

SAMPLE

**COMMUNITY PARTNERS FOR CHILD SAFETY PROVIDER
PROFESSIONAL SERVICES CONTRACT**

EDS#

This Contract (the "Contract"), entered into by and between the Indiana Department of Child Services (hereinafter referred to as "State" or "DCS") and (hereinafter referred to as "Contractor"), is executed pursuant to the terms and conditions set forth herein. In consideration of those mutual undertakings and covenants, the parties agree as follows:

1. Duties of Contractor.

A. Purpose: The purpose of this Contract is for the Contractor to provide child abuse prevention services and also, via subcontracts, secondary and some primary child abuse prevention services (as described herein below and in the attachments hereto) (collectively referred to herein as the "Community Partners Services") in the Region(s) (and their included counties) for which the Contractor has been chosen by the State to provide such services as described below in paragraph B(6) of this Section. Community Partners Services will be paid as described in Section 2. This service continuum will build community resources in order to have a collaborative prevention network throughout the various Regions (and their included counties) in the state of Indiana. The Community Partners Services will be for those families that are identified through self-referral or other community agency referral as specified in more detail below herein and will provide home based case management services to connect families to resources to strengthen the family and prevent child abuse and neglect. The intent of the Community Partners Services is to meet children's needs without the need for legal intervention.

(1) Community resources could include, but are not limited to: schools, social services agencies, health care providers, public health agencies, hospitals, child care providers, community mental health agencies, local DCS' offices, child abuse prevention agencies like Healthy Families and local Prevent Child Abuse Councils, Youth Service Bureaus, Project Safe Place, Child Advocacy Centers, First Steps, Head Start, Domestic Violence service providers, faith-based community resources, and substance use/abuse service providers. In general, each community generally defines its own resources.

(a) In general, the Contractor will identify its partners/subcontractors for each Region that it serves. However, local offices of DCS are required to be a partner for purposes of the Community Partners for Child Safety program. DCS' Family Case Managers who complete assessments of alleged abuse and neglect investigations

frequently identify families that could benefit from Community Partners Services that may prevent a substantiated case of child abuse.

(2) Definition of Prevention:

- (a) Primary Prevention: The first level of prevention, primary prevention, focuses on strategies for the general public. Primary prevention strategies often seek to strengthen family functioning. The philosophy of primary prevention is that keeping children safe from abuse and neglect is the responsibility of the entire community. The long-term goal of such strategies is to educate the entire community to create social change that is intolerant of child maltreatment.
- (b) Secondary Prevention: The next level of prevention includes strategies that are focused on those who are at risk for abuse or neglect of their children. These include high-stress familial situations, lack of familial or community support, and young maternal age.

Possible goals of secondary prevention include: increased parenting skills and strategies; enhanced bonding and communication between at-risk parents and their children; increased connection between at-risk parents and resources or services in the community; increased parenting skills in coping with stresses of caring for children with special needs; and increased access to social and healthcare services for all community members. These goals ultimately seek to strengthen family functioning and keep children safe from abuse and neglect.

B. In order to accomplish the above-referenced purpose, the Contractor will provide the Community Partners Services set out in more detail herein and in accordance with the following (all of which are hereby incorporated by reference):

- (1) The Community Partners for Child Safety Request for Proposal and all of its attachments (the “Community Partners RFP”), which was issued by the State in September 2014; and
- (2) The most current version of DCS’ service standards applicable to the services provided by the Contractor pursuant to this Contract (the “DCS’ Service Standards”), as such DCS’ Service Standards are modified/updated from time to time by DCS but always available in their most current form at the following link (or any designated successor website):

<http://www.in.gov/dcs/3156.htm>

- (3) The most current version of DCS' Principles of Child Welfare Services ("DCS' Child Welfare Principles"), as such DCS' Child Welfare Principles are modified/updated from time to time by DCS but always available in their most current form at the following link (or any designated successor website):

<http://www.in.gov/dcs/3156.htm>

- (4) DCS' Practice Model: the Contractor's services must be provided according to DCS' Practice Model. The Contractor will build trust-based relationships with families and partners by exhibiting empathy, professionalism, genuineness and respect. The Contractor will use the skills of teaming, engaging, assessing, planning, and intervening (TEAPI) to partner with families and the community to achieve better outcomes for children; and
- (5) The Contractor's Response to the Community Partners RFP (the "Contractor's RFP Response"), which was submitted by the Contractor in accordance with the specifications of the Community Partners RFP; and
- (6) As set forth herein, in the Services and Rate Schedule (which is attached hereto as **Attachment 1** and hereby incorporated by reference), and as described in the Community Partners RFP and as approved by the State, the Contractor must provide Community Partners Services for the Region(s) for which the Contractor has been chosen by the State to provide such services. As set forth in the notification received from the State by this Contractor, this Contractor shall provide Community Partners Services for Region(s) .

- C. The Contractor agrees to comply with all terms, provisions and conditions applicable to the Community Partners Services it provides to the State pursuant to this Contract, including, but not limited to, service categories, objectives, currently applicable DCS' Service Standards, DCS' Child Welfare Principles, and DCS' Practice Model, as set forth above in paragraph B of this Section, including all statements, provisions, and assurances made in conjunction with the Community Partners RFP and the Contractor's RFP Response, except to the extent that the terms of this Contract might specifically modify those statements, provisions, and assurances. The assurances ("Assurances") (which are hereby incorporated by reference) can be found at the following link (or any designated successor website):

<http://www.in.gov/dcs/3156.htm>

- D. As currently stated in DCS' Service Standards, Community Partners Services must be restricted to the following eligibility categories (which are subject to

change as DCS' Service Standards are updated/modified during the term of this Contract as described above in paragraph B(2) of this Section):

- (1) Children and families for whom DCS does not currently have an open, on-going case.
- (2) Families that have been referred by a community resource or who self refer due to a determination that, with timely, effective, and appropriate prevention support services, family functioning can be improved and child abuse and neglect prevented.
- (3) Families that do **not** meet the criteria for Healthy Families participation, or if Healthy Families is at capacity, those families needing services may be referred to the Community Partners. At no time can both Community Partners and Healthy Families service the same family unless both programs are provided in a coordinated manner that is determined appropriate and approved by the DCS Prevention Director.
- (4) If the Juvenile Probation Department has an open case on a child and that child is placed outside the home, the family can receive Community Partners Services if there are other children in the home.

