**STATE OF VERMONT**

**AGENCY OF HUMAN SERVICES**

**VERMONT DEPARTMENT OF HEALTH**

**DIVISION OF ALCOHOL AND DRUG ABUSE PROGRAMS**

**SEALED BID**

**REQUEST FOR PROPOSALS**

**FOR**

**STATE OPIOID RESPONSE (SOR) GRANT OPPORTUNITY**

**Project Title: Substance Abuse Prevention Network**

**Date RFP Issued: February 22, 2019**

**Written Questions Due: March 8, 2019**

**Responses to Questions**

**Posted: March 15, 2019**

**RFP Proposals Due: April 12, 2019 by 3 pm EST**

**Single Point of Contact: Liz Sanderson**

**Contact Address:** Vermont Department of Health

 Division of Alcohol and Drug Abuse Programs, Suite 207

 PO Box 70, 108 Cherry Street

 Burlington, Vermont 05402-0070

**Email:** **Lisabeth.Sanderson@vermont.gov** **AND**

 AHS.VDHADAPcontracts@vermont.gov

Please be advised that all notifications, releases, answers to questions and amendments associated with this RFP will be posted. The State will make no attempt to contact Applicants with updated information. It is the responsibility of each Applicant to periodically check posting details for any and all notifications, releases, answers to questions and amendments associated with the RFP.

1. **Product/Service Description**

The purpose of this Request for Proposal (RFP) is to prevent opioid use disorder through the efficiencies created by establishing Regional Prevention Networks (RPN), with the long-term goal of having each of the state’s 12 health districts supported by an RPN. This RFP is to fund the development and piloting of one (1) to two (2) regional prevention networks in Vermont. Applicants will be asked to define the “regional” area(s) they plan to serve.

The funding for this grant/contract is from the Substance Abuse and Mental Health Services Administration (SAMHSA) State Opioid Response (SOR) grant. While the SOR is focused on the prevention of opioid use disorder, research demonstrates the strategies for opioid use disorder prevention are the same strategies currently utilized in Vermont to prevent underage and high-risk drinking, prevention of marijuana use, prescription drug use and misuse and opioid prevention.

The activities of the RPN funded through this RFP will include a focus on all age groups to:

* develop and maintain regional readiness and capacity for primary and secondary substance misuse prevention,
* develop and maintain a communications/media plan to educate the community through social media, website, articles, etc.,
* coordinate all training and technical assistance needed for RPN’s designate network areas,
* serve as a policy education institute,
* support and provide data analysis by region/county for use by all communities for needs assessment and sustainability of program activities,
* fund local community prevention and intervention capacity, strategies and initiatives,
* develop a network level strategic plan and logic model,
* develop a plan for outreach and engagement of youth and young adults in substance use prevention and intervention,
* develop a plan for outreach and engagement of any additional target populations, such as low socioeconomic, pregnant, lesbian/gay/bisexual/transgendered/queer (LGBTQ), minority, military, etc.
* bring together coalitions/organizations from across the region and state in an organized network to promote and expand the field of substance misuse prevention and intervention
* serving all towns and Vermonters in the network catchment area
* evaluate network system and evidence-based programs and strategies
1. **Overview & Background**

The Division of Alcohol & Drug Abuse Programs (ADAP) of the Vermont Department of Health (VDH) was established to help Vermonters prevent, reduce and/or eliminate alcohol and other drug related problems. In partnership with other public and private organizations, ADAP plans, funds, manages, and evaluates a comprehensive, consistent, and effective system of substance misuse disorder prevention, treatment and recovery services.

The goals of this grant are reduction of the following substances through evidence-based and promising primary and secondary prevention strategies:

* Underage drinking
* High risk alcohol consumption
* Marijuana and tobacco misuse
* Prescription drug and opioid misuse
* Stimulants, heroin and cocaine

In addition to the substances listed above, this grant will serve to:

* Build capacity and infrastructure at the community, and regional levels

Substance misuse prevention reduces the risks that contribute to alcohol, marijuana, tobacco or other drug use while promoting factors that support healthy lifestyles and communities. It takes a combination of actions, sustained over time, to promote health, and prevent and reduce alcohol & alcohol & another drug use. Prevention strategies are most likely to succeed if they reach people where they live, work and play, such as in their community, school, family and individual environments. ADAP supports communities implementing evidence-based strategies and services across these environments.



Framework

Primary prevention is the proactive promotion of healthy lifestyles and norms that reduce the risks associated with the use of alcohol, tobacco and other drugs, and the promotion of protective factors that support the health and well-being of children and families. **Rather than starting with the identification of programs and strategies, the best way to prevent substance misuse is by first reviewing data to identify existing conditions that either promote risk (risk factor) or protect from risk (protective factor), assessing a community’s readiness and capacity to address the conditions, and then identifying best practice approaches referred to as strategies and programs**. It is fundamental and essential to match and select strategies that align with a community’s receptivity to address substance misuse. Development of a strategic and sustainable plan to implement strategies with fidelity and evaluate for effectiveness can be accomplished by utilizing the Strategic Prevention Framework (SPF), or any other data driven public health model.



Secondary prevention aims to reduce the impact of those at higher-than-average risk for substance misuse, as well as those individuals currently experiencing problems related to use. Examples of secondary prevention can include screening, brief intervention and referral to treatment.

*Concept*

5-years into Vermont’s Partnership for Success (PFS), now titled, the Regional Prevention Partnership (RPP) grant which currently funds twelve (12) grants by geographic area, we have seen many efficiencies on a regional level:

* Coordinated media outreach to individual outlets within the geographic region
* Planful and coordinated strategic planning for the region
* Collaboration at the state and regional levels to develop policy educational documents that each coalition or youth serving agency can use to educate their individual select boards on substance abuse prevention and health issues
* Statewide dissemination of analysis and regional presentation of county level substance abuse data to inform the strategic plan and assist all coalition and organization in applying for grants that require a needs assessment section
* Cross educational, training and technical assistance opportunities to learn from each other’s agency of lessons learned, successes and challenges in implementing evidence-based strategies

This RFP represents the next step in establishing regional prevention networks to further develop and implement this regional approach and model.

This is a one-year grant opportunity with an option to renew for one additional year. Funding for the second year will be based upon performance of the Grantee during the first year and availability of funds. Maximum annual grant amount is $ 450,000 for each of the two networks. Of the $450,000 total, no less than $200,000 is required to be sub-granted to local community organizations focused on meeting the goals and objectives of this grant.

**2. Eligibility**

Eligible applicants include not for profit (501c3) organizations, coalitions, hospitals, municipalities, and other entities qualified to ensure performance of the work. Statewide entities, including coalitions, may apply provided they have the capacity to carry out the RFP requirements. For purposes of responding to this RFP, coalitions are defined as entities composed of several diverse organizations or constituencies that have agreed to work together to achieve a common goal.

Applicant must have a federal tax ID number or identify a fiscal agent with a federal tax ID number. Note: If a fiscal agent relationship is used, the fiscal agent is the applicant and responsible party for complying with all grant requirements. Applicants using a fiscal agent must include in their proposal a Memorandum of Understanding (MOU) with their fiscal agent that outlines the responsibilities of both parties.

1. **Scope of Work**

The Vermont Department of Health (VDH), Division of Alcohol and Drug Abuse Programs (ADAP) is seeking proposals to establish up to two Regional Prevention Networks (RPN) to improve efficiencies in the assessment, planning, implementation and evaluation of evidence-based and promising practices to achieve substance misuse prevention and early intervention of underage and high-risk alcohol, marijuana, tobacco and opioid misuse and use disorder.

***Required Activities*:**

* Conduct network wide 5-year strategic plan utilizing the Strategic Planning Framework for primary and secondary substance misuse prevention, and a network wide logic model
* Award funding of at least $200,000, and provide administrative oversight of direct implementation, monitoring, evaluation and quality improvement to local communities to support substance misuse prevention evidence-based strategies or promising practices.
* Complete accurately and submit on time all Vermont Department of Health (VDH) required reports.
* Develop and implement a network wide youth and young adult engagement and workforce development plan
* Develop and implement a network wide outreach and engagement plan for any additional target populations identified through the needs assessment
* Develop, create and maintain a communication plan to include but not be limited to a social media presence, and coordinate media outreach across all media outlets within the network.
* Facilitation of network wide discussions to develop policy education tools and subsequent collaborative material distribution.
* Development of a sustainability plan for services/activities to be implemented
* Coordination of regional training opportunities, including collaboration with VDH’s Regional Prevention Partnerships (RPP) program manager to ensure no duplication of efforts
* Develop network wide assessment/needs statement utilizing the most recent substance use data both nationally and statewide
* Participation in up to 2 site visits with state staff to ensure grant deliverables are being met, and compliance with corrective action plan if needed
* Develop a yearly workplan for all required activities including staff responsible, timeframe, key partners involved and how progress will be measured
* Using evaluation results and “lessons learned”, develop guidelines to support the development of additional Regional Prevention Networks in other areas of the state
* Complete all performance measures outline in the yearly work plan
* Develop evaluation plan and cooperatively work with state evaluator for this project
* Maintain a collaborative working relationship with ADAP central and regional Prevention Consultant staff throughout the funding period.

**4. General Provisions**

## Grant Terms

The selected grantee will sign a grant with the VDH to carry out the specifications and provide the activities detailed in the executed grant document. Terms and conditions from this RFP and grantee’s response will become part of the grant. The grant will be subject to review throughout its entire term. The VDH will consider cancellation upon discovery that a grantee is in violation of any portion of the agreement, including an inability by the grantee to provide the products, support and/or service offered in their response.

## Anticipated Grant Period

July 1, 2019 – June 30, 2020

## Grant Award

The VDH may award one or more grants and reserves the right to make additional awards to the same applicant or other applicants who submitted proposals at any time during the first year of the grant if such award is deemed to be in the best interest of the VDH.

