AMENDMENT TO AGREEMENT
BETWEEN THE COUNTY OF SAN MATEO AND
NAVIGANT CONSULTING, INC.

THIS AMENDMENT TO THE AGREEMENT, entered into this _____ day of

_____, 2019, by and between the COUNTY OF SAN MATEO, hereinafter called

"County," and Navigant Consulting, Inc., hereinafter called "Contractor" or "Navigant";

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 purpose of providing revenue cycle consulting in support of the operations of the County's San Mateo Medical Center on May 22, 2018, for the term of May 1, 2018, through April 30, 2021, in an amount not to exceed $840,000; and

WHEREAS, the parties wish to amend the Agreement to add Operational and Financial Transformation Consulting and Project Management services to the scope of services to be provided by Contractor, and to increase the maximum amount payable under the Agreement by $4,320,000, to an amount not to exceed $5,160,000.

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:

    The following exhibits and attachments are attached to this Agreement and incorporated into this Agreement by this reference:

    Exhibit A – Services
    Exhibit B – Payments and Rates
    Exhibit C – Performance Metrics
    Exhibit E – Corporate Compliance SMMC Code of Conduct (Third Parties)
    Attachment H – HIPAA Business Associate Requirements
    Attachment J – Vendor/Contractor Access Policy

2. Section 3. Payments, of the agreement is amended to read as follows:

    In consideration of the services provided by Contractor in accordance with all terms, conditions, and specifications set forth in this Agreement and in Exhibits A and A1,

County shall make payment to Contractor based on the rates and in the manner specified in Exhibits B and B1. 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 MILLION ONE HUNDRED SIXTY THOUSAND DOLLARS ($5,160,000). 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. Contractor is not entitled to payment for work not performed as required by this agreement.

3.   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 May 1, 2018, through September 30, 2021.

4.   Exhibit A1, Exhibit B1, Exhibit C and Attachment J are hereby added, copies of which are attached hereto and incorporated into the Agreement by this reference.

5.   **All other terms and conditions of the Agreement dated May 22, 2018, between the County and Contractor shall remain in full force and effect.**

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

For Contractor: Navigant Consulting Inc.

Ginger Campbell

February 21, 2019   Ginger Campbell

Managing Director   Managing Director
Navigant Consulting   February 21, 2019   Navigant Consulting
_____   _____   _____
Contractor Signature   Date   Contractor Name (please print)

_____

COUNTY OF SAN MATEO

By:
President, Board of Supervisors, San Mateo County

Date:

ATTEST:

By:
Clerk of Said Board

Exhibit A1

In consideration of the payments set forth in Exhibit B1, Contractor shall provide the following services: In Navigant's development of the scope work to support SMMC's *Transformation 2021*, Navigant embraced key requests from leadership including:

1. To ensure continuity and stability throughout SMMCs Transformation 2021 eighteen-month engagement with Navigant, Ginger Campbell shall be assigned as the designated Navigant Executive responsible for all project resources and operational performance.

2. SMMCs leadership will be the owners in leading the execution of all T2021 imperatives. Navigant's role will be as facilitators, coaches, trusted advisors and work directly with key stakeholders in the development and management of work plans to facilitate execution and tracking of outcomes.

3. In supporting SMMCs leadership and successfully executing on T2021 imperatives, Navigant projects this engagement to span approximately eighteen (18) months to provide the support required to sustain desired organizational changes.

4. Support SMMC's leadership for full execution of strategic and operational improvement initiatives with Navigant's highly experienced project managers.

5. Addressing SMMC's data gaps by creating and supporting the development of a Business Analytics team

6. The T2021 engagement will facilitate advancing the Financial Planning and Analysis (FP&A) stakeholders in enhancing their business acumen, tools and methods in supporting operational leaders and initiative owners.

Transformation 2021 Oversight Committee Structure:
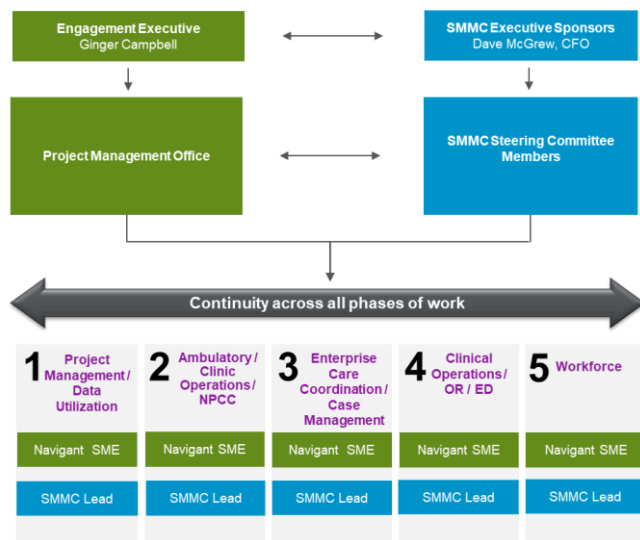
Navigant and SMMC executives will establish an executive steering committee, and subject matter experts will partner with SMMC designated counterparts who will be the operational "owners" for their respective work streams as illustrated adjacent:

Navigant believes T2021 to be a truly transformational initiative, and understanding the nature of SMMC's operations, we believe all workstreams to be critical to a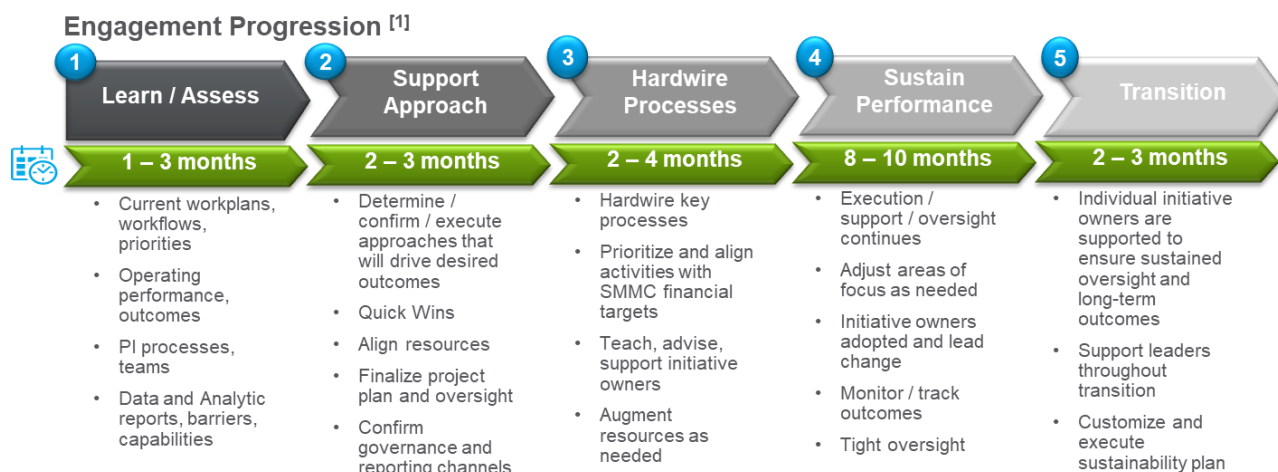 successful outcome. Thus, we are strongly recommending and proposing a comprehensive framework, which will ensure integration and continuity SMMC leadership to create across all workstreams, as well as empower sustainable change. Further, we would like to provide SMMC the flexibility to shift support and

resources commensurate with the needs of its operations.

Engagement Scope and Approach

Navigant recognizes and values that all clients have unique challenges, goals and abilities to achieve desired outcomes. Thus, we tailor our approach to compliment the unique needs of our clients. Our engagement leadership team has carefully reviewed the RFP, as well as taken into account informative conversations we have had with SMMC stakeholders and leadership. We understand SMMCs desire to 'Transform' operations by prioritizing key imperatives and leading the organization through change. SMMC will 'own' the execution and sustainability of outcomes. Navigant's key role will be to function as 'trusted advisors', providing resources and experienced consultants to facilitate the execution and oversight of multiple initiatives throughout the Transformation 2021 engagement. Below is a recommended example of the Transformation 2021 engagement framework and timeline. Navigant is prepared to be agile and further refine our workplan based upon the needs and priorities of SMMC.

Engagement Progression [1]

1 Learn / Assess	2 Support Approach	3 Hardwire Processes	4 Sustain Performance	5 Transition
1 – 3 months	2 – 3 months	2 – 4 months	8 – 10 months	2 – 3 months
• Current workplans, workflows, priorities • Operating performance, outcomes • PI processes, teams • Data and Analytic reports, barriers, capabilities	• Determine / confirm / execute approaches that will drive desired outcomes • Quick Wins • Align resources • Finalize project plan and oversight • Confirm governance and reporting channels	• Hardwire key processes • Prioritize and align activities with SMMC financial targets • Teach, advise, support initiative owners • Augment resources as needed	• Execution / support / oversight continues • Adjust areas of focus as needed • Initiative owners adopted and lead change • Monitor / track outcomes • Tight oversight	• Individual initiative owners are supported to ensure sustained oversight and long-term outcomes • Support leaders throughout transition • Customize and execute sustainability plan

[1] Timelines and areas of focus will be adjusted based on client feedback

Five Coordinated Workstreams

1 Project Management and Data Utilization

2 Ambulatory Clinic Operations

3 Enterprise Care Coordination and Case Management

4 Clinical Operations (ED and Perioperative Services)

5 Workforce

Centralized Project Management Office: Oversee Engagement, Change Management, and Project Governance

Engagement Team: Comprehensive Distribution of Dedicated Resources to Support SMMC Stakeholders

Composition of talented consultant resources with the following minimal qualifications:
- Workstreams will be lead by 'experts' with10 or more years 'exceptional' experience including California
- Dedicated resources to support SMMC stakeholders in achieving and exceeding expectations
- Blended experiences: Proven 'operators' and 'consultants' who know how to 'partner'
- Safety Net hospital experience
- High caliber performers that are client-centric and trusted colleagues

Workstream	2019-Q1	2019-Q2	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
PMO / Analytic Support	4.6	9.2	6.1	3.3	2.7	2.4	0.6
Ambulatory	1.9	3.6	2.4	1.7	3.0	2.2	0.2
Care Coordination	2.1	2.8	2.6	2.8	2.0	0.9	0.2
Clinical Operations / Periop	0.9	2.0	0.0	0.0	0.0	0.1	0.2
Workforce	1.0	2.3	0.0	0.0	0.0	0.1	0.2
Central Analytics Team	0.3	0.7	0.1	0.1	0.0	0.1	0.2
	10.8	20.6	11.1	7.9	7.8	5.9	1.8

