

Vermont Department of Corrections



Request for Proposals

Project Title: Transitional Housing for Individuals Re-entering the Community after Incarceration

Anticipated Grant Period: July 1, 2021- June 30, 2023

Date RFP Issued: January 8, 2021

Applicant Information Session: January 29, 2021

Date Applications Due: March 12, 2021

Single Point of Contact: Emily Higgins, Corrections Housing Administrator

Contact Address: Vermont Department of Corrections
NOB 2 South, 280 State Drive
Waterbury, VT 05671-2000

Phone: (802) 798-2302

Email: Emily.Higgins@vermont.gov

SECTION I: Overview, Background & Objectives

A) REQUEST FOR PROPOSALS

The Vermont Department of Corrections (DOC) is seeking proposals for programs that provide transitional housing for individuals reentering the community from incarceration. The anticipated grant period will be for State Fiscal Years 2022 & 2023 (July 1, 2021 through June 30, 2023), with the option to renew for an additional two-year period. The option to renew will be based upon performance of the grantee and continued funding availability.

Grantees will be expected to work closely with local Department staff to integrate the housing and services outlined in the proposal with the local Probation and Parole office (P&P).

This Request for Proposals consist of the following:

- Section I: Overview, Background, and Objectives of the DOC Transitional Housing Program; RFP Submission Requirements and Selection Process
- Section II: Application
- Budget (Excel template)
- Appendices A & B– Resource Links & Standard AHS Grant Provisions

B) BACKGROUND & NEED STATEMENT

The Community and Restorative Justice Unit of the Vermont Department of Corrections has funded transitional housing program for those re-entering the community from incarceration since 2005.

The portfolio of DOC-funded Transitional Housing currently consists of partnerships with 18 community providers, including non-profits, community justice centers, and municipalities. These grantees are funded to provide the capacity approximately 250 beds/apartments statewide, and typically provide housing and support services to over 500 unique individuals per year.

As of 12/16/20, there are approximately 1,344 individuals incarcerated in Vermont correctional facilities and through out-of-state contracts. Many individuals who are eligible for release lack appropriate housing to return to the community and could benefit from services that support successful reintegration and provide links to permanent housing opportunities. The DOC recognizes the need to develop community partnerships for the men and women leaving its facilities to successfully transition back to the community and avoid homelessness.

Individuals returning to the community from incarceration are the target population. Grantees must serve moderate to high-risk offenders as determined by DOC risk assessment tools, including, but not limited to those who have been convicted of violent and sexual crimes. All providers are encouraged to partner with local restorative justice programs to prevent and address conflicts and challenges. The Department seeks proposals for programs that provide transitional housing, as well as a bridge to housing stability, for those reentering the community from incarceration. DOC cannot fund permanent housing itself, but seeks to fund proposals that demonstrate experience in providing housing and services (e.g. transitional housing, apartments, vouchers, housing search and retention, service coordination, etc.). Programs should have a focus on housing planning, and relationships with permanent housing providers

to help residents attain stability.

The DOC transitional housing program tracks outcomes according to a Results-Based Accountability (RBA) framework. The Measures, Targets, and Actuals from SFY 2020 are pasted below. We have seen good outcomes regarding referrals, housing plans, and those in transitional housing not being charged with a new crime. However, the data indicate a strong need to improve utilization of programs and successful exits to stable housing.

	Measure	Target	Actual
How Much?	Individuals Served	357	523
	Bed Days Utilized- (TH only)	75206	56,823
	Months of Rental Assistance	528	343
	Individuals Housed (Search and Retention Services)	42	17
How Well?	% Referrals Accepted (# accepted in FY/# referrals in FY)	80%	80%
	% of Housing Plans Reviewed Monthly (self reported)	80%	86%
	% of Housing Plans Created within 30 Days (self reported)	90%	88%
	% Utilization	80%	76%
Better Off?	% not charged with a new crime while in Program (escape charges not in count)	60%	97%
	# exits with income/total exits		283/490
	% of participants who were employed, enrolled in an educational or training program or receiving benefits out of all exiters	80%	58%
	# exits to permanent housing/total exits		198/490
	% who exited to permanent housing out of all exiters.	60%	40%

According to the research of the Council of State Government’s (CSG) work on Justice Reinvestment in Vermont, we have a high rate of recidivism, and racial disparities in our criminal justice system. An excerpt from a CSG publication states the following: “Like other states, each year Vermont grapples with high rates of people being removed from community supervision and sent to prison. Nearly 80 percent of all prison admissions in Vermont were for violations of terms of furlough, probation, or parole supervision from 2017 to 2019. The majority of people who returned to prison for violating the terms of their furlough release did so due to technical violations, which frequently consist of minor offenses, such as a lack of housing, failed drug tests, or missed appointments and curfews.”

Explainer: The Significance of Vermont's Justice Reinvestment Legislation (CSG July 2020: <https://csgjusticecenter.org/2020/07/16/explainer-the-significance-of-vermonts-justice-reinvestment-legislation/> See footnote ¹.

Based on a detailed needs assessment and data analysis conducted recently, it is clear that returns to incarceration from our transitional housing programs are happening at a fairly high rate. Through this request, our goal is to address this challenge and provide safe, stable housing for those in the care and custody of the Department of Corrections.