The Community Partners for Child Safety program shall not be used as a substitute for other DCS funded Community Based or Concrete Services available to open Juvenile Probation cases.

- E. As currently stated in DCS' Service Standards, the Community Partners Services provided by the Contractor will be divided into three components, or the Service Component, the Community Component, and the Subcontracting Component (the Subcontracting Component is also referred to herein as Other Prevention Services) (which are subject to change as DCS' Service Standards are updated/modified during the term of this Contract as described above in paragraph B(2) of this Section):

- (1) Service Component: In summary, the Service Component requires the employment of a Project Manager, Neighborhood Liaisons, and Parent Partners. It also requires development of family case plans that include no more than three (3) goals that the family identifies. It also includes the development of classes and support groups for families and on-call staff availability for crisis intervention counseling and referral if needed. The Contractor must be able to send representatives to certain Institute for Strengthening Families trainings. The Contractor must be knowledgeable about home visitation programs and the types of trainings needed for such programs. The Contractor is also to utilize assessment tools identified by DCS and set forth in the DCS' Service Standards.

- (2) Community Component: In summary, the Community Component requires that the Contractor participate with other agencies to develop a collaborative network of community resources that will support families. The Contractor must identify an advisory group for the Region(s) for which it has been selected to provide Community Partners Services (as set forth in paragraph B(6) of this Section) that focuses on community development and participate in community events to build new relationships and support local prevention efforts and agency activities. The Contractor must also create opportunities to build a volunteer pool and develop opportunities for additional funding and financial support, including reporting its quarterly progress to the DCS' ~~Central Office~~ Prevention Consultant of additional funding sources committed to Community Partners agencies. The Contractor must also develop contacts and a presence throughout the entire Region(s) for which it has been selected to provide Community Partners Services by DCS and work with local community administrators, such as police departments, Mayor's offices, hospitals, and school districts. The Contractor must also partner with existing providers that offer child and family services in the Region(s) for which it is responsible (as described above).
- (3) Subcontracting Component: In summary, a percentage of the funding allocated for this Contract (not more than 30% of each Region's allocation) may be utilized for other prevention services which consist of both secondary and primary child abuse prevention services (the "Other Prevention Services"). This funding is allocated to be subcontracted for services that meet the secondary and primary child abuse prevention priority needs that are determined by DCS (based on any applicable recommendations of the Regional Services Council(s)) for each particular Region(s) that the Contractor has been chosen to provide Community Partners Services for as set forth above in paragraph B(6) of this Section. As part of this subcontracting component, the Contractor shall issue requests for proposals to identify the services that meet the secondary and primary child abuse prevention priority needs and select the providers to offer services that meet such secondary and primary child abuse prevention priority needs. The Contractor must also provide quarterly reports on outcomes to DCS and the Regional Services Council(s). The Contractor shall administer Other Prevention Services' funds for the Region(s) for which it has been selected to provide Community Partners Services and may be paid up to a seven and one-half percent (7.5%) administration fee for Administrative Costs (as defined directly below in subparagraph (a)) related to subcontracting and oversight of subcontractors. In addition, the Contractor shall administer Resource Parent Appreciation funds for the Region(s) for which it has been selected to provide Community Partners Services (and for which DCS has coordinated Resource Parent Appreciation event(s)) and may be paid up to a seven and one-half percent (7.5%) administration fee for Administrative

Costs (as defined directly below in subparagraph (a)) for its administration of such Resource Parent Appreciation funds.

- (a) Administrative Costs are those that are incurred for the overall general executive and administrative offices of the organization and program, including indirect costs such as accounting services, general custodial services, fringe benefits, salaries, or other overhead-related services to the program.
- (b) The Contractor must provide verification to DCS of its Administrative Costs incurred as such Administrative Costs are described above in this subparagraph (3). In addition to any audit conducted pursuant to Section 6 herein, DCS may, upon thirty (30) days written notice to the Contractor, examine, inspect, audit and copy the Contractor's records concerning such Administrative Costs and may adjust payments for any disallowed or inadequately documented expenses. Any part of the funding allocated to Other Prevention Services that is not spent on Administrative Costs may only be spent for Other Prevention Services. Any Administrative Costs for any of the other components of the Community Partners Services provided by the Contractor pursuant to this Contract must already be built into the costs or rates for such services and may not be separately claimed.
- (c) For the purpose of a subcontract entered into in accordance with the Subcontracting Component of this Contract described above in this subparagraph (3), the Contractor must provide assurance and monitoring of each of its subcontractor's compliance with DCS' and state of Indiana contract compliance standards as set forth herein. These include, but are not limited to:
 - (i) Staff to oversee subcontractor responsibilities/performance;
 - (ii) Manage subcontractor's contractual compliance;
 - (iii) Accuracy of claims;
 - (iv) Accounting principles and audit standards;
 - (v) Outcome measurement reports; and
 - (vi) Entry into DCS' approved database system.
- (d) As will be described in more detail in Section 2 and in Section 27, the percentage of funding allocated to the Contractor for Other Prevention Services for each particular Region may be reduced with a corresponding increase in the percentage of funds allocated to the Contractor for the other Community Partners Services described above herein (which includes the Service Component and the Community Component described above in Section 1(E)(1)-(2)) in that same particular Region. However, the

percentage of funding allocated to the Contractor for Other Prevention Services may never be increased above thirty percent (30%) for any particular Region for which the Contractor has been selected to provide Community Partners Services.