Notes: Above represents an example of resource distribution. We expect adjustments as workplans are final.
- Timing represents calendar year
- Staffing is preliminary and subject to change as the PMO will be responsible for distribution of hours by workstream for the next month/quarter based on client needs
- Indicates on-site individuals ⟶
- FTEs will be comprised of various individual consultants rather than representing a single person

Staffing will be shared/reviewed with client including consultant names and work stream support

Project Management / Data Utilization

Navigant understands that SMMC is experiencing challenges, gaps and needs support in managing the full execution of existing work plans including the following:

- Pay-for-performance (P4P): Navigant will provide resources to support SMMCs designated key stakeholders and *'teamlets'* in the management and execution of workplans

- Retrieving data requests

- Data accuracy / integrity

- Using data / 'Business Analytics' to drive decision making

- Ability to focus on key measures

- Some dashboards and scorecards

- Strives to build a consistent measurement culture

- Need for data visibility to identify improvement opportunities

- Stakeholders strive to learn more about how the organization is performing

- Capacity so that that improvement projects are prioritized and effectively managed to stay on track and deliver results

These data challenges are not unusual for healthcare organizations. Effective execution of strategic and operational initiatives will require SMMC to tackle these challenges and transform the data reporting support it currently receives into its own business analytics team. Navigant can support this transformation through the following activities:

- Assess specific data gaps

- Support development of a data strategy

- Leverage Navigant analytical tools to support project management

- Provide guidance around data warehouse build, e.g., RFP creation and response evaluation

- Partner with SMMC and other stakeholders, if/as needed, to develop operational and financial dashboards

- Mentor and support development of the manager of Business Analytics

- Support development of SMMC's Pop Health Data Analytics Team, i.e., Recommend and support the implementation of an Analytics team structure. This will include providing competency requirements and a team operating model. If needed, Navigant will participate in the evaluation of internal / external talent to create an in-house team

- Support broader thinking about creating access to our data

- Support development of the SMMC FP&A team as partners with the Population Health

Data Analytics team and initiatives owners to drive execution of initiatives with a goal to favorably impact financial results

Multi-Faceted Project Management

Navigant will provide highly experienced project manager(s) who have the knowledge, skills and abilities required to support SMMC's leaders in managing multiple projects. We anticipate the need to engage the coordination of multiple stakeholders and team members through a structured planning process.

Navigant will determine a project management approach with designated SMMC stakeholders using successfully executed standards and best practices. We embrace a project management approach as defined by the Project Management Institute (PMI); many of our professionals are PMI-certified Project Management Professionals (PMPs).

Innate to the function of consulting, we are highly skilled in project management and using work plans to facilitate the needs of our clients. We recognize the importance of upfront, collaborative planning and frequent contact with our client stakeholders, so the management of projects are prioritized. Project work plans include tools to manage tasks, timeframes, staffing, and milestones and are used to manage the project on a real-time basis.

Quality Assurance (QA) and Quality Control (QC) are also integral components of Navigant's Project Management methodology. We maintain thorough processes that include QA and QC of project deliverables, work products, and project management tasks including risk management, financial management and budget control, schedule and work plan management, and team and client communication protocols. It is Navigant's standard practice to follow specific quality control procedures identified in our firm's Quality Assurance / Quality Control Plan (QCP) for each engagement. In doing so, we will adopt SMMCs LEAP processes to compliment and support all Transformation 2021 imperatives.

Analytics to Measure, Monitor, and Sustain Results

Navigant possesses a robust capability to assist our clients with overcoming the hurdles associated with effectively measuring, informing, and advancing their organization's strategic and operational objectives using data and analytics. Navigant has invested significantly in developing the processes, teams, tools, and technologies that enable our clients to realize their analytic goals across a broad spectrum of content areas.

Perhaps the most compelling qualification for Navigant's analytics expertise comes from the direct experience of delivering analytics directly within client engagements. All of Navigant's consulting services to healthcare organizations leverage analytics that help provide the fact-base for our "Analytics-driven, Expert-led" approach.

Throughout our integrated process, we strive to achieve a high level of engagement with our clients (from the C-suite to front-line supervisors, and as appropriate, staff). We strongly believe that this high degree of collaboration is the key to building consensus and stakeholder support

to produce high-quality, prioritized, and ultimately, actionable results.

Prior to the initiation of the assessment process, project leadership and SMEs from Navigant will conduct extensive interviews with entity and system leadership to refine our understanding of the unique operating aspects of SMMC. These interviews are vital to establishing a relationship with operational / strategic leaders, understanding the reasoning why benchmarking shows opportunity in certain areas, and constructing a solid organizational history of previous benchmarking experiences.

Prior to finalizing the assessment process, SMEs will re-engage with the leadership to vet potential opportunities and begin the prioritization process. These meetings allow SMMC leadership to develop a deep understanding of the analytic process, compare groups, potential opportunities with a sense of prioritization, and necessary next steps to mobilize around those potential opportunities.

Scope of Work Summary:

- Implement Project Management principles and practices in support of longitudinal oversight and execution of appropriate work plans

  - We will work directly with SMMC's key stakeholders in supporting the execution of existing workplans.

  - As needed, we will help develop any workplans and/or help determine 'Metrics that Matter' to optimize execution and attain optimal results.

  - Prioritize and standardize workflows, build consistencies to functionally achieve deliverables and alignment of all stakeholders

- We will support and engage the established LEAP program as a key approach in managing change enterprise-wide.

- Our methodology leverages tools with leaders and stakeholders to enable them to adapt and support accountable practices, leveraging the Navigant Measurement Maturity Model.

- As a patient-centric organization, we will support SMMC stakeholders in executing the appropriate oversight and accountabilities required for success.

Navigant will work directly with SMMC stakeholders to sequence, sort, and validate existing work plans already designed in support of strategic and operational imperatives. We will incorporate the expertise of our internal analytics team consisting of 30+ members and growing, which combines a mix of subject matter expertise and technical skillset.
Our support of SMMC's project management goals will be augmented and supported with our use of approaches built on best practices and advanced analytic tools. These tools and methods transcend multiple content domains and will provide SMMC with a robust and advanced analytic capability in a scalable and repeatable way.

Navigant has hundreds of analytic models, including a library of reports and performance metrics that we use in our consulting engagements. Navigant imbeds analytic tools within every engagement and will leverage these to help SMMC evaluate cost and utilization trends against benchmarks, simulate future state scenarios, and conduct drill-down analyses.

Our research and analyses are driven by the answers our clients seek but founded on a solid command of the subject matter. Understanding how the data is intended to be used drives the data that is collected, the process for standardizing, and the data visualization to share the information. Below we illustrate the breadth of our practice offerings and the analytic framework we use to support our clients.

Tool / Service	Hosting environment	Description
Benchmarking	Navigant hosted	Report with percentiles of current performance to benchmarking (3 modules: hospital labor, Corp services and span of control, Physician enterprise)
Workforce forecasting, optimization and position management	Navigant hosted	Forecasting and optimization of workforce needs for major clinical and ancillary departments and integrated positions management
Scheduling optimization and schedule planners	Navigant hosted, or client hosted	Recalibrate optimal schedules and shifts based on demand forecast major clinical and ancillary departments
Daily staffing tools	Client hosted	Tools enabling flexing staff up or down per predicted demand by shift for applicable clinical and ancillary departments
BITS	Navigant hosted	Tracking of key measures of success for position control, labor productivity and labor cost

Leveraging Disparate Data Sources to Drive Insight for Specific Markets
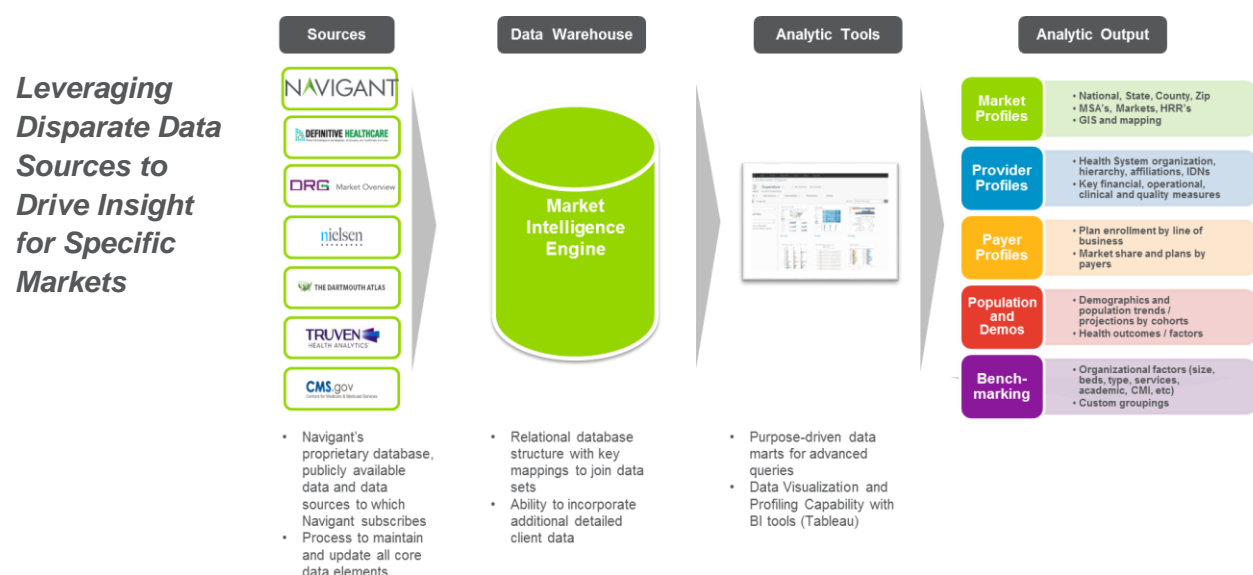
Dynamic Data Visualization Allows Cascading Levels of Summary Information

Cost per Case & LOS

- Provides an **immediate perspective on program progress** against key objectives on two primary clinical levers: LOS & Cost per Case

- **Hardwires baselines and actuals** for easy conceptualization of impact and month over month trending

Domain Analytics

Detailed, intuitive analytics that expose relevant patterns in **key operational levers across domains** such as Care Management, ED, and OR

Care Management Discharge Distributions

ED LWOT, Throughput, and Demographics

OR On-Time Case Starts and Throughput

Data Democratization

Source data and details that historically required advanced analytics skillset to simply access made **available to project analysts via a point / click interface.** Automated dashboards reduce redundant / regular tasks for driving alignment

Core functions will include (but are not limited to):

- Navigant's Measurement Maturity Model: Gap Analysis (see below)

- Sequencing / Management / Prioritization of SMMC projects underway

- Augmenting / overseeing SMMC priority projects

- Issue tracking, escalation, and resolution process

- Cross functional team coordination

- Consistency in presentation of analytic findings

- Deliverable templates

Navigant's Measurement Maturity Model

Navigant will partner with SMMC to diagnose and address each dimension of measurement maturity when implementing Project Management principles and practices into current KPIs and workplans. Navigant developed the Measurement Maturity Model to assess where measurement breaks down and target focused interventions to supports results achievement.

