

**AMENDMENT TO AGREEMENT
BETWEEN THE COUNTY OF SAN MATEO AND
SILICON VALLEY CHILDREN'S FUND**

THIS AMENDMENT TO THE AGREEMENT, entered into this ____ day of _____, 20____, by and between the COUNTY OF SAN MATEO, hereinafter called "County," and SILICON VALLEY CHILDREN'S FUND hereinafter called "Contractor";

W I T N E S S E T H:

WHEREAS, pursuant to Government Code Section 31000, County may contract with independent contractors for the furnishing of such services to or for County or any Department thereof;

WHEREAS, the parties entered into an Agreement for educational case management services for foster youth on March 29, 2016 in an amount not to exceed \$300,000 for the term of March 29, 2016 through June 30, 2017; and

WHEREAS, the parties wish to amend the Agreement to extend the term by one year to June 30, 2018 and to add funds in the amount of \$206,000 for a new maximum amount not to exceed \$506,000 for the purpose of continuing case management services for foster youth.

NOW, THEREFORE, IT IS HEREBY AGREED BY THE PARTIES HERETO AS FOLLOWS:

- 1. Section 1. Exhibits and Attachments** of the Agreement is amended to read as follows:

Exhibit A (revised 6/2017)—Scope of Work
Exhibit B (revised 6/2017)—Payment Schedule
Exhibit B1 (revised 6/2017)—Budget
Exhibit C (revised 6/2017)—Program Monitoring and Outcomes
Exhibit D—Child Abuse Reporting Requirement
Exhibit E—Fingerprinting Certification
Attachment I—504 Compliance
Attachment P—Personally Identifiable Information

- 2. Section 2. Services to be performed by Contractor** of the Agreement is amended to read as follows:

In consideration of the payments set forth in this Agreement and in **Exhibit B (revised 6/2017) and B1 (revised 6/2017)**, Contractor shall perform services for County in

accordance with the terms, conditions, and specifications set forth in this Agreement and in **Exhibits A (revised 6/2017), C (revised 6/2017)** and D and **Attachment P**.

3. Section 3. Payments of the Agreement is amended to read as follows:

In consideration of services provided by Contractor in accordance with all terms, conditions, and specifications set forth in this Agreement and **Exhibits A (6/2017), C (revised 6/2017)** and D and **Attachment P**, County shall make payment to Contractor based on the rates and in the manner specified in **Exhibits B (revised 6/2017) and B1 (revised 6/2017)**. County reserves the right to withhold payment if County determines that the quantity or quality of the work performed is unacceptable. In no event shall County's total fiscal obligation under this Agreement exceed **FIVE HUNDRED SIX THOUSAND DOLLARS (\$506,000)**. In the event that the County makes any advance payments, Contractor agrees to refund any amounts in excess of the amount owed by the County at the time of contract termination or expiration.

4. Section 4. Term of the agreement is amended to read as follows:

Subject to compliance with all terms and conditions, the term of this agreement shall be from March 29, 2016 through June 30, 2018.

5. Section 20. Compliance with Living Wage Ordinance is hereby added to the Agreement and reads as follows:

As required by Chapter 2.88 of the San Mateo County Ordinance Code, Contractor certifies all contractor(s) and subcontractor(s) obligated under this contract shall fully comply with the provisions of the County of San Mateo Living Wage Ordinance, including, but not limited to, paying all Covered Employees the current Living Wage and providing notice to all Covered Employees and Subcontractors as required under the Ordinance.

6. Exhibit A (revised 6/2017) replaces original Exhibit A in its entirety and is attached hereto.

7. Exhibit B (revised 6/2017) replaces original Exhibit B in its entirety and is attached hereto.

8. Exhibit B1 (revised 6/2017) replaces original Exhibit B1 in its entirety and is attached hereto.

9. Exhibit C (revised 6/2017) replaces original Exhibit C in its entirety and is attached hereto.

10. Attachment P is hereby added and attached hereto.

11. All other terms and conditions of the Agreement dated March 29, 2016 between the

County and Contractor shall remain in full force and effect.

- 12.** This Amendment constitutes the entire understanding of the parties hereto with respect to matters herein and correctly states the rights, duties, and obligations of each party as of this document's date. Any understandings, promises, negotiations, or representations between the parties not expressly stated in this document are not binding. All subsequent modifications of this Amendment or the Agreement shall not be effective unless set forth in writing and executed by both parties.

