and security requirements Contractor is obligated to follow with respect to CDPH PCI disclosed to Contractor, or collected, created, maintained, stored, transmitted or used by Contractor for or on behalf of CDPH, pursuant to Contractor's agreement with CDPH. When applicable the Contractor shall incorporate the relevant provisions of this Exhibit into each subcontract or subaward to its agents, subcontractors, or independent consultants.
- III. Definitions: For purposes of the agreement between Contractor and CDPH, including this Exhibit, the following definitions shall apply:
 - A. Breach:

"Breach" means:

 1. the unauthorized acquisition, access, use, or disclosure of CDPH PCI in a manner which compromises the security, confidentiality or integrity of the information; or
 2. the same as the definition of "breach of the security of the system" set forth in California Civil Code section 1798.29(f).
 - B. Confidential Information: "Confidential information" means information that:
 1. does not meet the definition of "public records" set forth in California Government Code section 6252(e), or is exempt from disclosure under any of the provisions of Section 6250, et seq. of the California Government Code or any other applicable state or federal laws; or
 2. is contained in documents, files, folders, books or records that are clearly labeled, marked or designated with the word "confidential" by CDPH.
 - C. Disclosure: "Disclosure" means the release, transfer, provision of, access to, or divulging in any manner of information outside the entity holding the information.

Exhibit G
Information Privacy and Security Requirements
(For Non-HIPAA/HITECH Act Contracts)

D. PCI: "PCI" means "personal information" and "confidential information" (as these terms are defined herein):

E. Personal Information: "Personal information" means information, in any medium (paper, electronic, oral) that:

1. directly or indirectly collectively identifies or uniquely describes an individual; or
2. could be used in combination with other information to indirectly identify or uniquely describe an individual, or link an individual to the other information; or
3. meets the definition of "personal information" set forth in California Civil Code section 1798.3, subdivision (a) or
4. is one of the data elements set forth in California Civil Code section 1798.29, subdivision (g)(1) or (g)(2); or
5. meets the definition of "medical information" set forth in either California Civil Code section 1798.29, subdivision (h)(2) or California Civil Code section 56.05, subdivision (j); or
6. meets the definition of "health insurance information" set forth in California Civil Code section 1798.29, subdivision (h)(3); or
7. is protected from disclosure under applicable state or federal law.

F. Security Incident: "Security Incident" means:

1. an attempted breach; or
2. the attempted or successful unauthorized access or disclosure, modification or destruction of CDPH PCI, in violation of any state or federal law or in a manner not permitted under the agreement between Contractor and CDPH, including this Exhibit; or
3. the attempted or successful modification or destruction of, or interference with, Contractor's system operations in an information technology system, that negatively impacts the confidentiality, availability or integrity of CDPH PCI; or
4. any event that is reasonably believed to have compromised the confidentiality, integrity, or availability of an information asset, system, process, data storage, or transmission. Furthermore, an information security incident may also include an event that constitutes a violation or imminent threat of violation of information security policies or procedures, including acceptable use policies.

G. Use: "Use" means the sharing, employment, application, utilization, examination, or analysis of information.

IV. Disclosure Restrictions: The Contractor and its employees, agents, and subcontractors shall protect from unauthorized disclosure any CDPH PCI. The Contractor shall not disclose, except as otherwise specifically permitted by the agreement between Contractor and CDPH (including this Exhibit), any

Exhibit G
Information Privacy and Security Requirements
(For Non-HIPAA/HITECH Act Contracts)

CDPH PCI to anyone other than CDPH personnel or programs without prior written authorization from the CDPH Program Contract Manager, except if disclosure is required by State or Federal law.