The Community and Restorative Justice Unit spent the summer of 2020 creating a **Theory of Change** for our transitional housing investments, with assistance from experts in the Agency of Human Services Central Office. This fall we presented and vetted the theory with DOC and AHS leadership; and shared it with current community providers for input. The full Theory of Change is incorporated below for your reference. In essence, it summarizes the belief of the Department of Corrections that successful programs to help people re-enter their communities from incarceration require supportive housing that is trauma-informed, provides a range of services, and is focused on restorative justice.

In **APPENDIX A** of this request, there is a list of resources which provide critical background information on the topics of:

- Vermont State Policies, Directives, and Resources regarding DOC Transitional Housing, Definition of Homelessness, and AHS Trauma & Resilience
- Evidence-Based Models and Practices for Re-entry Housing
- Housing First

Please review these materials carefully and use them to inform and support your proposal.

¹ Further information about the Justice Reinvestment Act can be found here:

- **Act 148 (SB 338)**, was signed into law in July 2020, and will take full effect in January 2021. The full text of the Act: <https://legislature.vermont.gov/Documents/2020/Docs/ACTS/ACT148/ACT148%20As%20Enacted.pdf>
- **A summary of changes made through this Act:** <https://doc.vermont.gov/sites/correct/files/Justice%20Reinvestment%20Overview%20and%20Impacts.9-20-20.pdf>

Theory of Change: DOC Re-Entry Housing

VISION

All Vermonters under supervision have the housing resources and relationships they need to thrive and keep themselves and communities safe.

DESIRED OUTCOMES



People are supported to thrive.

Housing is available for people that meets their needs.

DIGNITY



Relationships increase social capital for people.

People are motivated to make decisions that stabilize their lives.

STABILITY



People are safe from harm. (no more new victims)

People have access to resources that help them meet their needs.

SAFETY

ESSENTIAL CONDITIONS

VALUE

People contribute meaningfully to community

TRUST

People experience consistency, equity, and transparency

CHOICE

People have options from which to make choices



SHARED RESPONSIBILITY FOR WELL-BEING



OPPORTUNITIES

Community members & organizations create opportunities and relationships that help people to achieve their goals

COMMUNITY INVESTMENT

Community members & organizations participate and invest in supporting successful re-entry

ASSUMPTIONS

- Interventions are most effective when they are **trauma-informed** and when they help people in ways that are **personally meaningful**.
- **Basic life needs must be met** before people can spend energy working toward their goals and priorities, including meaningful engagement with desired support services.
- When people have **access to essential tools, resources, knowledge, and skills** for getting through life and accomplishing their priorities, they are less likely to act harmfully or criminally.
- When people can **build their capabilities and strengths**, they reduce their risk of reoffending.
- Ensuring that everyone in our communities has equitable access to what they need to thrive is a **shared responsibility** and cannot be accomplished by any one program or intervention alone.
- **Stable housing and person-led, supportive re-entry programming** decreases the likelihood of reoffending and supports increased resilience toward thriving.

The Good Lives Model & SAMHSA's Concept of Trauma and Guidance for a Trauma-Informed Approach & National Alliance to End Homelessness

OUR APPROACH

RESULTS

HOUSING

People transition to and/or remain in stable, permanent housing that meets their needs

STABILITY

People are accomplishing their goals and believe in their own capability
People are not committing new crimes
People feel an increased sense of hopefulness
People are connected to supportive relationships and services that offer help, stability, and accountability

COMMUNITY

People and organizations are building relationships with people to support their re-entry

INTERVENTIONS

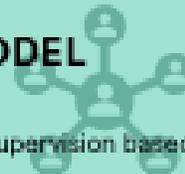
HOUSING MODEL

- **Facilitate permanent housing** (short-long term rental assistance and link to vouchers)
 - Integrate with broader array of housing services, resources, and supports (continuum of care)
- **Offer supportive services** for participants if/when they choose to engage them toward their goals



RE-ENTRY & CASE MANAGEMENT MODEL

- Focus on safety for individuals and community
- Autonomy balanced with appropriate level of supervision based on risk
- Strong link to probation & parole, mental health, substance use treatment, and supportive services
- Utilize **restorative justice, harm-reduction, and trauma-informed** principles, including:
 - Holistic, person-centered, strengths-based case plans
 - Integrated community case planning including natural supports, peers, and volunteers
 - Clarified role for victims' voices and needs



NEW ACTIONS

- **Partner** with providers who demonstrate ability to implement foundational DOC policy direction and models.
- **Train and support** partners and DOC probation and parole staff, in effective models for re-entry and housing stability.
- **Integrate** with VT Housing Continuums of Care so that people re-entering communities have their housing needs considered along with other Vermonters experiencing risk of homelessness.

PARTNERS

CORRECTIONS

- Facility caseworkers and District Managers work together to facilitate meaningful referrals
- Probation & Parole caseworkers refer to housing program, create initial case plan, and advocate for housing
- CRJ Unit provide program guidance and funding
- Partner with AHS departments and Housing Authorities around development of housing and long-term housing solutions

RE-ENTRY PROGRAMS

- Ongoing case planning with clients
- Connection to Continuum of Care and housing resources
- Connection to community support services
- Community relationship development
- Staff training and support
- Monitoring and evaluation

HOW WILL THE PROGRAM BE DIFFERENT?