## Ownership of Work Product and Intellectual Capital

Except for proprietary or commercial software, the VDH will have all ownership rights to the documentation designed, developed, and/or utilized for this grant. All data, technical information, materials gathered, originated, developed, prepared, used or obtained in the performance of the grant, including, but not limited to, all reports, surveys, plans, charts, literature, brochures, mailings, recordings (video and/or audio), pictures, drawings, analyses, graphic representations, notes and memoranda, and, written procedures and documents, regardless of the state of completion, which are custom developed and/or are the result of the services required under this grant, shall be and remain the property of the VDH and shall be delivered to the VDH upon 30 days’ notice by the VDH. A vendor shall not sell a work product or deliverable produced under a grant awarded as a result of bids without explicit permission from the VDH.

## Subgrantees

Any subgrantee hired by the primary grantee must adhere to the same standards and grant provisions applicable to the primary grantee (see Attachment C, Section 19 for sub-agreements). The primary grantee retains overall responsibility for grant performance. **The primary grantee must advise the VDH of intent to hire a subgrantee and provide the name of company, name of president/owner and location of company. The VDH reserves the right to reject the hiring of subgrantee during the term of grant.**

## Invoicing

All invoices are to be submitted by the Grantee using the invoice templates provided by VDH/ADAP. The invoice must be signed and sent to VDH/ADAP via email. Specific instructions for submission are included in the invoice templates provided.

## Grantee Performance Guidance

All grantees will be held to specific performance review criteria over the life of the grant to ensure that project deliverables as outlined in the negotiated grant Scope of Work are being met.

## Key Grantee Responsibilities

The selected Grantee must assume primary responsibility for the implementation of the grant specifications and activities.

* The Grantee will successfully accomplish the tasks described and defined in the Scope of Work.
* The Grantee must abide by all State policies, standards and protocols as provided, and defined in this grant. Before commencing work on this Agreement the Party must provide certificates of insurance to show that the following minimum coverages, as outlined in Attachment C, Section 8, are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the State through the term of the Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party for the Party’s operations. These are solely minimums that have been established to protect the interests of the State.

*Workers Compensation*: With respect to all operations performed, the Party shall carry workers’ compensation insurance in accordance with the laws of the State of Vermont. Vermont will accept an out-of-state employer's workers’ compensation coverage while operating in Vermont provided that the insurance carrier is licensed to write insurance in Vermont and an amendatory endorsement is added to the policy adding Vermont for coverage purposes. Otherwise, the party shall secure a Vermont workers’ compensation policy, if necessary to comply with Vermont law.

*General Liability and Property Damage*: With respect to all operations performed under this Agreement, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:

Premises - Operations

Products and Completed Operations

Personal Injury Liability

Contractual Liability

The policy shall be on an occurrence form and limits shall not be less than:

$1,000,000 Each Occurrence

$2,000,000 General Aggregate

$1,000,000 Products/Completed Operations Aggregate

$1,000,000 Personal & Advertising Injury

*Automotive Liability:* The Party shall carry automotive liability insurance covering all motor vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than $500,000 combined single limit. If performance of this Agreement involves construction, or the transport of persons or hazardous materials, limits of coverage shall not be less than $1,000,000 combined single limit.

*Additional Insured.* The General Liability and Property Damage coverages required for performance of this Agreement shall include the State of Vermont and its agencies, departments, officers and employees as Additional Insureds. If performance of this Agreement involves construction, or the transport of persons or hazardous materials, then the required Automotive Liability coverage shall include the State of Vermont and its agencies, departments, officers and employees as Additional Insureds. Coverage shall be primary and non-contributory with any other insurance and self-insurance.

*Notice of Cancellation or Change.* There shall be no cancellation, change, potential exhaustion of aggregate limits or non-renewal of insurance coverage(s) without thirty (30) days written prior written notice to the State.

## Federal Funds Compliance Requirements

As a recipient of Federal funds under the terms of your agreement with the Department of Health, Division of Alcohol and Drug Abuse Programs, you are responsible for meeting the compliance requirements associated with each Federal fund source. The specific requirements for each Federal fund can be found in the Federal Office of Management and Budget Circulars or Guidance (<https://www.whitehouse.gov/omb/information-for-agencies/circulars/>). We have listed these Circulars and the Guidance below.

The specific requirements for activities allowed or unallowed are unique to each Federal program and are found in the laws, regulations, and the provisions of contract or grant agreements pertaining to the program.

In addition, for subrecipients that expend more than $750,000 in Federal or the equivalent in federally funded products, from *all* sources, an audit is required as defined by OMB Circular A-133 or on or after December 26, 2014, as defined by the Uniform Guidance, Subpart F. The audit process includes a comprehensive audit by an independent auditor selected by the subrecipient. The audit report which is produced must be submitted and reviewed by AHS.

The State maintains responsibility for ensuring that our subrecipients meet the compliance requirements for each Federal program by our monitoring of your organization’s activities under the terms of the grant agreement. It is the responsibility of your organization to meet each compliance requirement.

## Confidentiality Requirements

* Grantee must comply with 42 CFR Part 2, Confidentiality of Records. <http://www.ecfr.gov/cgi-bin/text-idx?SID=475325a89f0362ee73b4ae450afdf0d2&node=42:1.0.1.1.2&rgn=div5>
* Grantee must comply with 45 CFR Part 164, HIPAA Privacy Regulations. <http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=bd8c5750acd0661e1de17c1161bcd325&mc=true&r=PART&n=pt45.1.164>

**5. Proposal Requirements**

## Proposal Guidelines

This RFP defines the scope of work, deliverables and performance measures required. In order to be considered for selection, applicants must complete all responses to this RFP in the format described in this document. Proposals not meeting the requirements described in this RFP will not be considered.

***Bidder’s Conference and Question and Answer Period***

Any applicant requiring clarification of any part of this proposal or wishing to submit questions may do so **on or before March 8, 2019 by 1:00 p.m. EST**. Questions will ONLY be accepted by e-mail at the following address: AHS.VDHADAPContracts@vermont.gov. Any clarification or questions submitted following the last day of the question period to the RFP will not be responded to.

By March 15, 2019, a copy of all questions or comments and the State's responses will be posted at:

<http://www.healthvermont.gov/adap/adap.aspx> and <http://vermontbusinessregistry.com>

Every effort will be made to have these available soon after the question period ends, contingent on the number and complexity of the questions.

***Proposal Format and Submission***

Proposals should not exceed 15 single-sided pages, double spaced, in Times New Roman type using 12-point font with one-inch margins. The budget, budget narrative, organizational chart, workplan, resumes, job descriptions and MOU (if applicable) will not be included in the maximum page limit, and should be submitted as appendices.

The State reserves the right to eliminate from further consideration any proposal deemed to be substantially or materially unresponsive to the requests for information contained herein.

Please note that any and all pages of the bidder’s proposal containing confidential and proprietary information must be clearly marked “Proprietary and Confidential.” After completion of this bid process, all proposal materials are in the public domain. Proposals may not be marked “Proprietary and Confidential” in their entirety.

Applicants are required to submit an electronic application ONLY to be sent to the ONLY email address below.

Applications are due by **3:00 p.m. EST on Friday, April 12, 2019.**

Delivery Methods:

**ELECTRONIC/EMAIL:** Electronic proposals will be accepted ONLY at the following email address:

AHS.VDHADAPContracts@vermont.gov

***Response Sections*:**

Applicants should provide in their proposal the following information utilizing the following headings and addressing the information requested:

**General Background and Experience (20):**

Please provide the following information about your organization, coalition, or entity so that the VDH/ADAP can evaluate your stability and ability to support the commitments set forth in response to this RFP.

* Brief description of your organizations history, present status, and description of your organizational structure.
* Describe at least 1 example of a substance use prevention regional initiative or project your organization has managed in the past 2 years.
* Describe successes you’ve had in working collaboratively with key regional and local partners, and youth or young adults, and provide an example of such a collaboration.
* Describe your experience in managing grants over $100,000, and your organization’s ability to grant funding to local entities.
* The Vermont Department of Health has moved to a reimbursement payment method (see Attachment B for payment terms). Describe your organization’s accounting model and ability to function in a reimbursement environment.

**Statement of Need (15)**:

* Describe the network area you are proposing to serve including the towns or counties you plan to serve.
* Describe the need for this Regional Prevention Network using recent data, and the level of planning and collaboration with the current Regional Prevention Partnerships (RPP) in your proposed catchment area.
* Describe any special sub-populations you plan to serve (low socioeconomic status, LGBTQ, military families, minority, etc.) and the data that supports this focus.

**Approach/Workplan (25)**:
In this section, provide an outline and description of your approach and plan to accomplish the expectations outline in the RFP. Responses should address the following:

* Identify key partners you plan to engage with for network wide strategic planning and describe your outreach and retention strategies.
* Provide a brief description of your strategic planning process and experience in developing a logic model.
* Describe your process for funding local/community entities to meet the goals and objectives of the grant, and how you will award, monitor, evaluate and provide an improvement plan if needed.
* Describe your process for the development and implementation of a network wide youth and young adult engagement and workforce development plan
* Identify the components of a communication plan that includes all aspects of print, social and electronic media, and a brief description of your communication system.
* Describe how you would coordinate regional training and education activities, including work being performed through the current Regional Partnerships Program (RPP) in your catchment area.
* Describe your evaluation plan for the grant and how you will track and measure progress achieving each of the expectations outline in this RFP.
* If awarded this grant, a detailed monthly work plan will be required; **for this application, please submit as an appendix a BRIEF workplan for each major area (key activities) of proposed work including staff responsible, key partners involved, and timeframe.** You may use any workplan format available to you and this workplan will not count towards the page limit of this grant and should include a listing of major work areas only.

**Staff and Management (15)**:

* Describe the positions necessary to meet the deliverables of this grant and referring to the organizational chart (appendix) attached, identify where these positions will be housed in the organization. In this section, describe the supervisory structure of the organization, fiscal management and identify a single point of contact.
* Attach, as appendices, staff resumes and job descriptions.
* If a fiscal agent relationship is used, attach a Memorandum of Understanding (MOU) outlining responsibilities of both parties.