The following questions (illustrated below) are leveraged to assess and improve effective measurements and results.

...ormance via the following

Dimension	1 REACTING	2 DEVELOPING	3 OPTIMIZING
1. LEADERSHIP	• Limited use of data to drive decisions	• Data driven for some measures	• Leadership believes that "measures drive results"; Ask for data, set expectations, model accountability; understand performance
2. MEASUREMENT PROCESS	• No clear way to select measures beyond regulatory	• Early approach to select measures and comparisons, ensure timely / accurate data	• Refined approach to select meaningful, actionable measures with external comparisons and appropriate target setting • Data collection is accurate, timely and consistent
3. CONTENT	• No clarity on which measures are important	• Some clarity on which measures are important	• Focus on key measures aligned with strategic & operational goals • Proactively addresses environment (i.e. P4P)
4. STRUCTURE	• No structure	• Developing system-wide approach to data, information and analytics	• Refined, effective approach to data governance & stewardship; IT systems; Clean, accessible data • Effective Analytics structure; Data owners & analysts with clear roles and accountability
5. MEANING	• Inconsistent or ineffective data presentation	• Some dashboards and scorecards	• Effective presentation with timely presentation in the right forums • Data -> information -> knowledge -> wisdom
6. USE	• Minimal or ad-hoc use of data to drive decisions	• Some pockets of organization use data for decision making	• Effectively and consistently use data to make decisions, set priorities and allocate resources • Consistently communicate performance, share best practices
7. CULTURE	• Missing a measurement culture; don't value data and analysis	• Lack a consistent measurement culture • Pockets of measurement literacy	• Data driven, accountable, transparent • Measurement literate • Strong ownership of measures and results at all levels
8. REALIZING RESULTS	• Suboptimal results, • Organization does not know how it performs	• Pockets of excellence • Can effectively demonstrate performance in some areas	• Accelerating and sustaining improvement; Surpass requirements and achieve benchmark performance for important measures • Achieving desired results

Dimension	Expected Navigant Support
LEADERSHIP	• Support leaders in creating an organized process to focus on critical measures • Implement Project Management principles and practices in support of appropriate work plans, Metrics that Matter and longitudinal oversight for achievement of anticipated outcomes
MEASUREMENT PROCESS / CONTENT	• Leverage Navigant KPI / Performance Driving Measure methodology so that meaningful, actionable measures are the focus • Develop clear accountability matrix so that key measures have owners, forums and expected frequency for review. • Focus on key measures aligned with strategy and operational goals
GOVERNANCE	• Navigant recommends and where feasible adopts leading practices to increase consistent and reliable data, access, and timely reporting. • Key success factors include: prioritizing and standardizing workflows, building consistencies to functionally achieve deliverables and ensuring the alignment of all stakeholders. • Navigant's analytics team is prepared to work in coordination with the Health Systems Business Intelligence team and SMMC's data analytics leader to help determine the necessary tools for key stakeholders to leverage data to make informed decisions.
MEANING	• Increase effective presentation with timely presentation in the right forums leveraging Navigant data presentation approaches for high performing organizations
USE	• Navigant will work directly with SMMCs key stakeholders in supporting them in managing the execution of existing workplans. • As needed, Navigant will work with SMMC in developing any workplans and/or determining 'Metrics that Matter' to optimize execution and attaining optimal results. • Use data to make decisions, set priorities and allocate resources • Communicate performance, share best practices
CULTURE	• Navigant will support and engage established LEAP program as a key method to manage change enterprise-wide. • Navigant will support and actively engage all key stakeholders (e.g. leadership, physicians, others) as valued contributors in managing change. As a patient-centric organization, Navigant will support SMMC stakeholders in executing the appropriate oversight and accountabilities required for success • Through this work Navigant will help build a Data driven, accountable, transparent, measurement literate culture
REALIZING RESULTS	• Demonstrate improved and sustained improvement aligned with goals

Project Communication – Building Trust Throughout the Process

A communications strategy will be developed and involve adoption of:

- Project tracking with status reports

- Identifying stakeholder groups

- Establishing appropriate communication channels and agreeing on the frequency of communication with each stakeholder group

- Focus on supporting stakeholder understanding of all relevant projects while enforcing compliance tracking for each initiative within the work plans

Ambulatory Clinic Operations and New Patient Connection Center

To optimize SMMC's ambulatory care delivery model, we understand SMMC plans to embrace breakthrough processes and functions in choreographing strategic and operational imperatives required to transform ambulatory clinic operations. Using a two-phased process, we will provide the expertise and resources to facilitate implementation of SMMC's Ambulatory Clinic strategic and operational plans. Navigant will also identify any additional improvement opportunities in current operations and delineate, where appropriate, between those opportunities that are foundational versus those that are truly transformative.

Phase 1: Foundation and Launch

Navigant's Ambulatory Clinic operations enhancement methods are grounded in a combination of quantitative and qualitative analyses. Navigant will quantify operational and financial opportunities using established national and proprietary benchmarks around productivity, staffing, and expense management, including revenue opportunities.

Our approach will include the following:

- Work collaboratively with SMMCs Ambulatory Clinic operations leadership and stakeholders to observe and understand how each of SMMCs clinics are currently operating. This process includes the review of roles, functions, productivity, practice guidelines, competency trainings, existing patient satisfaction, financial and revenue KPIs, quality outcomes and, stakeholder engagement, existing work plans and barriers impacting execution; and, others yet to be determined.

- Conduct a benchmarking analysis to identify SMMCs current performance in the context of other similar organizations thereby providing an external market, regional, or even national basis of comparison. This external view into potential performance standards provides alternative methods to deepen our understanding of productivity performance outcomes using a variety of benchmarking tools, including MGMA, AMGA, Sullivan Cotter and additional proprietary Navigant tools and data resources.

- Navigant understands, supports and has experience in working with workforces that are represented by unions and with that, the importance of ensuring contract compliance.

- Throughout our work, Navigant SMEs will work with SMMC's clinical and administrative stakeholders so that we provide operational support required to implement the breakthrough initiatives outlined in the Ambulatory Clinic strategic imperatives.

  - Navigant will share leading practice workflows and staffing configurations to support the development of improvement plans to optimize alignment of resources, supply and demand.

Navigant will use performance results to identify and prioritize opportunities and develop a comprehensive management action plans (MAPs) that complements the following strategic, financial, and operational objectives:

- **Strengthen Primary Care**

  - Population Medicine

  - Team-based care model design and implementation

  - Leveraging telemedicine to augment clinic staffing models

  - Managing Complex Patients

- **Expand Specialty Care Services**

For Ambulatory Clinics with the greatest opportunities, Navigant will work with the leaders of those clinics to craft a concise MAP with recommended tactics to achieve benchmark performance. In turn, Navigant SMEs will support management of the MAPs in support of delivery, oversight, accountabilities, and results tracking.

Navigant uses and integrates analytics into our implementation approaches. Navigant will support SMMC stakeholders in demonstrating the knowledge and skills required for success through knowledge transfer, coaching, and mentoring.

Navigant strongly believes that this high degree of collaboration is key in building consensus and stakeholder support to produce high-quality, fully vetted, prioritized, and ultimately, actionable results.

High-level Summary – Ambulatory Clinic Operational MAP Building and Execution *(Examples)*		
Focus Areas	**Analytics / Tools**	**Foundation Building**
(Examples include) • Adopt Ambulatory Clinic operations strategic plan and build MAPs to initiate launch • Align with Care Continuum imperatives • Patient Access • Provider Productivity • Staffing / Scheduling • Expense Management • Leadership and Accountability • Physician / Team Engagement • Population Medicine / Case Management • Team Based Care	• Physician and Advanced Practice Provider productivity; Schedules – Supply / Demand; Roles / Functions; Provider Contracts, etc. • Clinical skill mix of RN, LPN, MA and others • Non-clinical staffing ratios based on provider FTE and patient volume • Referral patterns • Expense benchmarks by G/L category • Span of Control • Others: TBD	• Assess workflows to identify variation by clinic or by provider and, other assigned staff • Identify areas of redundancy or gaps in process • Evaluate procedures to identify areas of opportunity • Understand and include labor agreements and other contracted services

Phase 2: Launch and Transfor

Navigant will work directly with SMMC stakeholders to deepen and 'hardwire' transformation strategies to successfully launch and sustain performance required for success. Top priority areas identified for each clinic and strategic imperatives will be determined, managed, and tracked to achieve operational targets. Phase 2 will include the following:

- Hardwire MAPs to achieve desired performance in targeted areas including prioritizing and sequencing opportunities

- Confirm the overarching project implementation timeline and high-level implementation plan for each opportunity

- Adopt 'Metrics that Matter', tools and technologies to support success

- SMEs continue to provide direct support to SMMC stakeholders throughout execution of implementation strategies including prioritizing "quick wins"

Ambulatory Patient Workflow

Improving ambulatory clinic operational performance is grounded and optimized when clinics adopt consistent practices that are transparent to the patient populations served. Navigant will provide the expertise in supporting day-to-day clinic management practices with a keen focus on removing barriers directly impacting patient experiences such as access, scheduling, wait times, etc. Other areas impacting performance include labor and non-labor costs and utilization, staff training, team building, reducing unnecessary overhead expense, and streamlining work flows and processes. Adoption of existing LEAP Clinic-based work teams will be supported so that planned work efforts are managed and implemented, with measurable outcomes. Typical areas of focus include:

- Distribution of centralized versus decentralized functions

- Barriers to service such as internal referral management, ancillary support, EMR utilization, purchasing, drug formularies, etc.

- Staff utilization and development including staff availability, skill mix, training, performance evaluations, customer service standards, communications, etc.