WHAT WE OBSERVED

- Tiered transitional housing options were based on offender risk profile
- Zero tolerance program rules (e.g. sober housing) were resulting in reincarceration
- DOC lacked an overarching housing philosophy that connected all program investments
- Program milieu did not necessarily incorporate trauma-informed practices
- Referrals were inconsistent and discretionary, affected by perception of program or participant

HOW WE ARE CHANGING

- Investments targeted to programs that can meet range of DOC needs (e.g. house sex offenders)
- Focus on stable housing as top priority, and facilitate access to support services
- Focus on offender strengths (skill building & tenancy education)
- More fully engage the community in supporting re-entry
- Services integrated with the Continuum of Care
- Focus on restorative justice to address challenges (CJC's)

IMPLEMENTING THE THEORY OF CHANGE



NEW PARTNERSHIP

Partner with Continuum of Care, CJC's, Service Providers



ONGOING LEARNING

Sustain dialogue with providers about what is & is not working

NEW AGREEMENTS

Develop agreements that reflect best practice for housing & successful re-entry

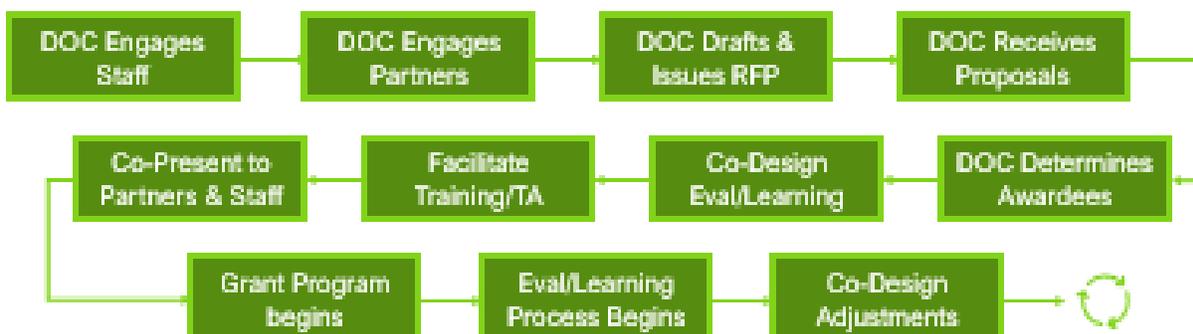


ONGOING SUPPORT

Offer ongoing training and support for implementing best practices



WHAT TO EXPECT



C) FUNDING AVAILABLE

Grants will be awarded by the State Department of Corrections.

The State anticipates that the following funds will be available for eligible entities and activities under the DOC Transitional Housing Program during SFY 2022 (7/1/2021 – 6/30/2022). **Up to \$3,797,748 from the General State Fund (GSF) appropriation, and up to \$2,186,111 in Global Commitment/ Medicaid funds for a total of \$5,983,859.**

The Community and Restorative Justice Unit, at its discretion, may reserve funds for:

- Training & Technical Assistance
- Release Money
- Landlord Risk Pool
- Innovative or statewide proposals

Assuming level funding from both sources, it is anticipated that a similar amount of funding will be available for eligible entities and activities in SFY 2023 (7/1/2022 – 6/30/2023). Awards will be made for two years – SFY 2022 and SFY 2023. The availability of funds in both SFY 2022 and SFY 2023 is contingent on final appropriation by the State legislature and final negotiated details of Global Commitment Medicaid funding.

Based on a recent Needs Assessment completed by the Department of Corrections, we are requesting proposals for the following regional capacity. *These allocations are meant to serve as a planning tool only, and are subject to change based on the proposals we receive:*

AHS District	Proposed Range for DOC-Funded Beds	Proposed funding allocation SFY 2022
Barre	38-45	\$ 950,000.00
Bennington	14-17	\$ 375,000.00
Brattleboro	20-35	\$ 660,000.00
Burlington	42-55	\$ 1,500,000.00
Hartford	15-19	\$ 270,000.00
Middlebury	4-8	\$ 190,000.00
Morrisville	4-6	\$ 160,000.00
Newport	4-8	\$ 145,000.00
Rutland	13-25	\$ 400,000.00
Springfield	10-20	\$ 400,000.00
St Albans	10-20	\$ 400,000.00
St Johnsbury	4-8	\$ 150,000.00
TOTAL	178-266	\$ 5,600,000.00

D) OBJECTIVES

The purposes of DOC-funded housing and services are to:

- Promote housing stability of individuals returning to the community from incarceration
- Supervise and support individuals (offenders) in the least restrictive environment
- Provide opportunities for reintegration and connections to community and services

Proposals should demonstrate an understanding of best practices in housing those with complex needs. Providers should have a general understanding of core correctional practices and include evidence-based services which align with the Vermont DOC's community supervision goals. Applicants should include plans to house sex-offenders, as this is the most challenging and necessary service for those re-entering their communities.

Proposals should reflect an understanding and reasonable incorporation of the principals and characteristics laid out in the Theory of Change and the resources listed in APPENDIX A. If a program currently operates under a different model, the application should include an explanation of proposed changes to policy & operations. Applicants may also describe what would be useful in terms of training and technical support from DOC. Ensuring that people are not evicted for program violations is critical to reducing recidivism, homelessness, and other negative outcomes. Including harm reduction interventions, or formal connections to other housing interventions if the location is a sober living environment, is key to doing this. There is a need for various program types to serve the needs of all citizens re-entering our communities.