**Evaluation and Performance Measures (15)**

* Participate in state level evaluation requirements
* Development of detailed project workplan will be developed once awarded funding which will include all activities, timeline, person(s) responsible, identification of key partners, and evaluation activities
* Development of project logic model
* Implementation of workplan and evidence-based strategies with fidelity
* development of a 5-year Strategic prevention and intervention plan for network catchment area
* Development of evaluation plan
* Development of a youth and young adult engagement and retention strategy to design strategies and workforce plan
* Development of an engagement and outreach strategy to all other age populations as identified through the needs assessment
* Development of a communications plan

**Budget and Narrative (10):**

* Utilizing the forms provided in Appendix I and Appendix II, submit a budget form, and a budget narrative form **itemizing all expenses over $500.00**.
* Budget amounts should be realistic given the proposed work and no less than $200,000 is required for distribution to local substance use prevention and intervention strategies.

**Proposal Review Criteria**

Proposals must comply with the instructions to applicants. Failure to comply with the instructions shall deem the proposal non-responsive and subject to rejection without further consideration. The State reserves the right to waive irregularities.

## Minimum Requirements

Minimum requirements for a proposal to be given consideration are:

* The proposal must have been received by April 12, 2019, 3:00 p.m. (Eastern Standard Time) in the number and form of copies specified above.
* The proposal must contain the following items in the following order:
	+ - General Background and Experience (20)
		- Statement of Need (15)
		- Approach/Workplan (25)
		- Staff and Management (15)
		- Evaluation and Performance Measures (15)
		- Budget and Narrative (10)

## Method of Award

The State reserves the right to accept or reject any or all proposals. Upon completion of the evaluation process, the Division Director will select grantees based on the evaluation findings and other criteria deemed relevant for ensuring that the decision made is in the best interest of the VDH. The selected grantees will be requested to enter into negotiation with the State of Vermont on grant specifications, including detailed work plans, deliverables and timetables.

In the event the VDH is not successful in negotiating a grant with a selected applicant, the VDHreserves the option of negotiating with another applicant.

Any grant negotiated must undergo review and signature according to statute and policy. Final specifications and award amount will be negotiated.

The Grantee will be paid on a quarterly or monthly basis, as negotiated, for completed deliverables set forth in the grant.

Award of a grant and any renewals thereof are contingent upon availability of funds.

**Award Notification Method(s):** Letter of confirmation by May 10, 2019.

## Scoring Information

The VDH evaluation review team will evaluate proposals based on the criteria listed above. Proposals will be assigned points and scored as follows:

|  |  |
| --- | --- |
| **Total Points Available** | **Criteria** |
| 20 | General Background and Experience |
| 15 | Statement of Need |
| 25 | Approach/Workplan |
| 15 | Staff and Management |
| 15 | Evaluation and Performance Measures |
| 10 | Budget and Narrative |
| **100** | **TOTAL POINTS** |

APPENDICES AND ATTACHMENTS

Appendix I: Budget Form

Appendix II. Budget Narrative

Attachment B: Payment Provisions

Attachment C: Standard State Provisions for Contracts and Grants

Attachment E: Business Associate Agreement (If Applicable)

Attachment F: Agency of Human Services Customary Contract/Grant Provisions

**APPENDIX I: BUDGET FORM**

**Prevention Network Grant**

|  |  |
| --- | --- |
| **PERSONNEL** | **AMOUNT** |
| Staff (List Individually): |  |
|  |  |
|  |  |
|  |  |
| **Total Payroll** |  |
|  |  |
| Benefits |  |
|  |  |
| Consultants: |  |
|  |  |
|  |  |
| Other |  |
| **Total Personnel** |  |
| **OPERATING** | **AMOUNT** |
| Advertising/Marketing |  |
| Insurance |  |
| Telephone |  |
| Travel |  |
| Postage |  |
| Materials/Supplies |  |
| Training Education |  |
| **BUILDING** |  |
| Insurance |  |
| Rent/Mortgage |  |
| Repair & Maintenance |  |
| Utilities |  |
| **Total Operating** |  |
| **INDIRECT/ADMINISTRATIVE** | **AMOUNT** |
| Supplies |  |
| Postage |  |
| Printing/Duplicating |  |
| Equipment |  |
| Other (indirect costs/fiscal agent) |  |
| **Total Indirect/Administrative** |  |
| **GRAND TOTAL** |  |
| **TOTAL COSTS** |  |

**APPENDIX II: BUDGET NARRATIVE**

**Prevention Network Grant**

For each line item in the budget form provide a brief narrative description of how it will be used to support your proposal. For all personnel costs, please include hourly rates. **Itemize all amounts more than $500.00.**

|  |  |
| --- | --- |
| **PERSONNEL** | **$** |

Staff:

Benefits: (describe)

Consultants: (Itemize Consultants by project. Provide a description of the scope of work & the number of hours required.)

Other:

|  |  |
| --- | --- |
| **OPERATING** | **$** |

Advertising/Marketing

Insurance

Telephone

Travel

Postage

Materials/Supplies

Training Education

**Building:**

Insurance

Rent/Mortgage

Repair & Maintenance

Utilities

|  |  |
| --- | --- |
| **INDIRECT/ADMINISTRATIVE** | **$** |

Supplies

Postage

Printing/Duplicating

Equipment

Other (indirect costs/fiscal agent)

|  |  |
| --- | --- |
| **TOTAL PROGRAM COSTS** | **$** |

**EXAMPLE
ATTACHMENT B**

**PAYMENT PROVISIONS**

1. **General Payment Provisions Requirements:**

The Grantee’s performance is limited to the services and activities set forth in Attachment A of this document. The Grantee shall not be obligated or expected to provide services beyond the amounts stated.

Grantee understands the funds provided as part of this agreement are to be used as payer of last resort. All other potential funding sources must be exhausted prior to payment under this agreement.

Payment of invoices are subject to the following, as applicable:

* **Grantee must provide continuous service for the entire twelve (12) months of grant period and the cumulative value of the four quarterly invoices cannot exceed the grant’s maximum allowable amount.**
* Grantee must use the ADAP Grantee invoice template available on the ADAP website at: <http://www.healthvermont.gov/alcohol-drug-abuse/grantees-contractors/reporting-forms-and-guidance-documents>
* **Signed and dated invoices are due between the first and last day of the month following the previous quarter and must include the grant number, billing quarter start and end date, and an itemization of** **actual expenditures related to activities described in Attachment A of this document during the previous quarter up to 25% of the maximum allowable amount by program category described in Section 2 below.**

Quarters for the grant agreement are as follows:

Quarter 1: 7/1/19 – 9/30/19 Invoice due between: 10/1/19 and 10/31/19

Quarter 2: 10/1/19 – 12/31/19 Invoice due between: 1/1/20 and 1/31/20

Quarter 3: 1/1/20 – 3/31/20 Invoice due between: 4/1/20 and 4/30/20

Quarter 4: 4/1/20 – 6/30/20 Invoice due between: 7/1/20 and 7/31/20

Grantee may request an extension to an invoice due date by submitting a written request to the State at least three business days before the date that it is due. The request must include the invoice billing period, proposed new due date and reason for the request. If the invoice due date falls on a State-recognized holiday or weekend, the invoice will be due no later than the following business day and a waiver request is not required. Holidays recognized by the State of Vermont can be found at <https://humanresources.vermont.gov/benefits-wellness/holiday-schedule>.

The final invoice may include actual expenditures during the grant period not previously invoiced for to date.

* + State of Vermont payment terms for invoices are Net 30 days from the date the State receives an error-free invoice and receipt, review and approval of required reporting and the meeting and/or exceeding of the Performance Indicators.
	+ Signed and dated invoices must be mailed or e-mailed to the following address:

 Vermont Department of Health

 Division of Alcohol and Drug Abuse Programs

 P.O. Box 70, 108 Cherry Street

 Burlington, Vermont 05402-0070

 ATTN: ADAP Grants Administration

 EMAIL: AHS.VDHADAPGrants@vermont.gov

* All invoices must be received by the Vermont Department of Health, Division of Alcohol and Drug Abuse Programs within 60 days of the end of the grant period. Invoices submitted after 60 days may be subject to non-payment.
1. Any unexpended funds must be returned to the State or an agreement must be reached with the Vermont Department of Health, Division of Alcohol and Drug Abuse Programs on the expenditure of remaining funds on program objectives.
2. The maximum dollar amount payable under this agreement is not intended to guarantee any amount of payment under this grant.
3. The allowable indirect rate for this agreement is XXXXXXX%.
4. Mileage expenses will be reimbursed at the State rate at the time of service. Meals are generally an unallowable expense unless they are an integral part of a conference or specifically stated as an allowable expense. If permissible, grant funds may be used for light snacks, not to exceed $3.00 per person.
5. Total expenditures for this grant will not exceed $450,000.00.
6. The reporting requirements described in Attachment A (except for SATIS) are to be submitted to:

 Vermont Department of Health

 Division of Alcohol and Drug Abuse Programs

 P.O. Box 70, 108 Cherry Street

 Burlington, Vermont 05402-0070

 ATTN: ADAP Grants Administration

 FAX: 802-651-1573

 EMAIL: AHS.VDHADAPGrants@vermont.gov

1. **Grant Award Amount by Program Category/Service:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Program Category | Service | Funding Source | ADAP Invoice Billing Category | Rate | Budget Maximum Allowable Amount |
| X | X | ADAP | X | N/A |  |
| X | X | Medicaid | N/A | Medicaid\* |  |
| **TOTAL**  |  |

\*Reimbursement rates and parameters, for services provided to Medicaid clients, are available on the ADAP website at: http://www.healthvermont.gov/alcohol-drug-abuse/grantees-contractors/reporting-forms-and-guidance-documents

**ATTACHMENT C**: **STANDARD STATE PROVISIONS**

**FOR CONTRACTS AND GRANTS**

**Revised December 15, 2017**

**1. Definitions:** For purposes of this Attachment, “Party” shall mean the Contractor, Grantee or Subrecipient, with whom the State of Vermont is executing this Agreement and consistent with the form of the Agreement. “Agreement” shall mean the specific contract or grant to which this form is attached.

**2. Entire Agreement:** This Agreement, whether in the form of a contract, State-funded grant, or Federally-funded grant, represents the entire agreement between the parties on the subject matter. All prior agreements, representations, statements, negotiations, and understandings shall have no effect.