- F. As currently stated in DCS' Service Standards, the Contractor must comply with the following data collection requirements (which are subject to change as DCS' Service Standards are updated/modified during the term of this Contract as described above in paragraph B(2) of this Section):
- (1) The Contractor must enter all client data and service data into the DCS' approved database system provided by DCS. At a minimum, the Contractor will be expected to gather the following information:
 - (a) Date of referral;
 - (b) Date of consent;
 - (c) Date of assessment and assessment data;
 - (d) Date(s) of face to face contact(s);
 - (e) Family goal(s);
 - (f) Date goal(s) were met; and
 - (g) Termination date and reason.
 - (2) As each event occurs, all data must be entered into DCS' approved database by the Contractor within five (5) working days. Specific client files will contain assessment tools, goal(s) identified in the family service plan, and case notes documenting the progress toward reaching those goals. Reports will be obtained through the DCS' approved database system. The Contractor must ensure that all the data elements are completed in DCS' database system.
- G. In addition to the requirements set forth above in paragraphs E(2)-(3) and F(1)-(2) of this Section, the Contractor agrees to prepare and submit to the State, if requested by the State, the information required by the State for reports and evaluations necessary to monitor services or programs and outcomes. The Contractor will provide all information reasonably requested by the State (in the format requested by the State) and will cooperate with and assist the State in preparing such reports and evaluations. DCS will attempt to standardize the timing and content of required reports to the extent it can.
- H. The State shall monitor and review the Contractor's delivery of services during the term of this Contract. The procedure that the State uses for monitoring the Contractor may change during the term of this Contract, and the Contractor will be notified of any changes in procedure. The procedure that the State uses for monitoring the Contractor may include, but not be limited to, the following:

- (1) Conduct site visits and case file reviews as a means of ensuring quality service provision;
- (2) Review of referrals from various community partners;
- (3) Review of invoices/claims submitted by the Contractor for payment, in relation to the service components and funding amounts allocated per Region(s) for which the Contractor has been selected to provide Community Partners Services and in relation to the total remuneration amount for this Contract (as such amounts are set forth in Section 2 below and set forth in **Attachment 1**);
- (4) Review of demographic and outcome data provided through DCS' current approved database system;
- (5) Peer review conducted by DCS' staff or DCS' contracted staff using a tool approved by DCS;
- (6) Information received verbally or in writing from DCS concerning the Contractor's delivery of services requested or approved;
- (7) Information received verbally or in writing from service recipients, directly or through a DCS' local office, regarding services provided by the Contractor;
- (8) Review of the results of services provided in relation to the desired outcomes of those services as stated in the Community Partners RFP and the Contractor's RFP Response; and
- (9) Information contained in the reports and evaluations relating to the Contractor's delivery of services under this Contract.

As requested by DCS, the Contractor shall submit quarterly written reports (or more or less frequently if requested) to DCS (in the format designed by the Contractor and approved by DCS or in the format requested by DCS) concerning the Contractor's service delivery and any other issues pertinent to this Contract, as provided in the Community Partners RFP and/or as specified by DCS (including, but not limited to, the reports described above in Section 1(E)(2)-(3) and the data collection required in Section 1(F)(1)-(2)). If requested by DCS, the reports will be based only on documented information, which may include a contemporaneous written summary of information received verbally from a reporting source.

- I. The Contractor hereby agrees that all actual cost items and/or pass through cost items related to and/or part of the services it provides pursuant to this Contract must be at reasonable rates and not above the prevailing market rates.

shall go directly to DCS via submission of a written proposal for DCS' consideration and final decision as to whether or not to reduce the percentage of funding. Once DCS has made its final decision as to whether or not to reduce the percentage of funding and by what percentage, DCS shall send a letter of notification to the Contractor describing its decision. If DCS has decided to reduce the percentage of funding, the letter of notification will describe the amount of the percentage reduction in the funds allocated to the Contractor for Other Prevention Services for the particular Region and the corresponding percentage increase in funding allocated to the Contractor for the other Community Partners Services for that same particular Region with, only if appropriate and necessary, an updated **Attachment 1** reflecting such change. Such modification will not require the execution of a formal contract amendment.

- E. Any travel expenses that the Contractor invoices the State for pursuant to paragraph A above in this Section are also subject to the requirements set forth in Section 43 of this Contract.
- F. Payment to the Contractor as provided in this Section will also be subject to the following conditions:
 - (1) Timely completion and submission to the State of the information required for any requisite reports and evaluations necessary to monitor services or programs and outcomes, as required by Sections 1(E), 1(F), 1(G), 1(H), and/or 46(A).
 - (2) Timely completion and submission to DCS of quarterly (or more frequent if requested by DCS) written reports relating to the Community Partners Services (which includes the Service Component, the Community Component, and the Subcontracting Component (Other Prevention Services)) provided by the Contractor and/or its subcontractors pursuant to this Contract, as required by Sections 1(E), 1(F), 1(G), 1(H), and/or 46(A) of this Contract.
 - (3) Satisfactory completion and submission to the State of any applicable work product or other deliverable, as specified in **Attachment 1**, the Community Partners RFP, the Contractor's RFP Response, or in this Contract itself, for services that are provided by the Contractor and/or its subcontractors pursuant to this Contract.
 - (4) Timely resolution of any issues related to Department of Revenue ("DOR") or Department of Workforce Development ("DWD"). The Contractor acknowledges that this Contract cannot proceed while any DOR or DWD "holds" exist.