In witness of and in agreement with this Agreement's terms, the parties, by their duly authorized representatives, affix their respective signatures:

For Contractor: SILICON VALLEY CHILDREN'S FUND

Marie C. Busque
Contractor Signature

5.25.17
Date

MARIE-C. BUSQUE
Contractor Name (please print)

COUNTY OF SAN MATEO

By: _____
President, Board of Supervisors, San Mateo County

Date: _____

ATTEST:

By: _____
Clerk of Said Board

Exhibit A (revised 6/2017) - Scope of Work

Silicon Valley Children's Fund
Foster Youth Education Services
March 29, 2016 – June 30, 2018

Based on payments in Exhibit B (revised 6/2017), budget shown in Exhibit B1 (revised 6/2017), performance requirements in Exhibit C (revised 6/2017) and subject to the terms and conditions of the Agreement, the Contractor shall provide the following services:

Silicon Valley Children's Fund (SVCF) will provide educational case management services through its Emerging Scholars program to foster youth enrolled in San Mateo County (SMC) high schools, referred by Children and Family Services (CFS).

I. Target Population:

The target population for this Agreement will be foster youth enrolled in San Mateo County high schools, grades 9 – 12, referred to SVCF through CFS or the San Mateo County Office of Education Educational Liaisons.

II. Location of Services:

Services will be delivered countywide through field visits or in the SVCF offices located at 951 Mariners' Island Blvd, Suite 310, San Mateo, CA 94404 depending on the type of service and need of the youth (i.e., transportation, schedule, etc.).

III. Environment:

The office environment will be "Foster Youth Friendly". This means that the space will be inviting and welcoming to the foster youth who may be sharing personal and sensitive information. Should there be group meetings, foster youth will be colocated with their peers.

IV. Hours of Services:

Services will be delivered at times that are accessible to youth who are attending high school. Therefore, services may need to be delivered in the evening hours or on weekends.

V. Trauma Informed Approach:

SVCF and its staff/interns will be expected to utilize techniques and interventions based on a trauma-informed approach to service delivery.

VI. Service Delivery

Services will be delivered through the Emerging Scholars program, which offers education coaching and advocacy. SVCF will ensure the following:

- A. At least 30 SMC high school foster youth in grades 9 through 12 (maximum of 50) will be provided services through the Emerging Scholars program.
- B. Foster youth will be in weekly contact with their Emerging Scholars coach (in person no less than every other week). Coaches will:
 1. Establish positive rapport with the youth to encourage stronger academic performance;

- C. Work with the child's school to obtain academic records and obtain current grade point average or grade proficiency (Math/English levels) to assess needs, inform services and reassess for improvement.
 - 1. Additional record requests may include transcripts, class schedule, attendance and discipline records, test scores, Individualized Education Plans, etc.
 - 2. Conduct academic records reviews to determine current level of performance, identify needs, and develop plans to address those identified needs;
 - 3. Ensure youth meet with their academic counselors to develop a high school graduation plan;
 - 4. Track progress on plans, track school attendance through School Loop and other similar school/parent communication systems;
 - 5. Track progress on units and GPA;
 - 6. Help youth explore and identify a plan for career options by working with the youth to create an account on www.cacareerzone.org. On this website, the youth can take a self-assessment, do career research, and learn about lifestyle planning.
 - 7. Help youth plan for post-secondary education through academic coaching and by taking youth on college tours in the Bay Area, twice a year, and other education related field trips;
 - 8. Support 12th graders with college matriculation steps including financial aid and college applications;
 - 9. Collaborate with care givers as indicated to ensure youths' academic progress.
- D. Coaches will communicate no less than once a month with the case carrying social worker to ensure collaboration on academic needs.
- E. Coaches will provide the case carrying social worker with a case summary at the end of each academic semester.
- F. Enrichment workshops on topics such as financial aid, scholarship research and applications, and college applications will be offered and hosted by SVCF or in collaboration with ILP or other community partners.
- G. The program director (a licensed clinician) will oversee staff and program implementation. The director will provide reports on the impact of Emerging Scholars in SMC. The reports will include the following information per youth:
 - 1. Number of meetings
 - 2. Identified educational needs
 - 3. Activities conducted to address needs
 - 4. Progress

VII. Transitional Services:

- A. In instances where the youth has reunified with his/her family, services for engaged youth will continue for 90 days post-reunification up to six months with approval from the CFS Contract Manager.

VIII. Joint Case Planning:

- A. SVCF will closely collaborate with the youth/young-adult's other service providers and CFS social workers, employment specialists, and independent living program staff. Close collaboration will include regular small group joint case-planning meetings with partner service providers to identify the youth/young-adult's academic strengths and

job interests for the purposes of providing well-rounded, complimentary educational and employment services.

IX. Case Records:

- A. Every referred youth will have a well maintained file with progress reports stored securely in the SVCF office(s);
- B. Files will be maintained with up-to-date and accurate case records;
- C. Case files will be available to County at any time.