**3. Governing Law, Jurisdiction and Venue; No Waiver of Jury Trial:** This Agreement will be governed by the laws of the State of Vermont. Any action or proceeding brought by either the State or the Party in connection with this Agreement shall be brought and enforced in the Superior Court of the State of Vermont, Civil Division, Washington Unit. The Party irrevocably submits to the jurisdiction of this court for any action or proceeding regarding this Agreement. The Party agrees that it must first exhaust any applicable administrative remedies with respect to any cause of action that it may have against the State with regard to its performance under this Agreement. Party agrees that the State shall not be required to submit to binding arbitration or waive its right to a jury trial.

**4.** **Sovereign Immunity:** The State reserves all immunities, defenses, rights or actions arising out of the State’s sovereign status or under the Eleventh Amendment to the United States Constitution. No waiver of the State’s immunities, defenses, rights or actions shall be implied or otherwise deemed to exist by reason of the State’s entry into this Agreement.

**5. No Employee Benefits For Party:** The Party understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation or sick leave, workers compensation or other benefits or services available to State employees, nor will the State withhold any state or Federal taxes except as required under applicable tax laws, which shall be determined in advance of execution of the Agreement. The Party understands that all tax returns required by the Internal Revenue Code and the State of Vermont, including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Party, and information as to Agreement income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.

**6. Independence:** The Party will act in an independent capacity and not as officers or employees of the State.

**7. Defense and Indemnity:** The Party shall defend the State and its officers and employees against all third party claims or suits arising in whole or in part from any act or omission of the Party or of any agent of the Party in connection with the performance of this Agreement. The State shall notify the Party in the event of any such claim or suit, and the Party shall immediately retain counsel and otherwise provide a complete defense against the entire claim or suit. The State retains the right to participate at its own expense in the defense of any claim. The State shall have the right to approve all proposed settlements of such claims or suits.

After a final judgment or settlement, the Party may request recoupment of specific defense costs and may file suit in Washington Superior Court requesting recoupment. The Party shall be entitled to recoup costs only upon a showing that such costs were entirely unrelated to the defense of any claim arising from an act or omission of the Party in connection with the performance of this Agreement.

The Party shall indemnify the State and its officers and employees if the State, its officers or employees become legally obligated to pay any damages or losses arising from any act or omission of the Party or an agent of the Party in connection with the performance of this Agreement.

Notwithstanding any contrary language anywhere, in no event shall the terms of this Agreement or any document furnished by the Party in connection with its performance under this Agreement obligate the State to (1) defend or indemnify the Party or any third party, or (2) otherwise be liable for the expenses or reimbursement, including attorneys’ fees, collection costs or other costs of the Party or any third party.

**8. Insurance:** Before commencing work on this Agreement the Party must provide certificates of insurance to show that the following minimum coverages are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the State through the term of this Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party for the Party’s operations. These are solely minimums that have been established to protect the interests of the State.

*Workers Compensation*: With respect to all operations performed, the Party shall carry workers’ compensation insurance in accordance with the laws of the State of Vermont. Vermont will accept an out-of-state employer's workers’ compensation coverage while operating in Vermont provided that the insurance carrier is licensed to write insurance in Vermont and an amendatory endorsement is added to the policy adding Vermont for coverage purposes. Otherwise, the party shall secure a Vermont workers’ compensation policy, if necessary to comply with Vermont law.

*General Liability and Property Damage*: With respect to all operations performed under this Agreement, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:

Premises - Operations

Products and Completed Operations

Personal Injury Liability

Contractual Liability

The policy shall be on an occurrence form and limits shall not be less than:

$1,000,000 Each Occurrence

$2,000,000 General Aggregate

$1,000,000 Products/Completed Operations Aggregate

$1,000,000 Personal & Advertising Injury

*Automotive Liability:* The Party shall carry automotive liability insurance covering all motor vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than $500,000 combined single limit. If performance of this Agreement involves construction, or the transport of persons or hazardous materials, limits of coverage shall not be less than $1,000,000 combined single limit.

*Additional Insured.* The General Liability and Property Damage coverages required for performance of this Agreement shall include the State of Vermont and its agencies, departments, officers and employees as Additional Insureds. If performance of this Agreement involves construction, or the transport of persons or hazardous materials, then the required Automotive Liability coverage shall include the State of Vermont and its agencies, departments, officers and employees as Additional Insureds. Coverage shall be primary and non-contributory with any other insurance and self-insurance.

*Notice of Cancellation or Change.* There shall be no cancellation, change, potential exhaustion of aggregate limits or non-renewal of insurance coverage(s) without thirty (30) days written prior written notice to the State.

**9. Reliance by the State on Representations:** All payments by the State under this Agreement will be made in reliance upon the accuracy of all representations made by the Party in accordance with this Agreement, including but not limited to bills, invoices, progress reports and other proofs of work.

**10. False Claims Act:** The Party acknowledges that it is subject to the Vermont False Claims Act as set forth in 32 V.S.A. § 630 *et seq.*  If the Party violates the Vermont False Claims Act it shall be liable to the State for civil penalties, treble damages and the costs of the investigation and prosecution of such violation, including attorney’s fees, except as the same may be reduced by a court of competent jurisdiction. The Party’s liability to the State under the False Claims Act shall not be limited notwithstanding any agreement of the State to otherwise limit Party’s liability.

**11. Whistleblower Protections:** The Party shall not discriminate or retaliate against one of its employees or agents for disclosing information concerning a violation of law, fraud, waste, abuse of authority or acts threatening health or safety, including but not limited to allegations concerning the False Claims Act. Further, the Party shall not require such employees or agents to forego monetary awards as a result of such disclosures, nor should they be required to report misconduct to the Party or its agents prior to reporting to any governmental entity and/or the public.

**12. Location of State Data:** No State data received, obtained, or generated by the Party in connection with performance under this Agreement shall be processed, transmitted, stored, or transferred by any means outside the continental United States, except with the express written permission of the State.

**13. Records Available for Audit:** The Party shall maintain all records pertaining to performance under this agreement. “Records” means any written or recorded information, regardless of physical form or characteristics, which is produced or acquired by the Party in the performance of this agreement. Records produced or acquired in a machine readable electronic format shall be maintained in that format. The records described shall be made available at reasonable times during the period of the Agreement and for three years thereafter or for any period required by law for inspection by any authorized representatives of the State or Federal Government. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

**14. Fair Employment Practices and Americans with Disabilities Act:** Party agrees to comply with the requirement of 21 V.S.A. Chapter 5, Subchapter 6, relating to fair employment practices, to the full extent applicable. Party shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990, as amended, that qualified individuals with disabilities receive equitable access to the services, programs, and activities provided by the Party under this Agreement.

**15. Set Off:** The State may set off any sums which the Party owes the State against any sums due the Party under this Agreement; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.

**16. Taxes Due to the State:**

1. Party understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.
2. Party certifies under the pains and penalties of perjury that, as of the date this Agreement is signed, the Party is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.
3. Party understands that final payment under this Agreement may be withheld if the Commissioner of Taxes determines that the Party is not in good standing with respect to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.
4. Party also understands the State may set off taxes (and related penalties, interest and fees) due to the State of Vermont, but only if the Party has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Party has no further legal recourse to contest the amounts due.

**17. Taxation of Purchases:** All State purchases must be invoiced tax free. An exemption certificate will be furnished upon request with respect to otherwise taxable items.

**18. Child Support:** (Only applicable if the Party is a natural person, not a corporation or partnership.) Party states that, as of the date this Agreement is signed, he/she:

1. is not under any obligation to pay child support; or
2. is under such an obligation and is in good standing with respect to that obligation; or
3. has agreed to a payment plan with the Vermont Office of Child Support Services and is in full compliance with that plan.

Party makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Party is a resident of Vermont, Party makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

**19. Sub-Agreements:** Party shall not assign, subcontract or subgrant the performance of this Agreement or any portion thereof to any other Party without the prior written approval of the State. Party shall be responsible and liable to the State for all acts or omissions of subcontractors and any other person performing work under this Agreement pursuant to an agreement with Party or any subcontractor.

In the case this Agreement is a contract with a total cost in excess of $250,000, the Party shall provide to the State a list of all proposed subcontractors and subcontractors’ subcontractors, together with the identity of those subcontractors’ workers compensation insurance providers, and additional required or requested information, as applicable, in accordance with Section 32 of The Vermont Recovery and Reinvestment Act of 2009 (Act No. 54).

Party shall include the following provisions of this Attachment C in all subcontracts for work performed solely for the State of Vermont and subcontracts for work performed in the State of Vermont: Section 10 (“False Claims Act”); Section 11 (“Whistleblower Protections”); Section 12 (“Location of State Data”); Section 14 (“Fair Employment Practices and Americans with Disabilities Act”); Section 16 (“Taxes Due the State”); Section 18 (“Child Support”); Section 20 (“No Gifts or Gratuities”); Section 22 (“Certification Regarding Debarment”); Section 30 (“State Facilities”); and Section 32.A (“Certification Regarding Use of State Funds”).

**20. No Gifts or Gratuities:** Party shall not give title or possession of anything of substantial value (including property, currency, travel and/or education programs) to any officer or employee of the State during the term of this Agreement.

**21. Copies:** Party shall use reasonable best efforts to ensure that all written reports prepared under this Agreement are printed using both sides of the paper.

**22. Certification Regarding Debarment:** Party certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, neither Party nor Party’s principals (officers, directors, owners, or partners) are presently debarred, suspended, proposed for debarment, declared ineligible or excluded from participation in Federal programs, or programs supported in whole or in part by Federal funds.

Party further certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, Party is not presently debarred, suspended, nor named on the State’s debarment list at: http://bgs.vermont.gov/purchasing/debarment

**23. Conflict of Interest:** Party shall fully disclose, in writing, any conflicts of interest or potential conflicts of interest.

**24. Confidentiality:** Party acknowledges and agrees that this Agreement and any and all information obtained by the State from the Party in connection with this Agreement are subject to the State of Vermont Access to Public Records Act, 1 V.S.A. § 315 et seq.