3. Term.

This Contract shall be effective for a period of two (2) years. It shall commence on July 1, 2015, and shall remain in effect through June 30, 2017.

4. Access to Records.

The Contractor and its subcontractors, if any, shall maintain all books, documents, papers, accounting records, and other evidence pertaining to all costs incurred under this Contract. They shall make such materials available at their respective offices at all reasonable times during this Contract, and for three (3) years from the date of final payment under this Contract, for inspection by the State or its authorized designees. Copies shall be furnished at no cost to the State if requested.

5. Assignment; Successors; and Subcontracting.

- A. The Contractor agrees to bind its successors and assignees to all the terms and conditions of this Contract. The Contractor shall not assign or subcontract the whole or any part of this Contract without the State's prior written consent. The Contractor may assign its right to receive payments to such third parties as the Contractor may desire without the prior written consent of the State, provided that the Contractor gives written notice (including evidence of such assignment) to the State thirty (30) days in advance of any payment so assigned. The assignment shall cover all unpaid amounts under this Contract and shall not be made to more than one (1) party.
- B. The Contractor shall monitor the performance of all subcontractors and shall remain responsible to the State for the performance of any subcontractor. The Contractor agrees to enter into written agreements with all subcontractors and to provide copies of all subcontracting agreements to the State upon request. It shall be the responsibility of the Contractor to ensure all subcontractors have the required background checks as set forth in Section 53 [Criminal and Background Checks] below. The Contractor further agrees to notify the State of a breach of these provisions by a subcontractor and to discontinue any agreement with the specified subcontractor in the event of such a breach.
- C. The Contractor must also meet all requirements/specifications relating to subcontractors described in Section 1(E)(3) above (including all of its subparagraphs), which describes the Subcontracting Component (Other Prevention Services) of the Community Partners Services provided by the Contractor pursuant to this Contract, as well as all of the similar requirements/specifications relating to subcontractors/subcontracting referenced in Section 2(D) of this Contract.

6. Assignment of Antitrust Claims.

As part of the consideration for the award of this Contract, the Contractor assigns to the State all right, title and interest in and to any claims the Contractor now has, or may

acquire, under state or federal antitrust laws relating to the products or services which are the subject of this Contract.

7. Audits and Monitoring.

- A. The Contractor acknowledges that it may be required to submit to an audit of funds paid through this Contract. Any such audit shall be conducted in accordance with IC § 5-11-1 *et seq.* and audit guidelines specified by the State.
- B. DCS considers the Contractor to be a “vendor,” for purposes of this Contract. However, if required pursuant to the applicable provisions of the Office of Management and Budget Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations), following the expiration of this Contract, the Contractor shall arrange for a financial and compliance audit of funds provided by the State pursuant to this Contract. Such audit is to be conducted by an independent public or certified public accountant (or as applicable, the Indiana State Board of Accounts), and performed in accordance with the Indiana State Board of Accounts publication entitled "Uniform Compliance Guidelines for Examination of Entities Receiving Financial Assistance from Governmental Sources," and applicable provisions of the Office of Management and Budget Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations). The Contractor is responsible for ensuring that the audit and any management letters are completed and forwarded to the State in accordance with the terms of this Contract. Audits conducted pursuant to this paragraph must be submitted no later than nine (9) months following the close of the Contractor's fiscal year. The Contractor agrees to provide the Indiana State Board of Accounts and the State an original of all financial and compliance audits. The audit shall be an audit of the actual entity, or distinct portion thereof that is the Contractor, and not of a parent, member, or subsidiary corporation of the Contractor, except to the extent such an expanded audit may be determined by the Indiana State Board of Accounts or the State to be in the best interests of the State. The audit shall include a statement from the Auditor that the Auditor has reviewed this Contract and that the Contractor is not out of compliance with the financial aspects of this Contract.

The Contractor shall permit all examinations and shall generate and maintain all documentation necessary to comply with all relevant audit requirements.

- C. In addition to an independent audit completed in accordance with paragraph A or B of this Section, the State may, in its discretion, conduct a separate audit(s) of funds provided pursuant to this Contract and/or any other necessary on-site monitoring reviews of the Contractor, for the purpose of: (i) outcome tracking (including, but not limited to, outcome tracking described in Sections 1(F) and 1(G)(4) of this Contract); (ii) quality review of the services provided by the Contractor pursuant to this Contract; and/or (iii) conducting any other requisite and/or desired program and/or service audits of the Contractor.

- (1) The Contractor shall, upon written demand by State, be required to repay to the State all sums paid by the State to the Contractor, for which adequate fiscal and/or service delivery documentation is not in existence for any time period audited. If an audit of the Contractor results in an audit exception, the State shall have the right to set off such amount against current or future allowable claims, demand cash repayment, or withhold payment of current claims in a like amount pending resolution between the parties of any disputed amount.
- (2) The Contractor agrees that the State has the right to make recommendations and findings in connection with any financial monitoring or audit of the Contractor's operations, and the Contractor agrees to comply with any corrective actions specified by the State, within the time limits established by the State.
- (3) The Contractor will provide to the State, upon request, a copy of any document or report prepared and maintained by the Contractor relative to costs incurred in providing the services described in this Contract (including its exhibits/attachments), the DCS Guidebooks, and **Attachment 1**.
- (4) The parties agree that any authorized employee or representative of the State, the state of Indiana or the United States (hereinafter referred to as "governmental agent") shall have the right to enter the premises of the Contractor or any subcontractor of the Contractor and inspect or audit any records or property agreements maintained by the Contractor or its subcontractors in connection with this Contract. The Contractor and its subcontractors shall make all books, records, and documents that relate to their activities under this Contract available for inspection, review, and audit when requested by a governmental agent. The Contractor shall ensure the cooperation of its employees, officers, board members, and subcontractors in any review, audit, or inspection conducted by a governmental agent.
- (5) Following any State monitoring visit to the Contractor, the State may provide a written report to the Contractor. If the State chooses to provide a written report following a State monitoring visit to the Contractor, the State shall provide such report within sixty (60) days of such monitoring visit. The State's report may contain observations, evaluations, suggestions and/or specific directions for corrective action by the Contractor. In the event that specific corrective action is required, the Contractor will have sixty (60) days from the receipt of the directions to comply, unless a different time period for correction is specified by State. A failure of the Contractor to comply with the State's specific directions will be treated as a breach of this Contract. In the case of a dispute, the State and the Contractor will meet at their earliest convenience to resolve the issue in question.