All proposals, and subsequent grantee performance, shall align with the following DOC principles:

- That people can change
- That community participation and support are essential for the successful delivery of correctional services
- In the inherent worth and dignity of all individuals
- In treating people with respect and dignity
- In teamwork and the process of continuous improvement
- In professional self-improvement
- In the placement of offenders in the least restrictive environment consistent with public safety and offense severity
- In fairness throughout decision making
- In respect for the liberty interests, rights and entitlements of the individual
- In individual empowerment
- In non-violent conflict resolution
- In maintaining a safe and secure environment
- In the value of individual, cultural and racial diversity
- That victims have the right to have an active role in determining how their needs can best be met
- That offenders are responsible, to the extent possible, to repair harm done to victims and the community

E) ELIGIBLE ACTIVITIES

Applicants may request funding for the following program components:

Staffing: may include program managers, site staff, service coordinators, etc. Staffing may also incorporate services such as housing search and placement, and housing retention case management. As stated under the cost proposal section of the application (C, 11, b) every staff position that will be funded in part or in full via this proposal must be detailed and described in both narrative and budget format.

Program Operations: Requests for operations funding must include a list of items for which the grantee is requesting funding (i.e., rent, electricity, insurance, fuel, rubbish/snow removal, maintenance/minor repairs, etc.). As stated under the cost proposal section of the application (C, 11, c), all operations expenses must be detailed in both narrative and budget form, with adequate basis.

Programs may offer “scattered site” single or shared apartments located in the community with full or partial rental assistance. Regular case management shall occur, with regular visits made to the apartment by grantee staff.

Programs may also offer temporary transitional housing in a congregate setting (generally up to twenty-four (24) months) for re-entering individuals who are in need of a stable living environment and support in the transition to permanent housing.

Purchase and/or rehabilitation of real estate are NOT eligible expenses under this RPF.

Direct Client Assistance: Applicants may request funding for security deposits, rental assistance, housing supplies to furnish an apartment, and/or limited food or moving costs. Clear justification must be made for the average amount of rental assistance and other costs per program participant, and evidence that other sources of support for these costs are being leveraged.

F) GENERAL PROVISIONS

Grant Terms

The selected grantee will sign a grant with the DOC to carry out the specifications and provide the activities detailed in the proposal. Terms and conditions from this RFP and grantee’s response may become part of the grant. This grant will be subject to review throughout its entire term. The DOC 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.

Grant Award

The DOC 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 DOC.

Subgrantees

Any subgrantees hired by the primary grantee must adhere to the same standards and grant

provisions applicable to the primary grantee. The primary grantee retains overall responsibility for grant performance. The primary grantee must advise the DOC of intent to hire a subgrantee and provide the name of company, name of president/owner and location of company. The DOC reserves the right to reject the hiring of subgrantee during the term of grant.

Invoicing

All invoices are to be submitted by the grantee on the grantee's standard invoice. The invoice must include the following: an authorized signature, name and address for remittance of payment by the state, the current grant number, dates of performance and a brief description of the service or product provided. Additionally, all invoices shall be accompanied by a detailed statement of financial expenditures for the period.

Grantee Performance Guidance

All applicants will be held to specific performance review criteria over the life of the grant to ensure that project deliverables as outlined in the RFP and attested to in the Scope of Work are being met. Review of project deliverables, using a Results Based Accountability framework, will occur at intervals agreed upon by both the State and the grantee and designated in the grant.

Grantee Staffing

Key staff member(s) should be assigned to this grant for the full duration proposed. Grantee should notify DOC of any changes in program staffing.

The Grantee must identify staff member(s) who will remain on this project until completion, unless indicated otherwise in the Grantee's proposal. The Grantee may propose other staff members as "key" if desired. The Grantee will make every reasonable effort to ensure that the early removal of a key staff member has no adverse impact on the successful completion of this project.

All staff and volunteers must undergo a criminal background check and those who will have direct contact with program participants must complete all required DOC Training.

Key Grantee Responsibilities

The selected Grantee must assume primary responsibility for the implementation of the grant specifications and activities. The Grantee will successfully implement the plan to 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 coverage is 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 coverage 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.**

Please review APPENDIX B, for all applicable STANDARD STATE PROVISIONS as listed in Attachments C, D, E, and F. All grantees will be required to abide by these provisions, and they will be incorporated into all grant agreements.

Excerpt from ATTACHMENT C, #8:

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.

Excerpt from ATTACHMENT F, #5:

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.

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.

The Grantee must abide by all Federal Regulations if applicable to this Grant, including, but not limited to the Prison Rape Elimination Act (PREA) of 2003 (28 C.F.R. Part 115, Docket No. OAG-131, R1N1005-AB34- Dated May 17, 2012), and with all applicable PREA Standards, VTDOC Policies and Directives related to PREA for preventing, detecting, monitoring, investigating, and eradicating any form of sexual abuse within VTDOC. Grantee acknowledges that, in addition to “self-monitoring requirements” VT State staff will conduct announced or unannounced, compliance monitoring to include “on-site” monitoring. Failure to comply with PREA, including PREA Standards and VTDOC Directives and Policies may result in termination of the grant.

Link to the Final PREA Standards:

<http://www.prearesourcecenter.org/library/488/standards/departement-of-justice-national-prea-standards>

Project Management

The Grantee will be accountable to the Department of Corrections Community and Restorative Justice Executive and/or designee(s), and holds responsibility for the project deliverables, schedule, and adherence to grant provisions. The Grantee must abide by all DOC standards and protocols as defined by the Housing Administrator and his/her designee(s).

