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|----------------------------|-----------------------------|------|----------------|
| Original Contract Number: | 093-1PU-MFP-1 / 16DSS7101PU | | |
| Amendment Number: | | | |
| Maximum Contract Value: | \$2,700,260 | | |
| Contractor Contact Person: | Heather Aaron | Tel: | (203) 865-0068 |
| DSS Contact- Contract: | Olga Coleman-Williams | Tel: | (860) 424-5661 |
| Program: | Mairedad Painter | Tel: | (860) 424-5844 |

**STATE OF CONNECTICUT
PURCHASE OF SERVICE CONTRACT
("POS", "Contract" and/or "contract")
Revised September 2011**

The State of Connecticut DEPARTMENT OF SOCIAL SERVICES

Street: 55 FARMINGTON AVENUE

City: HARTFORD State: CT Zip: 06105

Tel#: (800) 842-1508 ("Agency" and/or "Department"), hereby enters into a Contract with:

Contractor's Name: LEEWAY, INC.

Street: 40 ALBERT STREET

City: NEW HAVEN State: CT Zip: 06511

Tel#: (203) 865-0068 FEIN/SS#: 223065847 DUNS: 835993353

("Contractor"), for the provision of services outlined in Part I and for the compliance with Part II. The Agency and the Contractor shall collectively be referred to as "Parties". The Contractor shall comply with the terms and conditions set forth in this Contract as follows:

| | |
|----------------------------|---|
| Contract Term | This Contract is in effect from 03/01/16 through 2/28/18 |
| Statutory Authority | The Agency is authorized to enter into this Contract pursuant to § 4-8 and 17b-3 of the Connecticut General Statutes ("C.G.S."). |
| Set-Aside Status | Contractor <input type="checkbox"/> IS or <input checked="" type="checkbox"/> IS NOT a set aside Contractor pursuant to C.G.S. § 4a-60g. |
| Effective Date | This Contract shall become effective only as of the date of signature by the Agency's authorized official(s) and, where applicable, the date of approval by the Office of the Attorney General ("OAG"). Upon such execution, this Contract shall be deemed effective for the entire term specified above. |
| Contract Amendment | Part I of this Contract may be amended only by means of a written instrument signed by the Agency, the Contractor, and, if required, the OAG. Part II of this Contract may be amended only in consultation with, and with the approval of, the OAG and the State of Connecticut, Office of Policy and Management ("OPM"). |

All notices, demands, requests, consents, approvals or other communications required or permitted to be given or which are given with respect to this Contract (collectively called "Notices") shall be deemed to have been effected at such time as the Notice is hand-delivered, placed in the U.S. mail, first class and postage prepaid, return receipt requested, or placed with a recognized, overnight express delivery service that provides for a return receipt. All such Notices shall be in writing and shall be addressed as follows:

| | | | |
|-------------------|--|-----------------------|--|
| If to the Agency: | STATE OF CONNECTICUT DEPARTMENT OF SOCIAL SERVICES 55 FARMINGTON AVENUE HARTFORD, CT 06105 Attention: Olga Coleman-Williams | If to the Contractor: | LEEWAY, INC. 40 ALBERT STREET NEW HAVEN, CT 06511 Attention: Heather Aaron |
|-------------------|--|-----------------------|--|

A party may modify the addressee or address for Notices by providing fourteen (14) days' prior written Notice to the other party. No formal amendment is required.

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PART I. SCOPE OF SERVICES, CONTRACT PERFORMANCE, BUDGET, REPORTS, PROGRAM-SPECIFIC AND AGENCY-SPECIFIC SECTIONS

The Money Follows the Person (MFP) Rebalancing Demonstration is authorized by section 6071 of the Deficit Reduction Act of 2005 (P.L. 109-171). The demonstration was designed to assist States to balance their long-term care systems, while assisting Medicaid enrollees to transition from institutions to the community. Congress initially authorized up to \$1.75 billion of Federal funds through Fiscal Year (FFY) 2011. With the subsequent passage of the Patient Protection and Affordable Care Act (P.L. 111-148) in 2010, Section 2403 extended the program through September 30, 2016. An additional \$2.25 billion in Federal funds was appropriated through FFY 2016. The MFP Demonstration supports State efforts to rebalance their long-term support system so that individuals have a choice of where they live and receive services.

Funding from the MFP Demonstration was utilized to analyze current and projected trends, comparing institutional demand to the demand for community Long-Term Supports and Services (LTSS). The analysis created a foundation for the State's strategic rebalancing plan. The strategic rebalancing plan began implementation in January 2013. One important component of the strategy was funding for nursing facilities who sought to diversify their business model while aligning priorities set forth in the plan. Several nursing homes successfully competed for an award and will work as contractors with the Department to advance the State's rebalancing goals.

The Contractor shall provide the following specific services to advance the goals of the State's Rebalancing Plan. It agrees to comply with the terms and conditions set forth as required by the Department of Social Services (herein referred to as the "Department"), including but not limited to the requirements and measurements for the scope of services, contract performance, quality assurance, reports, terms of payment, and budget. No provisions shall be contained in this Part I that negate, supersede, or contradict any provision of Part II. In the event of such inconsistency between Part I and Part II, the provisions of Part II shall control.

1. DESCRIPTION OF MFP SERVICES: Leeway Inc.

- 1.1 Leeway is the owner of qualified nursing facilities and is entering into this agreement with the Department (that owner and its partners, "Contractor").
- 1.2 The Contractor shall submit a progress report and financial statement to the Department 15 days after the end of each period detailing progress on the deliverables. (refer to Section 9. FINANCIAL REPORTING REQUIREMENTS) Future payments are subject to the Departments' approval based on the timely receipt of the progress report and financial statement.
- 1.3 The Contractor shall plan to increase and diversify Leeway's services to provide for the increased population and the greater demand on community based services promoting the utilization of home and community based service (HCBS) and long term services and supports (LTSS) for Medicaid recipients and in coordination with the Department's strategic rebalancing plan by:
 - 1.3.1 **Development of the Community Living Center (CLC).** The Contractor shall complete the following requirements:
 - 1.3.1...1 Program Design –Project outline and Plan.
 - 1.3.1...2 Project Visioning, & Program design - The Contractor shall conduct a Needs Assessment using the following key activities and result in the development of a care management/coaching model that supports and integrates concepts of health and well-being. The design for the Community Living Model will also be initiated. Research on evidence-based best practices, identification of needs, and the existing service gaps will inform both program and physical plant design. The needs assessment will address issues of accessibility, availability, acceptability, accountability, and affordability as well as integrate new programs and services already being designed

- by DSS and other Community agencies. Stakeholders will be recruited that can further inform and position the project on both a local and national level.
- 1.3.1...3 Research and evaluation of evidence-based care management, community-based wellness programs/services, and the physical environment.
 - 1.3.1...4 Conduct focus groups and interviews with key stakeholder groups to align services/programs.
 - 1.3.1...5 Conduct focus groups with Leeway staff/residents/patients/family to understand strengths to build on and gaps in services/training.
 - 1.3.1...6 Research marketplace in catchment area for gaps and overlaps in services/programs.
 - 1.3.1...7 Identify and map community stakeholders, creating a graphic to describe these relationships.
 - 1.3.1...8 Align needs assessment with No Wrong Door initiative and TEFT grant projects.
 - 1.3.1...9 Identify vendor to gather socioeconomic data to inform programming, locations(s), and design considerations.
 - 1.3.1...10 Research relevant to need analysis and project visioning process Leeway's Community Advisory Team will continue to meet throughout the 2-year period, no less than 3 time a year, to review and refine the program materials, protocols and track outcomes.
- 1.3.2 Project Visioning/Development: the Contractor shall facilitate workshops and planning sessions that will reveal not only ideas on how to build a better environment for a care management system, but that also will draw out ideas regarding how to improve care delivery, clinical experience and related living outcomes. The workshop will engage all relevant participants and its objective is to bring together all relevant stakeholders to review the needs assessment, solidify the project's guiding principles, and craft a digestible implementation plan outlining the way forward. Anticipate a minimum of five planning sessions over one year covering the following areas and conduct the following activities:
- 1.3.2...1 Guiding Principles, Program Design;
 - 1.3.2...2 PODs Identification and Development;
 - 1.3.2...3 Care Management and Systems Infrastructure;
 - 1.3.2...4 Communications/Marketing Campaign, Informed Choice, Program Launch;
 - 1.3.2...5 Training and Development supporting "The Commons";
 - 1.3.2...6 Creation of Project Charter;
 - 1.3.2...7 Preparation for stakeholders' meetings including agenda, presentations, and notifying DSS contact person 2 weeks prior;
 - 1.3.2...8 Visual graphics communicating our guiding principles and program design;
 - 1.3.2...9 Identification of specific services and multidisciplinary care to be integrated within the Community;
 - 1.3.2...10 Identification of target PODs, or Places Offering Dynamic Services;
 - 1.3.2...11 Based on program design, finalize multidisciplinary staff to be hired, job descriptions, and recruitment plan;
 - 1.3.2...12 Identification of training program(s) for multidisciplinary team, patients/caregivers, PODs and the Community;
 - 1.3.2...13 Identification of expected outputs/outcomes for overall program evaluation;
 - 1.3.2...14 Identification of partner(s) to support program evaluation;
 - 1.3.2...15 Integration of DSS programs/initiatives with program development (No Wrong Door, TEFT, etc.);
 - 1.3.2...16 Collaboration with HIT vendor to integrate program design with technology; and
 - 1.3.2...17 Creation of the Informed Choices campaign and the identification of multimedia partners.
- 1.3.3 Contractor shall develop Project Infrastructure by beginning the recruitment of staff and partners that will comprehensively support the care management/coaching model and program design. The project in this phase includes the following:
- 1.3.3...1 Recruit Community Medical Director;

- 1.3.3...2 Identify an office on campus;
 - 1.3.3...3 Establish program accounting and financial controls;
 - 1.3.3...4 Finalize partnerships/contracts needed to deployed Informed Choices Campaign, HIT, and Program Evaluation; and
 - 1.3.3...5 Secure referral sources and MOUs with all PODs.
- 1.3.4 For the Project Launch the Contractor shall engage the Program Director, hired staff, contracted partners, and the stakeholder team as needed in finalizing program processes and materials. Continued project management and facilitation of meetings to ensure timely execution of deliverables and expected outcomes. The continued support for the project in this phase includes the following:
- 1.3.4...1 Finalize programs, policies, and procedures;
 - 1.3.4...2 Finalize orientation and training materials- with final approval by the department;
 - 1.3.4...3 Finalize selection of person-centered educational materials with final approval by the department;
 - 1.3.4...4 Work with HIT vendor to integrate technology;
 - 1.3.4...5 Prepare and plan for Leeway's Community Living Model kick-off event;
 - 1.3.4...6 Develop brochures and promotional materials based on program design - with final approval by the department including appropriate logo's;
 - 1.3.4...7 Continued meetings with key stakeholders to secure buy-in and referrals to the program; and
 - 1.3.4...8 Begin delivering services to clients in the POD settings.
- 1.3.5 For the Program Evaluation the Contractor shall provide continuous process of engaging key partner(s) in the evaluation of the program. Support will also be provided to ensure DSS reporting requirements are met, and that the stakeholder team continues to keep momentum and produce sustainable results.
- 1.3.5...1 Work with program evaluation partners to secure the methods for monitoring and evaluation; and
 - 1.3.5...2 Continue to facilitate Community Advisory Team meetings, fostering continued evaluation, input, and feedback of program.
- 1.4 The Contractor shall create a navigational support system linking Medicare and/or Medicaid recipients, low income residents, and people with functional limitations with services throughout the community that prevent readmission, to Connecticut's comprehensive informational and referral service "211". The Contractor shall coordinate the needs of consumers, while not duplicating services, In addition, the Contractor shall while coordinating needs by working collaboratively, and not in duplication of services, with Connecticut's comprehensive services (those services are as "211", My Place CT and State of Connecticut's "No Wrong Door" initiative in compliance with the Departments strategic rebalancing plan.
- 1.4.1. Specifically, any navigations support system shall exhibit the following components:
- 1.4.1...1 Ensure that 211 has updated services and offerings provided by Leeway on an on-going basis;
 - 1.4.1...2 Developing a referral and information resource in concert with Leeway and the State of CT No Wrong Door initiative;
 - 1.4.1...3 Leeway and 211 will provide reciprocal training to all essential staff to facilitate and maximize continuity of services between the two organizations;
 - 1.4.1...4 Promoting 211 and MyPlaceCT through Leeway providers, other HCBS providers, area senior centers, and caregiver support groups, among others; and
 - 1.4.1...5 Monitoring and evaluating 211 and MyPlaceCT referral trends.
- 1.5 Project Management and Evaluation Activities:** The Contractor shall complete project management and evaluation activities to comply with funding requirements; document successes, lessons learned, and

continuously improve the business model in coordination with the Department's strategic rebalancing plan, including:

- 1.5.1 Coordinating and overseeing business model implementation.
- 1.5.2 Completing performance and financial reports and evaluation activities, including:
 - 1.5.2...1 Creating a report timeline (performance and financial);
 - 1.5.2...2 Establishing measures for success;
 - 1.5.2...3 Developing an evaluation system to capture impact of the business model;
 - 1.5.2...4 Contracting with the researcher to analyze/gather data and create ongoing data analytics system;
 - 1.5.2...5 Collaborating with other HCBS providers to collect all data on targeted populations, to the extent permitted by applicable state and federal law,
 - 1.5.2...6 Measuring the business model impact related to its three-part aim of better health, lower costs, and better care, to position business model for insurance and federal funding. The measures will be identified in collaboration with DSS over the 2-year period of the Grant;
 - 1.5.2...7 Develop and submit plan to establish initial measurable goals, initial benchmarks and data sources for tracking improvement for approval by the Department (qtr 1);
 - 1.5.2...8 Submitting all performance and financial reports to the Department on time;
 - 1.5.2...9 Refining assessment tools and data collection protocols as needed; and
 - 1.5.2...10 Implementing improved measurements and tracking tools.

1.6 Measurable Outcomes - The Contractor shall show a 1.5%, beyond current baseline, decrease in admissions to the Skilled Nursing Facilities when discharged from Hospitals in their catchment areas in coordination with the Department's strategic rebalancing plan.

1.6.1. CHIME data will show a 1.5%, beyond current baseline, decrease in admissions to Skilled Nursing Facilities when discharged from area Hospitals each Year for two (1) Years post expansion of HCBS and LTSS through Leeway.

1.7. The Contractor shall demonstrate continued compliance with Minimum Data Set (MDS) Section Q requirements.

1.8. The Contractor shall participate in quarterly Learning Collaboratives at a time, date, and location established by the Department.

2. PROGRAM ADMINISTRATION:

2.1 The Contractor shall submit to the Department the names and positions of those individuals who are designated essential staff for approval by the Department, a copy of title for designated essential staff is attached as exhibit A.

2.1.1 The Contractor shall notify the Department within two (2) business days of any changes, substitutions, additions or deletions, whether temporary or permanent, shall be made unless approved in advanced by the Department, which approval shall not be unreasonably withheld.

2.1.2 Should personnel designated as "Essential Staff" no longer be employed under this contract, the Contractor shall submit a written plan to its DSS Program Representative for the continuation of demonstration operations until new staff is fully hired, approved, and engaged in the administration and/or operation. If a short term vacancy is expected (e.g. medical leave, maternity leave), then the Contractor shall submit a vacancy plan in writing to the Department. All essential staff is subject to approval of the Department before contract funds may be used to pay for their time on the project.