- D. In the event the Contractor is performing services under this contract that require the Contractor, employee, and/or subcontractor to maintain any credentials or certification, the State may, in its discretion, require an audit be completed either by the State or the applicable certifying/credentialing agency.
- E. As required, the Contractor shall timely file an "Entity Annual Report" (Form E-1) with the State and the Indiana State Board of Accounts.

8. Authority to Bind Contractor.

The signatory for the Contractor represents that he/she has been duly authorized to execute this Contract on behalf of the Contractor and has obtained all necessary or applicable approvals to make this Contract fully binding upon the Contractor when his/her signature is affixed, and accepted by the State.

9. Changes in Work.

The Contractor shall not commence any additional work or change the scope of the work until authorized in writing by the State. The Contractor shall make no claim for additional compensation in the absence of a prior written approval and amendment executed by all signatories hereto. With the exception of the modification procedures set forth in Section 30, this Contract may only be amended, supplemented or modified by a written document executed in the same manner as this Contract.

10. Compliance with Laws.

- A. The Contractor shall comply with all applicable federal, state, and local laws, rules, regulations, and ordinances, including any disaster plan protocol (Title IV-E and Title IV-B), and all provisions required thereby to be included herein are hereby incorporated by reference. The enactment or modification of any applicable state or federal statute or the promulgation of rules or regulations thereunder after execution of this Contract shall be reviewed by the State and the Contractor to determine whether the provisions of this Contract require formal modification.
- B. The Contractor and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State as set forth in IC § 4-2-6 *et seq.*, IC § 4-2-7 *et seq.*, the regulations promulgated thereunder, and Executive Order 04-08, dated April 27, 2004. If the Contractor is not familiar with these ethical requirements, the Contractor should refer any questions to the Indiana State Ethics Commission, or visit the Inspector General's website at <http://www.in.gov/ig/>. If the Contractor or its agents violate any applicable ethical standards, the State may, in its sole discretion, terminate this Contract immediately upon notice to the Contractor. In addition, the Contractor may be subject to penalties under IC §§ 4-2-6, 4-2-7, 35-44.1-1-4, and under any other

applicable laws.

- C. Before this Contract may be moved through the State signature process, it must pass review by the Department of Workforce Development (“DWD”) and the Department of Revenue (“DOR”). The Contractor acknowledges that this Contract cannot proceed while any DOR or DWD “holds” exist. Thus, if the Contractor has unpaid unemployment insurance or unpaid taxes to the State, this Contract will be held until these issues are resolved.
- D. The Contractor certifies by entering into this Contract that neither it nor its principal(s) is presently in arrears in payment of taxes, permit fees or other statutory, regulatory or judicially required payments to the state of Indiana. The Contractor agrees that any payments currently due to the state of Indiana may be withheld from payments due to the Contractor. Additionally, further work or payments may be withheld, delayed, or denied and/or this Contract suspended until the Contractor is current in its payments and has submitted proof of such payment to the State.
- E. The Contractor warrants that it has no current, pending or outstanding criminal, civil, or enforcement actions initiated by the State, and agrees that it will immediately notify the State of any such actions. During the term of such actions, the Contractor agrees that the State may delay, withhold, or deny work under any supplement, amendment, change order or other contractual device issued pursuant to this Contract. In the event of DCS’ receipt of a report (verbal or written) of criminal or potentially criminal activity by a member of the Contractor’s staff (including any of the Contractor’s subcontractors and their staff) that potentially threatens/endangers the life, health, or safety of any DCS’ ward(s), DCS may immediately require a temporary suspension of such member of the Contractor’s staff (including any of the Contractor’s subcontractors and their staff) pending an investigation into the report.
- F. If a valid dispute exists as to the Contractor’s liability or guilt in any action initiated by the State or its agencies, and the State decides to delay, withhold, or deny work to the Contractor, the Contractor may request that it be allowed to continue, or receive work, without delay. The Contractor must submit, in writing, a request for review to the Indiana Department of Administration (“IDOA”) following the procedures for disputes outlined herein. A determination by IDOA shall be binding on the parties. Any payments that the State may delay, withhold, deny, or apply under this Section shall not be subject to penalty or interest, except as permitted by IC § 5-17-5.
- G. The Contractor warrants that the Contractor and its subcontractors, if any, shall obtain and maintain all required permits, licenses, registrations, and approvals, and shall comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for the State. Failure to do so

may be deemed a material breach of this Contract and grounds for immediate termination and denial of further work with the State.

H. The Contractor affirms that, if it is an entity described in IC Title 23, it is properly registered and owes no outstanding reports to the Indiana Secretary of State.