- V. Use Restrictions: The Contractor and its employees, agents, and subcontractors shall not use any CDPH PCI for any purpose other than performing the Contractor's obligations under its agreement with CDPH.
- VI. Safeguards: The Contractor shall implement administrative, physical, and technical safeguards that reasonably and appropriately protect the privacy, confidentiality, security, integrity, and availability of CDPH PCI, including electronic or computerized CDPH PCI. At each location where CDPH PCI exists under Contractor's control, the Contractor shall develop and maintain a written information privacy and security program that includes administrative, technical and physical safeguards appropriate to the size and complexity of the Contractor's operations and the nature and scope of its activities in performing its agreement with CDPH, including this Exhibit, and which incorporates the requirements of Section VII, Security, below. Contractor shall provide CDPH with Contractor's current and updated policies within five (5) business days of a request by CDPH for the policies.
- VII. Security: The Contractor shall take any and all steps reasonably necessary to ensure the continuous security of all computerized data systems containing CDPH PCI. These steps shall include, at a minimum, complying with all of the data system security precautions listed in the Contractor Data Security Standards set forth in Attachment 1 to this Exhibit.
- VIII. Security Officer: At each place where CDPH PCI is located, the Contractor shall designate a Security Officer to oversee its compliance with this Exhibit and to communicate with CDPH on matters concerning this Exhibit.
- IX. Training: The Contractor shall provide training on its obligations under this Exhibit, at its own expense, to all of its employees who assist in the performance of Contractor's obligations under Contractor's agreement with CDPH, including this Exhibit, or otherwise use or disclose CDPH PCI.
- A. The Contractor shall require each employee who receives training to certify, either in hard copy or electronic form, the date on which the training was completed.
- B. The Contractor shall retain each employee's certifications for CDPH inspection for a period of three years following contract termination or completion.
- C. Contractor shall provide CDPH with its employee's certifications within five (5) business days of a request by CDPH for the employee's certifications.
- X. Employee Discipline: Contractor shall impose discipline that it deems appropriate (in its sole discretion) on such employees and other Contractor workforce members under Contractor's direct control who intentionally or negligently violate any provisions of this Exhibit.

Exhibit G
Information Privacy and Security Requirements
(For Non-HIPAA/HITECH Act Contracts)

XI. Breach and Security Incident Responsibilities:

- A. Notification to CDPH of Breach or Security Incident: The Contractor shall notify CDPH **immediately by telephone call plus email or fax** upon the discovery of a breach (as defined in this Exhibit), **and within twenty-four (24) hours by email or fax** of the discovery of any security incident (as defined in this Exhibit), unless a law enforcement agency determines that the notification will impede a criminal investigation, in which case the notification required by this section shall be made to CDPH immediately after the law enforcement agency determines that such notification will not compromise the investigation. Notification shall be provided to the CDPH Program Contract Manager, the CDPH Privacy Officer and the CDPH Chief Information Security Officer, using the contact information listed in Section XI(F), below. If the breach or security incident is discovered after business hours or on a weekend or holiday and involves CDPH PCI in electronic or computerized form, notification to CDPH shall be provided by calling the CDPH Information Security Office at the telephone numbers listed in Section XI(F), below. For purposes of this Section, breaches and security incidents shall be treated as discovered by Contractor as of the first day on which such breach or security incident is known to the Contractor, or, by exercising reasonable diligence would have been known to the Contractor. Contractor shall be deemed to have knowledge of a breach if such breach is known, or by exercising reasonable diligence would have been known, to any person, other than the person committing the breach, who is a employee or agent of the Contractor.

Contractor shall take:

1. prompt corrective action to mitigate any risks or damages involved with the breach or security incident and to protect the operating environment; and
 2. any action pertaining to a breach required by applicable federal and state laws, including, specifically, California Civil Code section 1798.29.
- B. Investigation of Breach and Security Incidents: The Contractor shall immediately investigate such breach or security incident. As soon as the information is known and subject to the legitimate needs of law enforcement, Contractor shall inform the CDPH Program Contract Manager, the CDPH Privacy Officer, and the CDPH Chief Information Security Officer of:
1. what data elements were involved and the extent of the data disclosure or access involved in the breach, including, specifically, the number of individuals whose personal information was breached; and
 2. a description of the unauthorized persons known or reasonably believed to have improperly used the CDPH PCI and/or a description of the unauthorized persons known or reasonably believed to have improperly accessed or acquired the CDPH PCI, or to whom it is known or reasonably believed to have had the CDPH PCI improperly disclosed to them; and
 3. a description of where the CDPH PCI is believed to have been improperly used or disclosed; and
 4. a description of the probable and proximate causes of the breach or security incident; and