Status Reports

The Vermont Department of Corrections reserves the right to call meetings with the grantee to ensure that unresolved issues are resolved during this grant period. The grantee will be accountable in advising the Housing Administrator of this grant or designee when/if performance measures agreed upon will not be met. The following status reports will become part of the grant. They include the following:

- Regular meetings with local and Central Office DOC staff to discuss general program operation
- Quarterly Performance Reports
- Regular data entry into the DOC’s Offender Management System (OMS)

G) SUBMISSION REQUIREMENTS

This RFP defines the scope of work required and work/management structure within which the chosen Grantee must operate. In order to be considered for selection, applicants must complete all sections and answer all question as laid out in the Application. Proposals not meeting the requirements described in this RFP will not be considered.

Single Point of Contact

All communications concerning this RFP are to be addressed in writing to the attention of Emily Higgins, as listed on cover sheet of this request for proposals. Attempts by applicants to contact any other party could result in the rejection of their proposal as determined by the DOC.

Applicants may submit written questions and discussion points in advance of the Information Session. A follow-up Frequently Asked Questions and Answers document will be made available to all applicants.

Applicant Information Session

The applicant Information Session will be held on **January 29, 2021** at 1:00pm via a Microsoft Teams meeting.

Join on your computer or mobile app

[Click here to join the meeting](#)

[Learn More](#) | [Meeting options](#)

Applicants should notify Emily Higgins at emily.higgins@vermont.gov by January 22, 2021 by 12:00pm if they plan to participate.

Attendance at the applicant information session is not mandatory but is strongly recommended. The conference is intended to be an interactive exchange of information, with appropriate Department of Corrections staff available to provide clarification and/or answers to questions.

Timetable

The table below presents the DOC schedule for this RFP and granting process. Please note that the DOC may change this schedule at any point.

RFP published	January 8, 2021
Written questions due	January 22, 2021 by 12:00pm
Applicants Conference/response to questions	January 29, 2021 at 1:00pm
Proposal due	March 12, 2021 by 12:00pm
Grant negotiation period	To begin March 15, 2021
Grant Start Date	July 1, 2021

The State reserves the right to accept or reject any or all proposals. Selected State staff will evaluate proposals. If a proposal is selected, the chosen Grantee will be invited to negotiate a grant for all or part of the activities outlined in this RFP. Work to be completed under this grant will commence no later than July 1, 2021.

Proposal Submission

Please note that any and all pages of the applicant'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.

Content and Form

Proposals should follow the outline in the APPLICATION section below. All proposals must include the following, in the order shown:

- Cover Sheet
- Background (New Applicants Only)
- Program Narrative
- Budget & Justification

- Attachments – please review carefully

Proposals should be in 12 pt. font, with a header that includes page number and applicant name. There are no page limitations, but please be concise.

Letters of Support

Applicants may provide letters of support from partners to describe how their proposal meets the demonstrated need in their community and their qualifications to provide the service. Letters are not required, however are encouraged for new applicants or innovative new approaches.

Submission Process

Applicants must submit their proposals electronically by sending a PDF document to: emily.higgins@vermont.gov. Budgets may be submitted in Excel. All questions should be directed to Emily Higgins at (802) 798-2302 or via the above email.

Applications will NOT be accepted by fax, mail, or hand delivery.

The closing date for the receipt of proposals is **March 12, 2021 at 12:00pm**. Proposals or unsolicited amendments submitted after that time will not be accepted and will be returned to the applicant. There are no exceptions to the closing date conditions.

H) SELECTION PROCESS

The evaluation team will determine if each proposal is sufficiently responsive to the RFP to permit a complete evaluation of the individual/organization and experience.

Method of Award

Upon completion of the evaluation process, the DOC will select one or more applicants based on the evaluation findings and other criteria deemed relevant for ensuring that the decision made is in the best interest of the DOC. The selected applicant will be requested to enter into negotiation with the State of Vermont on grant specifications, including detailed work plans, budget, deliverables and timetables. In the event the DOC is not successful in negotiating a grant with a selected applicant, the DOC reserves the option of negotiating with another applicant. Any grant negotiated must undergo review and signature according to statute and policy.

The grant for is for two year(s): July 1, 2021 through June 30, 2023. The grant may be renewed without rebidding for one two-year period with approval from the Administration. Award of a grant and any renewals thereof are contingent upon availability of funds.

Scoring Information

Proposals will be evaluated and weighted using the following distribution between experience, program design and cost:

Experience	20%
Program Characteristics/Alignment with Theory of Change	40%
Cost	25%
Bonus for Connection with Permanent Housing	15%

The criteria below (listed in no particular order), will be given significant consideration by the evaluation team.

- *Applicant has relevant background and experience*
- *Compelling letters of support (optional)*
- *Staff are qualified and turnover is reasonable*
- *History of effective program operation*
- *Proposal aligns with DOC framework of Risk Need Responsivity: trauma-informed, evidence-based*
- *Focus on participant strengths: skill building, tenancy education, intrinsic motivation*
- *Provide housing options for registered sex offenders (unless there's a specific prohibition, e.g. family shelter or town ordinance)*
- *Program allows for individualized services and responses*
- *Process for preventing and addressing conflict and/or program violations that reduces recidivism and exits to homelessness*
- *Evidence of active community engagement in the re-integration process: restorative justice approach to conflict, relationship development, integrated case planning*
- *Effective partnerships (including AHS/funders, mental health & substance use services, housing providers, DOC field services, volunteers & participants)*
- *The request aligns with the proposed allocation per District and is a reasonable per unit/participant cost*

Although the criteria listed above are material factors, they are not the sole factors in proposal evaluation. A grant award will be made to the applicant(s) whose proposal(s) are determined to be the most advantageous to the State, taking into account cost and other evaluation criteria as set forth in this RFP. Additional consideration will be given to proposals that leverage multiple resource streams for on-going program operations and/or create strategic links to permanent housing options and/or Housing Choice Vouchers.