- Establishing clear delegations with performance metrics and the management of data

- Reengineering the patient flow and capacity management processes

- Possible consolidation of services / locations, additional service offerings

- Effectively manage patient referrals as Specialty Services are optimized and patient access is improved

The table below, a typical output of Phase 2: Patient Access (similar tactical plans will emerge for other focus areas):

Tactic	Accountability	Metric
• Team building sessions to align a 'team' model	• SMMC Executives • Medical Directors	• Completion date: TBD
• Create Patient Access Dashboard, to be shared weekly with providers, staff and executive team • Monitors vital access metrics and performance to goal	• Medical Directors • Managers	• Actual vs. Goal (same day for primary care, 2 days for specialty) • No shows, by provider, actuals vs. goal (≤5%) • Calls handled / scheduler / hour, Actual vs. Goal of (12) • Abandonment rates Actual vs. Goal (5%) • Avg Speed to answer scheduling calls (<30s) • Percent appointment slots filled per week (85%)
• Implement twice daily schedule scrub with care teams • Strategic Overbooking based on cancellation rate trends	• Medical Directors • Managers	• Sign-off by each provider, quarterly audits thereafter
• Standardize scheduling templates, by specialty, with a focus on limiting "scheduling rules" • Reconcile schedules so that clinic-based specialists are meeting the 36 contact hours per cFTE for patient care	• Medical Directors • Managers	• 1:1 meetings with providers • Templates reconfigured in pre-EHR go live
• Pilot 1-2 evening per week (until 8:00pm) and 1-2 Saturdays per week (8-	• Medical Directors • Director of	• TBD

Tactic	Accountability	Metric
noon)	Operations • Managers	
• Migrate to 1:1 Primary Care Physician to Advanced Practice Provider Ratio (cFTE/cFTE)	• Medical Directors	• Completion date: TBD

Navigant will assist SMMC in the adoption of the following implementation tactics with MAPs and consistent operating practices:

Implementation Tactics
Access / Productivity
Communication Plan with Staff and Physicians
Physician Engagement through "Guiding Principles"
Internal Referral Capture Rate / Leakage – Prioritize Primary Care / Proactively Manage Scheduling Backlog
Physician and Support Schedules, Staffing, Span of Control, and Accountability
Leverage Existing Ambulatory KPIs and Related Processes to Drive Results
As Needed, develop a Sustainable Path Forward with Action Plans and Timelines with Metrics that Matter
Optimize Clinic Financial Performance
Examine Demographics of Missed Covered Lives

## Centralized Call and Customer-Contact Center: "NPCC 2.0"

SMMC has identified the need to create a consolidated patient contact and scheduling center. Navigant acknowledges SMMC's creation of the 'New Patient Connection Center' (NPCC) and is building upon this work as 'NPCC 2.0', described below, reflects the evolution and next generation of the NPCC. We propose that NPCC 2.0 will initially prioritize patient contacts and scheduling. However, we will seek to expand NPCC 2.0 services to include outreach, pre-registration, authorizations and financial clearance.

Next generation of NPCC

A 'Next Generation' Centralized Call and Customer Contact Center ("NPCC 2.0") moves beyond functions and capabilities to a model that will provide every customer a consistent, high quality, repeatable experience for every interaction across the health system.

"NPCC 2.0" is the focal point of communication between consumers and providers to initiate or continue the provision of care. It facilitates a positive patient experience by responding to or escalating customer needs in an appropriate and timely manner.

An effective strategic design and implementation of a comprehensive centralized center can drive the following outcomes for your organization:
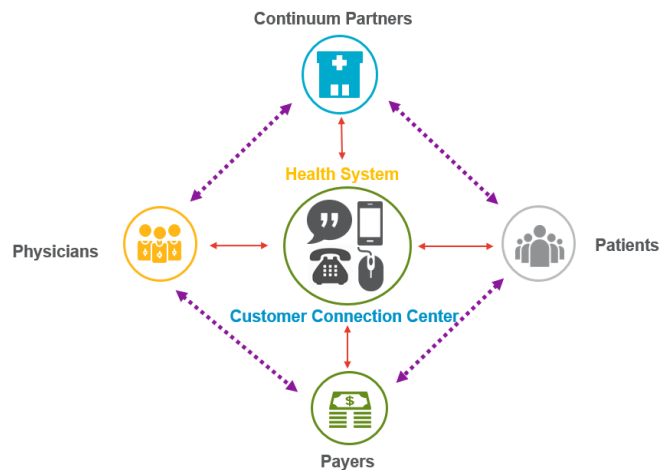
Provides a *single point of contact* to serve patient/customer needs, serving as a market differentiator based on ease of access and high level of patient service	*Improves access to all services* (Inpatient, Outpatient, Ambulatory, Physician, etc.) and improves efficiencies by eliminating "silos"	*Improves the customer experience* which impacts customer (patient, employee, partner and physician) satisfaction, the retention of a "patient for life" and performance-based scores

An effective Customer Connections Center has the potential to be more than just the "face" of your operations… it can be the epicenter of your identity

Creates a *revenue driving mechanism* through improved data collection and financial clearance, increased referrals and outgoing call campaigns	*Improves the efficiency and effectiveness* of managing the flow and services provided to patients which can be a *market differentiator* for a health system	*Standardizes and optimizes the call center functions* (focus on increased automation, improved productivity and reduced manual tasks / re-work

Navigant will provide support to SMMC stakeholders to further explore the development and implementation of "NPCC 2.0". The process will begin with the ambulatory clinic scheduling. Navigant recommends the following steps in supporting SMMCs vision to "Centralize a Contact Center Design and Implementation" engagement:

Step 1: Project Kick Off and Current State Review

The Project Kick-Off helps to lay the initial foundation for the entire project. It is important that this phase is collaborative with the SMMC project leads so together we can communicate the goals and intended outcomes for the overall project.

After the Project Kick-Off, Navigant will work with SMMC to conduct a high-level Current State Assessment.

Step 2: Strategic Design

The design of "NPCC 2.0" could impact the recommended implementation approach, resources and timing. It is important to define the following:

- Operations Governance Structure

- "NPCC 2.0" Operating Model Design

    – Scope of Services

    – Structure / Resource Needs (to be utilized for staffing analysis and job description development)

    – Detailed processes and Policy decisions

    – Facility Planning Review

    – Technology

        o Business functional requirements – Omnichannel Patients / Customer engagement model and requirements

        o Business Operations requirements

        o Application and infrastructure requirements

        o Business and technology logical design

    – Key Performance Metrics

Navigant recommends that SMMC utilize a rapid design process that we refer to as **IMPACT** design sessions. These facilitated sessions will allow SMMC to define the final model design for the all impacted processes. Navigant will bring leading practice materials to kick-start the *Impact* design process.

Step 3: Implementation Planning

The implementation plan will be collaborative, multi-disciplinary steps focused on the key areas for the implementation. This plan will serve as the guide throughout the build and implementation phases.

Step 4: Solution Design and Development
Examples of key activities that will occur in this step of the project include:
1. Organizational structure

2. Operations / Processes / Work Delegation (including but not limited to scheduling templates, patient scheduling instructions, scheduler instructions and questions)

3. Human Resources

4. Workspace / Facility Plan

5. Technology (including Omnichannel roadmap)

6. Change Management and Project Communication

7. Performance Monitoring

8. Onboarding, Training and Education

Step 5: Implementation and Operationalization support
The final phase is the Implementation and Operationalization support. Navigant will provide project management leadership to go live during the timeframes determined in the project timeline. Navigant will work on a transition plan with SMMC and work to prepare the SMMC project leads to take the project management roles after the initial go live.
Navigant would also provide our proven approaches to "Go Live" support as each component of the model is implemented. This approach includes techniques such as:

- Baseline metrics established prior to Go Live

- On-site assistance during the Go Live

- Floor coaching

- Issues monitoring

- Daily debrief meetings during initial phase of Go Live

- Post-go live re-assessments

- Status updates and issues escalation

- Metrics reporting / project impact

The keys to successfully implementing a Centralized Contact Center will be depend on the strategic design, development, and full execution of the following components:

Strategic Vision
Create a "single brand" experience for customers across the health plan, medical practices, and hospitals. The vision should include ongoing focus on maintaining constant innovation in the solutions and go-to-market plan.

Organizational Design and Change Management
A defined organizational model with ownership, roles and resource development is key. Communication and change management but be integrated into the initiative approach

Execution Roadmap
The evolution to a comprehensive CCC will be a journey and must always align with ultimate strategic vision for the CCC.

Technology
Use of integrated and scalable technology to support the customers' ability to easily access services through personal preferred modes. Improved automation and reduced handoffs between departments.

Process Improvement
Continuous focus on the design, build, implementation and ongoing adherence to standards which result in improved operational development and process efficiencies.

Metrics and Ongoing Accountability
Defined, tracked and fully integrated performance metrics. Alignment of goals amongst all key stakeholders across the enterprise

Enterprise Care Continuum and Case Management

Case Management Support

SMMC is seeking assistance in optimizing day-to-day case management department functions. Navigant's *Case Management Imperatives (CMI)* serve as the metronome to creating a high reliability and high accountability case management department. Navigant will adopt CMI practices to facilitate optimizing the day-to-day department functions including assessing current case management roles and functions, identify gaps and provide a high level transformational roadmap. Navigant understands that SMMCs most urgent priority regarding hospital-based *Case Management* focuses on providing day-to-day operational support regarding leadership development and work flows. To support this priority, Navigant will provide a *Case Management SME* who will:

- As SMMC recruits and fills the current vacant Director position, our Navigant SME will work with key stakeholders in providing department support under the direction of the designated SMMC accountable executive. Once a candidate is selected, Navigant will mentor, coach and facilitate the training of the selected candidate.

- Navigant will support the transformation of inpatient *Case Management* including adopting best practices including case manager work flows.

Navigant's SME will work directly with SMMCs key stakeholders in supporting the adoption of CMI practices as reflected in the table below:

Areas of Focus	Qualitative	Quantitative
Case Management Operational Assessment	**Case Management Care Excellence Standards** • Department Model • Staffing as it relates to point entry • Departmental Operational Workflow	• Staffing ratios • Productivity

Utilization Review / Revenue Cycle Alignment	**Utilization Review Process**
	• Medical Necessity Record Review
	• Concurrent Utilization Review Process
	• Admission Review
	   – Continued Stay Review
	   – Retrospective Review
	• Adherence to the Utilization Review Process
	   – Application of nationally accepted, evidence-based care guidelines
	   – Payer Communication
	   – Use of Medical Physician Advisor
	• Denial Management
		• Observation rates
		• Concurrent denials
		• Peer-to-Peer reviews
		• Medical necessity denials
		• Appeal rates

Regulatory Compliance	Compliance with Condition of Participation for the Centers for Medicare and Medicaid Services • Important Message from Medicare • MOON Notice • Two-Midnight Rule • Condition Code 44 • Discharge Appeal Process • HINNs / ABNs	• Provider Liable claims • Readmission rates

Our approach in optimizing Case Management functions begins with connecting with SMMCs key stakeholders. We envision our Case Management SME will conduct an assessment and provide day-to-day operational support. We will vet findings with key stakeholders and develop a management action plan (MAP) in collaboration with SMMC.