X. Hiring, Training and Supervision of Staff and Fingerprinting Requirements:

- A. SVCF will hire, train, and supervise staff and interns.
- B. All staff and interns will be required to submit to a Live Scan background check to SVCF through the Santa Clara County Department of Family and Children Services (SCC DFCS) prior to receiving any of the youth's contact information.
- C. For SVCF to continue providing services under this Agreement, SVCF must maintain their relationship with SCC DFCS and SCC DFCS must remain on the Department of Justice approved recipient list and providing Live Scan fingerprinting services to SVCF.
- D. SVCF will submit, upon execution of this Agreement, a copy of their organization's fingerprinting policies and procedures.
- E. SVCF will also submit, upon execution of this Agreement, verification that the SCC DFCS is on the Department of Justice approved recipient list.
- F. Based on the schedule below, SVCF will provide San Mateo County CFS with a letter signed by SCC DCFS verifying and confirming that SCC DFCS continues to provide Live Scan fingerprint background checks for SVCF and receives, assesses, and informs SVCF regarding any violations. This letter must be signed by the person at SCC DFCS responsible for administering and receiving violation information, and communicating that information to SVCF.
 - a. Verification letter to be provided by: *July 15, 2017 | January 15, 2017 |*

End of Exhibit A

Exhibit B (revised 6/2017) - Payment Schedule

Silicon Valley Children’s Fund
Foster Youth Education Services
March 29, 2016 through June 30, 2018

In consideration of the services provided by the Contractor pursuant to this Agreement and subject to the provisions in Exhibit A (revised 6/2017), Exhibit D and of paragraph two of this Agreement herein, County will pay Contractor in the manner described below and as shown in the Budget –Exhibit B1 (revised 6/2017), unless otherwise specifically authorized by the Children and Family Services Director or his designee:

1. County shall pay Contractor monthly for actual costs incurred based on the budget in Exhibit B1 (revised 6/2017). Contractor must submit an itemized invoice outlining expenses. Funds will be distributed for approved invoiced costs and are anticipated as follows:

FY2015-16	\$100,000	(March 29, 2016 – June 30, 2016)
FY2016-17	\$200,000	(July 1, 2016 – June 30, 2017)
FY2017-18	\$206,000	(July 1, 2017 – June 30, 2018)

2. Due to County year-end close requirements, for services rendered for the period of June 1 – June 30, Contractor must submit the final fiscal-year invoice by June 21, 2017.
3. County shall have the right to modify or add services and adjusts cost accordingly as agreed upon by both parties as long as it does not exceed the total contract obligation.
4. County shall have the option to adjust funds across line items as shown in Exhibit B1 (revised 6/2017) and across fiscal years to meet its project goals as agreed upon by both parties and as approved in writing by the County.
5. Invoices shall be sent electronically to the CFS contract manager (JLindner@smcgov.org).
6. Payments shall be made within forty-five (45) work days upon receipt of Contractor's invoice.
7. In no event shall payments exceed **FIVE HUNDRED SIX THOUSAND DOLLARS (\$506,000)** for the term of the Agreement.
8. County may withhold all or part of Contractor's total payment if the Director of Children and Family Services or his designee reasonably determines that Contractor has not satisfactorily performed the services described in Exhibit A (revised 6/2017) and Section 3 of the Agreement. County will consider Contractor's performance as being satisfactory for the purposes of full payment if Contractor meets at least 90% of each of the targeted outcomes as outlined in Program Monitoring Exhibit C (revised 6/2017). If the Contractor does not meet at least 90% of each of the targeted outcomes as outlined in Program Monitoring Exhibit C

(revised 6/2017), County may consider the work unsatisfactory and may withhold all or part of Contractor's total payment.

9. If County determines to withhold payment, County will give thirty (30) days' prior written notice to the Contractor of County's intent. If County reasonably determines that circumstances warrant immediate action, County may withhold payment immediately, without the thirty (30) day waiting period, upon County's written notice with justification to Contractor.
10. If County withholds payment for unsatisfactory services, County will issue a corrective action plan outlining how to correct services. The Contractor shall respond to the plan within 10 business days.

End of Exhibit B

Exhibit B1 (revised 6/2017) - Payment Schedule

Silicon Valley Children's Fund
Foster Youth Education Services
March 29, 2016 through June 30, 2018

Program Operating Budget (March 2016- June 2016)	
Fiscal Year Start/End Date: 7/1/2015 - 6/30/2016	
	High School Emerging Scholars
Income	
Individual Contributions	
Board Solicited	
Tutoring Fund	
Foundation & Corporate Grants	\$ -
Government/Public Funding	\$ 100,000
Fundraising Events/ Campaign	
Fee for Service	
Investment Income	
Total Revenue	\$ 100,000
Expenses -- Personnel	
Salaries	\$ 58,969
Payroll taxes	\$ 5,897
Benefits	\$ 5,897
Stipends	\$ 2,000
Total Labor Expenses	\$ 72,763
Operating Expenses	
Scholar meetings	\$ -
Administrative Expenses	\$ 4,094
Rent	\$ 15,200
Tutoring Expenses	\$ -
Scholarships	\$ -
Communications and Marketing	\$ 5,000
Staff Travel	\$ 2,944
Staff Development & Training	\$ -
Events and Workshops	\$ -
IT (e.g. Laptops, mobile Wi-Fi , etc.)	\$ -
In-Kind Expenses	\$ -
Total Non-labor Expenses	\$ 27,238
Total Expenses	\$ 100,000
Total Revenue	\$ 100,000
Delta	\$ -