- 2.1.3 The Department reserves the right to approve or reject the Contractor's or any subcontractor's personnel assigned to the Contract, to approve or reject any proposed changes in personnel, or to require the removal or reassignment of any Contractor personnel or subcontractor personnel assigned to this Contract found unacceptable to the Department.
- 2.1.4 The Contractor's Project Manager shall immediately notify the Department's Contract Representative of the discharge of any personnel assigned to this Contract and such personnel shall be immediately relieved of any further work, under this contract.
- 2.2 The Contractor's administrative office is located at:
- Leeway Inc.
40 Albert Street
New Haven, CT 06511
- 2.3. The Contractor shall convene at least seven (7) full Board of Directors meetings during the nine (24)-month period throughout the contract period. During these meetings the status of the Contractor's progress will be an agenda item. Verification of these meetings will be provided to the Department's Program Representative by including the full agenda of the Board of Directors meeting, and minutes of that portion of those meetings that relate, or discuss, the Contractor's progress.
- 2.4. The Contractor agrees to develop and maintain policies relative to personnel. Said personnel policies shall be maintained at the Contractor's location in the Contractor's files and will be made available to the Department, as requested by the Department, its representatives, and its agents. The Contractor further agrees to submit a copy of its personnel policies to the Department, if requested, within ten (10) days of receipt of such request.
- 2.5. The Contractor shall install and utilize Tumbleweed, or the equivalent software, to ensure that electronic messages are transmitted through a secure platform.
- 2.6. All approvals of any of the program's deliverables shall be communicated to the Contractor, in writing, by the DSS project manager. All approvals should be transmitted, in writing, within fourteen (14) business days of request for approval.
- 2.7. The Contractor is placed on notice that any delays in meeting the timetables articulated with the Programs Due Dates Schedule, located on pages eleven (11) through fourteen (14) of this agreement will result in the delay of the approval for any invoices submitted by the Contractor.

3. FEDERAL REQUIREMENTS:

- 3.1 In addition to Part II of this contract, the Contractor certifies that it shall take proper assurances to prohibit the use of Federal funds for Lobbying as detailed below. The State requires that the language of the following certification be included in award documents for all sub-awards at all tiers including subcontracts, sub-grants, and contracts under sub-recipients, each shall certify and disclose accordingly. The Contractor certifies that:
- 3.1.1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the state, to any person for influencing or attempting to influence any officer or employee of any agency, member of Congress, an officer or employee of a member of Congress, or an employee of a member of Congress in connection with the awarding of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 3.1.2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of a member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the State shall complete and submit

standard Federal form LLL, "Disclosure Form to Report Lobbying," (obtained from Health and Human Services) in accordance with its instructions..

3.2. The term "Public Policy" indicates that the requirement is based on social, economic, or other objectives or considerations that may be attached to the expenditure of Federal funds by recipients, sub-recipients (including consortium participants), or contractors under grants, in general, or may relate to the expenditure of Federal funds for specified activities. By signing this agreement, the authorized organizational official certifies that the organization will comply with applicable public policies. If the Contractor does not comply with these public policy requirements, the Department may take any necessary and appropriate action with respect to the recipient or the award.

3.2.1. Exhibit 1. Public Policy Requirements/Applicable Federal Public Policy Requirements. More information about each requirement can be found in the U.S. Department of Health and Human Services, HHS Grants Policy Manual, 45 CFR parts 74 and 92 (Feb. 10, 2006) available at [http://www.hrsa.gov/grants/hhsgrantspolicy..pdf](http://www.hrsa.gov/grants/hhsgrantspolicy.pdf) checked July 21, 2014 and found under Grants/Funding > Find HHS grant management information> HHS Grants Policy Statement.

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|---|-------|
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| 12. Standards of Conduct | II-7 |

3.3. When issuing statements, press releases, request for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all Recipients receiving Federal funds, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state (1) the percentage of total costs of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the program or project, and (3) the percentage and dollar amount of the total costs or the program or project that will be financed by nongovernment sources.

4. QUALITY ASSURANCE COMPLIANCE:

4.1. The Contractor agrees to comply with any and all applicable regulations adopted by the Department or other departments pursuant to the services provided under this contract and, as applicable, requiring that all pertinent subcontractors comply as well.

4.2. The performance of the Contractor, and applicable subcontractors, will be reviewed and evaluated, at least annually, by the Department's Program Representative. Such reviews and evaluations may include an examination of the documents and reports submitted by the Contractor. Such reviews and evaluations may be performed by examination of documents and reports applicable to the program services provided under this contract, as well as related feedback from clients and employees served by the Contractor.

5. PROGRAM EVALUATION:

The Contractor agrees to conduct an annual self-assessment of the funded Program to assess goals, progress, and effectiveness.

5.1. Such assessment shall be conducted by an individual or group of individuals who are not directly involved in the administration and operation of this Program. The assessor shall also be approved by the Contractor's DSS Program Representative.

- 5.2. The report should identify, among other things, the individual(s) who conducted the self-assessment. The Contractor shall produce a report that describes the methodology and results of the self-assessment and their relationship to the Program, the strengths of the Program, the weaknesses of the Program and should include recommendations to the Contractor's staff.
- 5.3. The Contractor shall present the report to its Governing Body and have any comments on the report documented through minutes of the meeting or other formal recording process. The report, including confirmation of its presentation to the Contractor's Governing Body and any comments thereto, shall be made available to the Department's Program Representative at the time of the annual DSS on-site review.
- 5.4. Clients will participate in the Program's evaluation process by completing the Contractor's service satisfaction surveys. The Contractor will include a summary of such surveys completed in the evaluation report

6. LIAISON:

- 6.1. Both parties will have named liaisons at all times. These representatives of the parties will be the first contacts regarding any questions and problems that arise during implementation and operation of this contract.

7. NOTICES:

- 7.1 Wherever the parties have a duty to give notice to the other, such notice shall be deemed given upon delivery, if delivered by hand (in which case a signed receipt will be obtained), or three (3) days after posting if sent by registered or certified mail, return receipt requested. Notices shall be addressed as follows:

7.1.1 In case of notice(s) to the Contractor regarding this contract:

Heather Aaron, ED
40 Albert St.
New Haven, CT. 06511
Phone: 203-401-4541 or Email: haaron@leeway.net

7.1.2 In case of notice(s) to the Department regarding this contract:

Olga Coleman-Williams
Contract Administration Unit
Department of Social Services
55 Farmington Avenue
Hartford, CT 06105
(860) 424-5661 – olga.coleman-williams@ct.gov

Mairead Painter
Money Follows the Person Program
Division of Health Services
Department of Social Services
55 Farmington Avenue
Hartford, CT 06105
(860) 424-5844, mairead.painter@ct.gov

Dawn Lambert
Money Follows the Person Program
Division of Health Services
Department of Social Services
55 Farmington Avenue
Hartford, CT 06105
(860) 424-4897, dawn.lambert@ct.gov

In case of notice(s) to the Department regarding the Program (Program Representative):

7.1.3. In case of notice (s) to the Department regarding the Program (Program Representative):

Said notices are effective on the date of receipt as specified above, or the date specified in the notice, whichever comes later. Any party may change its address for notification purposes by mailing a notice stating the change and setting forth the new address, which shall be effective on the tenth day following receipt.

8. DELIVERABLES AND NON-FINANCIAL REPORTING REQUIREMENTS

The Contractor shall submit the following deliverables to the Department.

8.1 YEAR ONE:

| WORK PLAN | | | | | | | | | | | | |
|--|----------------|--|---|-----|--|--|-----|--|--|-------|--|---|
| Key Milestones Year 1 | Year 1 (Month) | | | | | | | | | | | |
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| Task 1: Program Design –Project outline and | | | * | | | | | | | | | |
| Task 2: Needs Assessment, Project Visioning & Program design | | | * | | | | | | | | | |
| Task 3: Program Infrastructure | | | | | | | | | | | | |
| Task 4: Project Launch | | | | | | | | | | | | * |
| Task 5: Program Training and Deployment | | | | | | | | | | | | * |
| Task 6: Community Living Center Design | | | | | | | | | | | | * |

8.1.1 TASK 1 - PROGRAM DESIGN:

Phase 1 will result in an outline of a sustainable two-year project implementation plan.

- Initiate Needs Analysis
- Initiate research and evaluation of existing evidence-based programs
- Continued research relevant to need analysis and project visioning process The Community Advisory Team(s) will continue to meet throughout the 2-year period. no less than 3 time a year, to review and refine the program materials, protocols and track outcomes.

8.1.2 TASK 2 – DEVELOPMENT:

Phase 2 will result in the development of care management/coaching model for supports and integrates concepts of health and well-being. The design for the Community Living Model will also be initiated. Research on evidence based best practiced, identification of needs, and the existing service gaps will inform both program and physical plant design. Contractor will address issues of accessibility, availability, acceptability, accountability, and affordability as well as integrate new programs and services already being designed by DSS and other community agencies. Stakeholders will be recruited that can further inform and position the project on both a local and national level.

8.1.2...1 NEEDS ASSESSMENT

The following key activities will be completed:

- Research and evaluation of evidenced-based care management, community-based wellness programs/services, and the physical environment.

- Conduct focus groups and interviews with key stakeholders groups to align services/programs.
- Conduct focus groups with Leeway staff/residents/patients/family to understand strengths to build on an gaps in services/training.
- Research marketplace in catchment area for gaps and overlaps in services/programs.
- Identify and map community stakeholder, creating a graphic to describe these relationships.
- Align needs assessment with No Wrong Door initiative and TEFT consideration.
- Identify vendor to gather socioeconomic data to inform programming, location(s), and design considerations.
- Research care coordination technology currently in use for local continuum of care.
- Identification of key stakeholders for project visioning and on-going team meeting.
- Distill and organize information for project visioning sessions.

8.1.2...2 PROJECT VISIONING

- Community Need, Guiding Principles, Program Design
- PODs Identification and Development
- Care Management and Systems Infrastructure
- Communications/Marketing Campaign, Informed Choice, Program Launch
- Training and Development supporting “The Commons”

8.1.2...2.1 Through project visioning, the following key activities will be completed:

- Creation of Project Charter,
- Preparation for stakeholders’ meetings including agenda, presentations, etc.,
- Visual graphics communicating our guiding principles and program design,
- Identification of specific services and multidisciplinary care to be integrated within the Community,
- Identification of target PODs, or Places Offering Dynamic Services,
- Based on program design, finalize multidisciplinary staff to be hired, job descriptions, and recruitment plan,
- Identification of training program(s) for multidisciplinary team, patients/caregivers, PODs and the Community,
- Identification of expected outputs/outcomes for overall program evaluation,
- Identification of partner(s) to support program evaluation,
- Integration of DSS programs/initiatives with program development (No Wrong Door, TEFT, etc.),
- Collaboration with HIT vendor to integrate program design with technology
- Creation of the Informed Choices campaign and the identification of multimedia partners
- Creation of an overall marketing campaign and communications strategy

8.1.3 TASK 3 - PROGRAM INFRASTRUCTURE:

Phase 3 will begin the recruitment of talented staff and partners that will comprehensively support the care management/coaching model and program design. The continued support for the project in this phase includes the following milestones.

- Recruit qualified, talented staff
- Recruit Community Medical Director
- Identify of an office on campus
- Establish program accounting and financial controls
- Establish contract with MFP
- Finalize partnerships/contracts needed to deployed Informed Choices Campaign, HIT, and Program Evaluation
- Secure referral sources and MOUs with all PODs

8.1.4 TASK 4 – PROJECT LAUNCH:

Phase 4 will engage the Program Director, hired staff, contracted partners, and the stakeholder team as needed in finalizing program processes and materials. Continued project management and facilitation of meetings will be provided to ensure timely execution of deliverables and expected outcomes. The continued support for the project in this phase includes the following milestones.

- Finalize programs, policies, and procedures
- Finalize orientation and training materials
- Finalize selection of person-centered educational materials
- Work with HIT vendor to integrate technology
- Prepare and plan for Leeway’s Community Living Model kick-off event
- Develop brochures and promotional materials based on program design
- Continued meetings with key stakeholders to secure buy-in and referrals to the program

8.1.5 TASK 5 - PROGRAM TRAINING AND DEPLOYMENT:

Phase 5 will be focused on ensuring a comprehensive person-centered orientation and training program is deployed. Key concepts for training will include coaching and motivational interviewing, positive psychology, person-centered care planning and goal setting, cultural diversity, and health literacy. Training program should include a combination of on-site and off-site learning opportunities. A list of conferences, webinars, and other aligned offerings will be provided. Training will also be deployed for the PODs as well as programs for patients/ caregivers as defined through project visioning and program design. The continued support for the project in this phase includes the following:

- Conduct person-centered retreat for the multidisciplinary care management team
- Creation of a staff development schedule based on project deliverables and expected outcomes
- Initiate training and deployment of the care management program
- Continued development for “The Commons” training programs (concepts and environment(s))
- Identification/development of training for the PODs
- Identification/development of training for patient/caregivers

8.1.6 TASK 6 – COMMUNITY LIVING CENTER DESIGN:

Phase 6 will entail the execution of schematic design for the Community Living Center.

- Determine the project schedule and budget and tolerance for site, operations and construction scope
- Develop a Design “Voice” for the project based upon project definition work sessions.
- Create an experience map/ program and plan that will identify a hierarchy of designed environments that accommodates features, finishes and nodes where landmarks, and special architectural events will occur, i.e. arrival, wayfinding, retail-like amenities, time-between events, registration, consult/ exam, community/family spaces, the hierarchy of work zones,

treatment, diagnosis and recovery, etc. Paths for patients and families will be examined differently than those for staff to create the essence of a Living Center or ideal operational model for new PODS.

- A study of nomenclature will be explored to redefine the patients/family experience
- Preliminary studies of these areas will be developed along with room data sheets for approval
- A preliminary scheme will be developed for comment
- A Construction Manager will be engaged for preliminary pricing
- Adjustments to the above scheme will be presented for approval and sign-off

8.1.7 TASK 7 - PROGRAM EVALUATION- MONITORING, REPORTING, STAKEHOLDER FACILITATION:

Phase 7 represents the continuous process of engaging key partner(s) in the evaluation of the program. Support will also be provided to ensure DSS reporting requirements are met, and that the stakeholder team continues to keep momentum and produce sustainable results.

- Work with program evaluation partners to secure the methods for monitoring and evaluation
- Create DSS report template and assist Program Director and Leeway leadership with on-going reporting requirements
- Continue to facilitate quarterly stakeholder meetings, fostering continued evaluation, input, and feedback of program

8.2 YEAR TWO WORK FLOW:

| KEY MILESTONES | | | | | | | | | | | | |
|--|----------------|---|-----|---|-----|---|---|-------|---|---|---|---|
| Year 2 | Year 2 (Month) | | | | | | | | | | | |
| | 1-3 | | 4-6 | | 7-9 | | | 10-12 | | | | |
| Task 1: Project Launch | * | * | | | | | | | | | | |
| Task 2: Program Training and Development | * | * | * | * | * | | | | | | | |
| Task 3: Community Living Center Design | * | * | * | * | * | | | | | | | |
| Task 4: Program Evaluation | * | * | * | * | * | * | * | * | * | * | * | * |

8.2.1 TASK1: PROJECT LAUNCH:

Phase 4 will engage the Program Director, hired staff, contracted partners, and the stakeholder team as needed in finalizing program processes and materials. Continued project management and facilitation of meetings will be provided to ensure timely execution of deliverables and expected outcomes. The continued support for the project in this phase includes the following milestones.