From time to time, we identify opportunities during the assessment where a rapid implementation cycle might bring value. Our Case Management SME will support SMMC in optimizing Case Management functions. The touch points allow for expedited approvals.

Key SMMC executive stakeholder support will be essential for success including:

• Assure a high level of participation and supporting the collaboration required to effectively manage the adoption of practices that will optimize outcomes

- Actively engage the participation of physicians, nursing, and other key stakeholders

- Transmit requested data via a secure file transfer protocol or other secure method

- Case Management functions are inpatient based and align with Care Continuum in supporting the coordination of patient care across SMMCs enterprise

Care Continuum Support

SMMC desires to execute on its strategic plan that includes 1) Strengthening primary care, 2) Expanding specialty services and 3) Building a community of problem solvers who can apply innovative care solutions for your populations. For a comprehensive and integrated approach, a care management solution must include and transcend the acute care environment, offering authentic solutions in ambulatory levels of care for patients in their homes and community. Therefore, effective care management strategies must span the care continuum and engage care team members across settings to manage shared patients.
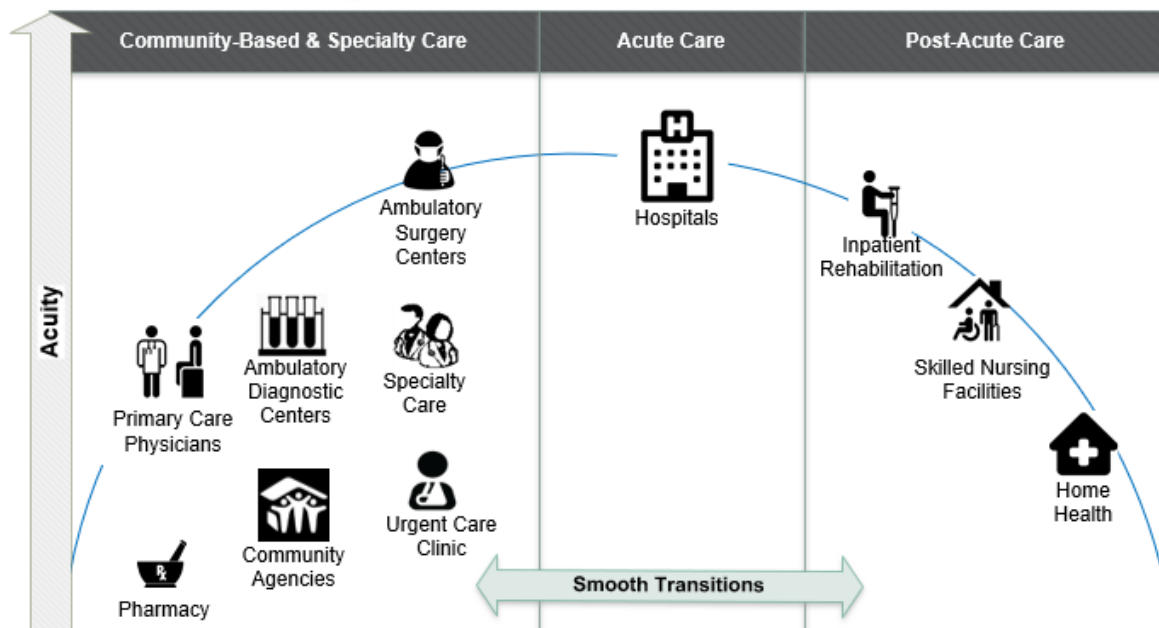
An **Enterprise Continuum of Care Management** creates a common vision and shared priorities; aligns structure, accountabilities and process; removes redundancies; and increases care teams' ability to provide seamless, whole person care that engages patients and their supports.

Additionally, an effective care management program must be flexible since different strategies are required to be successful under multiple value-based contracts that range across populations. The strategic roadmap must consider the impact to fee for service, pay for performance and shared risk. Navigant's point of view is that Care Management services and approaches *should be aligned with your organization's volume / value roadmap* and provided where there is a demonstrated opportunity to drive measurable improvement in cost, quality and experience that is aligned with payer models. Achieving streamlined processes across care settings while being flexible to meet contractual commitments requires an enterprise approach.

An enterprise model for care management creates a common vision and shared priorities; aligns structure, accountabilities and process; removes redundancies; and increases care teams' ability to provide seamless, whole person care. The goal of such a care management program is to see that patients receive the right care and services at the right time in the most efficient and cost-effective manner while optimizing health status and care experience. Guided by the triple aim, our work together will focus on evolving your current environment to one that:

- Advances integration of programs across the continuum and eliminates "silos"

- Defines the value propositions for care management programs across the continuum

- Aligns prioritization and goal setting

- Optimizes care management impact on FFS and pay for value opportunities

- Identifies and plans for the enablement infrastructure required to successfully manage care across the continuum

Scope of Services

Navigant will work with you to develop and implement an **Enterprise Continuum of Care Management model that spans ambulatory, acute, and post-acute environments**. Our work will be conducted in three (3) phases with concurrent work streams occurring with each phase:

- Phase 1: Discovery

  – Navigant will conduct activities designed to help us understand more fully your current strengths and areas that must be 'shored up' to achieve goals.

- Phase 2: Design

  – Based upon learnings in the discovery phase and your specific goals, Navigant will partner with you to design an effective enterprise continuum of care management model. As designs are approved roadmaps for implementation will be developed.

- Phase 3: Implementation

  – Navigant will work side by side with you to implement change and put processes in place that promote sustainability.

Approach

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Phase 1: Discovery

Purpose

Navigant will conduct activities designed to help us understand more fully your current capabilities, strengths and areas that must be 'shored up' to achieve goals. Information gathered in this phase will assist us in targeting areas for improvement.

Key Activities

1. Conduct start-up activities:

   - Hold a work stream kick-off meeting to confirm schedule, key stakeholders and coordination of data request.

   - Determine the oversight structure that supports effective guidance and decision-making.

   - Identify SMMC Sponsors who are responsible to provide direction and organizational insight to the Navigant team.

   - Define an existing leadership group or a Care Management Design Steering Committee be identified. This group should be comprised of representatives of leadership, physicians, care management (including acute and ambulatory), and others as identified by you. This group will review findings and provide ongoing input decisions to formulate the newly designed care management program.,

   - Provide a data request which will provide Navigant with insights into current tools, processes and outcomes used by the various parties.

2. Conduct a desk audit of data and interviews with key stakeholders across the continuum of care to gain a broad understanding of stakeholder perspectives and facilitate engagement in design.

Deliverables

   - Summary of key themes and target strategies for design

   - Recommendations for prioritized focus areas for design (phase 2) and next steps

Phase 2: Design

Purpose

Develop effective programmatic designs that will guide implementation of the Enterprise Continuum of Care Management (ECCM) model and achieve identified outcomes.

Establish design teams responsible to bring your experts together to collaborate, align point of view and design an ECCM solution. We will create actionable plans using the following design principles:

- Develop programs through the patient's lens

- Align care management designs with leading practices for inpatient and ambulatory care management

- Pursue impactful strategies that optimize outcomes and efficiencies

- Develop scalable programs that respond to the current environment while laying the foundation for greater capabilities in a value based environment

- Seek opportunities to build common "core" capabilities, while configuring for specific programs as appropriate

Because skill mix and focus are much different between acute and ambulatory levels of care, during this phase and implementation, concurrent activities will occur. However, for appropriate integration, work will be organized around three (3) primary outcomes with use of sponsors and leads as connection points:

Reduced cost to treat

- Reduce Length of stay

- Reduce cost per case

- Effective care progression and discharge planning

- Practice evidence-based care through InterQual application and effective medical necessity determination

- Leverage Physician advisory services

Reduced cost of care

- Reduce preventable events

- Close gaps on P4P quality measures

- Develop innovative connections with community services

- Maximize team-based care with the primary care physicians as the 'quarterback'

- Align ambulatory care management processes with clinical protocols based upon population risk levels

Programmatic efficiencies

- Denials management

- Optimization of Utilization Management Committee

- Reduced duplication of tasks and streamlined processes with integration at transition points

- Team members who work at top of license

Key Activities

1. Develop workgroups to address change initiatives that require redesign.

   - Identify common elements, mutual dependencies, and opportunities to leverage and integrate system and program specific (Hospital, Clinical Service line, Ambulatory) Care Management programs

   - Identify and plan for unique needs of the System, care levels and population specific care management programs ensuring needs of each are met

   - Facilitate and support discussions amongst key stakeholders to build consensus and validate integrated ECCM design

   - Identify key integration points between programs and align how distinct settings view accountability for seamless transitions

   - Evaluate ability to leverage current efforts and resources focused on the identified target populations

2. Support impacts on outcomes by reviewing acute and ambulatory ability to stratify patients according to risk to target interventions and resources in a cost-effective manner

3. Create designs that consider the whole person and 'pull' patients into levels of care by deploying multiple modes of contact and outreach (in person, telephonic, in homes and physician offices)

4. Develop an overall vision for ECCM governance and accountability

   - Identify an organizational structure that aligns the enterprise and accountability across levels of care. Please note that an integrated structure aligns vision and priorities while operational leadership and resources are focused on inpatient, ambulatory and physician practices.

   - Define communication and integration points with other organizational structures

   - Define high level roles and responsibilities

5. Conduct a staffing analysis to confirm that resources are aligned to benchmarks, are targeted according to patients' level of risk and meet requirements in pay for performance contracts

6. Define initial measurement and reporting plan

   – Identify target list of key leading and lagging metrics (clinical, financial and process measures)

   – Define staff level interventions / activities that support achievement of measures

7. Prioritize implementation of designs

   As design planning occurs, some changes may be more of a 'just do it' and will be implemented immediately so benefits can be maximized.
   In contrast other designs will require thoughtful planning to implement (i.e., sequencing of steps, development of new training material, hiring or adjustment of staff, technology changes). In this case, the following activities will occur:

   – Develop an implementation plan to include tasks, primary ownership for execution and corresponding timelines.

Deliverables

- ECCM Oversight:

  – Program Leadership / Governance structure

  – Guiding Principles for Transformation

  – System metrics to guide success

- ECCM model including:

  – Key elements / Programmatic changes within acute and ambulatory levels of care

    o People, process and technology changes required

    o Staffing

    o Risk stratification

- Short and long-term target opportunities

- Phased implementation strategy and roll-out plan

  – Milestone map
  – Risk mitigation plan for key issues

Purpose

Provide implementation support to develop detailed plans and execute changes that achieve the Enterprise Continuum of Care Management vision.