Program Operating Budget (July 2016- June 2017)

Fiscal Year Start/End Date: 7/1/2016 - 6/30/2017

	High School Emerging Scholars
Income	
Individual Contributions	
Board Solicited	\$ -
Tutoring Fund	\$ -
Government/Public Funding	\$ 200,000
Fundraising Events/ Campaign	\$ -
Fee for Service	
Investment Income	
Total Revenue	\$ 200,000
Expenses -- Personnel	
Salaries	\$ 159,650
Payroll taxes	\$ 15,965
Benefits	\$ 15,965
Stipends	\$ 2,000
Total Labor Expenses	\$ 193,580
Operating Expenses	
Scholar meetings*	\$ 5,000
Administrative Expenses*	\$ -
Rent*	\$ 1,420
Tutoring Expenses	\$ -
Scholarships	\$ -
Communications and Marketing	\$ -
Staff Travel*	\$ -
Staff Development & Training*	\$ -
Events and Workshops*	\$ -
IT (e.g. Laptops, mobile Wi-Fi , etc.)	\$ -
In-Kind Expenses	\$ -
Total Non-labor expenses	\$ 6,420
Total Expenses	\$ 200,000
Total Revenue	\$ 200,000
Delta	\$ -

*SVCF will apply a \$65,680 match to cover expenses generated in these categories

Program Name: Silicon Valley Children's Fund (SVCF) High School Emerging Scholars
FY 17-18

Line Item	Total Program Budget	Funding Request (detail how funds will be spent per line item)
Revenue		
Individual Contributions	\$ -	
Donations	\$ 81,866	
HSA funding (amount requested)	\$ 206,000	\$ 206,000
Other SVCF Contributions	\$ 512,764	
	\$ -	
	\$ -	
<i>Other government contracts (list each contract/funding on it's own line- please add in more rows if needed)</i>		
In kind (facilities and maintenance)	\$ -	
In kind (other)	\$ -	
Total Revenue	\$ 800,630	\$ 206,000

			STAFFING DETAILS	
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Expense			general units - units funded partially or wholly via the funding requested under this contract	
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			STAFFING DETAILS	
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Direct Personnel Expense	Full Cost	Cost to this Contract	% Attributed this Contract	cost for these FTE
Executive Director (0.05 FTE)	\$ 162,000			\$ -
Business Manager (0.05 FTE)	\$ 65,000			\$ -
Marketing Manager (0.05 FTE)	\$ 77,500	\$ 3,875	0.1	\$ 3,875
Data Analyst (0.2 FTE)	\$ 89,250	\$ 17,850	0.2	\$ 17,850
High School Pathways Program Director (0.5 FTE)	\$ 97,300	\$ 48,650	0.5	\$ 48,650
High School Pathways Program Coordinator (0.8 FTE)	\$ 87,150	\$ 69,720	0.8	\$ 69,720
Academic Coach (1.0 FTE)	\$ 50,000	\$ 50,000	1.0	\$ 50,000
Intern Stipends (0.8 FTE)	\$ 5,000	\$ 4,000	0.8	\$ 4,000
Benefits (Direct Labor)	\$ 125,640	\$ 11,905		\$ 11,905
subtotal personnel	\$ 758,840	\$ 206,000	3.35	\$ 206,000

Operating Expenses		
Supplies	\$ 1,200	
Rent	\$ 24,000	
Utilities	\$ -	
Phones	\$ -	
Mileage Reimbursement	\$ 7,500	
Materials / Printing	\$ 500	
Equipment	\$ 1,000	
Training	\$ 2,290	
Miscellaneous	\$ 5,300	
Outside Svcs/Clean & Supp	\$ -	\$ -
subtotal operating expenses	\$ 41,790	\$ -

Admin Expense		
Administrative expense (note costs are pooled and allocated to sites; not allocated to sites by admin overhead and accounting)	\$ -	\$ -
subtotal admin expense	\$ -	\$ -
Total Expenses	\$ 800,630	\$ 206,000

Exhibit C (revised 6/2017) - Program Monitoring and Outcomes

Silicon Valley Children’s Fund
 Foster Youth Education Services
 March 29, 2016 – June 30, 2018

PROGRAM MONITORING

1. Contractor agrees to meet the following performance measure(s) and outcomes:

Board Level Performance Measures	
Measure	FY 2017-18 Projected
Percentage of increase in high school graduation rates for dependent foster youth engaged in San Mateo County educational and employment foster youth programs.	5% <i>Increase from 82.3% (estimated) to 87.3% (estimated) pending 16-17 year-end data.</i>
The percentage of youth that will demonstrate improvement in the academic area(s) of concern upon reassessment after receiving at least one quarter of services.	70%

Outcome	FY17-18 Goal
The minimum number of youth that will be engaged* in educational coaching services from Silicon Valley Children’s Fund.	30
*Engaged is defined as having a high school graduation plan and a minimum of three (3) weekly meetings with SVCF per month during the reporting period.	