I. As required by IC § 5-22-3-7:

- (1) The Contractor and any principals of the Contractor certify that:
 - (A) the Contractor, except for de minimis and nonsystematic violations, has not violated the terms of:
 - (i) IC § 24-4.7 [Telephone Solicitation of Consumers];
 - (ii) IC § 24-5-12 [Telephone Solicitations]; or
 - (iii) IC § 24-5-14 [Regulation of Automatic Dialing Machines];in the previous three hundred sixty-five (365) days, even if IC § 24-4.7 is preempted by federal law; and
 - (B) the Contractor will not violate the terms of IC § 24-4.7 for the duration of the Contract, even if IC § 24-4.7 is preempted by federal law.
- (2) The Contractor and any principals of the Contractor certify that an affiliate or principal of the Contractor and any agent acting on behalf of the Contractor or on behalf of an affiliate or principal of the Contractor, except for de minimis and nonsystematic violations,
 - (A) has not violated the terms of IC § 24-4.7 in the previous three hundred sixty-five (365) days, even if IC § 24-4.7 is preempted by federal law; and
 - (B) will not violate the terms of IC § 24-4.7 for the duration of the Contract, even if IC § 24-4.7 is preempted by federal law.

J. As required by IC § 5-22-16.5, the Contractor certifies that the Contractor is not engaged in investment activities in Iran. Providing false certification may result in the consequences listed in IC § 5-22-16.5-14 including termination of this Contract, denial of future state contracts, as well as an imposition of a civil penalty.

11. Condition of Payment.

All services provided by the Contractor under this Contract must be performed to the State's reasonable satisfaction, as determined at the discretion of the undersigned State representative and in accordance with all applicable federal, state, local laws, ordinances, rules and regulations, as well as in accordance with all specifications set forth above in Section 1. The State shall not be required to pay for work found to be unsatisfactory, inconsistent with this Contract (including any specification set forth in Section 1) or performed in violation of any federal, state or local statute, ordinance, rule or regulation.

12. Confidentiality of State Information.

The Contractor understands and agrees that data, materials, and information disclosed to the Contractor, including, but not limited to, services recipient information received by the Contractor or its subcontractors in administering the terms and provisions of this Contract, may contain confidential and protected information. The Contractor covenants that data, material and information gathered, based upon or disclosed to the Contractor for the purpose of this Contract will not be disclosed to or discussed with third parties without the prior written consent of the State.

The parties acknowledge that the services to be performed by the Contractor for the State under this Contract may require or allow access to data, materials, and information containing Social Security numbers maintained by the State in its computer system or other records. In addition to the covenant made above in this Section and pursuant to 10 IAC 5-3-1(4), the Contractor and the State agree to comply with the provisions of IC 4-1-10 and IC 4-1-11. If any Social Security number(s) is/are disclosed by the Contractor, the Contractor agrees to pay the cost of the notice of disclosure of a breach of the security of the system in addition to any other claims and expenses for which it is liable under the terms of this Contract.

13. Continuity of Services.

- A. The Contractor recognizes that the service(s) to be performed under this Contract are vital to the State and must be continued without interruption and that, upon Contract expiration and/or termination, a successor, either the State or another contractor, may continue them. The Contractor agrees to:
 - (1) Furnish phase-in training, and
 - (2) Exercise its best efforts and cooperation to effect an orderly and efficient transition to a successor.

- B. The Contractor shall, upon the State's written notice:
 - (1) Furnish phase-in, phase-out services for up to sixty (60) days after this Contract expires and/or is terminated, and
 - (2) Negotiate in good faith a plan with a successor to determine the nature and extent of phase-in, phase-out services required. The plan shall specify a training program and a date for transferring responsibilities for each division of work described in the plan, and shall be subject to the State's approval. The Contractor shall provide sufficient experienced personnel during the phase-in, phase-out period to ensure that the services called for by this Contract are maintained at the required level of proficiency.

- C. The Contractor shall allow as many personnel as practicable to remain on the job to help the successor maintain the continuity and consistency of the services required by this Contract. The Contractor also shall disclose necessary personnel records and allow the successor to conduct on-site interviews with these employees. If selected employees are agreeable to the change, the Contractor

shall release them at a mutually agreeable date and negotiate transfer of their earned fringe benefits to the successor.

- D. The Contractor shall be reimbursed for all reasonable phase-in, phase-out costs (i.e., costs incurred within the agreed period after contract expiration and/or termination that result from phase-in, phase-out operations).

14. Debarment and Suspension.

- A. The Contractor certifies by entering into this Contract that neither it nor its principals nor any of its subcontractors are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from entering into this Contract by any federal agency or by any department, agency or political subdivision of the state of Indiana. The term “principal” for purposes of this Contract means an officer, director, owner, partner, key employee or other person with primary management or supervisory responsibilities, or a person who has a critical influence on or substantive control over the operations of the Contractor.
- B. The Contractor certifies that it has verified the state and federal suspension and debarment status for all subcontractors receiving funds under this Contract, including a review of information included at <http://www.oig.hhs.gov/> and <https://www.sam.gov/portal/public/SAM/> (and any designated successor websites), and shall be solely responsible for any recoupment, penalties or costs that might arise from use of a suspended or debarred subcontractor. The Contractor shall immediately notify the State if any subcontractor becomes debarred or suspended, and shall, at the State’s request, take all steps required by the State to terminate its contractual relationship with the subcontractor for work to be performed under this Contract.

15. Default by State.

If the State, sixty (60) days after receipt of written notice, fails to correct or cure any material breach of this Contract, the Contractor may cancel and terminate this Contract and institute the appropriate measures to collect monies due up to and including the date of termination.

16. Disputes.

- A. Should any disputes arise with respect to this Contract, the Contractor and the State agree to act immediately to resolve such disputes. Time is of the essence in the resolution of disputes.
- B. The Contractor agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all of its responsibilities under this Contract that are not affected by the dispute. Should the Contractor fail to continue to

perform its responsibilities regarding all non-disputed work, without delay, any additional costs incurred by the State or the Contractor as a result of such failure to proceed shall be borne by the Contractor, and the Contractor shall make no claim against the State for such costs.