Key Activities

Navigant will partner and work with your team shoulder to shoulder to accelerate implementation and impact while training your resources to assume ongoing responsibility and accountability for results that are sustained. Implementation activities include but are not limited to:

- Project management and oversight of the implementation to support timeliness of implementation, risk mitigation and effective communication

- Assistance in development of staffing matrices, policies / procedures, tools and training

Deliverables

- Change management and communication plan

- Staffing models / matrices

- Status reports

- In partnership with SMMC:

  - Job descriptions

  - Policies and procedures

  - Metrics development

  - Training

Clinical Operations: ED and Perioperative Services

The over-arching focus for Navigant supporting key SMMC stakeholders aligned with the designated Clinical Operations: ED and Perioperative services, is grounded in identifying potential operational efficiencies. It is our understanding that SMMC has lead and embraced various initiatives focused on enhancing operational performance and with that work, is demonstrating improvement in outcomes. The specific support is reflected by each department below but generally the scope of work will focus on:

- Identifying operational opportunities

- Where appropriate and best practices are available, provide clinical standards of care and recommendations

Emergency Department:

Navigant understands the need to optimize the ED operating and financial performance. For example, August financials reflect that their financial performance is unfavorable to budget and the product-line financial report reflects revenues compared to costs being ($9.9M) unfavorable. Publicly reported data reflect SMMC's average time patients spent in the ED before seen by a physician is 56 minutes, compared to the California standard of 29 minutes. The longer it takes to see the provider directly correlates to patient satisfaction, LOS and utilization of nurse staffing. The ED is the 'front-entrance' point for the community, setting the patient's first impression' of SMMC. Hospitals are keenly focusing on improving patient experiences, timeliness and appropriateness of care. Patient throughput initiates in the ED. Appropriateness of admission and the classification of admission status are determined in the ED setting. Failure to determine the right level of care based upon the patient complexity leads to denials of reimbursements related to medical necessity. It is important for SMMC to link patient experiences in the ED with the over-arching Enterprise Continuum Care Management work stream as again, the ED is a key setting and driver in coordinating points of care for SMMC patients. Further exploration of ED operations with a management action plan (MAP) are essential.

Navigant's SMEs will interface and meet with SMMC stakeholders on a weekly basis so that the appropriate oversight and accountable results are tracked and reported. Navigant will:

- Assess current ED operational performance with a keen focus on patient access, triage, appropriateness of visits (right setting that compliments the patient's needs), staffing and provider roles and functions, contracted services, quality and financial outcomes, etc.

- Collaborate with SMMC key stakeholders in developing a management action plan (MAP) and provide oversight in supporting the implementation of plan imperatives

- Align SMMC objectives and remove barriers in care delivery

- Provide consistent and accurate reporting of department progress to management

- Define consistent standards and metrics

- Support the acceleration of decision-making

Navigant will work with the designated ED leadership, physicians and others, to create, organize and launch two sequential and integrated phases focused on facilitating ED transformation:

- **Phase 1:   Foundation and Launch**

- **Phase 2:   Launch and Transform**

These phases will establish key operating principles and practices, optimize the supply, demand and deployment of resources and other recommended operational enhancements. Navigant's SMEs will adopt and teach operational improvement tactics that enable leaders and staff to keenly focus as 'patient-centric' advocates. Tactics will include methods for accountability and ongoing measurement.

Phase 1:   Foundation and Launch

Navigant will request specific ED measurement data to create a baseline performance and will track progressive performance throughout the implementation of ED transformation imperatives. Navigant will work directly with all designated key stakeholders to see that a full understanding of the operational realities exists within the department. In partnering with SMMCs stakeholders, Navigant will develop a customized Management Action Plan (MAP) that will incorporate quality, services provided and financial performance targets and results. Steps in this process include:

Step 1: Evaluate and Analyze Current State Emergency Department Operations through Qualitative and Quantitative Analyses

In this step, Navigant will begin the qualitative and quantitative review of the SMMC Emergency Department. Specific activities in this stage include:

- Create and submit an interview list for key stakeholders, management and Leadership

- Leverage any existing labor and non-labor performance data. Doing so facilitates SMMC stakeholders in their transparent understanding about the ED performance.

- Understand current work in progress to coordinate with, verify and/or avoid duplication

- Review existing studies and reports; understand organizational goals, program goals and current practices and begin analysis of data for each solution

- Analyze key performance indicators (KPIs) to understand whether the operating model within the ED is functioning efficiently. KPIs typically include: cycle times, staffing to demand, span of control, among others

- Review professional and provider contracts including labor and non-labor agreements, scope of services, costs and performance results

- Assemble SMMC stakeholder interview results, understanding of organizational and operational goals and results of comparative analyses. These are key components of a detailed Management Action Plan required to guide and direct implementation strategies

- Review initial results of qualitative and quantitative analyses to identify consistencies and anomalies

Step 2: Identify and Define Opportunities and Required Changes

In this step, Navigant will further evaluate the Emergency Department to determine performance targets and operational change requirements that would help realize the proposed levels of change. Navigant will define opportunities and the types of activities and changes required for a successful transformation of ED operations.

Specific activities include the following:

- Define and validate opportunities for process redesign, management tools, practice changes, quick wins, policy changes, training and education needs, etc.

- Organize facts and findings to develop initial opportunities, verify initial opportunities for alignment with organizational goals, determine impact of opportunities on other initiatives and define magnitude of opportunities

- Define opportunities impacting barriers

Step 3: Prioritization and Launch

In this step, Navigant will create a portfolio of opportunities to be vetted and included in the successful launch of transformation imperatives for the SMMC Emergency Department.

Specific activities include:

- Prioritize initiatives for implementation, realization and longer-term opportunities

- Define impact of the initiatives on existing process and organizational structures

- Prioritize by types of opportunities and balance with financial, cultural and operational impact

- Organize and sequence opportunities for implementation based on complexity, series of changes required, likelihood of sustainability

Phase 2: Launch and Transform

Navigant will work with SMMC stakeholders to achieve two main objectives:

Objective 1: Finalize ED operational metrics and demonstrate improvements as planned

Navigant will work with SMMC stakeholders in establishing ED operational *"Metrics that Matter"* that will be staged and progressively challenge performance with the end-goal to achieve 'best in class' performance. These metrics may 'stretch' and/or assertively focus on achieving key

performance levels at specified milestones. They will also be pragmatic and align with proven tactics for success. As SMEs, we achieve consensus through our partnership and collaboration.
Navigant will work with ED stakeholders in developing the following steps required to finalize ED operational metrics and a glide-path in demonstrating sustained improvements.

- **Step 1: Pace of Change: Adopt SMMC LEAP processes**

  Gain mutual understanding of the key SMMC stakeholders in understanding and adapting LEAP processes in the management and pacing change. Key to impacting operational transformation, is the need to understand and align with the operating cadence, approval and decision-making processes, minimize risks and barriers.

- **Step 2: Confirm that management is aligned and demonstrates support of the ED transformation Management Action Plan required for success.**

  To be successful, Navigant and key SMMC stakeholders will require SMMC executive sponsorship and endorsement of ED operational improvements. This includes open and transparent communications, timely decisions, stead-fast support of planned and agreed upon work efforts, and other support as reflected and designated within the accountabilities outlined and approved within the Management Action Plan.

Objective 2: Hardwire operational tactics and management cadence required to achieve and sustain 'best practice performance. A key success factor includes SMMC executive support and endorsement of the following:

Navigant will work with the key SMMC stakeholders to confirm that Management Action Plans include key tactics, timelines, accountabilities, data and sustained oversight required to achieve 'best in class' performance.

Perioperative Services

Navigant understands that SMMCs perioperative services are quality-driven and have been a main contributor to the organization's financial health. To further support and optimize performance, Navigant will conduct a deep dive to explore the cause(s) and corrective changes required to optimize Block Utilization. Navigant is aware that SMMC is experiencing scheduling delays for procedures. For example, scheduling delays over 270 days for Endoscopy procedures and block time utilization for Cataract surgeries is only 38 percent. Even though Perioperative services reflects favorable financial performance, Navigant believes that conducting a perioperative operational review with a management action plan (MAP) will support opportunities to enhance both efficiencies and financials. A key area of focus will include identifying optimal settings for surgical cases such as inpatient and ambulatory settings.

The deep dive into Perioperative operations will explore the causes and corrective changes required to optimize overall performance including Block Utilization. As we understand, key considerations / issues to be addressed include:

- The need for an OR Model that aligns surgical schedule with surgical setting, and resource requirements

- Case scheduling and pre-arrival practices

- Current staffing levels and practices

- Intra-operative setting inefficiencies

- PACU length of stay, patient discharge/disposition, and alternative bed utilization practices

- Inpatient bed capacity and patient throughput issues resulting in surgical case delays and cancellations

- The need for meaningful Key Performance Indicators (KPIs)

As identified by Navigant's recent onsite visit and document review, the Senior Executives at SMMC would like to build a deeper understanding in the market demand for ambulatory surgical services. Navigant can help the leadership make informed decisions that meet the medical needs of the communities they serve and balance what is best for the entire care network. Navigant will investigate feasibility of establishing an ambulatory surgery service and the responding strategic, financial, and operational impact. As we understand, key considerations / issues to be addressed by this engagement include:

- Possibility, pros, and cons of an ambulatory surgery center

- Options to triage surgical patients to appropriate care setting, i.e. inpatient, minor procedure room, and potential ambulatory surgical service

- Operational cost savings and revenue enhancement opportunity

- Related financial implications, including estimated capital investment

- Alternative uses / functions that could backfill the vacated capacity.

Our experience has shown that a highly interactive and inclusive process is the most effective approach for projects like the one SMMC is embarking on because it results in both commitment and enthusiasm among organizational stakeholders. Further, only through extensive dialogue and active participation by key constituents (Board members, executive management, and physicians) is it possible to develop a solution that reflects both market realities and the unique characteristics of SMMC and its marketplace. During all phases of the engagement process, we will actively seek opportunities to incorporate a variety of organizational interests and inputs.

To address the key issues and questions facing SMMC regarding surgery service lines and the feasibility of building an ambulatory surgery center, Navigant Consulting recommends a phased approach to this engagement consisting of the following phases:

Each of these phases and their component tasks are described in more detail below.

Phase 1: Current State Assessment

The team will focus on developing the "fact base" necessary to support the surgery service assessment, including an appraisal of SMMC' existing facilities, current and possible future operations, current practice of surgery cost-effectiveness evaluation and market dynamics in the

San Mateo county. A key component of this phase will be development of surgery volume projections for SMMC by service line and projection of capacity requirements. We will work closely with SMMC personnel so that we take advantage of and fully leverage any analyses or work already completed by or for SMMC related to this engagement and the associated strategic issues and questions.
Key Work Tasks:

- Refine project work plan and timeline that is defined in this document

- Identify data requirements and collect data

- Schedule and conduct interviews with:

    - Senior executives overseeing clinical operations surgical services

    - Physician leaders

    - Surgery staff

    - Community representatives (e.g., business leaders, public officials)

- Review existing strategic plans, financial and capital plans, business planning documents, growth models, physician strategies, and volume forecasts

- Define and profile service area and market dynamics including demographics, utilization patterns, strategic alignments among providers, etc.