2. Performance measures and outcomes may be modified based on written agreement between County and Contractor.
3. Contractor will be responsible for collecting and entering the data for program participants related to the services provided by Contractor.
4. Reports:
 - a) Contractor will submit monthly, quarterly and year-end reports to the Human Services Agency in a format as specified by the HSA. Reports will include information, at a minimum, as outlined by section “b” below but, based on the County’s need for information, may include additional data.
 - b) Contractor will submit summary reports based on due dates below to the CFS Contract Manager (JLindner@smcgov.org) detailing the:
 - i. Improvement in school performance:
 1. Per individual youth and aggregate.
 2. Contractor will work with the CFS assigned social worker or Employment Services Specialist to obtain information regarding school performance and attendance records to inform reports.
 - ii. Number of youth with a high school graduation plan.

- iii. Number of enrichment workshops broken down by topic such as financial aid, scholarship research and applications and college applications:
 - 1. Number of workshops offered and hosted by SVCF;
 - 2. Number of youth in attendance (individual and aggregate).
- iv. Number of college campus tours hosted:
 - 1. Number of youth in attendance;
 - 2. Breakdown by college type (UC, Private, Community College, Vocational);
 - 3. Breakdown by geographic location.
- v. Number of 12th graders assisted with the successful completion of college financial aid application(s).
- vi. Number of 12th graders assisted with the successful completion and submission of college application(s):
 - 1. Results of the applications (acceptance/denial).
- vii. Program satisfaction among all participants:
 - 1. SVCF will administer surveys to the youth, Coaches and social workers assessing:
 - a. Program satisfaction;
 - b. Motivation to succeed;
 - c. Access to resources;
 - d. Career exploration;
 - e. Other indications of success.
 - 2. SVCF will be responsible for collecting, entering, and reporting the data from these surveys.
- c) Monthly Measure K Reports are to be submitted by the 23rd day of each month.
- d) Quarterly Reports are to be submitted by the following dates:
October 15, 2017 | January 15, 2018 | April 15, 2018 | July 15, 2018
- e) Six-month narrative and activity report is to be submitted by:
October 15, 2017
- f) Year-end narrative and activity report to be submitted by:
July 15, 2018

End of Exhibit C

Attachment P

Personally Identifiable Information

Requirements for County Contractors, Subcontractors, Vendors and Agents

I. Definitions

Personally Identifiable Information (PII), or Sensitive Personal Information (SPI), as used in Federal information security and privacy laws, is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context. PII may only be used to assist in the administration of programs in accordance with 45 C.F.R. § 205.40, *et seq.* and California Welfare & Institutions Code section 10850.

- a. **“Assist in the Administration of the Program”** means performing administrative functions on behalf of County programs, such as determining eligibility for, or enrollment in, and collecting context PII for such purposes, to the extent such activities are authorized by law.
- b. **“Breach”** refers to actual loss, loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar term referring to situations where persons other than authorized users and for other than authorized purposes have access or potential access to context PII, whether electronic, paper, verbal, or recorded.
- c. **“Contractor”** means those contractors, subcontractors, vendors and agents of the County performing any functions for the County that require access to and/or use of PII and that are authorized by the County to access and use PII.
- d. **“Personally Identifiable Information” or “PII”** is personally identifiable information that can be used alone, or in conjunction with any other reasonably available information, to identify a specific individual. PII includes, but is not limited to, an individual's name, social security number, driver's license number, identification number, biometric records, date of birth, place of birth, or mother's maiden name. PII may be electronic, paper, verbal, or recorded.
- e. **“Security Incident”** means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of PII, or interference with system operations in an information system which processes PII that is under the control of the County or County's Statewide Automated Welfare System (SAWS) Consortium, or under the control of a contractor, subcontractor or vendor of the County, on behalf of the County.
- f. **“Secure Areas”** means any area where:
 - i. Contractors administer or assist in the administration of County programs;
 - ii. PII is used or disclosed; or
 - iii. PII is stored in paper or electronic format.