- Finalize programs, policies, and procedures
- Finalize orientation and training materials
- Finalize selection of person-centered educational materials
- Work with HIT vendor to integrate technology
- Prepare and plan for Leeway’s Community Living Model kick-off event
- Develop brochures and promotional materials based on program design
- Continued meetings with key stakeholders to secure buy-in and referrals to the program

8.2.2 TASK 2 - PROGRAM TRAINING AND DEPLOYMENT:

Phase 5 will be focused on ensuring a comprehensive person-centered orientation and training program is deployed. Key concepts for training will include coaching and motivational interviewing, positive psychology, person-centered care planning and goal setting, cultural diversity, and health literacy. Training program should include a combination of on-site and off-site learning opportunities. A list of conferences, webinars, and other aligned offerings will be provided. Training will also be deployed for the PODs as well as programs for patients/ caregivers as defined through project visioning and program design. The continued support for the project in this phase includes the following:

- Conduct person-centered retreat for the multidisciplinary care management team;
- Creation of a staff development schedule based on project deliverables and expected outcomes;
- Initiate training and deployment of the care management program;
- Continued development for “The Commons” training programs (concepts and environment(s));
- Identification/development of training for the PODs; and
- Identification/development of training for patient/caregivers.

8.2.3 TASK 3 – COMMUNITY LIVING CENTER DESIGN:

Phase 6 shall entail the execution of schematic design for the Community Living Center.

- Determine the project schedule and budget and tolerance for site, operations and construction scope.
- Develop a Design “Voice” for the project based upon project definition work sessions.
- Create an experience map/ program and plan that will identify a hierarchy of designed environments that accommodates features, finishes and nodes where landmarks, and special architectural events will occur, i.e. arrival, way finding, retail-like amenities, time-between events, registration, consult/ exam, community/family spaces, the hierarchy of work zones, treatment, diagnosis and recovery, etc. Paths for patients and families will be examined differently than those for staff to create the essence of a Living Center or ideal operational model for new PODS.
- A study of nomenclature will be explored to redefine the patients/family experience.
- Preliminary studies of these areas will be developed along with room data sheets for approval.
- A preliminary scheme will be developed for comment.
- A Construction Manager will be engaged for preliminary pricing.
- Adjustments to the above scheme will be presented for approval and sign-off.

8.2.4 TASK 4- PROGRAM EVALUATION- MONITORING, REPORTING, STAKEHOLDER FACILITATION:

Phase 7 represents the continuous process of engaging key partner(s) in the evaluation of the program. Support will also be provided to ensure DSS reporting requirements are met, and that the stakeholder team continues to keep momentum and produce sustainable results.

- Work with program evaluation partners to secure the methods for monitoring and evaluation.
- Continue to facilitate Community Advisory Team meetings, fostering continued evaluation, input, and feedback of program.
- CHIME data will show a 1.5%, beyond current baseline, decrease in admissions to Skilled Nursing Facilities when discharged from area Hospitals each Year for two (1) Years post expansion of HCBS and LTSS through Leeway.

9. DELIVERABLES AND NON-FINANCIAL REPORTING REQUIREMENTS

The Contractor shall submit the following deliverables to the Department.

| Name of Outcomes/Deliverable | Contract Reference | Reporting Period | Date Due |
|--|--------------------|-------------------|----------|
| Program Design –Project outline and Plan | 1.3.1.1.1. | 03/01/16-04/01/16 | 04/15/16 |
| Needs Assessment | | | |
| Initiate Needs Analysis | 1.3.1.1.2. | 03/01/16-10/01/16 | 10/15/16 |
| Conduct focus groups and interviews with key stakeholder groups to align services/programs | 1.3.1.1.1.2. | 03/01/16-10/01/16 | 10/15/16 |
| Research marketplace in catchment area for gaps and overlaps in services/programs | 1.3.1.1.1.4. | 03/01/16-10/01/16 | 10/15/16 |
| Identify and map community stakeholders, creating a graphic to describe these relationships | 1.3.1.1.1.5. | 03/01/16-10/01/16 | 10/15/16 |
| Align needs assessment with No Wrong Door initiative and TEFT grant projects | 1.3.1.1.1.6. | 03/01/16-10/01/16 | 10/15/16 |
| Identify vendor to gather socioeconomic data to inform programming, locations(s), and design considerations | 1.3.1.1.2.7. | 03/01/16-10/01/16 | 10/15/16 |
| Project Visioning/Development | 1.3.1.2. | | |
| Guiding Principles, Program Design | 1.3.1.2.1. | 03/01/16-12/01/16 | 12/15/16 |
| PODs Identification and Development | 1.3.1.2.1.1. | 03/01/16-12/01/16 | 12/15/16 |
| Care Management and Systems Infrastructure | 1.3.1.2.1.2. | 03/01/16-12/01/16 | 12/15/16 |
| Training and Development supporting “The Commons” | 1.3.1.2.1.4. | 03/01/16-12/01/16 | 12/15/16 |
| Creation of Project Charter | 1.3.1.2.1.5. | 03/01/16-12/01/16 | 12/15/16 |
| Preparation for stakeholders’ meetings including agenda, presentations, and notifying DSS contact person 2 weeks prior | 1.3.1.2.1.6. | 03/01/16-12/01/16 | 12/15/16 |
| Identification of training program(s) for multidisciplinary team, patients/caregivers, PODs and the Community | 1.3.1.2.1.11. | 03/01/16-12/01/16 | 12/15/16 |
| Identification of expected outputs/outcomes for overall program evaluation | 1.3.1.2.1.12. | 03/01/16-12/01/16 | 12/15/16 |
| Identification of partner(s) to support program evaluation | 1.3.1.2.1.13. | 03/01/16-12/01/16 | 12/15/16 |
| Integration of DSS programs/initiatives with program development (No Wrong Door, TEFT, etc.) | 1.3.1.2.1.14. | 03/01/16-12/01/16 | 12/15/16 |
| Collaboration with HIT vendor to integrate program design with technology | 1.3.1.2.1.15. | 03/01/16-12/01/16 | 12/15/16 |
| Creation of the Informed Choices campaign and the identification of multimedia partners | 1.3.1.2.1.16. | 03/01/16-12/01/16 | 12/15/16 |

| | | | |
|--|-----------------|---------------------|--|
| Program Infrastructure | 1.3.1.3. | | |
| Recruit Community Medical Director | 1.3.1.3.1. | 07/01/16-01/01/17 | 01/15/17 |
| Finalize partnerships/contracts needed to deployed Informed Choices Campaign, HIT, and Program Evaluation | 1.3.1.3.4. | 07/01/16-01/01/17 | 01/15/17 |
| Secure referral sources and MOUs with all PODs | 1.3.1.3.5. | 07/01/16-01/01/17 | 01/15/17 |
| Project Launch | 1.3.1.4. | | |
| Finalize programs, policies, and procedures | 1.3.1.4.1. | 10/01/16-06/01/2017 | 06/15/2017 |
| Finalize orientation and training materials - with final approval by the department | 1.3.1.4.2. | 10/01/16-06/01/2017 | 06/15/2017 |
| Finalize selection of person-centered educational materials - with final approval by the department | 1.3.1.4.3. | 10/01/16-06/01/2017 | 06/15/2017 |
| Develop brochures and promotional materials based on program design - with final approval by the department including appropriate logo's | 1.3.1.4.6. | 10/01/16-06/01/2017 | 06/15/2017 |
| Begin delivering services to clients in the POD settings | 1.3.1.5.3. | 07/01/16-01/01/17 | 01/15/17 |
| | | | |
| Program Evaluation | 1.3.1.5. | | |
| Work with program evaluation partners to secure the methods for monitoring and evaluation | 1.3.1.5.1. | 03/01/16-10/01/16 | 10/15/16 (first report and then quarterly thereafter) |
| Navigational Support System | 1.4 | | |
| Ensure that 211 has updated services and offerings provided by Leeway on an on-going basis | 1.4.1.13. | 03/01/16-10/01/16 | 10/15/16 |
| Developing a referral and information resource in concert with Leeway and the State of CT No Wrong Door initiative | 1.4.1.2. | 03/01/16-10/01/16 | 10/15/16 |
| Leeway and 211 will provide reciprocal training to all essential staff to facilitate and maximize continuity of services between the two organizations | 1.4.1.3 | 03/01/16-10/01/16 | 10/15/16 |
| Monitoring and evaluating 211 and MyPlaceCT referral trends | 1.4.1.5. | 03/01/16-10/01/16 | 10/15/16 |
| Project Management and Evaluation Activities | 1.5 | | |
| Developing an evaluation system to capture impact of the business model | 1.5.2.3 | 03/01/16-02/01/17 | 06/15/16, 10/15/16, 02/15/17, 06/15/17, 10/15/17, 02/15/18, |
| Contracting with researcher to analyze/gather data and create ongoing data analytics system | 1.5.2.4. | 03/01/16-08/01/16 | 08/15/16 |
| Measurable Outcomes | 1.6 | | |
| CHIME data will show a 1.5%, beyond | 1.6.1 | 03/01/16-02/01/18 | 02/28/2018 |

| | | | |
|---|--|--|--|
| current baseline, decrease in admissions to Skilled Nursing Facilities when discharged from area Hospitals each Year for two (1) Years post expansion of HCBS and LTSS through Leeway | | | |
|---|--|--|--|

10. FINANCIAL REPORTING REQUIREMENTS

- 10.1 The Contractor shall submit financial reports to the Department on the Department’s DSS-304 and DSS-305 forms on or before July 15th, November 15th and March 15th during the contract period.
- 10.2 Each financial report shall be submitted with a report of expenses, by budgeted line item, incurred during the previous financial report and shall compare the actual expenditures against the anticipated expenditures as set forth in the approved budget of this agreement.
- 10.3 Each financial report must include an explanation of variances between the anticipated expenditures as documented in the approved budget and the actual expenditures, and be signed by the Contractor’s appropriate fiscal authority.
- 10.4 The Contractor shall submit the required financial reports to the Department in accordance with the following schedule:

| Reporting Period | Submission Due Date |
|--------------------|---------------------|
| 03/01/16- 06/31/16 | 07/15/2016 |
| 07/01/16- 10/31/16 | 11/15/2016 |
| 11/01/17- 02/28/17 | 03/15/2017 |
| 03/01/17 -06/31/17 | 07/15/2017 |
| 07/01/17- 10/31/17 | 11/15/2017 |
| 11/01/17- 02/28/18 | 03/15/2018 |

- 10.5 All reports and deliverables must be submitted for Department review and approval to the Department’s Program Representative as listed in Section 7.1.3.
- 10.6 All reports and deliverables must be submitted for Department review and approval to the Department’s Program Representative as listed in Section 7.1.3.
- 10.7 Interest: Any interest earned by the Contractor as a result of payments authorized by the Department shall be reported to the Department by the Contractor on the next financial report submitted after that interest income is earned. The Contractor agrees to follow the Department’s direction as to the disposition of such interest income.

11. PAYMENT PROVISIONS

- 11.1 The Department shall pay the Contractor for services rendered in accordance with the terms of this contract up to a maximum amount not to exceed **\$2,700,260.00** during the contract period March 1, 2016 through February 28, 2018.
- 11.2 All requests for payment must be submitted for Department review and approval to the Department’s Program Representative as listed in Section 7.1.3. The Department will issue the first payment to the Contractor upon execution of the contract by all parties and approval of the Office of the Attorney General.

11.3 Subsequent payments shall be made in accordance with following Payment Schedule, contingent upon the availability of funds; Contractor's compliance with the terms of the contract; and the DSS Program Representative's receipt and approval of a completed request for payment on DSS Form W-1270 and the requisite Financial Reports and other deliverables as described in this contract.

11.4 The schedule of payment will be as follows:

Payment Schedule

| | | | | |
|---|----------------------|-----------------------------------|----------------------------|-----------------------------|
| Award | Annual Year 1 | Signed Contract 03/01/2016 | Period 2 07/01/2016 | Period 3 011/01/2016 |
| \$2,700,260 | \$ 1,350,130.00 | \$450,043.00 | \$450,043.00 | \$450,043.00 |
| | Annual Year 2 | Period 5 03/01/2017 | Period 5 07/01/2017 | Period 6 11/01/2017 |
| | \$1,350,130.00 | \$450,043.00 | \$450,043.00 | \$450,043.00 |
| Completion of project 02/28/2018 | | | | |

11.5 When the Department's review of any financial report or on-site examination of the Contractor's financial records indicate that under expenditure or under-utilization of contract funds is likely to occur by the end of the contract year, the Department may, with advance notice to the Contractor, alter the payment schedule for the balance of the contract period.

11.6 The Department will not assume any liability for any payments due to the Contractor under the terms of this contract until the Federal funds to be used for services delivered under this agreement are authorized and made available to the Department by its Federal funder.

11.7 Requests by the Contractor to carry forward non-obligated funds at the end of a funding period must be submitted for review, in writing, and approval by the Department's Program Representative by May 31 of each calendar year during the contract period.

11.8 Surplus/Excess Payments: In the event the Department has advanced funds to the Contractor or overpaid the Contractor, the Contractor shall at the end of the contract period, or earlier if the contract is terminated, return to the Department in full any unexpended funds within thirty (30) days; or such unexpended funds may, at the discretion of the Department's Commissioner, be carried forward and used as part of a new contract period if a new similar contract is executed.

12. FINANCIAL REQUIREMENTS

12.1 The Contractor will comply with all DSS and/or DECO accounting and financial reporting requirements. The Contract certifies that it receives grants and has complied with the accounting and financial reporting requirements each year as evidenced by the Audited Financial Statements that include Single Audit procedures.

12.2 The Contractor certify that its financial controls have been audited annually and no internal control issues have been detected by management or external auditors.

12.3 The Contractor has a fifteen year conventional mortgage with an outstanding balance of \$800,000 and a construction mortgage for \$3,355,000 for the current RCH Expansion construction project.

12.4 The Contractor's renovation projects that include adding Residential Care beds and the Community Transformational Day Healthcare Center will be funded through Grants, Donations and conventional mortgage financing.

12.5 General Federal Funding Requirements:

12.5.1 In addition to Part II of this contract, the Contractor certifies that it shall take proper assurances to prohibit the use of Federal funds for Lobbying as detailed below. The State requires that the language of the following certification be included in award documents for all sub-awards at all tiers including subcontracts, sub-grants, and contracts under sub-recipients, each shall certify and disclose accordingly. The Contractor certifies that:

12.5.1...1 No Federal appropriated funds have been paid or will be paid, by or on behalf of the state, to any person for influencing or attempting to influence any officer or employee of any agency, member of Congress, an officer or employee of a member of Congress, or an employee of a member of Congress in connection with the awarding of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

12.5.1...2 If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of a member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the State shall complete and submit standard Federal form LLL, "Disclosure Form to Report Lobbying," (obtained from Health and Human Services) in accordance with its instructions.

12.5.2 The term "Public Policy" indicates that the requirement is based on social, economic, or other objectives or considerations that may be attached to the expenditure of Federal funds by recipients, sub-recipients (including consortium participants), or contractors under grants, in general, or may relate to the expenditure of Federal funds for specified activities. By signing this agreement, the authorized organizational official certifies that the organization will comply with applicable public policies. If the Contractor does not comply with these public policy requirements, the Department may take any necessary and appropriate action with respect to the recipient or the award.

12.5.2...1 Exhibit 1. Public Policy Requirements/Applicable Federal Public Policy Requirements. More information about each requirement can be found in the U.S. Department of Health and Human Services, HHS Grants Policy Manual, 45 CFR parts 74 and 92 (Feb. 10, 2006) available at <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf> checked July 21, 2014 and found under Grants/Funding > Find HHS grant management information> HHS Grants Policy Statement.

| Requirement | Pages |
|---|-------|
| 1. Acknowledgement of Federal Funding | II-23 |
| 2. Activities Abroad | II-23 |
| 4. Controlled Substances | II-23 |
| 5. Drug-Free Workplace | II-21 |
| 7. Limited English Proficiency | II-23 |
| 9. Rehabilitation Act of 1973 (Section 504) | II-8 |
| 10. Seat Belt-Use | II-23 |
| 11. Smoke-Free Workplace | II-22 |
| 12. Standards of Conduct | II-7 |

12.5.3 When issuing statements, press releases, request for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all Recipients receiving Federal funds, including but not limited to State and local governments

and recipients of Federal research grants, shall clearly state (1) the percentage of total costs of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the program or project, and (3) the percentage and dollar amount of the total costs or the program or project that will be financed by nongovernment sources.