- Comparative assessment of current clinical and non-clinical operations at the department level to determine current opportunities within operations. This assessment will focus on labor and non-labor costs to highlight opportunities that may exist in current operations.

- Prepare volume projections for SMMC reflecting key assumptions related to factors such as:

    - Market demographics by age and sex cohort

    - Disease incidence rates

    - Physician standard of care changes

    - I/P to O/P Shifts

    - Market share changes

    - Service area definition and in-migration changes

    - Regional service collaboration options

Deliverables:
Specific deliverables for this phase of work are as follows:

- Confirmed project objectives, timeframes, expected outcomes, etc.

- Summary of stakeholder interviews

- Summary of market dynamics and SMMC's strategic and competitive position

- Analysis of regional utilization trends and market share by service and geography

Phase 2: In-depth Analysis of Pros and Cons of Ambulatory Surgical Services

Following the completion of Phase 1 and the development of volume projections and capacity requirements, we will be in position to work with SMMC to build an in-depth understanding of benefits and barriers to establishing ambulatory surgical services. Working with SMMC, we will identify and summarize the impact on patients, physicians and employees, gross estimated savings potential, implementation time, operational disruptions, and financial impacts. We will circulate the available options with SMMC key stakeholders to identify and select the optimal plan.

Key Work Tasks:

- Explore feasibility based on SMMC' strategic direction / goals, volume projections, and capacity requirements as defined in Phase 1

- Develop evaluation criteria, which will likely include factors such as:

  - Strategic fit

  - Market impact

  - Patient impact

  - Community impact

  - Financial impact

  - Physician support

  - Timing

  - Capital investment

  - Cost savings potential

- Organize and facilitate a working session with SMMC senior leaders to review, vet, and assess / evaluate the options

- Provide a clear understanding of costs associated with any actions. This will include labor, non-labor, and capital investment if applied

- Build realistic cost models based on obvious challenges and those possible challenges

- Prepare and facilitate meetings with SMMC senior executives, board members to review and discuss assessment results

- Identify the most appropriate option

Deliverables:

- Description / profile / assessment of options

  - Consolidated report providing a summary of all work

  - Strategic, market, patient, community impact of options

  - Estimate of cost savings within current operations at the department level

  - Financial cost models and projections for each scenario outlined, including long-term projections and impact

  - Potential return on investment for each scenario analyzed

- Evaluation criteria

- Optimal Surgery Service Line and Campus Reconfiguration option and backfill / repurpose recommendation

Phase 3: Implementation Plan Development *(optional)*

Should the decision be moving forward with an ambulatory surgery center, we will work with SMMC to develop a high-level implementation plan. This plan will identify the key next steps in the process, delineate major milestones, and assign primary responsibility for implementation.

Key Work Steps:

- Determine scope of services impacted by new ambulatory surgical services

- Measure and model labor, non-labor, and capital costs involved in reconfiguration

- Calculate possible mitigation costs

- Develop implementation plan framework

- Identify key next steps and major milestones

- Determine appropriate phasing / timing

- Assign responsibilities

- Organize and facilitate meetings with senior leaders and board members to review and discuss the implementation plan.

- Refine implementation plan

Deliverables:

- High-level implementation plan

- Final report summarizing:

   – The process

   – Key findings and conclusions

   – Reconfiguration recommendation

Workforce Optimization

Navigant understands that 70 percent of the SMMC's operational expense is related to labor including employed and contracted service providers. SMMC has not recently reviewed the productivity and work force effectiveness at the cost center level and is facing some labor expense challenges.

Our approach in identifying opportunities for performance improvement has both quantitative and qualitative dimensions. We recognize the inherent limitations of benchmarking and prefer to use the results of benchmarking as a guide in prioritizing areas of focus. We also leverage our robust staffing optimization analytics that include demand data, staffing profiles, constraints, and productivity targets to identify the optimal staffing configuration in areas that must staff flexibly to address variability in demand. This approach applies not only to nursing functions, but to ancillary and support services areas, as well. Achieving any productivity improvements requires identifying opportunities to redesign both the "how" and the "who" of the work in any area. Our emphasis on both internal leading practices and external leading practices as identified by our subject matter experts is critical to ensuring that system scale is being leveraged and performance improvements can be sustained over time.

Navigant has outlined our recommended scope, approach, required resources and timing below. Together with SMMC leadership, we will evaluate the organization's systems, structures, and processes to identify opportunities for improvement, and prepare it to complete the detailed design required to implement and sustain these improvements.

Approach

<div style="background-color:orange; color:white; font-weight:bold;">Phase 1 – Assess/Define</div>

Our Assessment work is grounded in a combination of quantitative analyses leveraging productivity benchmarking, our robust staffing optimization analysis, and a review of operational process key performance indicators, as well as qualitative analyses leveraging our subject matter experts in high opportunity functional areas.

Navigant utilizes the Truven ActionOI© productivity benchmarking, and its own proprietary data and innovative tools to identify potential labor savings opportunities and focused areas. Furthermore, Navigant's predictive modeling experts leverage advanced optimization analytics to

bring greater precision to staffing to demand opportunities. Many factors, e.g. the constraints imposed by union and staffing standards environment in California, will be built into the staffing optimization analytics to deliver the practical customized solution. The work focuses on clinical areas to determine the best shift configuration, staffing levels, and skill mix required to match hourly demand while taking work rules and staff preferences into consideration. We also address nonclinical areas that are not typically accustomed to variable staffing models to identify flex opportunities.

The goal of the Assessment Phase is to conduct a comprehensive assessment that not only establishes the opportunity with more confidence but also provides insights into why the opportunity exists. Therefore, Navigant SMEs will conduct interviews with multiple-level leadership to refine our understanding of the unique operating aspects of the SMMC care sites and to understand the operational performance of the high opportunity areas relative to key operational process performance indicators (KPIs). These interviews and review of KPIs are vital to establishing a relationship with operational / strategic leaders, understanding the reasoning why benchmarking shows opportunity in certain areas, and constructing a solid organizational history of previous benchmarking experiences. These interviews will also help us understand how to normalize the benchmarking results so that we have a comparison that best fits with the "on the ground" realities.

Navigant understands that financial realities, even more than benchmarking and other analyses, dictate operational performance requirements. In our experience, benchmarks have only been as strict as market conditions demand. So, the discipline of benchmarking is mitigated over the years. Hence, we use the results of our range of benchmarking analyses to identify and prioritize opportunities in the context of the strategic, financial, and operational objectives of the enterprise.

Focus Area	Analytics / Tools	Assessment
1. SMMC Ambulatory Clinics Labor Optimization • Clinical Support • Non-clinical Support • Administrative / Support Staff • Education and Development • Other Services	• Leading practice process assessment • Staff per FTE Physician • Staff per FTE Provider • Staff per 10,000 wRVUs • Span of Control	• Identify Non-Clinical Staffing Opportunity • Staffing utilization • Deployment of resources • Reporting Structure • Communication Methods • Performance Metrics
2. Hospital Labor Optimization • Hospital Clinical and Ancillary Operations (nursing, inpatient, emergency services, surgical services, ancillary services such as lab, pharmacy and imaging) • Plant Operations	• Productivity analysis at the 25th and 40th percentile using Truven ActionOI / Premier and Navigant proprietary benchmarks • Navigant's Staffing Optimization analysis in selected areas to	• Identify SMMC's hospital workforce opportunity • Navigant SMEs to conduct leading practice metric-driven assessment of opportunities to redesign processes and roles to optimize workflows

Focus Area	Analytics / Tools	Assessment
• Transportation • Security • Food Service • Environmental Services • Facilities / Construction	determine flex staffing to demand improvement opportunities • Leading practice process assessment in top priority functional areas (e.g., ED, Surgical Services, Lab etc.)	

Phase 2 and 3 – Design/Develop and Implementation

Upon completion of Phase 1, we will launch a series of design-implementation teams designated to identify the specific initiatives or solutions that will enable SMMC to achieve its labor optimization target. Ultimately, these teams will complete the detailed design and implementation of the solutions specific to each functional area (e.g., inpatient, surgical services, lab, radiology, physician practice) or process (e.g., patient throughput).

Navigant's approach to labor optimization is focused on developing the comprehensive set of solutions that will allow SMMC's operational leaders to respond to rapidly changing demands, reduce labor expense, and increase employee satisfaction and engagement while leveraging the tools and technologies that SMMC front-line leaders need to drive to desired performance. Our approach is distinguished by the following characteristics:

- Aligns staffing to demand consistent with your model of care delivery

- Improves staff satisfaction through improved ability to meet scheduling requests

- Operational and financial results sustained and enabled by rigorous optimization analytics

- Integrates demand forecasting and workload management with best practice process and role redesign to establish the optimal workforce configuration

- Provides top priority functional teams with a roadmap to redesign and achieve savings

- Identifies additional redundant services across the system

- Assesses tools and technology currently available to front-line managers that are sub-optimized (or not used at all) and identifies gaps in required tools if performance improvement is to be sustained

Sustaining these improvements requires designing and implementing best practice processes and leveraging tools and technology to create more precision in matching resource availability to demand. SMMC's solution set will also emphasize opportunities to leverage system-driven

synergistic opportunities to manage the labor components of your clinical enterprise most effectively.

Given the critical importance of employee engagement in this process, solution set teams will be chaired by SMMC hospital operational leaders and will include cross-functional representatives from across all entities. The following activities describe the process by which we will collaborate with your leaders to identify a realistic and sustainable list of improvement opportunities (solution set).

Leading Practices

Identify and apply a combination of both external and industry best practices, as well as practices already in place that could be applied across the system. Navigant SMEs in areas such as surgical services, laboratory, ambulatory clinics and, food and nutrition services, will recommend industry leading practices and will work with SMMC leaders to identify implementation strategies.

Staffing Optimization

The staffing optimization team will use predictive modeling to design the optimal staffing configuration supported by the requisite scheduling / staffing processes. The team will focus on designing the core vs. flex staff configuration that honors the organization's current or desired policies around scheduling.

Span of Control

This team will focus on assessing the current span of control at the entity and department-specific levels and comparing the current state to industry best practice standards. Based on this assessment, the team will quantify the potential savings associated with defining the span of control standards appropriate for SMMC as a system.