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5. whether Civil Code section 1798.29 or any other federal or state laws requiring individual notifications of breaches have been triggered.
- C. Written Report: The Contractor shall provide a written report of the investigation to the CDPH Program Contract Manager, the CDPH Privacy Officer, and the CDPH Chief Information Security Officer as soon as practicable after the discovery of the breach or security incident. The report shall include, but not be limited to, the information specified above, as well as a complete, detailed corrective action plan, including information on measures that were taken to halt and/or contain the breach or security incident, and measures to be taken to prevent the recurrence or further disclosure of data regarding such breach or security incident.
- D. Notification to Individuals: If notification to individuals whose information was breached is required under state or federal law, and regardless of whether Contractor is considered only a custodian and/or non-owner of the CDPH PCI, Contractor shall, at its sole expense, and at the sole election of CDPH, either:
 1. make notification to the individuals affected by the breach (including substitute notification), pursuant to the content and timeliness provisions of such applicable state or federal breach notice laws. Contractor shall inform the CDPH Privacy Officer of the time, manner and content of any such notifications, prior to the transmission of such notifications to the individuals; or
 2. cooperate with and assist CDPH in its notification (including substitute notification) to the individuals affected by the breach.
- E. Submission of Sample Notification to Attorney General: If notification to more than 500 individuals is required pursuant to California Civil Code section 1798.29, and regardless of whether Contractor is considered only a custodian and/or non-owner of the CDPH PCI, Contractor shall, at its sole expense, and at the sole election of CDPH, either:
 1. electronically submit a single sample copy of the security breach notification, excluding any personally identifiable information, to the Attorney General pursuant to the format, content and timeliness provisions of Section 1798.29, subdivision (e). Contractor shall inform the CDPH Privacy Officer of the time, manner and content of any such submissions, prior to the transmission of such submissions to the Attorney General; or
 2. cooperate with and assist CDPH in its submission of a sample copy of the notification to the Attorney General.
- F. CDPH Contact Information: To direct communications to the above referenced CDPH staff, the Contractor shall initiate contact as indicated herein. CDPH reserves the right to make changes to the contact information below by verbal or written notice to the Contractor. Said changes shall not require an amendment to this Exhibit or the agreement to which it is incorporated.

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CDPH Program Contract Manager	CDPH Privacy Officer	CDPH Chief Information Security Officer
See the Scope of Work exhibit for Program Contract Manager	Privacy Officer Privacy Office Office of Legal Services California Dept. of Public Health 1415 L Street, 5 th Floor Sacramento, CA 95814 Email: privacy@cdph.ca.gov Telephone: (877) 421-9634	Chief Information Security Officer Information Security Office California Dept. of Public Health P.O. Box 997377 MS6302 Sacramento, CA 95899-7413 Email: cdphiso@cdph.ca.gov Telephone: (855) 500-0016

- XII. Documentation of Disclosures for Requests for Accounting: Contractor shall document and make available to CDPH or (at the direction of CDPH) to an Individual such disclosures of CDPH PCI, and information related to such disclosures, necessary to respond to a proper request by the subject Individual for an accounting of disclosures of personal information as required by Civil Code section 1798.25, or any applicable state or federal law.

- XIII. Requests for CDPH PCI by Third Parties: The Contractor and its employees, agents, or subcontractors shall promptly transmit to the CDPH Program Contract Manager all requests for disclosure of any CDPH PCI requested by third parties to the agreement between Contractor and CDPH (except from an Individual for an accounting of disclosures of the individual's personal information pursuant to applicable state or federal law), unless prohibited from doing so by applicable state or federal law.

- XIV. Audits, Inspection and Enforcement CDPH may inspect the facilities, systems, books and records of Contractor to monitor compliance with this Exhibit. Contractor shall promptly remedy any violation of any provision of this Exhibit and shall certify the same to the CDPH Program Contract Manager in writing.

- XV. Return or Destruction of CDPH PCI on Expiration or Termination: Upon expiration or termination of the agreement between Contractor and CDPH for any reason, Contractor shall securely return or destroy the CDPH PCI. If return or destruction is not feasible, Contractor shall provide a written explanation to the CDPH Program Contract Manager, the CDPH Privacy Officer and the CDPH Chief Information Security Officer, using the contact information listed in Section XI(F), above.
 - A. Retention Required by Law: If required by state or federal law, Contractor may retain, after expiration or termination, CDPH PCI for the time specified as necessary to comply with the law.

 - B. Obligations Continue Until Return or Destruction: Contractor's obligations under this Exhibit shall continue until Contractor returns or destroys the CDPH PCI or returns the CDPH PCI to CDPH; provided however, that on expiration or termination of the agreement between Contractor and CDPH, Contractor shall not further use or disclose the CDPH PCI except as required by state or federal law.