12.5.4 Additional Federal Funding Requirements

12.5.4...1 In addition to the provisions of Part II of this contract concerning Federal Funds, the Contractor shall administer the Program in accordance with Title V, Section 511, 42. USC § 711 of the Social Security Act as amended; pertinent regulations are outlined in the SSA website
http://www.ssa.gov/OP_Home/ssact/title05/0511.htm .

12.1.5.4...2 The Contractor shall not seek reimbursement from the Federal Government for any of the services offered by the Program.

12.5.5 Federal Office of Management and Budget Requirements.

12.5.5...1 This contract includes Federal Financial Assistance, and therefore such funds shall be subject to the Federal Office of Management and Budget Cost Principles codified in the OMB Super Circular as set forth in 2.CFR Part 200 and as updated from time to time.

12.5.5...2 Federal funding shall be released by the Department contingent upon receipt of federal monies by the Department in compliance with the Federal Cash Management Improvement Act (CMIA), 31 U.S.C. § 6501 et. seq. of (1990).

12.5.6 Federal Funding Accountability and Transparency Act (FFATA):

12.5.6...1 The Contractor shall register with the Federal System for Award Management (SAM) at <https://www.sam.gov> to assist the Department with meeting its obligation to comply with the Federal Funding Accountability and Transparency Act (FFATA).

12.5.6...2 The Contractor shall ensure that it shall remain active in SAM by updating its SAM profile at least every 12 months. Upon notification by the Department that its SAM status is not active, the Contractor shall update its SAM profile within five business days of such notification. The Contractor's failure to comply may impact future issuance of payments by the Department.

12.5.7 Cost Standard:

All costs are subject to federal cost policy guidance and the standards developed by the State Office of Policy and Management for determining the cost of contracts, grants, and other agreements with organizations that receive funding from the State. In the event of any inconsistency, the federal cost policy guidance shall supersede the OPM cost standards. The applicable federal cost policy guidance is available at Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards <http://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>, and Office of Community Services Information Memorandum, [Transmittal No. 02-2008](#). Be advised that the cost proposal is subject to revision prior to contract execution in order to ensure.

12. BUDGET PROVISIONS

12.1. During the period of March 1, 2016 through February 28, 2018, the Contractor agrees to utilize the Department's funds in accordance with the following budget, detailed in the following.

| Leeway Community Living Model Expense Projections | Mar 2016 | Apr 2016 | May 2016 | Jun 2016 | SFY 2016 | SFY 2017 | SFY 2018 |
|--|---------------|---------------|---------------|----------------|------------------|------------------|----------------|
| Expenses: | | | | | | | |
| Staff: | | | | | | | |
| Program Director - 1.0 FTE | 8,333 | 8,333 | 8,333 | 8,333 | 33,332 | 99,996 | 66,664 |
| Leeway Program Oversight - | | | | | 0 | | |
| CEO | 3,125 | 3,125 | 3,125 | 3,125 | 12,500 | 37,500 | 25,000 |
| CFO | 2,279 | 2,279 | 2,279 | 2,279 | 9,116 | 27,348 | 18,232 |
| Social Service Director | | | | | 0 | 0 | 0 |
| Intake Coordinator / Community Liaison - 1.0 FTE | 3,000 | 3,000 | 3,000 | 3,000 | 12,000 | 30,000 | 24,000 |
| Mental Health Coach - 1.0 FTE | | | | | 0 | 50,000 | 40,000 |
| Wellness Coach (C.N.A. or Exercise Physiologist) - 1.0 FTE | | | | | 0 | 34,000 | 29,000 |
| Transitional Coach (Social Worker/RN) - 2 FTE | | | | | 0 | 100,000 | 80,000 |
| Total Salaries & Prof. Fees | 16,737 | 16,737 | 16,737 | 16,737 | 66,948 | 378,844 | 282,896 |
| Employee Benefits | 4,184 | 4,184 | 4,184 | 4,184 | 16,737 | 94,711 | 70,724 |
| Contracted Services: | | | | | | | |
| Community Medical Director - MD 2 FTE | 2,000 | 2,000 | 2,000 | 2,000 | 8,000 | 42,000 | 40,000 |
| Advisory & Clinical Oversight Committees | 500 | 500 | 500 | 500 | 2,000 | 4,000 | 2,000 |
| APRN - 1.0 FTE | | | | | 0 | 81,000 | 69,000 |
| Pharmacist - .1 FTE | | | | | 0 | 17,000 | 14,000 |
| Education Coach (Nutritionist/Educator) - .8 FTE | | | | 0 | 0 | 24,500 | 28,000 |
| Total Contracted Services | 2,500 | 2,500 | 2,500 | 2,500 | 10,000 | 168,500 | 153,000 |
| Program Design: | | | | | | | |
| Project Management | 16,350 | 16,350 | 16,350 | 16,350 | 128,000 | 143,000 | 22,600 |
| Project Start Up | | | | | 52,000 | | |
| Design and Planning Support | 6,250 | 6,250 | 6,250 | 6,250 | 20,000 | 51,000 | |
| Schematic Design | | | | | | 80,000 | |
| Program Marketing Graphic Design Development | 3,750 | 3,750 | 3,750 | 3,750 | 20,000 | 30,000 | 5,000 |
| Situational Analysis/Financial Feasibility | 6,250 | 6,250 | 6,250 | 6,250 | 25,000 | 20,000 | |
| Training/Program Design | | | | | 0 | 125,000 | 25,000 |
| POD/Patient Trainig | | | | | 0 | 60,000 | |
| HIT | | | | | 0 | 80,000 | |
| Program Evaluation | | | | 5,000 | 5,000 | 20,000 | 5,000 |
| Total Consultants | 32,600 | 32,600 | 32,600 | 37,600 | 250,000 | 609,000 | 57,600 |
| Program Expenses: | | | | | | | |
| Training Materials | | | | 2,000 | 2,000 | 8,000 | 2,000 |
| Marketing/Advertisement | | | | 10,000 | 10,000 | 50,000 | 15,000 |
| Marketing Materials | | | | 5,000 | 5,000 | 15,000 | 5,000 |
| Travel Expense & Reimbursement | | | | 1,000 | 1,000 | 16,000 | 12,000 |
| New Employee - Drug & Background | | | 0 | 500 | 500 | 1,000 | |
| IT Equipment & Mobile Communications | | | | 0 | 0 | 40,000 | 10,000 |
| Non covered client support expense (home modifications, A/C, etc.) | | | | | 0 | 36,000 | 24,000 |
| Office Related Expenses: | | | | | | | |
| Leasehold Improvements | 0 | | | 120,000 | 120,000 | | |
| Office Rent | | | | | 0 | 24,000 | 16,000 |
| Housekeeping Service | | | | | 0 | 4,800 | 3,200 |
| Office Equipment / Furniture | | | | 50,000 | 50,000 | 0 | 0 |
| Office Supplies | | | | 2,000 | 2,000 | 6,000 | 4,000 |
| Telephone & Internet | | | | 1,000 | 1,000 | 12,000 | 8,000 |
| Utilities | | | | 800 | 800 | 9,600 | 6,400 |
| Insurances - Property & Liability | | | | 1,000 | 1,000 | 12,000 | 8,000 |
| Total Other Expenses | 0 | 0 | 0 | 193,300 | 193,300 | 234,400 | 113,600 |
| Total Operating Cost | 56,021 | 56,021 | 56,021 | 254,321 | 536,985 | 1,485,455 | 677,820 |
| Total Project Expense | | | | | 2,700,260 | | |

PART II. TERMS AND CONDITIONS

The Contractor shall comply with the following terms and conditions.

- A. **Definitions.** Unless otherwise indicated, the following terms shall have the following corresponding definitions:
1. **“Bid”** shall mean a bid submitted in response to a solicitation.
 2. **“Breach”** shall mean a party’s failure to perform some contracted-for or agreed-upon act, or his failure to comply with a duty imposed by law which is owed to another or to society.
 3. **“Cancellation”** shall mean an end to the Contract affected pursuant to a right which the Contract creates due to a Breach.
 4. **“Claims”** shall mean all actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum.
 5. **“Client”** shall mean a recipient of the Contractor’s Services.
 6. **“Contract”** shall mean this agreement, as of its effective date, between the Contractor and the State for Services.
 7. **“Contractor Parties”** shall mean a Contractor’s members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the Contractor is in privity of oral or written contract (e.g. subcontractor) and the Contractor intends for such other person or entity to perform under the Contract in any capacity. For the purpose of this Contract, vendors of support services, not otherwise known as human service providers or educators, shall not be considered subcontractors, e.g. lawn care, unless such activity is considered part of a training, vocational or educational program.
 8. **“Data”** shall mean all results, technical information and materials developed and/or obtained in the performance of the Services hereunder, including but not limited to all reports, survey and evaluation tools, surveys and evaluations, plans, charts, recordings (video and/or sound), pictures, curricula, electronically prepared presentations, public awareness or prevention campaign materials, drawings, analyses, graphic representations, computer programs and printouts, notes and memoranda, and documents, whether finished or unfinished, which result from or are prepared in connection with the Services performed hereunder.
 9. **“Day”** shall mean all calendar days, other than Saturdays, Sundays and days designated as national or State of Connecticut holidays upon which banks in Connecticut are closed.
 10. **“Expiration”** shall mean an end to the Contract due to the completion in full of the mutual performances of the parties or due to the Contract’s term being completed.
 11. **“Force Majeure”** shall mean events that materially affect the Services or the time schedule within which to perform and are outside the control of the party asserting that such an event has occurred, including, but not limited to, labor troubles unrelated to the Contractor, failure of or inadequate permanent power, unavoidable casualties, fire not caused by the Contractor, extraordinary weather conditions, disasters, riots, acts of God, insurrection or war.
 12. **“Personal Information”** shall mean any name, number or other information that may be used, alone or in conjunction with any other information, to identify a specific individual including, but not limited to, such individual's name, date of birth, mother's maiden name, motor vehicle operator's license number, Social Security number, employee identification number, employer or taxpayer identification number, alien registration number, government passport number, health insurance identification number, demand

deposit account number, savings account number, credit card number, debit card number or unique biometric data such as fingerprint, voice print, retina or iris image, or other unique physical representation. Without limiting the foregoing, Personal Information shall also include any information regarding clients that the Department classifies as “confidential” or “restricted.” Personal Information shall not include information that may be lawfully obtained from publicly available sources or from federal, state, or local government records which are lawfully made available to the general public.

13. **“Personal Information Breach”** shall mean an instance where an unauthorized person or entity accesses Personal Information in any manner, including but not limited to the following occurrences: (1) any Personal Information that is not encrypted or protected is misplaced, lost, stolen or in any way compromised; (2) one or more third parties have had access to or taken control or possession of any Personal Information that is not encrypted or protected without prior written authorization from the State; (3) the unauthorized acquisition of encrypted or protected Personal Information together with the confidential process or key that is capable of compromising the integrity of the Personal Information; or (4) if there is a substantial risk of identity theft or fraud to the client, the Contractor, the Department or State.
14. **“Records”** shall mean all working papers and such other information and materials as may have been accumulated and/or produced by the Contractor in performing the Contract, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.
15. **“Services”** shall mean the performance of Services as stated in Part I of this Contract.
16. **“State”** shall mean the State of Connecticut, including any agency, office, department, board, council, commission, institution or other executive branch agency of State Government.
17. **“Termination”** shall mean an end to the Contract affected pursuant to a right which the Contract creates, other than for a Breach.

B. Client-Related Safeguards.

1. **Inspection of Work Performed.**

- (a) The Agency or its authorized representative shall at all times have the right to enter into the Contractor or Contractor Parties’ premises, or such other places where duties under the Contract are being performed, to inspect, to monitor or to evaluate the work being performed in accordance with Conn. Gen. Stat. § 4e-29 to ensure compliance with this Contract. The Contractor and all subcontractors must provide all reasonable facilities and assistance to Agency representatives. All inspections and evaluations shall be performed in such a manner as will not unduly delay work. The Contractor shall disclose information on clients, applicants and their families as requested unless otherwise prohibited by federal or state law. Written evaluations pursuant to this Section shall be made available to the Contractor.
- (b) The Contractor must incorporate this section verbatim into any Contract it enters into with any subcontractor providing services under this Contract.

2. **Safeguarding Client Information.** The Agency and the Contractor shall safeguard the use, publication and disclosure of information on all applicants for and all Clients who receive Services under this Contract with all applicable federal and state law concerning confidentiality and as may be further provided under the Contract.
3. **Reporting of Client Abuse or Neglect.** The Contractor shall comply with all reporting requirements relative to Client abuse and neglect, including but not limited to requirements as specified in C.G.S. §§ 17a-

101 through 103, 19a-216, 46b-120 (related to children); C.G.S. § 46a-11b (relative to persons with mental retardation); and C.G.S. § 17b-407 (relative to elderly persons).

4. **Background Checks.** The State may require that the Contractor and Contractor Parties undergo criminal background checks as provided for in the State of Connecticut Department of Public Safety Administration and Operations Manual or such other State document as governs procedures for background checks. The Contractor and Contractor Parties shall cooperate fully as necessary or reasonably requested with the State and its agents in connection with such background checks.

C. Contractor Obligations.

1. **Cost Standards.** The Contractor and funding state Agency shall comply with the Cost Standards issued by OPM, as may be amended from time to time. The Cost Standards are published by OPM on the Web at http://ct.gov/opm/fin/cost_standards.
2. **Credits and Rights in Data.** Unless expressly waived in writing by the Agency, all Records and publications intended for public distribution during or resulting from the performances of this Contract shall include a statement acknowledging the financial support of the State and the Agency and, where applicable, the federal government. All such publications shall be released in conformance with applicable federal and state law and all regulations regarding confidentiality. Any liability arising from such a release by the Contractor shall be the sole responsibility of the Contractor and the Contractor shall indemnify and hold harmless the Agency, unless the Agency or its agents co-authored said publication and said release is done with the prior written approval of the Agency Head. All publications shall contain the following statement: "This publication does not express the views of the [insert Agency name] or the State of Connecticut. The views and opinions expressed are those of the authors." Neither the Contractor nor any of its agents shall copyright Data and information obtained under this Contract, unless expressly previously authorized in writing by the Agency. The Agency shall have the right to publish, duplicate, use and disclose all such Data in any manner, and may authorize others to do so. The Agency may copyright any Data without prior Notice to the Contractor. The Contractor does not assume any responsibility for the use, publication or disclosure solely by the Agency of such Data.
3. **Organizational Information, Conflict of Interest, IRS Form 990.** During the term of this Contract and for the one hundred eighty (180) days following its date of Termination and/or Cancellation, the Contractor shall upon the Agency's request provide copies of the following documents within ten (10) Days after receipt of the request:
 - (a) its most recent IRS Form 990 submitted to the Internal Revenue Service, and
 - (b) its most recent Annual Report filed with the Connecticut Secretary of the State's Office or such other information that the Agency deems appropriate with respect to the organization and affiliation of the Contractor and related entities.

This provision shall continue to be binding upon the Contractor for one hundred and eighty (180) Days following the termination or cancellation of the Contract.

4. **Federal Funds.**
 - (a) The Contractor shall comply with requirements relating to the receipt or use of federal funds. The Agency shall specify all such requirements in Part I of this Contract.
 - (b) The Contractor acknowledges that the Agency has established a policy, as mandated by section 6032 of the Deficit Reduction Act (DRA) of 2005, P.L. 109-171, that provides detailed information about the Federal False Claims Act, 31 U.S.C. §§ 3729-3733, and other laws supporting the detection and prevention of fraud and abuse.