II. Restrictions on Contractor re Use and Disclosure of PII

- a. Contractor agrees to use or disclose PII only as permitted in this Agreement and only to assist in the administration of programs in accordance with 45 CFR § 205.50, *et seq.* and California Welfare & Institutions Code section 10850 or as otherwise authorized or required by law. Disclosures, when authorized or required by law, such as in response to a court order, or when made upon the explicit written authorization of the individual, who is the subject of the PII, are allowable. Any other use or disclosure of PII requires the express approval in writing by the County. No Contractor shall duplicate, disseminate or disclose PII except as allowed in this Agreement.
- b. Contractor agrees to only use PII to perform administrative functions related to the administration of County programs to the extent applicable.
- c. Contractor agrees that access to PII shall be restricted to Contractor's staff who need to perform specific services in the administration of County programs as described in this Agreement.
- d. Contractor understands and agrees that any of its staff who accesses, discloses or uses PII in a manner or for a purpose not authorized by this Agreement may be subject to civil and criminal sanctions available under applicable Federal and State laws and regulations

III. Use of Safeguards by Contractor to Protect PII

- a. Contractor agrees to ensure that any agent, including a subcontractor, to whom it provides PII received from, or created or received by Contractor on behalf of County, agrees to adhere to the same restrictions and conditions contained in this Attachment PII.
- b. Contractor agrees to advise its staff who have access to PII, of the confidentiality of the information, the safeguards required to protect the information, and the civil and criminal sanctions for non-compliance contained in applicable Federal and State laws and regulations.
- c. Contractor agrees to train and use reasonable measures to ensure compliance by Contractor's staff, including, but not limited to (1) providing initial privacy and security awareness training to each new staff within thirty (30) days of employment; (2) thereafter, providing annual refresher training or reminders of the PII privacy and security safeguards to all Contractor's staff; (3) maintaining records indicating each Contractor's staff name and the date on which the privacy and security awareness training was completed; and (4) retaining training records for a period of three (3) years after completion of the training.
- d. Contractor agrees to provide documented sanction policies and procedures for Contractor's staff who fail to comply with privacy policies and procedures or any provisions of these requirements, including termination of employment when appropriate.

- e. Contractor agrees that all Contractor's staff performing services under this Agreement sign a confidentiality statement prior to accessing PII and annually thereafter. The signed statement shall be retained for a period of three (3) years, and the statement include at a minimum: (1) general use; (2) security and privacy safeguards; (3) unacceptable use; and (4) enforcement policies.
- f. Contractor agrees to conduct a background check of Contractor's staff before they may access PII with more thorough screening done for those employees who are authorized to bypass significant technical and operational security controls. Contractor further agrees that screening documentation shall be retained for a period of three (3) years following conclusion of the employment relationship.
- g. Contractor agrees to conduct periodic privacy and security reviews of work activity, including random sampling of work product by Contractor's staff by management level personnel who are knowledgeable and experienced in the areas of privacy and information security in the administration of County's programs and the use and disclosure of PII. Examples include, but are not limited to, access to data, case files or other activities related to the handling of PII.
- h. Contractor shall ensure that PII is used and stored in an area that is physically safe from access by unauthorized persons at all times and safeguard PII from loss, theft, or inadvertent disclosure by securing all areas of its facilities where Contractor's staff assist in the administration of the County's programs and use, disclose, or store PII.
- i. Contractor shall ensure that each physical location, where PII is used, disclosed, or stored, has procedures and controls that ensure an individual who is terminated from access to the facility is promptly escorted from the facility by an authorized employee of Contractor and access is revoked.
- j. Contractor shall ensure that there are security guards or a monitored alarm system at all times at Contractor's facilities and leased facilities where five hundred (500) or more individually identifiable records of PII is used, disclosed, or stored. Video surveillance systems are recommended.
- k. Contractor shall ensure that data centers with servers, data storage devices, and/or critical network infrastructure involved in the use, storage, and/or processing of PII have perimeter security and physical access controls that limit access to only those authorized by this Agreement. Visitors to any Contractor data centers area storing PII as a result of administration of a County program must be escorted at all times by authorized Contractor's staff.
- l. Contractor shall have policies that include, based on applicable risk factors, a description of the circumstances under which Contractor staff can transport PII, as well as the physical security requirements during transport.
- m. Contractor shall ensure that any PII stored in a vehicle shall be in a non-visible area such as a trunk, that the vehicle is locked, and under no circumstances permit PII be left unattended in a vehicle overnight or for other extended periods of time.