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- C. Notification of Election to Destroy CDPH PCI: If Contractor elects to destroy the CDPH PCI, Contractor shall certify in writing, to the CDPH Program Contract Manager, the CDPH Privacy Officer and the CDPH Chief Information Security Officer, using the contact information listed in Section XI(F), above, that the CDPH PCI has been securely destroyed. The notice shall include the date and type of destruction method used.
- XVI. Amendment: The parties acknowledge that federal and state laws regarding information security and privacy rapidly evolves and that amendment of this Exhibit may be required to provide for procedures to ensure compliance with such laws. The parties specifically agree to take such action as is necessary to implement new standards and requirements imposed by regulations and other applicable laws relating to the security or privacy of CDPH PCI. The parties agree to promptly enter into negotiations concerning an amendment to this Exhibit consistent with new standards and requirements imposed by applicable laws and regulations.
- XVII. Assistance in Litigation or Administrative Proceedings: Contractor shall make itself and any subcontractors, workforce employees or agents assisting Contractor in the performance of its obligations under the agreement between Contractor and CDPH, available to CDPH at no cost to CDPH to testify as witnesses, in the event of litigation or administrative proceedings being commenced against CDPH, its director, officers or employees based upon claimed violation of laws relating to security and privacy, which involves inactions or actions by the Contractor, except where Contractor or its subcontractor, workforce employee or agent is a named adverse party.
- XVIII. No Third-Party Beneficiaries: Nothing express or implied in the terms and conditions of this Exhibit is intended to confer, nor shall anything herein confer, upon any person other than CDPH or Contractor and their respective successors or assignees, any rights, remedies, obligations or liabilities whatsoever.
- XIX. Interpretation: The terms and conditions in this Exhibit shall be interpreted as broadly as necessary to implement and comply with regulations and applicable State laws. The parties agree that any ambiguity in the terms and conditions of this Exhibit shall be resolved in favor of a meaning that complies and is consistent with federal and state laws and regulations.
- XX. Survival: If Contractor does not return or destroy the CDPH PCI upon the completion or termination of the Agreement, the respective rights and obligations of Contractor under Sections VI, VII and XI of this Exhibit shall survive the completion or termination of the agreement between Contractor and CDPH.

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Attachment 1
Contractor Data Security Standards

1. General Security Controls

- A. **Confidentiality Statement.** All persons that will be working with CDPH PCI must sign a confidentiality statement. The statement must include at a minimum, General Use, Security and Privacy safeguards, Unacceptable Use, and Enforcement Policies. The statement must be signed by the workforce member prior to access to CDPH PCI. The statement must be renewed annually. The Contractor shall retain each person's written confidentiality statement for CDPH inspection for a period of three (3) years following contract termination.
- B. **Background check.** Before a member of the Contractor's workforce may access CDPH PCI, Contractor must conduct a thorough background check of that worker and evaluate the results to assure that there is no indication that the worker may present a risk for theft of confidential data. The Contractor shall retain each workforce member's background check documentation for a period of three (3) years following contract termination.
- C. **Workstation/Laptop encryption.** All workstations and laptops that process and/or store CDPH PCI must be encrypted using a FIPS 140-2 certified algorithm, such as Advanced Encryption Standard (AES), with a 128bit key or higher. The encryption solution must be full disk unless approved by the CDPH Information Security Office.
- D. **Server Security.** Servers containing unencrypted CDPH PCI must have sufficient administrative, physical, and technical controls in place to protect that data, based upon a risk assessment/system security review.
- E. **Minimum Necessary.** Only the minimum necessary amount of CDPH PCI required to perform necessary business functions may be copied, downloaded, or exported.
- F. **Removable media devices.** All electronic files that contain CDPH PCI data must be encrypted when stored on any removable media or portable device (i.e. USB thumb drives, floppies, CD/DVD, smart devices tapes etc.). PCI must be encrypted using a FIPS 140-2 certified algorithm, such as Advanced Encryption Standard (AES), with a 128bit key or higher.
- G. **Antivirus software.** All workstations, laptops and other systems that process and/or store CDPH PCI must install and actively use a comprehensive anti-virus software solution with automatic updates scheduled at least daily.
- H. **Patch Management.** All workstations, laptops and other systems that process and/or store CDPH PCI must have operating system and application security patches applied, with system reboot if necessary. There must be a documented patch management process which determines installation timeframe based on risk assessment and vendor recommendations. At a maximum, all applicable patches must be installed within 30 days of vendor release.
- I. **User IDs and Password Controls.** All users must be issued a unique user name for accessing CDPH PCI. Username must be promptly disabled, deleted, or the password changed upon the transfer or termination of an employee with knowledge of the password. Passwords are not to be shared. Must be at least eight characters. Must be a non-dictionary