- (1) Contractor acknowledges that it has received a copy of said policy and shall comply with its terms, as amended, and with all applicable state and federal laws, regulations and rules. Contractor shall provide said policy to subcontractors and shall require compliance with the terms of the policy. Failure to abide by the terms of the policy, as determined by the Agency, shall constitute a Breach of this Contract and may result in cancellation or termination of this Contract.
- (2) This section applies if, under this Contract, the Contractor or Contractor Parties furnishes, or otherwise authorizes the furnishing of health care items or services, performs billing or coding functions, or is involved in monitoring of health care provided by the Agency.
- (c) Contractor represents that it is not excluded, debarred, suspended or otherwise ineligible to participate in federal health care programs.
- (d) Contractor shall not, for purposes of performing the Contract with the Agency, knowingly employ or contract with, with or without compensation: (A) any individual or entity listed by a federal agency as excluded, debarred, suspended or otherwise ineligible to participate in federal health care programs; or (B) any person or entity who is excluded from contracting with the State of Connecticut or the federal government (as reflected in the General Services Administration List of Parties Excluded from Federal Procurement and Non-Procurement Programs, Department of Health and Human Services, Office of Inspector General (HHS/OIG) Excluded Parties list and the Office of Foreign Assets Control (OFAC) list of Specially Designated Nationals and Blocked Persons List). Contractor shall immediately notify the Agency should it become subject to an investigation or inquiry involving items or services reimbursable under a federal health care program or be listed as ineligible for participation in or to perform Services in connection with such program. The Agency may cancel or terminate this Contract immediately if at any point the Contractor, subcontractor or any of their employees are sanctioned, suspended, excluded from or otherwise become ineligible to participate in federal health care programs.

5. Audit Requirements.

- (a) The State Auditors of Public Accounts shall have access to all Records for the fiscal year(s) in which the award was made. The Contractor shall provide for an annual financial audit acceptable to the Agency for any expenditure of state-awarded funds made by the Contractor. Such audit shall include management letters and audit recommendations. The Contractor shall comply with federal and state single audit standards as applicable.
- (b) The Contractor shall make all of its and the Contractor Parties' Records available at all reasonable hours for audit and inspection by the State, including, but not limited to, the Agency, the Connecticut Auditors of Public Accounts, Attorney General and State's Attorney and their respective agents. Requests for any audit or inspection shall be in writing, at least ten (10) days prior to the requested date. All audits and inspections shall be at the requester's expense. The State may request an audit or inspection at any time during the Contract term and for three (3) years after Termination, Cancellation or Expiration of the Contract. The Contractor shall cooperate fully with the State and its agents in connection with an audit or inspection. Following any audit or inspection, the State may conduct and the Contractor shall cooperate with an exit conference.
- (c) For purposes of this subsection as it relates to State grants, the word "Contractor" shall be read to mean "nonstate entity," as that term is defined in C.G.S. § 4-230.
- (d) The Contractor must incorporate this section verbatim into any Contract it enters into with any subcontractor providing services under this Contract.

6. **Related Party Transactions.** The Contractor shall report all related party transactions, as defined in this section, to the Agency on an annual basis in the appropriate fiscal report as specified in Part I of this

Contract. "Related party" means a person or organization related through marriage, ability to control, ownership, family or business association. Past exercise of influence or control need not be shown, only the potential or ability to directly or indirectly exercise influence or control. "Related party transactions" between a Contractor or Contractor Party and a related party include, but are not limited to:

- (a) Real estate sales or leases;
- (b) leases for equipment, vehicles or household furnishings;
- (c) Mortgages, loans and working capital loans; and
- (d) Contracts for management, consultant and professional services as well as for materials, supplies and other services purchased by the Contractor or Contractor Party.

7. Suspension or Debarment. In addition to the representations and requirements set forth in Section D.4:

- (a) The Contractor certifies for itself and Contractor Parties involved in the administration of federal or state funds that they:
 - (1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any governmental agency (federal, state or local);
 - (2) within a three year period preceding the effective date of this Contract, have not been convicted or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, state or local) transaction or contract under a public transaction; for violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
 - (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the above offenses; and
 - (4) Have not within a three year period preceding the effective date of this Contract had one or more public transactions terminated for cause or fault.
- (b) Any change in the above status shall be immediately reported to the Agency.

8. Liaison. Each Party shall designate a liaison to facilitate a cooperative working relationship between the Contractor and the Agency in the performance and administration of this Contract.

9. Subcontracts. Each Contractor Party's identity, services to be rendered and costs shall be detailed in Part I of this Contract. Absent compliance with this requirement, no Contractor Party may be used or expense paid under this Contract unless expressly otherwise provided in Part I of this Contract. No Contractor Party shall acquire any direct right of payment from the Agency by virtue of this section or any other section of this Contract. The use of Contractor Parties shall not relieve the Contractor of any responsibility or liability under this Contract. The Contractor shall make available copies of all subcontracts to the Agency upon request.

10. Independent Capacity of Contractor. The Contractor and Contractor Parties shall act in an independent capacity and not as officers or employees of the state of Connecticut or of the Agency.

11. Indemnification.

- (a) The Contractor shall indemnify, defend and hold harmless the state of Connecticut and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all:

- (1) claims arising directly or indirectly, in connection with the Contract, including the acts of commission or omission (collectively the "Acts") of the Contractor or Contractor Parties; and
 - (2) liabilities, damages, losses, costs and expenses, including but not limited to attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Contract. The Contractor shall use counsel reasonably acceptable to the State in carrying out its indemnification and hold-harmless obligations under this Contract. The Contractor's obligations under this section to indemnify, defend and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the bid or any records, and intellectual property rights, other propriety rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the performance of the Contract.
- (b) The Contractor shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the Contractor or any Contractor Parties. The State shall give the Contractor reasonable notice of any such Claims.
 - (c) The Contractor's duties under this Section shall remain fully in effect and binding in accordance with the terms and conditions of the Contract, without being lessened or compromised in any way, even where the Contractor is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.
 - (d) The Contractor shall carry and maintain at all times during the term of the Contract, and during the time that any sections survive the term of the Contract, sufficient general liability insurance to satisfy its obligations under this Contract. The Contractor shall name the State as an additional insured on the policy and shall provide a copy of the policy to the Agency prior to the effective date of the Contract. The Contractor shall not begin performance until the delivery of the policy to the Agency.
 - (e) The rights provided in this section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.
 - (f) This section shall survive the Termination, Cancellation or Expiration of the Contract, and shall not be limited by reason of any insurance coverage.
- 12. Insurance.** Before commencing performance, the Agency may require the Contractor to obtain and maintain specified insurance coverage. In the absence of specific Agency requirements, the Contractor shall obtain and maintain the following insurance coverage at its own cost and expense for the duration of the Contract:
- (a) Commercial General Liability. \$1,000,000 combined single limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability, and Broad Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply separately to the services to be performed under this Contract or the general aggregate limit shall be twice the occurrence limit;
 - (b) Automobile Liability. \$1,000,000 combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the vendor/contractor does not own an automobile, but one is used in the execution of this Contract, then only hired and non-owned coverage is required. If a vehicle is not used in the execution of this Contract then automobile coverage is not required.
 - (c) Professional Liability. \$1,000,000 limit of liability, if applicable; and/or

- (d) Workers' Compensation and Employers Liability. Statutory coverage in compliance with the Compensation laws of the State of Connecticut. Coverage shall include Employer's Liability with minimum limits of \$100,000 each accident, \$500,000 Disease – Policy limit, \$100,000 each employee.

13. Choice of Law/Choice of Forum, Settlement of Disputes, Claims Against the State.

- (a) The Contract shall be deemed to have been made in the City of Hartford, State of Connecticut. Both Parties agree that it is fair and reasonable for the validity and construction of the Contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.
- (b) Any dispute concerning the interpretation or application of this Contract shall be decided by the Agency Head or his/her designee whose decision shall be final, subject to any rights the Contractor may have pursuant to state law. In appealing a dispute to the Agency Head pursuant to this section, the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its appeal. Pending final resolution of a dispute, the Contractor and the Agency shall proceed diligently with the performance of the Contract.
- (c) The Contractor agrees that the sole and exclusive means for the presentation of any claim against the State arising from this Contract shall be in accordance with Title 4, Chapter 53 of the Connecticut General Statutes (Claims Against the State) and the Contractor further agrees not to initiate legal proceedings, except as authorized by that Chapter, in any state or federal court in addition to or in lieu of said Chapter 53 proceedings.

14. Compliance with Law and Policy, Facility Standards and Licensing. Contractor shall comply with all:

- (a) pertinent local, state and federal laws and regulations as well as Agency policies and procedures applicable to contractor's programs as specified in this Contract. The Agency shall notify the Contractor of any applicable new or revised laws, regulations, policies or procedures which the Agency has responsibility to promulgate or enforce; and
- (b) applicable local, state and federal licensing, zoning, building, health, fire and safety regulations or ordinances, as well as standards and criteria of pertinent state and federal authorities. Unless otherwise provided by law, the Contractor is not relieved of compliance while formally contesting the authority to require such standards, regulations, statutes, ordinance or criteria.

15. Representations and Warranties. Contractor shall:

- (a) perform fully under the Contract;
- (b) pay for and/or secure all permits, licenses and fees and give all required or appropriate notices with respect to the provision of Services as described in Part I of this Contract; and

- (c) adhere to all contractual sections ensuring the confidentiality of all Records that the Contractor has access to and are exempt from disclosure under the State's Freedom of Information Act or other applicable law.
- 16. Reports.** The Contractor shall provide the Agency with such statistical, financial and programmatic information necessary to monitor and evaluate compliance with the Contract. All requests for such information shall comply with all applicable state and federal confidentiality laws. The Contractor shall provide the Agency with such reports as the Agency requests as required by this Contract.
- 17. Delinquent Reports.** The Contractor shall submit required reports by the designated due dates as identified in this Contract. After notice to the Contractor and an opportunity for a meeting with an Agency representative, the Agency reserves the right to withhold payments for services performed under this Contract if the Agency has not received acceptable progress reports, expenditure reports, refunds, and/or audits as required by this Contract or previous contracts for similar or equivalent services the Contractor has entered into with the Agency. This section shall survive any Termination of the Contract or the Expiration of its term.
- 18. Record Keeping and Access.** The Contractor shall maintain books, Records, documents, program and individual service records and other evidence of its accounting and billing procedures and practices which sufficiently and properly reflect all direct and indirect costs of any nature incurred in the performance of this Contract. These Records shall be subject at all reasonable times to monitoring, inspection, review or audit by authorized employees or agents of the State or, where applicable, federal agencies. The Contractor shall retain all such Records concerning this Contract for a period of three (3) years after the completion and submission to the State of the Contractor's annual financial audit.
- 19. Protection of Personal Information.**
- (a) Contractor and Contractor Parties, at their own expense, have a duty to and shall protect from a Personal Information Breach any and all Personal Information which they come to possess or control, wherever and however stored or maintained, in a commercially reasonable manner in accordance with current industry standards.
<http://www.ct.gov/doit/cwp/view.asp?a=1245&q=253968>
<http://www.ct.gov/doit/cwp/view.asp?a=1245&q=253968>
- (b) Each Contractor or Contractor Party shall implement and maintain a comprehensive data security program for the protection of Personal Information. The safeguards contained in such program shall be consistent with and comply with the safeguards for protection of Personal Information, and information of a similar character, as set forth in all applicable federal and state law and written policy of the Department or State concerning the confidentiality of Personal Information. Such data-security program shall include, but not be limited to, the following:
- (1) A security policy for employees related to the storage, access and transportation of data containing Personal Information;
 - (2) Reasonable restrictions on access to records containing Personal Information, including access to any locked storage where such records are kept;
 - (3) A process for reviewing policies and security measures at least annually;
 - (4) Creating secure access controls to Personal Information, including but not limited to passwords; and
 - (5) Encrypting of Personal Information that is stored on laptops, portable devices or being transmitted electronically.
- (c) The Contractor and Contractor Parties shall notify the Department and the Connecticut Office of the Attorney General as soon as practical, but no later than twenty-four (24) hours, after they become aware of or suspect that any Personal Information which Contractor or Contractor Parties possess or control has been subject to a Personal Information Breach. If a Personal Information

Breach has occurred, the Contractor shall, within three (3) business days after the notification, present a credit monitoring and protection plan to the Commissioner of Administrative Services, the Department and the Connecticut Office of the Attorney General, for review and approval. Such credit monitoring or protection plan shall be made available by the Contractor at its own cost and expense to all individuals affected by the Personal Information Breach. Such credit monitoring or protection plan shall include, but is not limited to reimbursement for the cost of placing and lifting one (1) security freeze per credit file pursuant to Connecticut General Statutes § 36a-701a. Such credit monitoring or protection plans shall be approved by the State in accordance with this Section and shall cover a length of time commensurate with the circumstances of the Personal Information Breach. The Contractors' costs and expenses for the credit monitoring and protection plan shall not be recoverable from the Department, any State of Connecticut entity or any affected individuals.

- (d) The Contractor shall incorporate the requirements of this Section in all subcontracts requiring each Contractor Party to safeguard Personal Information in the same manner as provided for in this Section.
- (e) Nothing in this Section shall supersede in any manner Contractor's or Contractor Party's obligations pursuant to HIPAA or the provisions of this Contract concerning the obligations of the Contractor as a Business Associate of the Department.

20. Workforce Analysis. The Contractor shall provide a workforce Analysis Affirmative Action report related to employment practices and procedures.

21. Litigation.

- (a) The Contractor shall require that all Contractor Parties, as appropriate, disclose to the Contractor, to the best of their knowledge, any Claims involving the Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Contract, no later than ten (10) days after becoming aware or after they should have become aware of any such Claims. Disclosure shall be in writing.
- (b) The Contractor shall provide written Notice to the Agency of any final decision by any tribunal or state or federal agency or court which is adverse to the Contractor or which results in a settlement, compromise or claim or agreement of any kind for any action or proceeding brought against the Contractor or its employee or agent under the Americans with Disabilities Act of 1990 as revised or amended from time to time, Executive Orders Nos. 3 & 17 of Governor Thomas J. Meskill and any other requirements of federal or state law concerning equal employment opportunities or nondiscriminatory practices.

22. Sovereign Immunity. The Contractor and Contractor Parties acknowledge and agree that nothing in the Contract, or the solicitation leading up to the Contract, shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of the Contract. To the extent that this Section conflicts with any other Section, this Section shall govern.

D. Changes to the Contract, Termination, Cancellation and Expiration.

1. Contract Amendment.

- (a) No amendment to or modification or other alteration of this Contract shall be valid or binding upon the parties unless made in writing, signed by the parties and, if applicable, approved by the OAG.
- (b) The Agency may amend this Contract to reduce the contracted amount of compensation if:

- (1) the total amount budgeted by the State for the operation of the Agency or Services provided under the program is reduced or made unavailable in any way; or
 - (2) federal funding reduction results in reallocation of funds within the Agency.
- (c) If the Agency decides to reduce the compensation, the Agency shall send written Notice to the Contractor. Within twenty (20) Days of the Contractor's receipt of the Notice, the Contractor and the Agency shall negotiate the implementation of the reduction of compensation unless the parties mutually agree that such negotiations would be futile. If the parties fail to negotiate an implementation schedule, then the Agency may terminate the Contract effective no earlier than sixty (60) Days from the date that the Contractor receives written notification of Termination and the date that work under this Contract shall cease.