**25. Force Majeure:** Neither the State nor the Party shall be liable to the other for any failure or delay of performance of any obligations under this Agreement to the extent such failure or delay shall have been wholly or principally caused by acts or events beyond its reasonable control rendering performance illegal or impossible (excluding strikes or lock-outs) (“Force Majeure”). Where Force Majeure is asserted, the nonperforming party must prove that it made all reasonable efforts to remove, eliminate or minimize such cause of delay or damages, diligently pursued performance of its obligations under this Agreement, substantially fulfilled all non-excused obligations, and timely notified the other party of the likelihood or actual occurrence of an event described in this paragraph.

**26. Marketing:** Party shall not refer to the State in any publicity materials, information pamphlets, press releases, research reports, advertising, sales promotions, trade shows, or marketing materials or similar communications to third parties except with the prior written consent of the State.

**27. Termination:**

1. **Non-Appropriation:** If this Agreement extends into more than one fiscal year of the State (July 1 to June 30), and if appropriations are insufficient to support this Agreement, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriation authority. In the case that this Agreement is a Grant that is funded in whole or in part by Federal funds, and in the event Federal funds become unavailable or reduced, the State may suspend or cancel this Grant immediately, and the State shall have no obligation to pay Subrecipient from State revenues.
2. **Termination for Cause:** Either party may terminate this Agreement if a party materially breaches its obligations under this Agreement, and such breach is not cured within thirty (30) days after delivery of the non-breaching party’s notice or such longer time as the non-breaching party may specify in the notice.
3. **Termination Assistance:** Upon nearing the end of the final term or termination of this Agreement, without respect to cause, the Party shall take all reasonable and prudent measures to facilitate any transition required by the State. All State property, tangible and intangible, shall be returned to the State upon demand at no additional cost to the State in a format acceptable to the State.

**28. Continuity of Performance:** In the event of a dispute between the Party and the State, each party will continue to perform its obligations under this Agreement during the resolution of the dispute until this Agreement is terminated in accordance with its terms.

**29.** **No Implied Waiver of Remedies:** Either party’s delay or failure to exercise any right, power or remedy under this Agreement shall not impair any such right, power or remedy, or be construed as a waiver of any such right, power or remedy. All waivers must be in writing.

**30.** **State Facilities:** If the State makes space available to the Party in any State facility during the term of this Agreement for purposes of the Party’s performance under this Agreement, the Party shall only use the space in accordance with all policies and procedures governing access to and use of State facilities which shall be made available upon request. State facilities will be made available to Party on an “AS IS, WHERE IS” basis, with no warranties whatsoever.

**31.** **Requirements Pertaining Only to Federal Grants and Subrecipient Agreements:** If this Agreement is a grant that is funded in whole or in part by Federal funds:

1. **Requirement to Have a Single Audit:** The Subrecipient will complete the Subrecipient Annual Report annually within 45 days after its fiscal year end, informing the State of Vermont whether or not a Single Audit is required for the prior fiscal year. If a Single Audit is required, the Subrecipient will submit a copy of the audit report to the granting Party within 9 months. If a single audit is not required, only the Subrecipient Annual Report is required.

For fiscal years ending before December 25, 2015, a Single Audit is required if the subrecipient expends $500,000 or more in Federal assistance during its fiscal year and must be conducted in accordance with OMB Circular A-133. For fiscal years ending on or after December 25, 2015, a Single Audit is required if the subrecipient expends $750,000 or more in Federal assistance during its fiscal year and must be conducted in accordance with 2 CFR Chapter I, Chapter II, Part 200, Subpart F. The Subrecipient Annual Report is required to be submitted within 45 days, whether or not a Single Audit is required.

1. **Internal Controls:** In accordance with 2 CFR Part II, §200.303, the Party must establish and maintain effective internal control over the Federal award to provide reasonable assurance that the Party is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
2. **Mandatory Disclosures:** In accordance with 2 CFR Part II, §200.113, Party must disclose, in a timely manner, in writing to the State, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures may result in the imposition of sanctions which may include disallowance of costs incurred, withholding of payments, termination of the Agreement, suspension/debarment, etc.

**32. Requirements Pertaining Only to State-Funded Grants:**

1. **Certification Regarding Use of State Funds:** If Party is an employer and this Agreement is a State-funded grant in excess of $1,001, Party certifies that none of these State funds will be used to interfere with or restrain the exercise of Party’s employee’s rights with respect to unionization.
2. **Good Standing Certification (Act 154 of 2016):** If this Agreement is a State-funded grant, Party hereby represents: (i) that it has signed and provided to the State the form prescribed by the Secretary of Administration for purposes of certifying that it is in good standing (as provided in Section 13(a)(2) of Act 154) with the Agency of Natural Resources and the Agency of Agriculture, Food and Markets, or otherwise explaining the circumstances surrounding the inability to so certify, and (ii) that it will comply with the requirements stated therein.

(End of Standard Provisions)

**ATtachment E**

**BUSINESS ASSOCIATE agreement**

This Business Associate Agreement (“Agreement”) is entered into by and between the State of Vermont Agency of Human Services, operating by and through its \_\_\_\_\_\_\_ **[Insert Name of AHS Department, Office or Division]** (“Covered Entity”) and [**Insert Name of Contractor/Grantee**] (“Business Associate”) as of \_\_\_\_\_\_\_ (“Effective Date”). This Agreement supplements and is made a part of the contract/grant to which it is attached.

Covered Entity and Business Associate enter into this Agreement to comply with standards promulgated under the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), including the Standards for the Privacy of Individually Identifiable Health Information, at 45 CFR Parts 160 and 164 (“Privacy Rule”), and the Security Standards, at 45 CFR Parts 160 and 164 (“Security Rule”), as amended by Subtitle D of the Health Information Technology for Economic and Clinical Health Act (HITECH), and any associated federal rules and regulations.

The parties agree as follows:

1. **Definitions**. All capitalized terms used but not otherwise defined in this Agreement have the meanings set forth in 45 CFR Parts 160 and 164 as amended by HITECH and associated federal rules and regulations.

“Agent” means those person(s) who are agents(s) of the Business Associate, in accordance with the Federal common law of agency, as referenced in 45 CFR § 160.402(c).

“Breach” means the acquisition, access, use or disclosure of protected health information (PHI) which compromises the security or privacy of the PHI, except as excluded in the definition of Breach in 45 CFR § 164.402.

“Business Associate shall have the meaning given in 45 CFR § 160.103.

“Individual” includes a person who qualifies as a personal representative in accordance with 45 CFR § 164.502(g).

“Protected Health Information” or PHI shall have the meaning given in 45 CFR § 160.103, limited to the information created or received by Business Associate from or on behalf of Agency.

“Security Incident” means any known successful or unsuccessful attempt by an authorized or unauthorized individual to inappropriately use, disclose, modify, access, or destroy any information or interference with system operations in an information system.

“Services” includes all work performed by the Business Associate for or on behalf of Covered Entity that requires the use and/or disclosure of protected health information to perform a business associate function described in 45 CFR § 160.103 under the definition of Business Associate.

“Subcontractor” means a person or organization to whom a Business Associate delegates a function, activity or service, other than in the capacity of a member of the workforce of the Business Associate. For purposes of this Agreement, the term Subcontractor includes Subgrantees.

**2. Identification and Disclosure of Privacy and Security Offices.** Business Associate and Subcontractors shall provide, within ten (10) days of the execution of this agreement, written notice to the Covered Entity’s contract/grant manager the names and contact information of both the HIPAA Privacy Officer and HIPAA Security Officer. This information must be updated any time either of these contacts changes.

**3. Permitted and Required Uses/Disclosures of PHI**.

3.1 Except as limited in this Agreement, Business Associate may use or disclose PHI to perform Services, as specified in the underlying grant or contract with Covered Entity. The uses and disclosures of Business Associate are limited to the minimum necessary, to complete the tasks or to provide the services associated with the terms of the underlying agreement. Business Associate shall not use or disclose PHI in any manner that would constitute a violation of the Privacy Rule if used or disclosed by Covered Entity in that manner. Business Associate may not use or disclose PHI other than as permitted or required by this Agreement or as Required by Law.

3.2 Business Associate may make PHI available to its employees who need access to perform Services provided that Business Associate makes such employees aware of the use and disclosure restrictions in this Agreement and binds them to comply with such restrictions. Business Associate may only disclose PHI for the purposes authorized by this Agreement: (a) to its agents and Subcontractors in accordance with Sections 9 and 18 or, (b) as otherwise permitted by Section 3.

3.3 Business Associate shall be directly liable under HIPAA for impermissible uses and disclosures of the PHI it handles on behalf of Covered Entity, and for impermissible uses and disclosures, by Business Associate’s Subcontractor(s), of the PHI that Business Associate handles on behalf of Covered Entity and that it passes on to Subcontractors.

**4. Business Activities**. Business Associate may use PHI received in its capacity as a Business Associate to Covered Entity if necessary for Business Associate’s proper management and administration or to carry out its legal responsibilities. Business Associate may disclose PHI received in its capacity as Business Associate to Covered Entity for Business Associate’s proper management and administration or to carry out its legal responsibilities if a disclosure is Required by Law or if Business Associate obtains reasonable written assurances via a written agreement from the person to whom the information is to be disclosed that the PHI shall remain confidential and be used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the Agreement requires the person or entity to notify Business Associate, within two (2) business days (who in turn will notify Covered Entity within two (2) business days after receiving notice of a Breach as specified in Section 6.1), in writing of any Breach of Unsecured PHI of which it is aware. Uses and disclosures of PHI for the purposes identified in Section 3 must be of the minimum amount of PHI necessary to accomplish such purposes.

**5. Safeguards**. Business Associate, its Agent(s) and Subcontractor(s) shall implement and use appropriate safeguards to prevent the use or disclosure of PHI other than as provided for by this Agreement. With respect to any PHI that is maintained in or transmitted by electronic media, Business Associate or its Subcontractor(s) shall comply with 45 CFR sections 164.308 (administrative safeguards), 164.310 (physical safeguards), 164.312 (technical safeguards) and 164.316 (policies and procedures and documentation requirements). Business Associate or its Agent(s) and Subcontractor(s) shall identify in writing upon request from Covered Entity all of the safeguards that it uses to prevent impermissible uses or disclosures of PHI.