- C. If a party to the Contract is not satisfied with the progress toward resolving a dispute, the party must notify in writing the other party of this dissatisfaction. Upon written notice, the parties have ten (10) working days, unless the parties mutually agree to extend this period, following the notification to resolve the dispute. If the dispute is not resolved within ten (10) working days, a dissatisfied party shall submit the dispute in writing according to the following procedure:

The parties agree to resolve such matters through submission in writing of their dispute to the Commissioner of IDOA. The Commissioner shall reduce a decision to writing and mail or otherwise furnish a copy thereof to the Contractor and the State within ten (10) working days after presentation of such dispute for action. The presentation may include a period of negotiations, clarifications, and mediation sessions and will not terminate until the Commissioner or one (1) of the parties concludes that the presentation period is over. The Commissioner's decision shall be a final and conclusive administrative decision unless either party mails or otherwise furnishes to the Commissioner, within ten (10) working days after receipt of the Commissioner's decision, a written appeal. Within ten (10) working days of receipt by the Commissioner of a written request for appeal, the decision may be reconsidered. If no reconsideration is provided within ten (10) working days, the parties may mutually agree to submit the dispute to arbitration or mediation for a determination. If a party is not satisfied with the Commissioner's ultimate decision, the dissatisfied party may submit the dispute to an Indiana court of competent jurisdiction.

- D. The State may withhold payments on disputed items pending resolution of the dispute. Upon resolution of the dispute pursuant to paragraph C(1) of this Section, all payments shall be made within thirty-five (35) calendar days. The unintentional nonpayment by the State to the Contractor of one (1) or more invoices not in dispute in accordance with the terms of this Contract will not be cause for the Contractor to terminate this Contract, and the Contractor may bring suit to collect these amounts without following the disputes procedure contained herein.

17. Drug-Free Workplace Certification.

The Contractor hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. The Contractor will give written notice to the State within ten (10) days after receiving actual notice that the Contractor or an employee of the Contractor in the state of Indiana has been convicted of a criminal drug violation

occurring in the workplace. False certification or violation of this certification may result in sanctions including, but not limited to, suspension of Contract payments, termination of this Contract and/or debarment of contracting opportunities with the state of Indiana for up to three (3) years.

In addition to the provisions of the above paragraphs, if the total contract amount set forth in this Contract is in excess of \$25,000.00, the Contractor hereby further agrees that this Contract is expressly subject to the terms, conditions, and representations of the following certification:

This certification is required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana. No award of a contract shall be made, and no contract, purchase order or agreement, the total amount of which exceeds \$25,000.00, shall be valid, unless and until this certification has been fully executed by the Contractor and made a part of the contract or agreement as part of the contract documents.

The Contractor certifies and agrees that it will provide a drug-free workplace by:

- A. Publishing and providing to all of its employees a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace, and specifying the actions that will be taken against employees for violations of such prohibition;
- B. Establishing a drug-free awareness program to inform its employees of (1) the dangers of drug abuse in the workplace; (2) the Contractor's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace;
- C. Notifying all employees in the statement required by subparagraph A above that as a condition of continued employment, the employee will (1) abide by the terms of the statement; and (2) notify the Contractor of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction;
- D. Notifying the State in writing within ten (10) days after receiving notice from an employee under subdivision C(2) above, or otherwise receiving actual notice of such conviction;
- E. Within thirty (30) days after receiving notice under subdivision C(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) taking appropriate personnel action against the employee, up to and including termination; or (2) requiring such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency; and

- F. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs A through E above.

18. Employment Eligibility Verification.

As required by IC § 22-5-1.7, the Contractor swears or affirms under the penalties of perjury that the Contractor does not knowingly employ an unauthorized alien. The Contractor further agrees that:

- A. The Contractor shall enroll in and verify the work eligibility status of all his/her/its newly hired employees through the E-Verify program as defined in IC § 22-5-1.7-3. The Contractor is not required to participate should the E-Verify program cease to exist. Additionally, the Contractor is not required to participate if the Contractor is self-employed and does not employ any employees.
- B. The Contractor shall not knowingly employ or contract with an unauthorized alien. The Contractor shall not retain an employee or contract with a person that the Contractor subsequently learns is an unauthorized alien.
- C. The Contractor shall require his/her/its subcontractors, who perform work under this Contract, to certify to the Contractor that the subcontractor does not knowingly employ or contract with an unauthorized alien and that the subcontractor has enrolled and is participating in the E-Verify program. The Contractor agrees to maintain this certification throughout the duration of the term of a contract with a subcontractor.

The State may terminate for default if the Contractor fails to cure a breach of this provision no later than thirty (30) days after being notified by the State.

19. Employment Option.

- A. For purposes of this Section 19 of the Contract, the term “employee” is intended to include all staff working on the duties which are the subject of this Contract, including, but not limited to, the Contractor’s employees working on this Contract, any subcontractors working for the Contractor on this Contract, and any of these subcontractors’ employees or subcontractors.
- B. For purposes of this Section 19 of the Contract, the term “hire” or “hiring” means to hire, to directly contract with, to subcontract with, and/or to procure services through a State managed service provider, State quantity purchase agreement, or its equivalent (as determined by the State).
- C. If the State determines at any time during the term of this Contract (including any extensions thereto) that it would be in the State’s best interest to hire an employee of the Contractor, the Contractor will release the selected employee from any non-

competition agreements that may be in effect within thirty (30) days of receiving a request for such release from the State. This release will be at no cost to the State or the employee.

- D. In order to effectuate the purpose of this Section, the State may initiate conversations about a potential hiring with any employee of the Contractor at any time during the term of this Contract (including any extensions thereto).