2. Contractor Changes and Assignment.

- (a) The Contractor shall notify the Agency in writing:
- (1) at least ninety (90) days prior to the effective date of any fundamental changes in the Contractor's corporate status, including merger, acquisition, transfer of assets, and any change in fiduciary responsibility;
 - (2) no later than ten (10) days from the effective date of any change in:
 - (A) its certificate of incorporation or other organizational document;
 - (B) more than a controlling interest in the ownership of the Contractor; or
 - (C) the individual(s) in charge of the performance.
- (b) No such change shall relieve the Contractor of any responsibility for the accuracy and completeness of the performance. The Agency, after receiving written Notice from the Contractor of any such change, may require such contracts, releases and other instruments evidencing, to the Agency's satisfaction, that any individuals retiring or otherwise separating from the Contractor have been compensated in full or that allowance has been made for compensation in full, for all work performed under terms of the Contract. The Contractor shall deliver such documents to the Agency in accordance with the terms of the Agency's written request. The Agency may also require, and the Contractor shall deliver, a financial statement showing that solvency of the Contractor is maintained. The death of any Contractor Party, as applicable, shall not release the Contractor from the obligation to perform under the Contract; the surviving Contractor Parties, as appropriate, must continue to perform under the Contract until performance is fully completed.
- (c) Assignment. The Contractor shall not assign any of its rights or obligations under the Contract, voluntarily or otherwise, in any manner without the prior written consent of the Agency.
- (1) The Contractor shall comply with requests for documentation deemed to be appropriate by the Agency in considering whether to consent to such assignment.
 - (2) The Agency shall notify the Contractor of its decision no later than forty-five (45) Days from the date the Agency receives all requested documentation.
 - (3) The Agency may void any assignment made without the Agency's consent and deem such assignment to be in violation of this Section and to be in Breach of the Contract. Any cancellation of this Contract by the Agency for a Breach shall be without prejudice to the Agency's or the State's rights or possible claims against the Contractor.

3. Breach.

- (a) If either party Breaches this Contract in any respect, the non-breaching party shall provide written notice of the Breach to the breaching party and afford the breaching party an opportunity to cure within ten (10) Days from the date that the breaching party receives the notice. In the case of a Contractor Breach, the Agency may modify the ten (10) day cure period in the notice of Breach. The right to cure period shall be extended if the non-breaching party is satisfied that the breaching party is making a good faith effort to cure, but the nature of the Breach is such that it cannot be cured within the right to cure period. The Notice may include an effective Contract cancellation date if the Breach is not cured by the stated date and, unless otherwise modified by the non-breaching party in writing prior to the cancellation date, no further action shall be required of any party to effect the cancellation as of the stated date. If the notice does not set forth an effective Contract cancellation date, then the non-breaching party may cancel the Contract by giving the breaching party no less than twenty four (24) hours' prior written Notice after the expiration of the cure period.
- (b) If the Agency believes that the Contractor has not performed according to the Contract, the Agency may:
 - (1) withhold payment in whole or in part pending resolution of the performance issue, provided that the Agency notifies the Contractor in writing prior to the date that the payment would have been due in accordance with the budget;
 - (2) temporarily discontinue all or part of the Services to be provided under the Contract;
 - (3) permanently discontinue part of the Services to be provided under the Contract;
 - (4) assign appropriate State personnel to provide contracted for Services to assure continued performance under the Contract until such time as the contractual Breach has been corrected to the satisfaction of the Agency;
 - (5) require that contract funding be used to enter into a subcontract with a person or persons designated by the Agency in order to bring the program into contractual compliance;
 - (6) take such other actions of any nature whatsoever as may be deemed appropriate for the best interests of the State or the program(s) provided under this Contract or both; or
 - (7) any combination of the above actions.
- (c) The Contractor shall return all unexpended funds to the Agency no later than thirty (30) calendar days after the Contractor receives a demand from the Agency.
- (d) In addition to the rights and remedies granted to the Agency by this Contract, the Agency shall have all other rights and remedies granted to it by law in the event of Breach of or default by the Contractor under the terms of this Contract.
- (e) The action of the Agency shall be considered final. If at any step in this process the Contractor fails to comply with the procedure and, as applicable, the mutually agreed plan of correction, the Agency may proceed with Breach remedies as listed under this section.

- 4. **Non-enforcement Not to Constitute Waiver.** No waiver of any Breach of the Contract shall be interpreted or deemed to be a waiver of any other or subsequent Breach. All remedies afforded in the Contract shall be taken and construed as cumulative, that is, in addition to every other remedy provided in the Contract or at law or in equity. A party's failure to insist on strict performance of any section of the

Contract shall only be deemed to be a waiver of rights and remedies concerning that specific instance of performance and shall not be deemed to be a waiver of any subsequent rights, remedies or Breach.

5. **Suspension.** If the Agency determines in its sole discretion that the health and welfare of the Clients or public safety is being adversely affected, the Agency may immediately suspend in whole or in part the Contract without prior notice and take any action that it deems to be necessary or appropriate for the benefit of the Clients. The Agency shall notify the Contractor of the specific reasons for taking such action in writing within five (5) Days of immediate suspension. Within five (5) Days of receipt of this notice, the Contractor may request in writing a meeting with the Agency Head or designee. Any such meeting shall be held within five (5) Days of the written request, or such later time as is mutually agreeable to the parties. At the meeting, the Contractor shall be given an opportunity to present information on why the Agency's actions should be reversed or modified. Within five (5) Days of such meeting, the Agency shall notify the Contractor in writing of his/her decision upholding, reversing or modifying the action of the Agency head or designee. This action of the Agency head or designee shall be considered final.
6. **Ending the Contractual Relationship.**
 - (a) This Contract shall remain in full force and effect for the duration of its entire term or until such time as it is terminated earlier by either party or cancelled. Either party may terminate this contract by providing at least sixty (60) days prior written notice pursuant to the Notice requirements of this Contract.
 - (b) The Agency may immediately terminate the Contract in whole or in part whenever the Agency makes a determination that such termination is in the best interest of the State. Notwithstanding Section D.2, the Agency may immediately terminate or cancel this Contract in the event that the Contractor or any subcontractors becomes financially unstable to the point of threatening its ability to conduct the services required under this Contract, ceases to conduct business in the normal course, makes a general assignment for the benefit of creditors, suffers or permits the appointment of a receiver for its business or its assets.
 - (c) The Agency shall notify the Contractor in writing of Termination pursuant to subsection (b) above, which shall specify the effective date of termination and the extent to which the Contractor must complete or immediately cease performance. Such Notice of Termination shall be sent in accordance with the Notice provision contained on page 1 of this Contract. Upon receiving the Notice from the Agency, the Contractor shall immediately discontinue all Services affected in accordance with the Notice, undertake all reasonable and necessary efforts to mitigate any losses or damages, and deliver to the Agency all Records as defined in Section A.14, unless otherwise instructed by the Agency in writing, and take all actions that are necessary or appropriate, or that the Agency may reasonably direct, for the protection of Clients and preservation of any and all property. Such Records are deemed to be the property of the Agency and the Contractor shall deliver them to the Agency no later than thirty (30) days after the Termination of the Contract or fifteen (15) days after the Contractor receives a written request from the Agency for the specified records whichever is less. The Contractor shall deliver those Records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to ASCII or .TXT.
 - (d) The Agency may terminate the Contract at any time without prior notice when the funding for the Contract is no longer available.
 - (e) The Contractor shall deliver to the Agency any deposits, prior payment, advance payment or down payment if the Contract is terminated by either party or cancelled within thirty (30) days after receiving demand from the Agency. The Contractor shall return to the Agency any funds not expended in accordance with the terms and conditions of the Contract and, if the Contractor fails to do so upon demand, the Agency may recoup said funds from any future payments owing under this Contract or any other contract between the State and the Contractor. Allowable costs, as detailed in audit findings,

incurred until the date of termination or cancellation for operation or transition of program(s) under this Contract shall not be subject to recoupment.

7. Transition after Termination or Expiration of Contract.

- (a) If this Contract is terminated for any reason, cancelled or it expires in accordance with its term, the Contractor shall do and perform all things which the Agency determines to be necessary or appropriate to assist in the orderly transfer of Clients served under this Contract and shall assist in the orderly cessation of Services it performs under this Contract. In order to complete such transfer and wind down the performance, and only to the extent necessary or appropriate, if such activities are expected to take place beyond the stated end of the Contract term then the Contract shall be deemed to have been automatically extended by the mutual consent of the parties prior to its expiration without any affirmative act of either party, including executing an amendment to the Contract to extend the term, but only until the transfer and winding down are complete.
- (b) If this Contract is terminated, cancelled or not renewed, the Contractor shall return to the Agency any equipment, deposits or down payments made or purchased with start-up funds or other funds specifically designated for such purpose under this Contract in accordance with the written instructions from the Agency in accordance with the Notice provision of this Contract. Written instructions shall include, but not be limited to, a description of the equipment to be returned, where the equipment shall be returned to and who is responsible to pay for the delivery/shipping costs. Unless the Agency specifies a shorter time frame in the letter of instructions, the Contractor shall affect the returns to the Agency no later than sixty (60) days from the date that the Contractor receives Notice.

E. Statutory and Regulatory Compliance.

1. Health Insurance Portability and Accountability Act of 1996.

- (a) If the Contractor is a Business Associate under the requirements of the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), as noted in this Contract, the Contractor must comply with all terms and conditions of this Section of the Contract. If the Contractor is not a Business Associate under HIPAA, this Section of the Contract does not apply to the Contractor for this Contract.
- (b) The Contractor is required to safeguard the use, publication and disclosure of information on all applicants for, and all clients who receive, services under the Contract in accordance with all applicable federal and state law regarding confidentiality, which includes but is not limited to HIPAA, more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E; and
- (c) The State of Connecticut Agency named on page 1 of this Contract (“Agency”) is a “covered entity” as that term is defined in 45 C.F.R. § 160.103; and
- (d) The Contractor is a “business associate” of the Agency, as that term is defined in 45 C.F.R. § 160.103; and
- (e) The Contractor and the Agency agree to the following in order to secure compliance with the HIPAA, the requirements of Subtitle D of the Health Information Technology for Economic and Clinical Health Act (“HITECH Act”), (Pub. L. 111-5, §§ 13400 to 13423)¹, and more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, D and E (collectively referred to herein as the “HIPAA Standards”).

(f) Definitions

- (1) "Breach" shall have the same meaning as the term is defined in section 45 C.F.R. 164.402 and shall also include an use or disclosure of PHI that violates the HIPAA Standards.
- (2) "Business Associate" shall mean the Contractor.
- (3) "Covered Entity" shall mean the Agency of the State of Connecticut named on page 1 of this Contract.
- (4) "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 C.F.R. § 164.501.
- (5) "Electronic Health Record" shall have the same meaning as the term is defined in section 13400 of the HITECH Act (42 U.S.C. §17921(5)).
- (6) "Individual" shall have the same meaning as the term "individual" in 45 C.F.R. § 160.103 and shall include a person who qualifies as a personal representative as defined in 45 C.F.R. § 164.502(g).
- (7) "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. part 160 and part 164, subparts A and E.
- (8) "Protected Health Information" or "PHI" shall have the same meaning as the term "protected health information" in 45 C.F.R. § 160.103, and includes electronic PHI, as defined in 45 C.F.R. 160.103, limited to information created, maintained, transmitted or received by the Business Associate from or on behalf of the Covered Entity or from another Business Associate of the Covered Entity.
- (9) "Required by Law" shall have the same meaning as the term "required by law" in 45 C.F.R. § 164.103.
- (10) "Secretary" shall mean the Secretary of the Department of Health and Human Services or his designee.
- (11) "More stringent" shall have the same meaning as the term "more stringent" in 45 C.F.R. § 160.202.
- (12) "This Section of the Contract" refers to the HIPAA Provisions stated herein, in their entirety.
- (13) "Security Incident" shall have the same meaning as the term "security incident" in 45 C.F.R. § 164.304.
- (14) "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. part 160 and part 164, subpart A and C.
- (15) "Unsecured protected health information" shall have the same meaning as the term as defined in 45 C.F.R. 164.402.

(g) Obligations and Activities of Business Associates.

- (1) Business Associate agrees not to use or disclose PHI other than as permitted or required by this Section of the Contract or as Required by Law.

- (2) Business Associate agrees to use and maintain appropriate safeguards and comply with applicable HIPAA Standards with respect to all PHI and to prevent use or disclosure of PHI other than as provided for in this Section of the Contract and in accordance with HIPAA standards.
- (3) Business Associate agrees to use administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of electronic protected health information that it creates, receives, maintains, or transmits on behalf of the Covered Entity.
- (4) Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to the Business Associate of a use or disclosure of PHI by Business Associate in violation of this Section of the Contract.
- (5) Business Associate agrees to report to Covered Entity any use or disclosure of PHI not provided for by this Section of the Contract or any security incident of which it becomes aware.
- (6) Business Associate agrees, in accordance with 45 C.F.R. 502(e)(1)(ii) and 164.308(d)(2), if applicable, to ensure that any subcontractors that create, receive, maintain or transmit protected health information on behalf of the business associate, agree to the same restrictions, conditions, and requirements that apply to the business associate with respect to such information;
- (7) Business Associate agrees to provide access (including inspection, obtaining a copy or both), at the request of the Covered Entity, and in the time and manner designated by the Covered Entity, , to PHI in a Designated Record Set, to Covered Entity or, as directed by Covered Entity, to an Individual in order to meet the requirements under 45 C.F.R. § 164.524. Business Associate shall not charge any fees greater than the lesser of the amount charged by the Covered Entity to an Individual for such records; the amount permitted by state law; or the Business Associate's actual cost of postage, labor and supplies for complying with the request.
- (8) Business Associate agrees to make any amendments to PHI in a Designated Record Set that the Covered Entity directs or agrees to pursuant to 45 C.F.R. § 164.526 at the request of the Covered Entity, and in the time and manner designated by the Covered Entity.
- (9) Business Associate agrees to make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from, or created, maintained, transmitted or received by, Business Associate on behalf of Covered Entity, available to Covered Entity or to the Secretary in a time and manner agreed to by the parties or designated by the Secretary, for purposes of the Secretary investigating or determining Covered Entity's compliance with the HIPAA Standards..
- (10) Business Associate agrees to document such disclosures of PHI and 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 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder.
- (11) Business Associate agrees to provide to Covered Entity, in a time and manner designated by the Covered Entity, information collected in accordance with subsection (g)(10) of this Section of the Contract, to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder. Business Associate agrees at the Covered Entity's direction to provide an accounting of disclosures of

PHI directly to an individual in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder.

- (12) Business Associate agrees to comply with any state or federal law that is more stringent than the Privacy Rule.
- (13) Business Associate agrees to comply with the requirements of the HITECH Act relating to privacy and security that are applicable to the Covered Entity and with the requirements of 45 C.F.R. §§ 164.504(e), 164.308, 164.310, 164.312, and 164.316.
- (14) In the event that an individual requests that the Business Associate
 - (A) restrict disclosures of PHI;
 - (B) provide an accounting of disclosures of the individual's PHI;
 - (C) provide a copy of the individual's PHI in an electronic health record; or
 - (D) amend PHI in the individual's designated record set,the Business Associate agrees to notify the Covered Entity, in writing, within five business days of the request.
- (15) Business Associate agrees that it shall not, and shall ensure that its subcontractors do not, directly or indirectly, receive any remuneration in exchange for PHI of an Individual without
 - (A) the written approval of the covered entity, unless receipt of remuneration in exchange for PHI is expressly authorized by this Contract and
 - (B) the valid authorization of the individual, except for the purposes provided under section 13405(d)(2) of the HITECH Act, (42 U.S.C. § 17935(d)(2)) and in any accompanying regulations
- (16) Obligations in the Event of a Breach.
 - (A) The Business Associate agrees that, following the discovery by the Business Associate or by a subcontractor of the Business Associate of any use or disclosure not provided for by this section of the Contract, any breach of unsecured protected health information, or any Security Incident, it shall notify the Covered Entity of such breach in accordance with Subpart D of Part 164 of Title 45 of the Code of Federal Regulations and this Section of the Contract.
 - (B) Such notification shall be provided by the Business Associate to the Covered Entity without unreasonable delay, and in no case later than 30 days after the breach is discovered by the Business Associate, or a subcontractor of the Business Associate, except as otherwise instructed in writing by a law enforcement official pursuant to 45 C.F.R. 164.412. . A breach is considered discovered as of the first day on which it is, or reasonably should have been, known to the Business Associate or its subcontractor. The notification shall include the identification and last known address, phone number and email address of each individual (or the next of kin of the individual if the individual is deceased) whose unsecured protected health information has been, or is reasonably believed by the Business Associate to have been, accessed, acquired, or disclosed during such breach.