**6. Documenting and Reporting Breaches**.

6.1 Business Associate shall report to Covered Entity any Breach of Unsecured PHI, including Breaches reported to it by a Subcontractor, as soon as it (or any of its employees or agents) becomes aware of any such Breach, and in no case later than two (2) business days after it (or any of its employees or agents) becomes aware of the Breach, except when a law enforcement official determines that a notification would impede a criminal investigation or cause damage to national security.

6.2 Business Associate shall provide Covered Entity with the names of the individuals whose Unsecured PHI has been, or is reasonably believed to have been, the subject of the Breach and any other available information that is required to be given to the affected individuals, as set forth in 45 CFR § 164.404(c), and, if requested by Covered Entity, information necessary for Covered Entity to investigate the impermissible use or disclosure. Business Associate shall continue to provide to Covered Entity information concerning the Breach as it becomes available to it. Business Associate shall require its Subcontractor(s) to agree to these same terms and conditions.

6.3 When Business Associate determines that an impermissible acquisition, use or disclosure of PHI by a member of its workforce is not a Breach, as that term is defined in 45 CFR § 164.402, and therefore does not necessitate notice to the impacted individual(s), it shall document its assessment of risk, conducted as set forth in 45 CFR § 402(2). When requested by Covered Entity, Business Associate shall make its risk assessments available to Covered Entity. It shall also provide Covered Entity with 1) the name of the person(s) making the assessment, 2) a brief summary of the facts, and 3) a brief statement of the reasons supporting the determination of low probability that the PHI had been compromised. When a breach is the responsibility of a member of its Subcontractor’s workforce, Business Associate shall either 1) conduct its own risk assessment and draft a summary of the event and assessment or 2) require its Subcontractor to conduct the assessment and draft a summary of the event. In either case, Business Associate shall make these assessments and reports available to Covered Entity.

6.4 Business Associate shall require, by contract, a Subcontractor to report to Business Associate and Covered Entity any Breach of which the Subcontractor becomes aware, no later than two (2) business days after becomes aware of the Breach.

**7. Mitigation and Corrective Action.** Business Associate shall mitigate, to the extent practicable, any harmful effect that is known to it of an impermissible use or disclosure of PHI, even if the impermissible use or disclosure does not constitute a Breach. Business Associate shall draft and carry out a plan of corrective action to address any incident of impermissible use or disclosure of PHI. If requested by Covered Entity, Business Associate shall make its mitigation and corrective action plans available to Covered Entity. Business Associate shall require a Subcontractor to agree to these same terms and conditions.

**8.** **Providing Notice of Breaches**.

8.1 If Covered Entity determines that an impermissible acquisition, access, use or disclosure of PHI for which one of Business Associate’s employees or agents was responsible constitutes a Breach as defined in 45 CFR § 164.402, and if requested by Covered Entity, Business Associate shall provide notice to the individual(s) whose PHI has been the subject of the Breach. When requested to provide notice, Business Associate shall consult with Covered Entity about the timeliness, content and method of notice, and shall receive Covered Entity’s approval concerning these elements. The cost of notice and related remedies shall be borne by Business Associate.

8.2 If Covered Entity or Business Associate determines that an impermissible acquisition, access, use or disclosure of PHI by a Subcontractor of Business Associate constitutes a Breach as defined in 45 CFR § 164.402, and if requested by Covered Entity or Business Associate, Subcontractor shall provide notice to the individual(s) whose PHI has been the subject of the Breach. When Covered Entity requests that Business Associate or its Subcontractor provide notice, Business Associate shall either 1) consult with Covered Entity about the specifics of the notice as set forth in section 8.1, above, or 2) require, by contract, its Subcontractor to consult with Covered Entity about the specifics of the notice as set forth in section 8.1

8.3 The notice to affected individuals shall be provided as soon as reasonably possible and in no case later than 60 calendar days after Business Associate reported the Breach to Covered Entity.

8.4 The notice to affected individuals shall be written in plain language and shall include, to the extent possible, 1) a brief description of what happened, 2) a description of the types of Unsecured PHI that were involved in the Breach, 3) any steps individuals can take to protect themselves from potential harm resulting from the Breach, 4) a brief description of what the Business Associate is doing to investigate the Breach, to mitigate harm to individuals and to protect against further Breaches, and 5) contact procedures for individuals to ask questions or obtain additional information, as set forth in 45 CFR § 164.404(c).

8.5 Business Associate shall notify individuals of Breaches as specified in 45 CFR § 164.404(d) (methods of individual notice). In addition, when a Breach involves more than 500 residents of Vermont, Business Associate shall, if requested by Covered Entity, notify prominent media outlets serving Vermont, following the requirements set forth in 45 CFR § 164.406.

**9. Agreements with Subcontractors**. Business Associate shall enter into a Business Associate Agreement with any Subcontractor to whom it provides PHI received from Covered Entity or created or received by Business Associate on behalf of Covered Entity in which the Subcontractor agrees to the same restrictions and conditions that apply through this Agreement to Business Associate with respect to such PHI. Business Associate must enter into this Business Associate Agreement before any use by or disclosure of PHI to such agent. The written agreement must identify Covered Entity as a direct and intended third party beneficiary with the right to enforce any breach of the agreement concerning the use or disclosure of PHI. Business Associate shall provide a copy of the Business Associate Agreement it enters into with a subcontractor to Covered Entity upon request. Business associate may not make any disclosure of PHI to any Subcontractor without prior written consent of Covered Entity.

**10. Access to PHI**. Business Associate shall provide access to PHI in a Designated Record Set to Covered Entity or as directed by Covered Entity to an Individual to meet the requirements under 45 CFR § 164.524. Business Associate shall provide such access in the time and manner reasonably designated by Covered Entity. Within three (3) business days, Business Associate shall forward to Covered Entity for handling any request for access to PHI that Business Associate directly receives from an Individual.

**11. Amendment of PHI**. Business Associate shall make any amendments to PHI in a Designated Record Set that Covered Entity directs or agrees to pursuant to 45 CFR § 164.526, whether at the request of Covered Entity or an Individual. Business Associate shall make such amendments in the time and manner reasonably designated by Covered Entity. Within three (3) business days, Business Associate shall forward to Covered Entity for handling any request for amendment to PHI that Business Associate directly receives from an Individual.

**12. Accounting of Disclosures**. Business Associate shall document disclosures of PHI and all information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR § 164.528. Business Associate shall provide such information to Covered Entity or as directed by Covered Entity to an Individual, to permit Covered Entity to respond to an accounting request. Business Associate shall provide such information in the time and manner reasonably designated by Covered Entity. Within three (3) business days, Business Associate shall forward to Covered Entity for handling any accounting request that Business Associate directly receives from an Individual.

**13. Books and Records**. Subject to the attorney-client and other applicable legal privileges, Business Associate shall make its internal practices, books, and records (including policies and procedures and PHI) relating to the use and disclosure of PHI received from Covered Entity or created or received by Business Associate on behalf of Covered Entity available to the Secretary of HHS in the time and manner designated by the Secretary. Business Associate shall make the same information available to Covered Entity, upon Covered Entity’s request, in the time and manner reasonably designated by Covered Entity so that Covered Entity may determine whether Business Associate is in compliance with this Agreement.

**14. Termination.**

14.1 This Agreement commences on the Effective Date and shall remain in effect until terminated by Covered Entity or until all of the PHI provided by Covered Entity to Business Associate or created or received by Business Associate on behalf of Covered Entity is destroyed or returned to Covered Entity subject to Section 19.8.

14.2 If Business Associate breaches any material term of this Agreement, Covered Entity may either: (a) provide an opportunity for Business Associate to cure the breach and Covered Entity may terminate the contract or grant without liability or penalty if Business Associate does not cure the breach within the time specified by Covered Entity; or (b) immediately terminate the contract or grant without liability or penalty if Covered Entity believes that cure is not reasonably possible; or (c) if neither termination nor cure are feasible, Covered Entity shall report the breach to the Secretary. Covered Entity has the right to seek to cure any breach by Business Associate and this right, regardless of whether Covered Entity cures such breach, does not lessen any right or remedy available to Covered Entity at law, in equity, or under the contract or grant, nor does it lessen Business Associate’s responsibility for such breach or its duty to cure such breach.

**15. Return/Destruction of PHI**.

15.1 Business Associate in connection with the expiration or termination of the contract or grant shall return or destroy, at the discretion of the Covered Entity, all PHI received from Covered Entity or created or received by Business Associate on behalf of Covered Entity pursuant to this contract or grant that Business Associate still maintains in any form or medium (including electronic) within thirty (30) days after such expiration or termination. Business Associate shall not retain any copies of the PHI. Business Associate shall certify in writing for Covered Entity (1) when all PHI has been returned or destroyed and (2) that Business Associate does not continue to maintain any PHI. Business Associate is to provide this certification during this thirty (30) day period.

15.2 Business Associate shall provide to Covered Entity notification of any conditions that Business Associate believes make the return or destruction of PHI infeasible. If Covered Entity agrees that return or destruction is infeasible, Business Associate shall extend the protections of this Agreement to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible for so long as Business Associate maintains such PHI. This shall also apply to all Agents and Subcontractors of Business Associate.

**16. Penalties**. Business Associate understands that: (a) there may be civil or criminal penalties for misuse or misappropriation of PHI and (b) violations of this Agreement may result in notification by Covered Entity to law enforcement officials and regulatory, accreditation, and licensure organizations.

**17.**  **Training.** Business Associate understands that it is its obligation to comply with the law and shall provide appropriate training and education to ensure compliance with this Agreement. If requested by Covered Entity, Business Associate shall participate in AHS training regarding the use, confidentiality, and security of PHI, however, participation in such training shall not supplant nor relieve Business Associate of its obligations under this Agreement to independently assure compliance with the law and this Agreement.