- n. Contractor shall ensure that PII shall not be left unattended at any time in airplanes, buses, trains, etc., including baggage areas. This should be included in training due to the nature of the risk.
- o. Contractor shall ensure that all workstations and laptops, which use, store and/or process PII, must be encrypted using a FIPS 140-2 certified algorithm 128 bit or higher, such as Advanced Encryption Standard (AES). The encryption solution must be full disk. It is encouraged, when available and when feasible, that the encryption be 256 bit.
- p. Contractor shall ensure that servers containing unencrypted PII must have sufficient administrative, physical, and technical controls in place to protect that data, based upon a risk assessment/system security review. It is recommended to follow the guidelines documented in the latest revision of the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53, Security and Privacy Controls for Federal Information Systems and Organizations.
- q. Contractor agrees that only the minimum necessary amount of PII required to perform required business functions will be accessed, copied, downloaded, or exported.
- r. Contractor shall ensure that all electronic files, which contain PII data is encrypted when stored on any mobile device or removable media (i.e. USB drives, CD/DVD, smartphones, tablets, backup tapes etc.). Encryption must be a FIPS 140-2 certified algorithm 128 bit or higher, such as AES. It is encouraged, when available and when feasible, that the encryption be 256 bit.
- s. Contractor shall ensure that all workstations, laptops and other systems, which process and/or store PII, must install and actively use an antivirus software solution. Antivirus software should have automatic updates for definitions scheduled at least daily. In addition, Contractor shall ensure that:
 - i. All workstations, laptops and other systems, which process and/or store PII, must have critical security patches applied, with system reboot if necessary.
 - ii. There must be a documented patch management process that determines installation timeframe based on risk assessment and vendor recommendations.
 - iii. At a maximum, all applicable patches deemed as critical must be installed within thirty (30) days of vendor release. It is recommended that critical patches which are high risk be installed within seven (7) days.
 - iv. Applications and systems that cannot be patched within this time frame, due to significant operational reasons, must have compensatory controls implemented to minimize risk.
- t. Contractor shall ensure that all of its staff accessing Personally Identifiable Information on applications and systems will be issued a unique individual password that is a least eight (8) characters, a non-dictionary word, composed of characters from at least three (3) of the following four (4) groups from the standard keyboard: upper case letters (A-Z); lower case letters (a-z); Arabic

numerals (0-9) and special characters (!, @, #, etc.). Passwords are not to be shared and changed if revealed or compromised. All passwords must be changed every (90) days or less and must not be stored in readable format on the computer or server.

- u. Contractor shall ensure that usernames for its staff authorized to access PII will be promptly disabled, deleted, or the password changed upon the transfer or termination of an employee within twenty- four (24) hours. Note: Twenty-four (24) hours is defined as one (1) working day.
- v. Contractor shall ensure when no longer needed, all PII must be cleared, purged, or destroyed consistent with NIST SP 800-88, Guidelines for Media Sanitization, such that the Personally Identifiable Information cannot be retrieved.
- w. Contractor shall ensure that all of its systems providing access to PII must provide an automatic timeout, requiring re-authentication of the user session after no more than twenty (20) minutes of inactivity.
- x. Contractor shall ensure that all of its systems providing access to PII must display a warning banner stating, at a minimum that data is confidential; systems are logged, systems use is for business purposes only by authorized users and users shall log off the system immediately if they do not agree with these requirements.
- y. Contractor will ensure that all of its systems providing access to PII must maintain an automated audit trail that can identify the user or system process which initiates a request for PII, or alters PII. The audit trail shall be date and time stamped; log both successful and failed accesses be read-access only; and be restricted to authorized users. If PII is stored in a database, database logging functionality shall be enabled. The audit trail data shall be archived for at least three (3) years from the occurrence.
- z. Contractor shall ensure that all of its systems providing access to PII shall use role-based access controls for all user authentications, enforcing the principle of least privilege.
- aa. Contractor shall ensure that all data transmissions of PII outside of its secure internal networks must be encrypted using a Federal Information Processing Standard (FIPS) 140-2 certified algorithm that is 128 bit or higher, such as Advanced Encryption Standard (AES) or Transport Layer Security (TLS). It is encouraged, when available and when feasible, that 256 bit encryption be used. Encryption can be end to end at the network level, or the data files containing PII can be encrypted. This requirement pertains to any type of PII in motion such as website access, file transfer, and email.
- bb. Contractor shall ensure that all of its systems involved in accessing, storing, transporting, and protecting PII, which are accessible through the Internet, must be protected by an intrusion detection and prevention solution.
- cc. Contractor shall ensure that audit control mechanisms are in place. All Contractor systems processing and/or storing Personally Identifiable Information

must have a least an annual system risk assessment/security review that ensure administrative, physical, and technical controls are functioning effectively and provide an adequate level of protection. Review shall include vulnerability scanning tools.

- dd. Contractor shall ensure that all of its systems processing and/or storing PII must have a process or automated procedure in place to review system logs for unauthorized access.
- ee. Contractor shall ensure that all of its systems processing and/or storing PII must have a documented change control process that ensures separation of duties and protects the confidentiality, integrity and availability of data.
- ff. Contractor shall establish a documented plan to enable continuation of critical business processes and protection of the security of PII kept in an electronic format 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 twenty-four (24) hours.
- gg. Contractor shall ensure its data centers with servers, data storage devices, and critical network infrastructure involved in the use, storage and/or processing of PII, must include environmental protection such as cooling, power, and fire prevention, detection, and suppression.
- hh. Contractor shall establish documented procedures to backup PII to maintain retrievable exact copies of PIII. The documented backup procedures shall contain a schedule which includes incremental and full backups, storing backups offsite, inventory of backup media, recovery of PII data, an estimate of the amount of time needed to restore PII data.
- ii. Contractor shall ensure that PII in paper form shall not be left unattended at any time, unless it is locked space such as a file cabinet, file room, desk or office. Unattended means that information may be observed by an individual not authorized to access the information. Locked spaces are defined as locked file cabinets, locked file rooms, locked desks, or locked offices in facilities which are multi-use, meaning that there are Contractor's staff and non-Contractor functions in one building in work areas that are not securely segregated from each other. It is recommended that all PII be locked up when unattended at any time, not just within multi-use facilities.
- jj. Contractor shall ensure that any PII that must be disposed of will be through confidential means, such as cross cut shredding or pulverizing.
- kk. Contractor agrees that PII must not be removed from its facilities except for identified routine business purposes or with express written permission of the County.
- ll. Contractor shall ensure that faxes containing PII shall not be left unattended and fax machines shall be in secure areas. Faxes containing PII shall contain a confidentiality statement notifying persons receiving faxes in error to destroy