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word. Must not be stored in readable format on the computer. Must be changed every 60 days. Must be changed if revealed or compromised. Must be composed of characters from at least three of the following four groups from the standard keyboard:

- Upper case letters (A-Z)
- Lower case letters (a-z)
- Arabic numerals (0-9)
- Non-alphanumeric characters (punctuation symbols)

- J. **Data Sanitization.** All CDPH PCI must be sanitized using NIST Special Publication 800-88 standard methods for data sanitization when the CDPH PCI is no longer needed.

2. System Security Controls

- A. **System Timeout.** The system must provide an automatic timeout, requiring reauthentication of the user session after no more than 20 minutes of inactivity.
- B. **Warning Banners.** All systems containing CDPH PCI must display a warning banner each time a user attempts access, stating that data is confidential, systems are logged, and system use is for business purposes only. User must be directed to log off the system if they do not agree with these requirements.
- C. **System Logging.** The system must maintain an automated audit trail which can identify the user or system process which initiates a request for CDPH PCI, or which alters CDPH PCI. The audit trail must be date and time stamped, must log both successful and failed accesses, must be read only, and must be restricted to authorized users. This logging must be included for all user privilege levels including, but not limited to, systems administrators. If CDPH PCI is stored in a database, database logging functionality must be enabled. Audit trail data must be archived for at least 3 years after occurrence.
- D. **Access Controls.** The system must use role based access controls for all user authentications, enforcing the principle of least privilege.
- E. **Transmission encryption.** All data transmissions of CDPH PCI outside the contractor's secure internal network must be encrypted using a FIPS 140-2 certified algorithm, such as Advanced Encryption Standard (AES), with a 128bit key or higher. Encryption can be end to end at the network level, or the data files containing CDPH PCI can be encrypted. This requirement pertains to any type of CDPH PCI in motion such as website access, file transfer, and E-Mail.
- F. **Intrusion Detection.** All systems involved in accessing, holding, transporting, and protecting CDPH PCI that are accessible via the Internet must be protected by a comprehensive intrusion detection and prevention solution.

3. Audit Controls

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- A. **System Security Review.** All systems processing and/or storing CDPH PCI must have at least an annual system risk assessment/security review which provides assurance that administrative, physical, and technical controls are functioning effectively and providing adequate levels of protection. Reviews shall include vulnerability scanning tools.
 - B. **Log Reviews.** All systems processing and/or storing CDPH PCI must have a routine procedure in place to review system logs for unauthorized access.
 - C. **Change Control.** All systems processing and/or storing CDPH PCI must have a documented change control procedure that ensures separation of duties and protects the confidentiality, integrity and availability of data.
4. **Business Continuity / Disaster Recovery Controls**
- A. **Disaster Recovery.** Contractor must establish a documented plan to enable continuation of critical business processes and protection of the security of electronic CDPH PCI in the event of an emergency. Emergency means any circumstance or situation that causes normal computer operations to become unavailable for use in performing the work required under this agreement for more than 24 hours.
 - B. **Data Backup Plan.** Contractor must have established documented procedures to securely backup CDPH PCI to maintain retrievable exact copies of CDPH PCI. The backups shall be encrypted. The plan must include a regular schedule for making backups, storing backups offsite, an inventory of backup media, and the amount of time to restore CDPH PCI should it be lost. At a minimum, the schedule must be a weekly full backup and monthly offsite storage of CDPH data.
5. **Paper Document Controls**
- A. **Supervision of Data.** CDPH PCI in paper form shall not be left unattended at any time, unless it is locked in a file cabinet, file room, desk or office. Unattended means that information is not being observed by an employee authorized to access the information. CDPH PCI in paper form shall not be left unattended at any time in vehicles or planes and shall not be checked in baggage on commercial airplanes.
 - B. **Escorting Visitors.** Visitors to areas where CDPH PCI is contained shall be escorted and CDPH PHI shall be kept out of sight while visitors are in the area.
 - C. **Confidential Destruction.** CDPH PCI must be disposed of through confidential means, using NIST Special Publication 800-88 standard methods for data sanitization when the CDPH PSCI is no longer needed.
 - D. **Removal of Data.** CDPH PCI must not be removed from the premises of the Contractor except with express written permission of CDPH.
 - E. **Faxing.** Faxes containing CDPH PCI shall not be left unattended and fax machines shall be in secure areas. Faxes shall contain a confidentiality statement notifying persons receiving