**18. Security Rule Obligations**. The following provisions of this section apply to the extent that Business Associate creates, receives, maintains or transmits Electronic PHI on behalf of Covered Entity.

18.1 Business Associate shall implement and use administrative, physical, and technical safeguards in compliance with 45 CFR sections 164.308, 164.310, and 164.312 with respect to the Electronic PHI that it creates, receives, maintains or transmits on behalf of Covered Entity. Business Associate shall identify in writing upon request from Covered Entity all of the safeguards that it uses to protect such Electronic PHI.

18.2 Business Associate shall ensure that any Agent and Subcontractor to whom it provides Electronic PHI agrees in a written agreement to implement and use administrative, physical, and technical safeguards that reasonably and appropriately protect the Confidentiality, Integrity and Availability of the Electronic PHI. Business Associate must enter into this written agreement before any use or disclosure of Electronic PHI by such Agent or Subcontractor. The written agreement must identify Covered Entity as a direct and intended third party beneficiary with the right to enforce any breach of the agreement concerning the use or disclosure of Electronic PHI. Business Associate shall provide a copy of the written agreement to Covered Entity upon request. Business Associate may not make any disclosure of Electronic PHI to any Agent or Subcontractor without the prior written consent of Covered Entity.

18.3 Business Associate shall report in writing to Covered Entity any Security Incident pertaining to such Electronic PHI (whether involving Business Associate or an Agent or Subcontractor). Business Associate shall provide this written report as soon as it becomes aware of any such Security Incident, and in no case later than two (2) business days after it becomes aware of the incident. Business Associate shall provide Covered Entity with the information necessary for Covered Entity to investigate any such Security Incident.

18.4 Business Associate shall comply with any reasonable policies and procedures Covered Entity implements to obtain compliance under the Security Rule.

**19.** **Miscellaneous.**

19.1 In the event of any conflict or inconsistency between the terms of this Agreement and the terms of the contract/grant, the terms of this Agreement shall govern with respect to its subject matter. Otherwise, the terms of the contract/grant continue in effect.

19.2 Business Associate shall cooperate with Covered Entity to amend this Agreement from time to time as is necessary for Covered Entity to comply with the Privacy Rule, the Security Rule, or any other standards promulgated under HIPAA.

19.3 Any ambiguity in this Agreement shall be resolved to permit Covered Entity to comply with the Privacy Rule, Security Rule, or any other standards promulgated under HIPAA.

19.4 In addition to applicable Vermont law, the parties shall rely on applicable federal law (e.g., HIPAA, the Privacy Rule and Security Rule, and the HIPAA omnibus final rule) in construing the meaning and effect of this Agreement.

19.5 As between Business Associate and Covered Entity, Covered Entity owns all PHI provided by Covered Entity to Business Associate or created or received by Business Associate on behalf of Covered Entity.

19.6 Business Associate shall abide by the terms and conditions of this Agreement with respect to all PHI it receives from Covered Entity or creates or receives on behalf of Covered Entity even if some of that information relates to specific services for which Business Associate may not be a “Business Associate” of Covered Entity under the Privacy Rule.

19.7 Business Associate is prohibited from directly or indirectly receiving any remuneration in exchange for an individual’s PHI. Business Associate will refrain from marketing activities that would violate HIPAA, including specifically Section 13406 of the HITECH Act. Reports or data containing the PHI may not be sold without Agency’s or the affected individual’s written consent.

19.8 The provisions of this Agreement that by their terms encompass continuing rights or responsibilities shall survive the expiration or termination of this Agreement. For example: (a) the provisions of this Agreement shall continue to apply if Covered Entity determines that it would be infeasible for Business Associate to return or destroy PHI as provided in Section 14.2 and (b) the obligation of Business Associate to provide an accounting of disclosures as set forth in Section 12 survives the expiration or termination of this Agreement with respect to accounting requests, if any, made after such expiration or termination.

Rev: 7/7/17

**Attachment F**

**Agency of Human Services’ Customary contract/Grant Provisions**

* + - 1. **Definitions:** For purposes of this Attachment F, the term “Agreement” shall mean the form of the contract or grant, with all of its parts, into which this Attachment F is incorporated. The meaning of the term “Party” when used in this Attachment F shall mean any named party to this Agreement *other than* the State of Vermont, the Agency of Human Services (AHS) and any of the departments, boards, offices and business units named in this Agreement. As such, the term “Party” shall mean, when used in this Attachment F, the Contractor or Grantee with whom the State of Vermont is executing this Agreement. If Party, when permitted to do so under this Agreement, seeks by way of any subcontract, sub-grant or other form of provider agreement to employ any other person or entity to perform any of the obligations of Party under this Agreement, Party shall be obligated to ensure that all terms of this Attachment F are followed. As such, the term “Party” as used herein shall also be construed as applicable to, and describing the obligations of, any subcontractor, sub-recipient or sub-grantee of this Agreement. Any such use or construction of the term “Party” shall not, however, give any subcontractor, sub-recipient or sub-grantee any substantive right in this Agreement without an express written agreement to that effect by the State of Vermont.
			2. **Agency of Human Services**: The Agency of Human Services is responsible for overseeing all contracts and grants entered by any of its departments, boards, offices and business units, however denominated. The Agency of Human Services, through the business office of the Office of the Secretary, and through its Field Services Directors, will share with any named AHS-associated party to this Agreement oversight, monitoring and enforcement responsibilities. Party agrees to cooperate with both the named AHS-associated party to this contract and with the Agency of Human Services itself with respect to the resolution of any issues relating to the performance and interpretation of this Agreement, payment matters and legal compliance.
			3. **Medicaid Program Parties** (*applicable to any Party providing services and supports paid for under Vermont’s Medicaid program and Vermont’s Global Commitment to Health Waiver*):

***Inspection and Retention of Records***: In addition to any other requirement under this Agreement or at law, Party must fulfill all state and federal legal requirements, and will comply with all requests appropriate to enable the Agency of Human Services, the U.S. Department of Health and Human Services (along with its Inspector General and the Centers for Medicare and Medicaid Services), the Comptroller General, the Government Accounting Office, or any of their designees: (i) to evaluate through inspection or other means the quality, appropriateness, and timeliness of services performed under this Agreement; and (ii) to inspect and audit any records, financial data, contracts, computer or other electronic systems of Party relating to the performance of services under Vermont’s Medicaid program and Vermont’s Global Commitment to Health Waiver. Party will retain for ten years all documents required to be retained pursuant to 42 CFR 438.3(u).

***Subcontracting for Medicaid Services***: Notwithstanding any permitted subcontracting of services to be performed under this Agreement, Party shall remain responsible for ensuring that this Agreement is fully performed according to its terms, that subcontractor remains in compliance with the terms hereof, and that subcontractor complies with all state and federal laws and regulations relating to the Medicaid program in Vermont. Subcontracts, and any service provider agreements entered into by Party in connection with the performance of this Agreement, must clearly specify in writing the responsibilities of the subcontractor or other service provider and Party must retain the authority to revoke its subcontract or service provider agreement or to impose other sanctions if the performance of the subcontractor or service provider is inadequate or if its performance deviates from any requirement of this Agreement. Party shall make available on request all contracts, subcontracts and service provider agreements between the Party, subcontractors and other service providers to the Agency of Human Services and any of its departments as well as to the Center for Medicare and Medicaid Services.

***Medicaid Notification of Termination Requirements***: Party shall follow the Department of Vermont Health Access Managed-Care-Organization enrollee-notification requirements, to include the requirement that Party provide timely notice of any termination of its practice.

***Encounter Data***: Party shall provide encounter data to the Agency of Human Services and/or its departments and ensure further that the data and services provided can be linked to and supported by enrollee eligibility files maintained by the State.

***Federal Medicaid System Security Requirements Compliance***: Party shall provide a security plan, risk assessment, and security controls review document within three months of the start date of this Agreement (and update it annually thereafter) in order to support audit compliance with 45 CFR 95.621 subpart F, *ADP* *System Security Requirements and Review Process*.

* + - 1. **Workplace Violence Prevention and Crisis Response** (*applicable to any Party and any subcontractors and sub-grantees whose employees or other service providers deliver social or mental health services directly to individual recipients of such services*):

Party shall establish a written workplace violence prevention and crisis response policy meeting the requirements of Act 109 (2016), 33 VSA §8201(b), for the benefit of employees delivering direct social or mental health services. Party shall, in preparing its policy, consult with the guidelines promulgated by the U.S. Occupational Safety and Health Administration for *Preventing Workplace Violence for Healthcare and Social Services Workers*, as those guidelines may from time to time be amended.

Party, through its violence protection and crisis response committee, shall evaluate the efficacy of its policy, and update the policy as appropriate, at least annually. The policy and any written evaluations thereof shall be provided to employees delivering direct social or mental health services.

Party will ensure that any subcontractor and sub-grantee who hires employees (or contracts with service providers) who deliver social or mental health services directly to individual recipients of such services, complies with all requirements of this Section.

* + - 1. **Non-Discrimination**:

Party shall not discriminate, and will prohibit its employees, agents, subcontractors, sub-grantees and other service providers from discrimination, on the basis of age under the Age Discrimination Act of 1975, on the basis of handicap under section 504 of the Rehabilitation Act of 1973, on the basis of sex under Title IX of the Education Amendments of 1972, and on the basis of race, color or national origin under Title VI of the Civil Rights Act of 1964. Party shall not refuse, withhold from or deny to any person the benefit of services, facilities, goods, privileges, advantages, or benefits of public accommodation on the basis of disability, race, creed, color, national origin, marital status, sex, sexual orientation or gender identity as provided by Title 9 V.S.A. Chapter 139.

No person shall on the grounds of religion or on the grounds of sex (including, on the grounds that a woman is pregnant), be excluded from participation in, be denied the benefits of, or be subjected to discrimination, to include sexual harassment, under any program or activity supported by State of Vermont and/or federal funds.

Party further shall comply with the non-discrimination requirements of Title VI of the Civil Rights Act of 1964, 42 USC Section 2000d, et seq., and with the federal guidelines promulgated pursuant to Executive Order 13166 of 2000, requiring that contractors and subcontractors receiving federal funds assure that persons with limited English proficiency can meaningfully access services. To the extent Party provides assistance to individuals with limited English proficiency through the use of oral or written translation or interpretive services, such individuals cannot be required to pay for such services.