Staff of other departments, agencies and/or consultants may be involved in the evaluation of the proposals.

During the evaluation process, applicants may be contacted for the purpose of obtaining clarification of their response. However, no clarification will be sought if an applicant completely fails to address a feature contained in the RFP document. If the failure was in response to a mandatory feature, the applicant may be disqualified.

APPENDIX A

Critical Background Resources for the DOC Transitional Housing RFP, January 2021

Vermont State Policies, Directives, and Resources

Transitional Housing Directive -VT Department of Corrections

<https://doc.vermont.gov/sites/correct/files/documents/policy/correctional/503.01-transitional-housing.pdf>

Interim Memo on Transitional Housing -VT Department of Corrections

<https://doc.vermont.gov/sites/correct/files/documents/policy/transitional-housing-im.pdf>

AHS/HUD Definition of Homelessness

<https://dcf.vermont.gov/sites/dcf/files/OEO/Docs/AHS-HUD-Definition-Homelessness.pdf>

AHS Trauma-Informed System of Care Policy:

<https://humanservices.vermont.gov/sites/ahsnew/files/AHS%20Trauma-InformedFinal%20w%20signature.pdf>

AHS Trauma Prevention & Resilience Development Resource page:

<https://humanservices.vermont.gov/highlighting-promising-practice/trauma-prevention-resilience-development>

AHS Resources for Professionals who work with people who have experienced the trauma of being sexually abused as children. It is also focused on the needs of professionals who work with youth and adults who exhibit sexually harmful behaviors. You will find resources on current research, best practice and evidence-based models to serve these populations:

<https://humanservices.vermont.gov/help-and-resources/vermont-center-prevention-and-treatment-sexual-abuse/resources-professionals>

AHS Training on Trauma and Resilience:

<https://www.youtube.com/watch?v=dHgUkiCWHQc>

Evidence-Based Models and Practices for Re-entry Housing

Coming Home Movie about the Circles of Support and Accountability (COSA) model in VT

<https://vimeo.com/268889999> password is "cosa"

Reentry Best Practices for People with Opioid Use Disorders (12/16/20 webinar co-hosted by the Council of State Governments (CSG) Justice Center and the Justice Community Opioid Innovation Network (JCOIN)) [A recording of the webinar](#), as well as a [PDF of the presentation](#).

Concept of Trauma and Guidance for a Trauma-Informed Approach (SAMHSA's Trauma and Justice Strategic Initiative, 2014): <https://store.samhsa.gov/sites/default/files/d7/priv/sma14-4884.pdf>

Checklist for Trauma-Informed Human Resources Practices (National Council for Behavioral Health, 2017): <https://www.thenationalcouncil.org/wp-content/uploads/2019/11/Checklist-for-Trauma-Informed-Human-Resources-Practices.pdf?dof=375ateTbd56>

The Good Lives Model of Offender Rehabilitation: A Strengths-Based Approach for Lives in Transition <https://goodlivesmodel.com/>

Supportive Housing for Returning Prisoners: Outcomes and Impacts of the Returning Home-Ohio Pilot Project (Urban Institute Justice Policy Center, 2012):

<https://www.urban.org/research/publication/supportive-housing-returning-prisoners-outcomes-and-impacts-returning-home-ohio-pilot-project>

How State Led Housing Initiatives Can Break the Cycle of Criminal Justice Involvement (Council of State Governments Webinar 9/2020): <https://csgjusticecenter.org/events/how-state-led-housing-initiatives-can-break-the-cycle-of-criminal-justice-involvement/>

Housing First Resources

From Survival to Recovery: **How Housing First Promotes Success** (Policy Resource Associates, 12/2020): <https://www.prainc.com/gains-survival-recovery-housing-promotes-success/>

Four Clarifications about Housing First (United States Interagency Council of Homelessness (USICH) 2014): <https://www.usich.gov/news/four-clarifications-about-housing-first/>

Housing First: Ending Homelessness, Transforming Systems, and Changing Lives (Padgett, Henwood & Tsemberis, 2016) Book available on Amazon.com or from local bookstore: https://www.amazon.com/Housing-First-Homelessness-Transforming-Changing/dp/019998980X/ref=sr_1_2?dchild=1&keywords=housing+first+book&qid=1608324178&sr=8-2

APPENDIX B

STANDARD STATE PROVISIONS, ATTACHMENTS C, D, E & F

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:

- A. 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.
- B. 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.
- C. 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.
- D. 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:

- A. is not under any obligation to pay child support; or
- B. is under such an obligation and is in good standing with respect to that obligation; or

C. 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:

A. 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.

B. 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.

C. 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:

A. 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.

B. 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).

C. 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:

A. 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.

B. 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 D
MODIFICATION OF CUSTOMARY PROVISIONS
OF
ATTACHMENT C OR ATTACHMENT F

- 1. The insurance requirements contained in Attachment C, Section 8 are hereby modified:**

To Add:

Professional Liability: Before commencing work on this Agreement and throughout the term of this Agreement, the Party shall procure and maintain professional liability insurance for any and all services performed under this Agreement, with minimum coverage of **\$1,000,000.00** per occurrence, and **\$3,000,000.00** aggregate.