- (C) The Business Associate agrees to include in the notification to the Covered Entity at least the following information:
 1. A description of what happened, including the date of the breach; the date of the discovery of the breach; the unauthorized person, if known, who used the PHI or to whom it was disclosed; and whether the PHI was actually acquired or viewed.
 2. A description of the types of unsecured protected health information that were involved in the breach (such as full name, Social Security number, date of birth, home address, account number, or disability code).
 3. The steps the Business Associate recommends that Individual(s) take to protect themselves from potential harm resulting from the breach.
 4. A detailed description of what the Business Associate is doing or has done to investigate the breach, to mitigate losses, and to protect against any further breaches.
 5. Whether a law enforcement official has advised the Business Associate, either verbally or in writing, that he or she has determined that notification or notice to Individuals or the posting required under 45 C.F.R. 164.412 would impede a criminal investigation or cause damage to national security and; if so, contact information for said official.
- (D) If directed by the Covered Entity, the Business Associate agrees to conduct a risk assessment using at least the information in subparagraphs 1 to 4, inclusive of (g) (16) (C) of this Section and determine whether, in its opinion, there is a low probability that the PHI has been compromised. Such recommendation shall be transmitted to the Covered Entity within 20 business days of the Business Associate's notification to the Covered Entity.
- (E) If the Covered Entity determines that there has been a breach, as defined in 45 C.F.R. 164.402, by the Business Associate or a subcontractor of the Business Associate, the Business Associate, if directed by the Covered Entity, shall provide all notifications required by 45 C.F.R. 164.404 and 45 C.F.R. 164.406.
- (F) Business Associate agrees to provide appropriate staffing and have established procedures to ensure that individuals informed of a breach have the opportunity to ask questions and contact the Business Associate for additional information regarding the breach. Such procedures shall include a toll-free telephone number, an e-mail address, a posting on its Web site and a postal address. Business Associate agrees to include in the notification of a breach by the Business Associate to the Covered Entity, a written description of the procedures that have been established to meet these requirements. Costs of such contact procedures will be borne by the Contractor.
- (G) Business Associate agrees that, in the event of a breach, it has the burden to demonstrate that it has complied with all notifications requirements set forth above, including evidence demonstrating the necessity of a delay in notification to the Covered Entity.
- (h) Permitted Uses and Disclosure by Business Associate.
 - (1) General Use and Disclosure Provisions Except as otherwise limited in this Section of the Contract, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Contract, provided that such

use or disclosure would not violate the HIPAA Standards if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity.

(2) Specific Use and Disclosure Provisions

- (A) Except as otherwise limited in this Section of the Contract, Business Associate may use PHI for the proper management and administration of Business Associate or to carry out the legal responsibilities of Business Associate.
- (B) Except as otherwise limited in this Section of the Contract, Business Associate may disclose PHI for the proper management and administration of Business Associate, provided that disclosures are Required by Law, or Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the person notifies Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.
- (C) Except as otherwise limited in this Section of the Contract, Business Associate may use PHI to provide Data Aggregation services to Covered Entity as permitted by 45 C.F.R. § 164.504(e)(2)(i)(B).

(i) Obligations of Covered Entity.

- (1) Covered Entity shall notify Business Associate of any limitations in its notice of privacy practices of Covered Entity, in accordance with 45 C.F.R. § 164.520, or to the extent that such limitation may affect Business Associate's use or disclosure of PHI.
- (2) Covered Entity shall notify Business Associate of any changes in, or revocation of, permission by Individual(s) to use or disclose PHI, to the extent that such changes may affect Business Associate's use or disclosure of PHI.
- (3) Covered Entity shall notify Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

(j) Permissible Requests by Covered Entity. Covered Entity shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the HIPAA Standards if done by the Covered Entity, except that Business Associate may use and disclose PHI for data aggregation, and management and administrative activities of Business Associate, as permitted under this Section of the Contract.

(k) Term and Termination.

- (1) Term. The Term of this Section of the Contract shall be effective as of the date the Contract is effective and shall terminate when the information collected in accordance with provision (g)(10) of this Section of the Contract is provided to the Covered Entity and all of the PHI provided by Covered Entity to Business Associate, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.
- (2) Termination for Cause Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity shall either:

- (A) Provide an opportunity for Business Associate to cure the breach or end the violation and terminate the Contract if Business Associate does not cure the breach or end the violation within the time specified by the Covered Entity; or
 - (B) Immediately terminate the Contract if Business Associate has breached a material term of this Section of the Contract and cure is not possible; or
 - (C) If neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.
- (3) Effect of Termination.
- (A) Except as provided in (k)(2) of this Section of the Contract, upon termination of this Contract, for any reason, Business Associate shall return or destroy all PHI received from Covered Entity, or created, maintained, or received by Business Associate on behalf of Covered Entity. Business Associate shall also provide the information collected in accordance with section (g)(10) of this Section of the Contract to the Covered Entity within ten business days of the notice of termination. This section shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.
 - (B) In the event that Business Associate determines that returning or destroying the PHI is infeasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction infeasible. Upon documentation by Business Associate that return or destruction of PHI is infeasible, Business Associate shall extend the protections of this Section of the Contract to such PHI and limit further uses and disclosures of PHI to those purposes that make return or destruction infeasible, for as long as Business Associate maintains such PHI. Infeasibility of the return or destruction of PHI includes, but is not limited to, requirements under state or federal law that the Business Associate maintains or preserves the PHI or copies thereof.
- (1) Miscellaneous Sections.
- (1) Regulatory References. A reference in this Section of the Contract to a section in the Privacy Rule means the section as in effect or as amended.
 - (2) Amendment. The Parties agree to take such action as in necessary to amend this Section of the Contract from time to time as is necessary for Covered Entity to comply with requirements of the Privacy Rule and the Health Insurance Portability and Accountability Act of 1996, Pub. L. No. 104-191.
 - (3) Survival. The respective rights and obligations of Business Associate shall survive the termination of this Contract.
 - (4) Effect on Contract. Except as specifically required to implement the purposes of this Section of the Contract, all other terms of the Contract shall remain in force and effect.
 - (5) Construction. This Section of the Contract shall be construed as broadly as necessary to implement and comply with the Privacy Standard. Any ambiguity in this Section of the Contract shall be resolved in favor of a meaning that complies, and is consistent with, the Privacy Standard.
 - (6) Disclaimer. Covered Entity makes no warranty or representation that compliance with this Section of the Contract will be adequate or satisfactory for Business Associate's own purposes. Covered Entity shall not be liable to Business Associate for any claim, civil or criminal penalty,

loss or damage related to or arising from the unauthorized use or disclosure of PHI by Business Associate or any of its officers, directors, employees, contractors or agents, or any third party to whom Business Associate has disclosed PHI contrary to the sections of this Contract or applicable law. Business Associate is solely responsible for all decisions made, and actions taken, by Business Associate regarding the safeguarding, use and disclosure of PHI within its possession, custody or control.

- (7) Indemnification. The Business Associate shall indemnify and hold the Covered Entity harmless from and against any and all claims, liabilities, judgments, fines, assessments, penalties, awards and any statutory damages that may be imposed or assessed pursuant to HIPAA, as amended or the HITECH Act, including, without limitation, attorney's fees, expert witness fees, costs of investigation, litigation or dispute resolution, and costs awarded thereunder, relating to or arising out of any violation by the Business Associate and its agents, including subcontractors, of any obligation of Business Associate and its agents, including subcontractors, under this section of the contract, under HIPAA, the HITECH Act, and the HIPAA Standards.
2. **Americans with Disabilities Act.** The Contractor shall be and remain in compliance with the Americans with Disabilities Act of 1990 (<http://www.ada.gov/>) as amended from time to time ("Act") to the extent applicable, during the term of the Contract. The Agency may cancel or terminate this Contract if the Contractor fails to comply with the Act. The Contractor represents that it is familiar with the terms of this Act and that it is in compliance with the law. The Contractor warrants that it shall hold the State harmless from any liability which may be imposed upon the state as a result of any failure of the Contractor to be in compliance with this Act. As applicable, the Contractor shall comply with section 504 of the Federal Rehabilitation Act of 1973, as amended from time to time, 29 U.S.C. § 794 (Supp. 1993), regarding access to programs and facilities by people with disabilities.
3. **Utilization of Minority Business Enterprises.** The Contractor shall perform under this Contract in accordance with 45 C.F.R. Part 74; and, as applicable, C.G.S. §§ 4a-60 to 4a-60a and 4a-60g to carry out this policy in the award of any subcontracts.
4. **Priority Hiring.** Subject to the Contractor's exclusive right to determine the qualifications for all employment positions, the Contractor shall give priority to hiring welfare recipients who are subject to time-limited welfare and must find employment. The Contractor and the Agency shall work cooperatively to determine the number and types of positions to which this Section shall apply.
5. **Non-discrimination.**
- (a) For purposes of this Section, the following terms are defined as follows:
- (1) "Commission" means the Commission on Human Rights and Opportunities;
 - (2) "Contract" and "contract" include any extension or modification of the Contract or contract;
 - (3) "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
 - (4) "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose.
 - (5) "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
 - (6) "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;

- (7) "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
- (8) "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
- (9) "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and
- (10) "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

- (b)
 - (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved;
 - (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Commission;
 - (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers' representative of the Contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment;
 - (4) the Contractor agrees to comply with each provision of this Section and Connecticut General Statutes §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and
 - (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate

to the provisions of this Section and Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.

- (c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- (d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.
- (e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes §46a-56; provided if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.
- (f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- (g)
 - (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation;
 - (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment;
 - (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and
 - (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.
- (h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any

such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes § 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

6. Freedom of Information.

- (a) Contractor acknowledges that the Agency must comply with the Freedom of Information Act, C.G.S. §§ 1-200 *et seq.* (“FOIA”) which requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b).
- (b) Governmental Function. In accordance with C.G.S. § 1-218, if the amount of this Contract exceeds two million five hundred thousand dollars (\$2,500,000), and the Contractor is a “person” performing a “governmental function”, as those terms are defined in C.G.S. §§ 1-200(4) and (11), the Agency is entitled to receive a copy of the Records and files related to the Contractor’s performance of the governmental function, which may be disclosed by the Agency pursuant to the FOIA.

7. Whistleblowing. This Contract is subject to C.G.S. § 4-61dd if the amount of this Contract is a “large state contract” as that term is defined in C.G.S. § 4-61dd(h). In accordance with this statute, if an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee’s disclosure of information to any employee of the Contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under subsection (a) of such statute, the Contractor shall be liable for a civil penalty of not more than five thousand dollars (\$5,000) for each offense, up to a maximum of twenty per cent (20%) of the value of this Contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day’s continuance of the violation shall be deemed to be a separate and distinct offense. The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with subsection (f) of such statute, each large state Contractor, as defined in the statute, shall post a notice of the relevant sections of the statute relating to large state Contractors in a conspicuous place which is readily available for viewing by the employees of the Contractor.

8. Executive Orders. This Contract is subject to Executive Order No. 3 of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices; Executive Order No. 17 of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings; Executive Order No. 16 of Governor John G. Rowland, promulgated August 4, 1999, concerning violence in the workplace. This Contract may also be subject to Executive Order 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms and Executive Order 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions. All of these Executive orders are incorporated into and made a part of the Contract as if they had been fully set forth in it. At the Contractor’s request, the Agency shall provide a copy of these Orders to the Contractor.

9. Campaign Contribution Restrictions. For all State contracts as defined in C.G.S. § 9-612(g) the authorized signatory to this Contract expressly acknowledges receipt of the State Elections Enforcement Commission’s (“SEEC”) notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See SEEC Form 11 reproduced below: www.ct.gov/seec



Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee (which includes town committees).

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall knowingly *solicit* contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor or principals of the subcontractor* on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

DUTY TO INFORM

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

PENALTIES FOR VIOLATIONS

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties:—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalty:—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

CONTRACT CONSEQUENCES

In the case of a state contractor, contributions made or solicited in violation of the above prohibitions may result in the contract being voided.

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State shall not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "Lobbyist/Contractor Limitations."



DEFINITIONS

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office, or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

"Subcontractor" means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor's state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. "Subcontractor" does not include (i) a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or (ii) an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a subcontractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a subcontractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a subcontractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a subcontractor, which is not a business entity, or if a subcontractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any subcontractor who has managerial or discretionary responsibilities with respect to a subcontract with a state contractor, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the subcontractor.

[X] Original Contract
[] Amendment # _____
(For Internal Use Only)

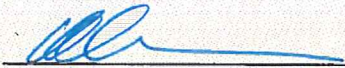
SIGNATURES AND APPROVALS

093-1PU-MFP-1 / 16DSS7101PU

The Contractor IS NOT a Business Associate under the Health Insurance Portability and Accountability Act of 1996 as amended.

Documentation necessary to demonstrate the authorization to sign must be attached.

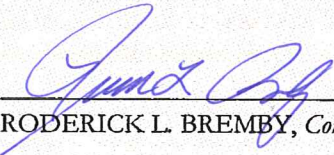
CONTRACTOR - LEEWAY, INC.



HEATHER AARON, *Executive Director*

1 / 19 / 2016
Date

DEPARTMENT OF SOCIAL SERVICES



RODERICK L. BREMBY, *Commissioner*

1 / 21 / 16
Date

OFFICE OF THE ATTORNEY GENERAL



~~ASST. Assoc.~~ Attorney General (Approved as to form)
Robert W. Clark

2 / 2 / 16
Date

ATTACHEMENT

A

(Referenced in Section 2.1.)

Leeway, Inc.

3. Staffing Requirements

a. Staff Model

The Community Transformation Treatment Program

The Community Transformation Treatment Program consists of new and existing staff. The Social Service Department at Leeway will emphasize discharge planning through The Community Transformation Treatment Program for Medicaid and Medicaid pending recipients. The Admissions Department at Leeway will adopt a care management role, assisting and facilitating Medicaid recipients and their families seeking long-term placement with appropriate community based LTCSS alternatives, including referring to The Community Transformation Treatment Program.

| Position | The Community Transformation Treatment Program Roles |
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| <p>Program Director (MSW with- Mgt. experience) <i>New Position</i> 1 FTE \$74,000</p> | <ul style="list-style-type: none"> • Program development, management and measurement • Day to day operations and oversight • Project management and liaison - attending all meetings at the request of DSS and/or DECD, and responding to DSS' and/or DECD's requests for status updates and ad hoc interim reports. • Budget and finances • Personnel management • Quality assurance • Program education and awareness campaign "Informed Choices" • Provides on-call coverage as designated |
| <p>Social Worker <i>Facility based existing staff</i> Lorrie Wesoly .25 FTE</p> | <ul style="list-style-type: none"> • Supports the Community Case Management Program Director in day to day operations and oversight of The Community Transformation Treatment Program • Provides case management trainings for The Community Transformation Treatment Program based on the supportive housing case management model • Communicate and coordinate discharge plan and follow up with Discharge Planner and The |

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Leeway, Inc.