* + - 1. **Employees and Independent Contractors**:

Party agrees that it shall comply with the laws of the State of Vermont with respect to the appropriate classification of its workers and service providers as “employees” and “independent contractors” for all purposes, to include for purposes related to unemployment compensation insurance and workers compensation coverage, and proper payment and reporting of wages. Party agrees to ensure that all of its subcontractors or sub-grantees also remain in legal compliance as to the appropriate classification of “workers” and “independent contractors” relating to unemployment compensation insurance and workers compensation coverage, and proper payment and reporting of wages. Party will on request provide to the Agency of Human Services information pertaining to the classification of its employees to include the basis for the classification. Failure to comply with these obligations may result in termination of this Agreement.

* + - 1. **Data Protection and Privacy:**

***Protected Health Information***: Party shall maintain the privacy and security of all individually identifiable health information acquired by or provided to it as a part of the performance of this Agreement. Party shall follow federal and state law relating to privacy and security of individually identifiable health information as applicable, including the Health Insurance Portability and Accountability Act (HIPAA) and its federal regulations.

***Substance Abuse Treatment Information***: Substance abuse treatment information shall be maintained in compliance with 42 C.F.R. Part 2 if the Party or subcontractor(s) are Part 2 covered programs, or if substance abuse treatment information is received from a Part 2 covered program by the Party or subcontractor(s).

***Protection of Personal Information***: Party agrees to comply with all applicable state and federal statutes to assure protection and security of personal information, or of any personally identifiable information (PII), including the Security Breach Notice Act, 9 V.S.A. § 2435, the Social Security Number Protection Act, 9 V.S.A. § 2440, the Document Safe Destruction Act, 9 V.S.A. § 2445 and 45 CFR 155.260. As used here, PII shall include any information, in any medium, including electronic, which can be used to distinguish or trace an individual’s identity, such as his/her name, social security number, biometric records, etc., either alone or when combined with any other personal or identifiable information that is linked or linkable to a specific person, such as date and place or birth, mother’s maiden name, etc.

***Other Confidential Consumer Information***: Party agrees to comply with the requirements of AHS Rule No. 08-048 concerning access to and uses of personal information relating to any beneficiary or recipient of goods, services or other forms of support. Party further agrees to comply with any applicable Vermont State Statute and other regulations respecting the right to individual privacy. Party shall ensure that all of its employees, subcontractors and other service providers performing services under this agreement understand and preserve the sensitive, confidential and non-public nature of information to which they may have access.

***Data Breaches***: Party shall report to AHS, though its Chief Information Officer (CIO), any impermissible use or disclosure that compromises the security, confidentiality or privacy of any form of protected personal information identified above within 24 hours of the discovery of the breach. Party shall in addition comply with any other data breach notification requirements required under federal or state law.

* + - 1. **Abuse and Neglect of Children and Vulnerable Adults:**

***Abuse Registry****.* Party agrees not to employ any individual, to use any volunteer or other service provider, or to otherwise provide reimbursement to any individual who in the performance of services connected with this agreement provides care, custody, treatment, transportation, or supervision to children or to vulnerable adults if there has been a substantiation of abuse or neglect or exploitation involving that individual. Party is responsible for confirming as to each individual having such contact with children or vulnerable adults the non-existence of a substantiated allegation of abuse, neglect or exploitation by verifying that fact though (a) as to vulnerable adults, the Adult Abuse Registry maintained by the Department of Disabilities, Aging and Independent Living and (b) as to children, the Central Child Protection Registry (unless the Party holds a valid child care license or registration from the Division of Child Development, Department for Children and Families). See 33 V.S.A. §4919(a)(3) and 33 V.S.A. §6911(c)(3).

***Reporting of Abuse, Neglect, or Exploitation*.** Consistent with provisions of 33 V.S.A. §4913(a) and §6903, Party and any of its agents or employees who, in the performance of services connected with this agreement, (a) is a caregiver or has any other contact with clients and (b) has reasonable cause to believe that a child or vulnerable adult has been abused or neglected as defined in Chapter 49 or abused, neglected, or exploited as defined in Chapter 69 of Title 33 V.S.A. shall: as to children, make a report containing the information required by 33 V.S.A. §4914 to the Commissioner of the Department for Children and Families within 24 hours; or, as to a vulnerable adult, make a report containing the information required by 33 V.S.A. §6904 to the Division of Licensing and Protection at the Department of Disabilities, Aging, and Independent Living within 48 hours. Party will ensure that its agents or employees receive training on the reporting of abuse or neglect to children and abuse, neglect or exploitation of vulnerable adults.

* + - 1. **Information Technology Systems**:

***Computing and Communication***: Party shall select, in consultation with the Agency of Human Services’ Information Technology unit, one of the approved methods for secure access to the State’s systems and data, if required. Approved methods are based on the type of work performed by the Party as part of this agreement. Options include, but are not limited to:

1. Party’s provision of certified computing equipment, peripherals and mobile devices, on a separate Party’s network with separate internet access. The Agency of Human Services’ accounts may or may not be provided.
2. State supplied and managed equipment and accounts to access state applications and data, including State issued active directory accounts and application specific accounts, which follow the National Institutes of Standards and Technology (NIST) security and the Health Insurance Portability & Accountability Act (HIPAA) standards.

***Intellectual Property/Work Product Ownership*:** All data, technical information, materials first gathered, originated, developed, prepared, or obtained as a condition of this agreement and used in the performance of this agreement -- including, but not limited to all reports, surveys, plans, charts, literature, brochures, mailings, recordings (video or audio**)**, pictures, drawings, analyses, graphic representations, software computer programs and accompanying documentation and printouts, notes and memoranda, written procedures and documents, which are prepared for or obtained specifically for this agreement, or are a result of the services required under this grant -- shall be considered "work for hire" and remain the property of the State of Vermont, regardless of the state of completion unless otherwise specified in this agreement. Such items shall be delivered to the State of Vermont upon 30-days notice by the State. With respect to software computer programs and / or source codes first developed for the State, all the work shall be considered "work for hire,” i.e., the State, not the Party (or subcontractor or sub-grantee), shall have full and complete ownership of all software computer programs, documentation and/or source codes developed.

 Party shall not sell or copyright a work product or item produced under this agreement without explicit permission from the State of Vermont.

 If Party is operating a system or application on behalf of the State of Vermont, Party shall not make information entered into the system or application available for uses by any other party than the State of Vermont, without prior authorization by the State. Nothing herein shall entitle the State to pre-existing Party’s materials.

Party acknowledges and agrees that should this agreement be in support of the State's implementation of the Patient Protection and Affordable Care Act of 2010, Party is subject to the certain property rights provisions of the Code of Federal Regulations and a Grant from the Department of Health and Human Services, Centers for Medicare & Medicaid Services. Such agreement will be subject to, and incorporates here by reference, 45 CFR 74.36, 45 CFR 92.34 and 45 CFR 95.617 governing rights to intangible property.

***Security and Data Transfers****:*Party shall comply with all applicable State and Agency of Human Services' policies and standards, especially those related to privacy and security. The State will advise the Party of any new policies, procedures, or protocols developed during the term of this agreement as they are issued and will work with the Party to implement any required.

Party will ensure the physical and data security associated with computer equipment, including desktops, notebooks, and other portable devices, used in connection with this Agreement. Party will also assure that any media or mechanism used to store or transfer data to or from the State includes industry standard security mechanisms such as continually up-to-date malware protection and encryption. Party will make every reasonable effort to ensure media or data files transferred to the State are virus and spyware free. At the conclusion of this agreement and after successful delivery of the data to the State, Party shall securely delete data (including archival backups) from Party’s equipment that contains individually identifiable records, in accordance with standards adopted by the Agency of Human Services.

Party, in the event of a data breach, shall comply with the terms of Section 7 above.

* + - 1. **Other Provisions**:

***Environmental Tobacco Smoke*.** Public Law 103-227 (also known as the Pro-Children Act of 1994) and Vermont’s Act 135 (2014) (An act relating to smoking in lodging establishments, hospitals, and child care facilities, and on State lands) restrict the use of tobacco products in certain settings. Party shall ensure that no person is permitted: (i) to use tobacco products or tobacco substitutes as defined in 7 V.S.A. § 1001 on the premises, both indoor and outdoor, of any licensed child care center or afterschool program at any time; (ii) to use tobacco products or tobacco substitutes on the premises, both indoor and in any outdoor area designated for child care, health or day care services, kindergarten, pre-kindergarten, elementary, or secondary education or library services; and (iii) to use tobacco products or tobacco substitutes on the premises of a licensed or registered family child care home while children are present and in care. Party will refrain from promoting the use of tobacco products for all clients and from making tobacco products available to minors.

Failure to comply with the provisions of the federal law may result in the imposition of a civil monetary penalty of up to $1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity. The federal Pro-Children Act of 1994, however, does not apply to portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where Women, Infants, & Children (WIC) coupons are redeemed.

***2-1-1 Database:*** If Party provides health or human services within Vermont, or if Party provides such services near the Vermont border readily accessible to residents of Vermont, Party shall adhere to the "Inclusion/Exclusion" policy of Vermont's United Way/Vermont 211 (Vermont 211), and will provide to Vermont 211 relevant descriptive information regarding its agency, programs and/or contact information as well as accurate and up to date information to its database as requested. The “Inclusion/Exclusion” policy can be found at [www.vermont211.org](http://www.vermont211.org).

***Voter Registration***: When designated by the Secretary of State, Party agrees to become a voter registration agency as defined by 17 V.S.A. §2103 (41), and to comply with the requirements of state and federal law pertaining to such agencies.

***Drug Free Workplace Act****:* Party will assure a drug-free workplace in accordance with 45 CFR Part 76.

***Lobbying***: No federal funds under this agreement may be used to influence or attempt to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, continuation, renewal, amendments other than federal appropriated funds.

*AHS ATT. F 5/16/2018*