Tools and Analytics

To achieve and sustain the labor management savings identified by these teams, it will be critical for SMMC's operational leaders to use tools and technologies that will allow them to measure and track performance. This team will identify and assess the optimal utilization of existing management tools and technologies within SMMC, the amount and type of training required to improve utilization and identify and prioritize additional tools required to supplement those currently available. It is essential that the operational leaders are equipped with and skilled in using the appropriate tools that will support the achievement of their performance goals.

Upon completion of the Phase 2 Design work, each team will hand off its solution "tool kit" to care site specific functional or process implementation teams to operationalize the initiatives that will achieve the targeted savings. By taking a cross-system solution-driven approach to performance improvement, we will move each care site toward taking best advantage of system economies of scale, developing shared, system-wide best practices, and realizing the desired performance standards.

Navigant understands that SMMC's workforce are members of various labor unions and therefore, have contracts that clarify workloads, scheduling patterns, roles, functions and other agreements that must be sustained. Navigant will work with SMMC's Human Relations department and executives to identify opportunities align staffing resources with care and workload demands.

Transition Plan

We will provide a draft transition plan within 90 calendar days of contract award and the final copy of the plan within 180 days of contract award. We will develop a Transition Plan that outlines, at a minimum the following information:

- Proposed approach to transition operations to another vendor or SMMC;

- Identification and release of SMMC owned documents;

- Transition of all records and other necessary data to another review entity or appropriate custodian;

- Designation of a knowledgeable person who will be available on a daily basis to assist SMMC during the transition process; and

- Proposed timeline delineating the transfer process.

Navigant will implement the approved plan, which will address the following types of activities:

- Transfer of information

- Implementation of a quality assurance process to monitor transition activities

- Training, as needed, of SMMC or other staff in the delivery of services

- Post-Transition services including development of a Transition Results Report and access to our team members with technical and operational expertise

We will also:

- Assist SMMC in an orderly transition at the end of this contract should the Contractor be replaced by another entity.

- Take no actions that will hinder the orderly transition of duties and responsibilities as listed herein, from the contractor to another, separate contractor upon termination of this contract.

- Provide, at no extra charge, assistance in turning over the operations performed under this Contract to SMMC, or designated agent assigned by the SMMC six (6) months prior to the expiration date of the contract.

Transition Protocol

Navigant will release all documents and records (hardcopy and/or electronic copy) necessary to complete the transfer of operations and will provide a final report documenting all such actions. Navigant will receive and follow specific instructions from SMMC regarding boxing, labeling, and shipment of all records utilized under this contract.

Navigant will appoint, with SMMC approval, a manager to coordinate all transition activities. We will conduct transition activities with a partnership spirit and in cooperation with SMMC and any incoming vendors and their Transition Plan.

We will transition the operation and management of all service delivery functions in an orderly fashion to minimize the disruption of day-to-day operations. We will transition responsibilities, knowledge base elements, documents and electronic records, including documentation, on schedule and no later than the end of the contract period. Navigant will respond to any additional SMMC requests for documentation, records, and other transition information not outlined in the Transition Plan within 15 business days of the request or in the timeframe defined by SMMC at the time of the request.

Exhibit B1

In consideration of the services provided by Contractor described in Exhibit A1 and subject to the terms of the Agreement, County shall pay Contractor based on the following fee schedule and terms:

Based on the scope, approach, and Navigant resources outlined in Exhibit A1, Navigant's Professional Fees shall be $3,600,000, plus a Research Data and Technology Fee equal to five percent (5%) of fees, which covers the cost related to outside research and data subscriptions, analytic tools, and technology connectivity. Navigant Professional Fees are based on the experience and skills of the personnel involved. Independent contractors or subcontractors may be utilized from time to time. Professional services will be billed monthly based on the time and resources devoted to SMMC. Reimbursable expenses are subject to terms listed in Exhibit B of the Agreement. SMMC shall pay Navigant within thirty (30) days of the invoice date. A late charge of 1% per month will accrue on amounts not paid within 30 days of the date of the invoice. If a report, deliverable, presentation, retreat, or board meeting attendance is required, Navigant reserves the right to request payment of outstanding fees and expenses prior to submission of such required deliverables. In addition, Navigant reserves the right to suspend services until payment is received on past due invoices. If payment on invoices is past due more than sixty (60) days, Navigant reserves the right to terminate the Agreement without any further liability. Navigant does not predict or warrant the outcome of any particular matter or issue, and our fees are not dependent on such outcomes.

<div align="center">**Exhibit C**</div>
<div align="center">Performance Metrics</div>

County will measure Contractor performance of the services in accordance with the procedures set forth by the performance indicators below. Contractor acknowledges that the performance indicators are a reasonable minimum standard by which to measure Contractor performance of the services.

Measure #1: SMMC executive stakeholders engagement satisfaction is at least 85% favorable.

Method:

1. Select SMMC executive stakeholders to be surveyed regarding their level of satisfaction with the T2021 engagement.

2. On a quarterly basis, Navigant PMO will distribute the T2021 Vendor Survey to SMMC executive recipients.

   a. Example of T2021 Vendor Survey tool for SMMCs approval.

3. Responses will be collected, unaltered and reported to the T2021 Executive Committee by the Navigant engagement executive (Ginger Campbell)

   a. Included in the survey report will be any appropriate enhancement actions.

4. T2021 Executive Committee will review the survey results, actions and determine/approve any further actions.

Measure #2. Work plans are developed with the impact of all key/priority milestones reported monthly for each active work stream

Method:

1. Navigant's PMO will create and maintain a 'T2021 Workplan' report that reflects each work streams' workplan and key/priority milestones status updates.

   a. Report format will be reviewed and approved by the SMMC T2021 engagement executive (Dave McGrew) (see draft attached)

2. T2021 Executive Committee will receive the T2021 Workplan report each month as the engagement governance/oversight committee.

   a. This T2021 Executive Committee will provide any feedback/direction to the Navigant engagement executive who will be responsible for augmenting areas of focus along with project resources.

3. Navigant will provide a T2021 Weekly status report to the SMMC T2021 engagement executive

COUNTY OF SAN MATEO

Attachment J
Vendor/Contractor Access Policy

Overview

Vendors/Contractors play an important role in the support of hardware and software management for San Mateo County. They may be required to access, configure, maintain, and provide emergency support for systems. As a result, the vendor/contractor can be exposed to sensitive data or the need to connect to the County's network may expose the County to unwanted virus or security threats.

Policy Purpose

The purpose of this policy is to establish rules and responsibilities for the vendors/contractors who require not only physical access but also access to the County's network and information resources. This policy is intended to minimize potential exposure from damages and to mitigate any liability to the County as a result of unauthorized use.

Scope

This policy applies to all vendors/contractors who require access to County facilities as well as access to the County's network using non-County owned computing devices to perform work on behalf of the County. This policy also applies to all portable computers (laptops) and portable computing devices (devices that have similar hardware and software components used in personal computers such as a tablet PC).

Policy

Vendor/contractors shall:

A.   Only use information and systems for the purpose of the business agreement with County and any information acquired in the course of the agreement shall not be used for personal purposes or divulged to others.

B. All contractors and vendors contracting with the County shall provide a list of its employees that require access to the County's system and data pursuant to the agreement
   1. The list shall be updated and provided to the Departments and Chief Information Officer (CIO) or his/her designee within 24 hours of staff changes.
C. Safeguard all County data by:
   1. Utilizing data encryption to protect information on computing devices.
   2. Securing the computing device at all times; especially if the device is left unattended for any length of time.

3. Implementing precautions to prevent others from viewing on-screen data in public areas.
4. Notifying the County immediately if the mobile device containing County data or used in the performance of County activities is lost or stolen.
5. Not downloading, uploading, or maintaining, on a computing device, any information that is considered sensitive without authorization of his/her Project Manager or Department Head or his/her designee.

D. Vendor/contractor shall use unique accounts and password management that complies with the County's Information Technology (IT) Security Policy.
1. All passwords and accounts shall be unique to the vendor/contractor and shall not be shared.

E. Vendor/Contractor shall take reasonable steps to protect against the installation of unlicensed or malicious software.
1. All commercial software installed must have a valid license and that the terms, conditions, and copyright laws shall be strictly followed.

F. All County-owned software installed on the computing device must be removed when the vendor/contractor services are terminated.
1. Upon termination of work, the vendor/contractor shall return or destroy all County information and data as well as provide written certification of that return or destruction within 24 hours.

G. Remote access rules and procedures shall be strictly adhered to.
1. Remote access usage must be confined to provide support for County systems; personal use shall be strictly prohibited.

H. In the event that a vendor/contractor disposes of a computing device containing County's confidential information and/or data, the device must be sanitized in such a way that does not allow for the retrieval of data and by Department of Defense (DOD) standards.
1. Alternatively, computing devices may be physically destroyed by a method that leaves the device's data unrecoverable.

I. Vendor/contractor understands that its written security protocols for County-related business shall be available for inspection by the County upon request.
1. For the period that the computing device is on the County's network, there is no expectation of privacy with regard to the contents of the device despite the fact that it is a privately-owned equipment.

J. Vendors/contractors must wear visible identification and if issued a County cardkey, the cardkey must be visible at all times. Use of another individual's cardkey is expressly prohibited.

K. Vendor/Contractor access to County data center(s) must be authorized and approved in writing by the Chief Information Officer (CIO) or his/her designee.

Responsibilities

The vendor/contractor will be responsible for assuring that anti-virus software, with scanning and update services be applied, is installed on its computing device used for County business and that the anti-virus software meets the requirements as set forth in the County's IT Security Policy and the Virus, Patch, and Vulnerability Management Policy. Vendor must also ensure that all computing devices have operating system security patches installed and are updated on a regular basis.

Additionally, computing devices, such as laptops and/or tablets, must include an approved encryption program with configuration that meets or exceeds the County's IT Security Policy.

Vendor/Contractor device(s) may connect directly to the County network with express written approval from the CIO or his/her designee. The Vendor/Contractor must verify to the County that the device(s) have been patched, virus protected, and encrypted. Vendors using devices without approved software and encryption will not be permitted to connect to the County's network.

It is also the responsibility of the vendor/contractor to be familiar with the following policies to ensure its adherence:

- IT Security Policy
- Internet Usage Policy
- Email Policy (if applicable)
- Virus, Patch, and Vulnerability Management Policy
- Data Center Policy

Policy Enforcement

The Director of ISD (CIO) is the policy administrator for information technology resources and will ensure this process is followed. Additionally, Division Directors, Department Heads, and managers are responsible for compliance with County policy within their respective administrative areas.

Those vendors who violate this policy may be subject to contract termination, denial of service, and/or legal penalties, both criminal and civil.

Revision History

Effective Date	Changes Made
August 8, 2009	Policy established
October 22, 2018	Policy updated