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| | <p>Community Transformation Treatment Program</p> <ul style="list-style-type: none"> • Provides training for Quality Assurance and Annual Review Process • Provides training on data entry and documentation for The Community Transformation Treatment Program |
| Setting: HCBS | |
| <p>Community Medical Director, MD <i>New Position</i> <i>.5 FTE</i> <i>\$125,000</i></p> | <ul style="list-style-type: none"> • Serves as The Community Transformation Treatment Program Medical Director • Collaborates with facility medical director, patient, family, community case manager and patient's PCP to develop transition care plan. • Reviews and approves community care plans with patient and patient's PCP. • Oversees Community Case Management Program Director, Community Case Managers and Health Literacy and Wellness Coaches • Educates physician community • Chairs the Quality Assurance Committee |
| <p>Adult Day Health Program Manager</p> | <ul style="list-style-type: none"> • Assist in planning, developing, organizing, implementing, evaluating, and directing the Medical Day Programs • Follow all current existing federal, state, and local standards as well as Facility's established policies and procedures • Assure the medical, emotional, and social needs of the patient are maintained |
| <p>Adult Day Health RN</p> | <ul style="list-style-type: none"> • Deliver high quality nursing care • Administer medications and treatments and medical care to patients • Collaborate with team members to promote strong Person Centered Care |
| <p>Adult Day Health Activities Director</p> | <ul style="list-style-type: none"> • Provide engaging programs designed to create |

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Leeway, Inc.

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| | <p>positive, social, fun, educational opportunities</p> <ul style="list-style-type: none"> • Focus on Person Centered Care • Assist Program Manager |
| Driver | <ul style="list-style-type: none"> • Drive clients to appointments and other community activities as needed |
| Bookkeeper | <ul style="list-style-type: none"> • Receive callers and direct to destinations • Perform various clerical functions as needed |
| Therapeutic Aide | <ul style="list-style-type: none"> • Assist clients in maintaining independent living skills and health • Increase time spent in positive social behaviors • Comply with the Facility's policy guidelines and focus on Person Centered Care |
| <p>Community Case Managers (MSW or BA/BS - 2 years experience) <i>New Position</i> <i>3 FTE</i> <i>\$40,000</i></p> | <ul style="list-style-type: none"> • Centralizing case management and coordination to of LTCSS to assure successful and sustainable transitions to community • Benefits – identifying and provisioning entitlements and benefits though state waiver programs. • Housing – helping families evaluate and select appropriate level of housing or residential options. • HCBS– determining types of services that are right for a client and assisting the family to engage and monitor those services. • Weekly or bi-weekly visits with client • Medical management – attending doctor appointments, facilitating communication between doctor, client, and family, and if appropriate, monitoring client's adherence to medical orders and instructions. • Support client and family with a safe transition to community setting from institutional setting |

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Leeway, Inc.

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| | <p>(acute care or SNF)</p> <ul style="list-style-type: none"> • Monitor transition and assure delivery of required services • Assist with instrumental activities of daily living <p>Report to Community Case Management Director and the Community Medical Director</p> |
| <p>Health Literacy and Wellness Coaches <i>(Promote C.N.A. to new position)</i> <i>New Position</i> <i>2 FTE</i> <i>\$37,500</i></p> | <ul style="list-style-type: none"> • Support client and family with a safe transition to community setting from institutional setting (acute care or SNF) • Teach health literacy, coach and support client with managing their disease • Attend medical appointments liaison between care partners • Empower – informed choice through health literacy • Weekly or bi-weekly visits with client • Assist with instrumental activities of daily living • Report to Community Case Management Director and the Community Medical Director |
| <p>Intake Coordinator / Community Liaison <i>(Promote C.N.A. to new position)</i> <i>1 FTE</i> <i>\$35,000</i></p> | <ul style="list-style-type: none"> • Receive, screen and process qualified referrals • Identifies and enrolls high risk Medicaid beneficiaries • Scheduling appointments, transportation and services on behalf of clients • Program cheerleader and outreach worker |

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Leeway, Inc.

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| | <ul style="list-style-type: none"> • Administrative services • Educate and promote the program community wide • Report to Community Case Management Director and the Community Medical Director |
| <p>Substance Abuse Counselor (MSW & Certified Drug & Alcohol Counselor) <i>New Position</i> <i>1 FTE</i> <i>\$55,000</i></p> | <ul style="list-style-type: none"> • Provide individual and group substance abuse counseling • Conduct intake assessments, re-assessments and individual treatment plans • Develop individual recovery programs • Coordinate educational programs and informational activities • Maintain accurate documentation and records for evaluation |
| <p>Analyst & CQI Coordinator <i>New Position</i> <i>.5 FTE</i> <i>\$30,000</i></p> | <ul style="list-style-type: none"> • Provides HIT support and training • Responsible for reporting and tracking outcomes • Oversee the continuous quality improvement of the program • Report to Community Case Management Director and the Community Medical Director |



**STATE OF CONNECTICUT
CERTIFICATION OF STATE AGENCY OFFICIAL OR EMPLOYEE
AUTHORIZED TO EXECUTE CONTRACT**

Certification to accompany a State contract, having a value of \$50,000 or more, pursuant to Connecticut General Statutes §§ 4-250 and 4-252(b), and Governor Dannel P. Malloy's Executive Order 49.

INSTRUCTIONS:

Complete all sections of the form. Sign and date in the presence of a Commissioner of the Superior Court or Notary Public. Submit to the awarding State agency at the time of contract execution.

CERTIFICATION:

I, the undersigned State agency official or State employee, certify that (1) I am authorized to execute the attached contract on behalf of the State agency named below, and (2) the selection of the contractor named below was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

LEEWAY, INC.
Contractor Name

Department of Social Services
Awarding State Agency

[Handwritten Signature]

State Agency Official or Employee Signature

1/21/2016

Date

Roderick L. Bremby

Printed Name

Commissioner

Title

Sworn and subscribed before me on this *21* day of *January*, 20*16*
Kathleen M. Brennan

Commissioner of the Superior Court
or Notary Public

Juris No 307252

My Commission Expires



STATE OF CONNECTICUT
AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY

Written or electronic affirmation to accompany a large State construction or procurement contract, having a cost of more than \$500,000, pursuant to Connecticut General Statutes §§ 1-101mm and 1-101qq

INSTRUCTIONS:

Complete all sections of the form. Submit completed form to the awarding State agency or contractor, as directed below.

CHECK ONE:

- I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.
I am a contractor who has already filed an affirmation, but I am updating such affirmation either (i) no later than thirty (30) days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

IMPORTANT NOTE:

Within fifteen (15) days after the request of such agency, institution or quasi-public agency for such affirmation contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

AFFIRMATION:

I, the undersigned person, contractor, subcontractor, consultant, or the duly authorized representative thereof, affirm (1) receipt of the summary of State ethics laws* developed by the Office of State Ethics pursuant to Connecticut General Statutes § 1-81b and (2) that key employees of such person, contractor, subcontractor, or consultant have read and understand the summary and agree to comply with its provisions.

* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website.

Signature: Heather Aaron, Date: 07/01/15, Title: Executive Director, Firm: Leeway, Inc., Street Address: 40 Albert Street, City: New Haven, State: CT, Zip: 06511

Awarding State Agency



STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Written or electronic certification to accompany a State contract with a value of \$50,000 or more, pursuant to C.G.S. §§ 4-250, 4-252(c) and 9-612(f)(2) and Governor Dannel P. Malloy's Executive Order 49.

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

- CHECK ONE:** Initial Certification 12 Month Anniversary Update (Multi-year contracts only.)
- Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "**Gift**" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – New Resolution
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of a corporate, company, or partnership policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of a contractor that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

CERTIFICATION OF RESOLUTION:

I, Heather Aaron, Executive Director, Leeway, Inc.,
Authorized Signatory Title Name of Entity

an entity duly formed and existing under the laws of Connecticut,
Name of State or Commonwealth

certify that the following is a true and correct copy of a resolution adopted on the 25 day of
September 20 14 by the governing body of Leeway, Inc.,
Name of Entity

in accordance with all of its documents of governance and management and the laws of
Connecticut, and further certify that such resolution has not been modified
Name of State or Commonwealth

or revoked, and is in full force and effect.

RESOLVED: That the policies of Leeway, Inc. comply with the
Name of Entity

nondiscrimination agreements and warranties of Connecticut General Statutes
§§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

The undersigned has executed this certificate this 01 day of July, 2015.

[Signature] 07/01/15
Authorized Signatory Date

Heather Aaron
Printed Name



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION — Affidavit
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

AFFIDAVIT:

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of an oath. I am Executive Director of Leeway, Inc., an entity
Signatory's Title Name of Entity

duly formed and existing under the laws of Connecticut.
Name of State or Commonwealth

I certify that I am authorized to execute and deliver this affidavit on behalf of

Leeway, Inc. and that Leeway, Inc.
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.


Authorized Signatory

Heather Aaron
Printed Name

Sworn and subscribed to before me on this 01 day of July, 2015.

Maria E. Smith
Commissioner of the Superior Court/
Notary Public

Commission Expiration Date 12/31/17

MARIA E. SMITH
NOTARY PUBLIC
State of Connecticut
My Commission Expires
December 31, 2017

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after January 1, 2011, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(f)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(f)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after January 1, 2011 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(f)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

| <u>Contribution Date</u> | <u>Name of Contributor</u> | <u>Recipient</u> | <u>Value</u> | <u>Description</u> |
|--------------------------|----------------------------|------------------|--------------|--------------------|
| | N/A | | | |
| | | | | |
| | | | | |

Lawful Campaign Contributions to Candidates for the General Assembly:

| <u>Contribution Date</u> | <u>Name of Contributor</u> | <u>Recipient</u> | <u>Value</u> | <u>Description</u> |
|--------------------------|----------------------------|------------------|--------------|--------------------|
| | N/A | | | |
| | | | | |
| | | | | |

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Leeway, Inc.
Printed Contractor Name

Heather Aaron
Printed Name of Authorized Official

[Signature]
Signature of Authorized Official

Subscribed and acknowledged before me this 01 day of July, 2015

Maria E. Smith
Commissioner of the Superior Court (or Notary Public)

12/31/2017
My Commission Expires

MARIA E. SMITH
NOTARY PUBLIC
State of Connecticut
My Commission Expires
December 31, 2017



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: ____]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except for the agreement listed below:

Heather Aaron, Executive Director Consultant's Name and Title
Leeway, Inc. Name of Firm (if applicable)
07/01/2015 Start Date
06/30/2016 End Date
Cost

Description of Services Provided:

Is the consultant a former State employee or former public official? [] YES [x] NO

If YES: Name of Former State Agency Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.
Leeway, Inc. Signature of Principal or Key Personnel Date
Heather Aaron Printed Name (of above)
Awarding State Agency

Sworn and subscribed before me on this 01 day of July, 2015.

Commissioner of the Superior Court or Notary Public
MARIA E. SMITH
NOTARY PUBLIC
State of Connecticut
My Commission Expires December 31, 2017

WORKFORCE ANALYSIS

Contractor **LEEWAY, INC.**

Address **40 ALBERT STREET
NEW HAVEN, CT 06511**

Number of Connecticut employees
Full-time 27 Part-time 46

Employment figures obtained from
Visual Check Employment Records
Other

| JOB CATEGORIES | TOTALS | WHITE (Not of Hispanic Origin) | | BLACK (Not of Hispanic Origin) | | HISPANIC | | ASIAN OR PACIFIC ISLANDER | | AMER. INDIAN OR ALASKAN NATIVE | | PERSON WITH DISABILITIES | |
|--------------------------|--------|-----------------------------------|-----------|-----------------------------------|-----------|----------|----------|---------------------------|----------|--------------------------------|--------|--------------------------|--------|
| | | Male | Female | Male | Female | Male | Female | Male | Female | Male | Female | Male | Female |
| Officials & Managers | | 1 | 4 | 1 | 2 | | | | | | | | |
| Professionals | | | 6 | | 6 | | 1 | | | | | | |
| Technicians | | | 2 | 1 | 2 | | | | 2 | | | | |
| Service Workers | | 3 | 2 | 4 | 22 | 1 | 4 | 2 | | | | | |
| Office & Clerical | | | 4 | | 1 | | 2 | | | | | | |
| Craft Workers (Skilled) | | | | | | | | | | | | | |
| Operators (Semi-Skilled) | | | | | | | | | | | | | |
| Laborers (Unskilled) | | | | | | | | | | | | | |
| TOTALS | | 4 | 18 | 6 | 33 | 1 | 7 | 2 | 2 | | | | |
| Totals One Year Ago | | | | | | | | | | | | | |

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FORMAL ON-THE-JOB-TRAINEES

| | | | | | | | | | | | | | |
|-------------|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Apprentices | | | | | | | | | | | | | |
| Trainees | | | | | | | | | | | | | |

1. Have you successfully implemented an Affirmative Action Plan?
 Yes No If yes, date of implementation 9/95; If no, explain _____
 a) Do you promise to develop and implement a successful Affirmative Action Plan?
 Yes No N/A Explain: _____
2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-1 to 46a-68-17 of the Connecticut Department of Labor Regulations, inclusive:
 Yes No N/A Explain: _____
3. According to EEO-1 data, is the composition of your work force at or near parity when compared with the racial and sexual composition of the work force in the relevant labor market area?
 Yes No Explain: _____
4. If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?
 Yes No Explain: _____


Authorized Signature

1-16-2016
Date



STATE OF CONNECTICUT

Written or electronic PDF copy of the written certification to accompany a large state contract pursuant to P.A. No. 13-162 (Prohibiting State Contracts With Entities Making Certain Investments In Iran)

Respondent Name: _____

INSTRUCTIONS:

CHECK ONE: [X] Initial Certification. [] Amendment or renewal.

A. Who must complete and submit this form. Effective October 1, 2013, this form must be submitted for any large state contract, as defined in section 4-250 of the Connecticut General Statutes. This form must always be submitted with the bid or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located.

Pursuant to P.A. No. 13-162, upon submission of a bid or prior to executing a large state contract, the certification portion of this form must be completed by any corporation, general partnership, limited partnership, limited liability partnership, joint venture, nonprofit organization or other business organization whose principal place of business is located outside of the United States. United States subsidiaries of foreign corporations are exempt. For purposes of this form, a "foreign corporation" is one that is organized and incorporated outside the United States of America.

Check applicable box:

[X] Respondent's principal place of business is within the United States or Respondent is a United States subsidiary of a foreign corporation. Respondents who check this box are not required to complete the certification portion of this form, but must submit this form with its Invitation to Bid ("ITB"), Request for Proposal ("RFP") or contract package if there was no bid process.

[] Respondent's principal place of business is outside the United States and it is not a United States subsidiary of a foreign corporation. CERTIFICATION required. Please complete the certification portion of this form and submit it with the ITB or RFP response or contract package if there was no bid process.

B. Additional definitions.

- 1) "Large state contract" has the same meaning as defined in section 4-250 of the Connecticut General Statutes;
2) "Respondent" means the person whose name is set forth at the beginning of this form; and
3) "State agency" and "quasi-public agency" have the same meanings as provided in section 1-79 of the Connecticut General Statutes.

C. Certification requirements.

No state agency or quasi-public agency shall enter into any large state contract, or amend or renew any such contract with any Respondent whose principal place of business is located outside the United States and is not a United States subsidiary of a foreign corporation unless the Respondent has submitted this certification.

Complete all sections of this certification and sign and date it, under oath, in the presence of a Commissioner of the Superior Court, a Notary Public or a person authorized to take an oath in another state.

CERTIFICATION:

I, the undersigned, am the official authorized to execute contracts on behalf of the Respondent. I certify that:

[X] Respondent has made no direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010.

[] Respondent has either made direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, or Respondent made such an investment prior to October 1, 2013 and has now increased or renewed such an investment on or after said date, or both.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

LEEWAY INC.
Printed Respondent Name

HEATHER AARON
Printed Name of Authorized Official

[Signature]
Signature of Authorized Official

Subscribed and acknowledged before me this 19th day of January, 2016.

[Signature]
Commissioner of the Superior Court (or Notary Public)

12/31/2017
My Commission Expires

MARIA E. SMITH
NOTARY PUBLIC
State of Connecticut
My Commission Expires
December 31, 2017