- 2. Requirements of other Sections in Attachment C are hereby modified:**

- 3. Requirements of Sections in Attachment F are hereby modified:**

**ATTACHMENT E
BUSINESS ASSOCIATE AGREEMENT**

SOV CONTRACTOR/GRANTEE/BUSINESS ASSOCIATE:

SOV GRANT NO.

GRANT EFFECTIVE DATE:

This Business Associate Agreement (“Agreement”) is entered into by and between the State of Vermont Agency of Human Services, operating by and through its **Department of Corrections** (“Covered Entity”) and Party identified in this Agreement as Contractor or Grantee above (“Business Associate”). This Agreement supplements and is made a part of the contract or grant (“Contract or Grant”) to which it is attached.

Covered Entity and Business Associate enter into this Agreement to comply with the 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. Terms defined in this Agreement are italicized. Unless otherwise specified, when used in this Agreement, defined terms used in the singular shall be understood if appropriate in their context to include the plural when applicable.

“*Agent*” means an Individual acting within the scope of the agency of the *Business Associate*, in accordance with the Federal common law of agency, as referenced in 45 CFR § 160.402(c) and includes Workforce members and *Subcontractors*.

“*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 for “Business Associate” in 45 CFR § 160.103 and means Contractor or Grantee and includes its Workforce, *Agents* and *Subcontractors*.

“*Electronic PHI*” shall mean *PHI* created, received, maintained or transmitted electronically in accordance with 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*” (“*PHI*”) shall have the meaning given in 45 CFR § 160.103, limited to the *PHI* created or received by *Business Associate* from or on behalf of Covered Entity.

“*Required by Law*” means a mandate contained in law that compels an entity to make a use or disclosure of *PHI* and that is enforceable in a court of law and shall have the meaning given in 45 CFR § 164.103.

“*Report*” means submissions required by this Agreement as provided in section 2.3.

“*Security Incident*” means the attempted or successful unauthorized Access, Use, Disclosure, modification, or destruction of Information or interference with system operations in an Information System relating to *PHI* in accordance with 45 CFR § 164.304.

“*Services*” includes all work performed by the *Business Associate* for or on behalf of Covered Entity that requires the Use and/or Disclosure of *PHI* to perform a *Business Associate* function described in 45 CFR § 160.103.

“*Subcontractor*” means a Person to whom *Business Associate* delegates a function, activity, or service, other than in the capacity of a member of the workforce of such *Business Associate*.

“*Successful Security Incident*” shall mean a *Security Incident* that results in the unauthorized Access, Use, Disclosure, modification, or destruction of information or interference with system operations in an Information System.

“*Unsuccessful Security Incident*” shall mean a *Security Incident* such as routine occurrences that do not result in unauthorized Access, Use, Disclosure, modification, or destruction of information or interference with system operations in an Information System, such as: (i) unsuccessful attempts to penetrate computer networks or services maintained by *Business Associate*; and (ii) immaterial incidents such as pings and other broadcast attacks on *Business Associate's* firewall, port scans, unsuccessful log-on attempts, denials of service and any combination of the above with respect to *Business Associate's* Information System.

“*Targeted Unsuccessful Security Incident*” means an *Unsuccessful Security Incident* that appears to be an attempt to obtain unauthorized Access, Use, Disclosure, modification or destruction of the Covered Entity’s *Electronic PHI*.

2. Contact Information for Privacy and Security Officers and Reports.

2.1 *Business Associate* shall provide, within ten (10) days of the execution of this Agreement, written notice to the Contract or Grant manager the names and contact information of both the HIPAA Privacy Officer and HIPAA Security Officer of the *Business Associate*. This information must be updated by *Business Associate* any time these contacts change.

2.2 Covered Entity's HIPAA Privacy Officer and HIPAA Security Officer contact information is posted at: <http://humanservices.vermont.gov/policy-legislation/hipaa/hipaa-info-beneficiaries/ahs-hipaa-contacts/>

2.3 *Business Associate* shall submit all *Reports* required by this Agreement to the following email address: AHS.PrivacyAndSecurity@vermont.gov

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

3.1 Subject to the terms in this Agreement, *Business Associate* may Use or Disclose *PHI* to perform *Services*, as specified in the Contract or Grant. Such Uses and Disclosures are limited to the minimum necessary to provide the *Services*. *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* and only in compliance with applicable laws and regulations.

3.2 *Business Associate* may make *PHI* available to its Workforce, *Agent* and *Subcontractor* who need Access to perform *Services* as permitted by this Agreement, provided that *Business Associate* makes them aware of the Use and Disclosure restrictions in this Agreement and binds them to comply with such restrictions.

3.3 *Business Associate* shall be directly liable under HIPAA for impermissible Uses and Disclosures of *PHI*.

4. **Business Activities.** *Business Associate* may Use *PHI* if necessary for *Business Associate's* proper management and administration or to carry out its legal responsibilities. *Business Associate* may Disclose *PHI* 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 such *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 to notify *Business Associate*, within five (5) business days, in writing of any *Breach* of Unsecured *PHI* of which it is aware. Such Uses and Disclosures of *PHI* must be of the minimum amount necessary to accomplish such purposes.