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faxes in error to destroy them. Fax numbers shall be verified with the intended recipient before sending.

- F. **Mailing.** CDPH PCI shall only be mailed using secure methods. Large volume mailings of CDPH PHI shall be by a secure, bonded courier with signature required on receipt. Disks and other transportable media sent through the mail must be encrypted with a CDPH approved solution, such as a solution using a vendor product specified on the CALIFORNIA STRATEGIC SOURCING INITIATIVE.

INSTRUCTIONS FOR CDPH 1204
(Please read carefully.)

The information on this form will be used by the California Department of Public Health (CDPH) Asset Management (AM) to; (a) conduct an inventory of CDPH equipment and/or property (see definitions A, and B) in the possession of the Contractor and/or Subcontractors, and (b) dispose of these same items. Report all items, regardless of the items' ages, per number 1 below, purchased with CDPH funds and used to conduct state business under this contract. (See *Public Health Administrative Manual (PHAM)*, Section 1-1000 and Section 3-1320.)

The CDPH Program Contract Manager is responsible for obtaining information from the Contractor for this form. The CDPH Program Contract Manager is responsible for the accuracy and completeness of the information and for submitting it to AM.

Inventory: List all CDPH tagged equipment and/or property on this form and submit it within 30 days prior to the three-year anniversary of the contract's effective date, if applicable. **The inventory should be based on previously submitted CDPH 1203s**, "Contractor Equipment Purchased with CDPH Funds." AM will contact the CDPH Program Contract Manager if there are any discrepancies. (See PHAM, Section 1-1020.)

Disposal: (*Definition: Trade in, sell, junk, salvage, donate, or transfer; also, items lost, stolen, or destroyed (as by fire).*) The CDPH 1204 should be completed, along with a "Property Survey Report" (STD. 152) or a "Property Transfer Report" (STD. 158), whenever items need to be disposed of; (a) during the term of this contract and (b) 30 calendar days before the termination of this contract. After receipt of this form, the AM will contact the CDPH Program Contract Manager to arrange for the appropriate disposal/transfer of the items. (See PHAM, Section 1-1050.)

1. List the state/ CDPH property tag, quantity, description, purchase date, base unit cost, and serial number (if applicable) for each item of;
 - A. Major Equipment: **(These items were issued green numbered state/ CDPH property tags.)**
 - Tangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more.
 - Intangible item having a base unit cost of \$5,000 or more and a life expectancy of one (1) year or more (e.g., software, video.)
 - B. Minor Equipment/Property: **(These items were issued green state/ CDPH property tags.)**

Specific tangible items with a life expectancy of one (1) year or more that have a base unit cost less than \$5,000. The minor equipment and/or property items were issued green unnumbered "BLANK" state/ CDPH property tags with the exception of the following, which are issued numbered tags: Personal Digital Assistant (PDA), PDA/cell phone combination (Blackberries), laptops, desktop personal computers, LAN servers, routers and switches.
2. If a vehicle is being reported, provide the Vehicle Identification Number (VIN) and the vehicle license number to CDPH Vehicle Services. (See PHAM, Section 17-4000.)
3. If all items being reported do not fit on one page, make copies and write the number of pages being sent in the upper right-hand corner (e.g. "Page 1 of 3.")
4. The CDPH Program Contract Manager should retain one copy and send the original to: California Department of Public Health, Asset Management, MS1801, P.O. Box 997377, Sacramento, CA 95899-7377.
5. Use the version on the CDPH Intranet forms site. The CDPH 1204 consists of one page for completion and one page with information and instructions.

For more information on completing this form, call AM at (916) 341-6168.