them and notify the sender. All fax numbers shall be verified with the intended recipient before send the fax.

mm. Contractor shall ensure that mailings containing PII shall be sealed and secured from damage or inappropriate viewing of PII to the extent possible. Mailings that include five hundred (500) or more individually identifiable records containing PII in a single package shall be sent using a tracked mailing method that includes verification of delivery.

IV. Reporting of Breaches Required by Contractor to County; Mitigation

- a. Contractor shall report to County within one business day of discovery, to the County contact listed in this agreement by email or telephone as listed in the of unsecured PII, if that PII was, or is, reasonably believed to have been accessed or acquired by an unauthorized person, any suspected security incident, intrusion or unauthorized access, use or disclosure of PII in violation of this Agreement, or potential loss of confidential data affecting this Agreement.
- b. Contractor understands that State and Federal Law requires a breaching entity to notify individuals of a breach or unauthorized disclosure of their PII. Contractor shall ensure that said notifications shall comply with the requirements set forth in California Civil Code section 1798.29, and 42 U.S.C. section 17932, and its implementing regulations, including but not limited to, the requirement that the notifications be made without unreasonable delay and in no event later than sixty (60) calendar days.
- c. Contractor agrees to promptly mitigate, to the extent practicable, any harmful effect that is known to Contractor stemming from a use or disclosure of PII in violation of the requirements of this Agreement, including taking any action pertaining to such use or disclosure required by applicable Federal and State laws and regulations.

V. Permitted Uses and Disclosures of PII by Contractor

Except as otherwise limited in this schedule, Contractor may use or disclose PII to perform functions, activities, or services for, or on behalf of, County as specified in the Agreement; provided that such use or disclosure would not violate the Privacy Rule if done by County.

VI. Obligations of County

- a. County shall provide Contractor with the notice of privacy practices that County produces in accordance with California Welfare and Institutions Code section 10850, as well as any changes to such notice.
- b. County shall notify Contractor of any changes in, or revocation of, permission by Individual to use or disclose PII, if such changes affect Contractor's permitted or required uses and disclosures.

- c. County shall notify Contractor of any restriction to the use or disclosure of PII that County has agreed to in accordance with California Welfare and Institutions Code section 10850.

VII. Permissible Requests by County

County shall not request Contractor to use or disclose PII in any manner that would not be permissible under the Privacy Rule if so requested by County, unless Contractor will use or disclose PII for, and if the Agreement provides for, data aggregation or management and administrative activities of Contractor.

VIII. Duties Upon Termination of Agreement

- a. Upon termination of the Agreement, for any reason, Contractor shall return or destroy all PII received from County, or created, maintained, or received by Contractor on behalf of County that Contractor still maintains in any form. This provision shall apply to PII that is in the possession of subcontractors or agents of Contractor. Contractor shall retain no copies of the PII.
- b. In the event that Contractor determines that returning or destroying PII is infeasible, Contractor shall provide to County notification of the conditions that make return or destruction infeasible. Upon mutual Agreement of the Parties that return or destruction of PII is infeasible, Contractor shall extend the protections of the Agreement to such PII and limit further uses and disclosures of such PII to those purposes that make the return or destruction infeasible, for so long as Contractor maintains such PII.

IX. Miscellaneous

- a. **Regulatory References.** A reference in this Attachment to a section in the Personally Identifiable Information Privacy Rule means the section as in effect or as amended, and for which compliance is required.
- b. **Amendment.** The Parties agree to take such action as is necessary to amend this Schedule from time to time as is necessary for County to comply with the requirements of the Privacy Rule and in accordance 45 CFR § 205.40, *et seq.* and California Welfare and Institutions Code section 10850.
- c. **Survival.** The respective rights and obligations of Contractor under this Attachment shall survive the termination of the Agreement unless and until the PII is destroyed or returned to the County.
- d. **Interpretation.** Any ambiguity in any provision in this Attachment shall be resolved in favor of a meaning that permits County to comply with the Privacy Rule.
- e. **Reservation of Right to Monitor Activities.** County reserves the right to monitor the security policies and procedures of Contractor.