5. **Electronic PHI Security Rule Obligations.**

5.1 With respect to *Electronic PHI*, *Business Associate* shall:

a) Implement and use Administrative, Physical, and Technical Safeguards in compliance with 45 CFR sections 164.308, 164.310, and 164.312;

b) Identify in writing upon request from Covered Entity all the safeguards that it uses to protect such Electronic *PHI*;

c) Prior to any Use or Disclosure of *Electronic PHI* by an *Agent* or *Subcontractor*, ensure that any *Agent* or *Subcontractor* to whom it provides *Electronic PHI* agrees in writing to implement and use Administrative, Physical, and Technical Safeguards that reasonably and appropriately protect the Confidentiality, Integrity and Availability of Electronic PHI. 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*, and be provided to Covered Entity upon request;

d) Report in writing to Covered Entity any *Successful Security Incident* or *Targeted Security Incident* as soon as it becomes aware of such incident and in no event later than five (5) business days after such awareness. Such report shall be timely made notwithstanding the fact that little information may be known at the time of the report and need only include such information then available;

e) Following such report, provide Covered Entity with the information necessary for Covered Entity to investigate any such incident; and

f) Continue to provide to Covered Entity information concerning the incident as it becomes available to it.

5.2 Reporting *Unsuccessful Security Incidents*. *Business Associate* shall provide Covered Entity upon written request a *Report* that: (a) identifies the categories of Unsuccessful Security Incidents; (b) indicates whether *Business Associate* believes its current defensive security measures are adequate to address all Unsuccessful Security Incidents, given the scope and nature of such attempts; and (c) if the security measures are not adequate, the measures *Business Associate* will implement to address the security inadequacies.

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

6. **Reporting and Documenting Breaches.**

6.1 *Business Associate* shall *Report* to Covered Entity any *Breach* of Unsecured *PHI* as soon as it, or any Person to whom *PHI* is disclosed under this Agreement, becomes aware of any such *Breach*, and in no event later than five (5) business days after such awareness, except when a law enforcement official determines that a notification would impede a criminal investigation or cause damage to national security. Such *Report* shall be timely made notwithstanding the fact that little information may be known at the time of the *Report* and need only include such information then available.

6.2 Following the *Report* described in 6.1, *Business Associate* shall conduct a risk assessment and provide it to Covered Entity with a summary of the event. *Business Associate* shall provide Covered Entity with the names of any *Individual* 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

Individual, as set forth in 45 CFR § 164.404(c). Upon request by Covered Entity, *Business Associate* shall provide 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.

6.3 When *Business Associate* determines that an impermissible acquisition, Access, Use or Disclosure of *PHI* for which it is responsible is not a *Breach*, and therefore does not necessitate notice to the impacted *Individual*, it shall document its assessment of risk, conducted as set forth in 45 CFR § 402(2). *Business Associate* shall make its risk assessment available to Covered Entity upon request. It shall include 1) the name of the person 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.

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*. *Business Associate* shall make its mitigation and corrective action plans available to Covered Entity upon request.

8. **Providing Notice of Breaches.**

8.1 If Covered Entity determines that a *Breach* of *PHI* for which *Business Associate* was responsible, and if requested by Covered Entity, *Business Associate* shall provide notice to the *Individual* whose *PHI* has been the subject of the *Breach*. When so requested, *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. *Business Associate* shall be responsible for the cost of notice and related remedies.

8.2 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.

8.3 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).

8.4 *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* to require compliance with HIPAA and to ensure *Business Associate* and *Subcontractor* comply with the terms and conditions of this Agreement. *Business Associate* must enter into such written agreement before any Use by or Disclosure of *PHI* to such *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 *PHI*. *Business Associate* shall provide a copy of the written 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 five (5) 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 five (5) 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 five (5) 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* available to the Secretary of Health and Human Services (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 the *PHI* is destroyed or returned to Covered Entity subject to Section 18.8.

14.2 If *Business Associate* fails to comply with any material term of this Agreement, Covered Entity may provide an opportunity for *Business Associate* to cure. If *Business Associate* does not cure within the time specified by Covered Entity or if Covered Entity believes that cure is not reasonably possible, Covered Entity may immediately terminate the Contract or Grant without incurring liability or penalty for such termination. If neither termination nor cure are feasible, Covered Entity shall report the breach to the Secretary of HHS. Covered Entity has the right to seek to cure such failure by *Business Associate*. Regardless of whether Covered Entity cures, it retains any right or remedy available at law, in equity, or under the Contract or Grant and *Business Associate* retains its responsibility for such failure.

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, *PHI* 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 *PHI*. *Business Associate* shall certify in writing and report to 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 report to Covered Entity any conditions that *Business Associate* believes make the return or destruction of *PHI* infeasible. *Business Associate* shall extend the protections of this Agreement to such *PHI* and limit further Uses and Disclosures to those purposes that make the return or destruction infeasible for so long as *Business Associate* maintains such *PHI*.

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 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 Covered Entity's 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. Miscellaneous.

18.1 In the event of any conflict or inconsistency between the terms of this Agreement and the terms of the Contract or Grant, the terms of this Agreement shall govern with respect to its subject matter. Otherwise, the terms of the Contract or Grant continue in effect.

18.2 Each party shall cooperate with the other party to amend this Agreement from time to time as is necessary for such party to comply with the Privacy Rule, the Security Rule, or any other standards promulgated under HIPAA. This Agreement may not be amended, except by a writing signed by all parties hereto.

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

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

18.5 *Business Associate* shall not have or claim any ownership of *PHI*.

18.6 *Business Associate* shall abide by the terms and conditions of this Agreement with respect to all *PHI* 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.

18.7 *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 *PHI* may not be sold without Covered Entity's or the affected Individual's written consent.

18.8 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.

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*.

4. **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.

5. **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.

6. **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.

7.

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 of 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, through 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.

8.

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 through (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.

9. **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.

10. **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.

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