20. Force Majeure.

In the event that either party is unable to perform any of its obligations under this Contract or to enjoy any of its benefits because of natural disaster or decrees of governmental bodies not the fault of the affected party (hereinafter referred to as a “Force Majeure Event”), the party who has been so affected shall immediately give notice to the other party and shall do everything possible to resume performance. Upon receipt of such notice, all obligations under this Contract shall be immediately suspended. If the period of nonperformance exceeds thirty (30) days from the receipt of notice of the Force Majeure Event, the party whose ability to perform has not been so affected may, by giving written notice, terminate this Contract.

21. Funding Cancellation.

- A. It is understood and agreed by the parties that all obligations of the State are contingent upon the availability and continued appropriation of state and federal funds, and in no event shall the State be liable for any payments in excess of available appropriated funds.
- B. If DCS makes a written determination that federal and/or state of Indiana funds are not appropriated or otherwise available to support continuation of performance of this Contract, this Contract shall be immediately canceled upon the Contractor’s receipt of a written notice from DCS specifying such determination. Such written notice shall be sent in accordance with the specifications set forth in Section 36. A determination by DCS that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.
- C. When the Director of the State Budget Agency makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Contract, this Contract shall be canceled. A determination by the Director of the State Budget Agency that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

22. Governing Law.

This Contract shall be governed, construed, and enforced in accordance with the laws of the state of Indiana, without regard to its conflict of laws rules. Suit, if any, must be brought in the state of Indiana.

23. HIPAA Compliance.

- A. This Section applies only to the extent that the Contractor receives any protected health information ("PHI"), as referenced in paragraph B below, or any alcohol and drug abuse records (as defined in IC § 16-18-2-12), health records (as defined in IC § 16-18-2-168), or mental health records (as defined in IC § 16-18-2-226), concerning any individual, in connection with performance of any services under this Contract. Any records included in the above definitions in IC § 16-18-2 are referred to herein as "Health Records."
- B. HIPAA. The Contractor agrees to comply with all applicable requirements of the Health Insurance Portability and Accountability Act of 1996, Title II, Administrative Simplification ("HIPAA"), including amendments signed into law under the American Recovery and Reinvestment Act of 2009 ("ARRA"), in particular, applicable provisions of Title XIII known as the Health Information Technology for Economic and Clinical Health Act ("HITECH"), Subtitle D, in all activities related to this Contract, to maintain compliance during the term of this Contract and after as may be required by federal law, to operate any systems used to fulfill the requirements of this Contract in full compliance with all applicable provisions of HIPAA and to take no action which adversely affects the State's HIPAA compliance.

Terms used, but not otherwise defined, in this Contract shall have the same meaning as those found in the HIPAA Regulations under 45 CFR Parts 160, 162, and 164.

To the extent required by the provisions of HIPAA and regulations promulgated thereunder, the Contractor assures that it will appropriately safeguard all forms of Health Records and/or Protected Health Information (PHI), as defined by the regulations, which is made available to or obtained by the Contractor in the course of its work under this Contract. The Contractor agrees to comply with all applicable requirements of law relating to Health Records and/or PHI with respect to any task or other activity it performs for the State including, as required by the final Privacy and Security regulations:

- (1) Implementing the following HIPAA requirements for any forms of Health Records and/or PHI that the Contractor receives, maintains, or transmits on behalf of the State:
 - (a) Administrative safeguards under 45 CFR § 164.308

- (b) Physical safeguards under 45 CFR § 164.310
 - (c) Technical safeguards under 45 CFR § 164.312
 - (d) Policies and procedures and documentation requirements under 45 CFR § 164.316;
- (2) Implementing a disaster recovery plan, as appropriate for work conducted for this Contract, which includes mechanisms to recover data and/or alternative data storage sites, as determined by the State to be necessary to uphold integral business functions in the event of an unforeseen disaster;
 - (3) Not using or further disclosing Health Records and/or PHI other than as permitted or required by this Contract or by applicable law;
 - (4) Immediately reporting to DCS' HIPAA Compliance Office any security and/or privacy breach directly relating to the work performed for this Contract of which the Contractor becomes aware;
 - (5) Mitigating, to the extent practicable, any harmful effect that is known to the Contractor and immediately reporting to DCS' HIPAA Compliance Office any use or disclosure by the Contractor, its agent, employees, subcontractors or third parties, of Health Records and/or PHI obtained under this Contract in a manner not provided for by this Contract or by applicable law of which the Contractor becomes aware;
 - (6) Ensuring that any subcontractors or agents to whom the Contractor provides Health Records and/or PHI received from, or created or received by the Contractor, subcontractors or agents on behalf of the State agree to the same restrictions, conditions and obligations applicable to such party regarding Health Records and/or PHI and agree to implement the required safeguards to protect it;
 - (7) Making the Contractor's internal practices, books and records related to the use or disclosure of Health Records and/or PHI received from, or created or received by the Contractor on behalf of the State available to the State at its request or to the Secretary of the United States Department of Health and Human Services ("DHHS") for purposes of determining the State's compliance with applicable law. The Contractor shall immediately notify DCS' HIPAA Compliance Office upon receipt by the Contractor of any such request from the Secretary of DHHS or designee, and shall provide DCS' HIPAA Compliance Office with copies of any materials made available in response to such a request;
 - (8) In accordance with procedures established by the State, making available the information required to provide an accounting of disclosures pursuant

to applicable law, if the duties of the Contractor include disclosures that must be accounted for;

- (9) Making available Health Records and/or PHI for amendment and incorporating any amendments to Health Records and/or PHI in accordance with 45 CFR § 164.526, if the Contractor maintains Health Records and/or PHI subject to amendment;
 - (10) Make Health Records and/or PHI available to individuals entitled to access and requesting access in compliance with 45 CFR § 164.524 and the duties of the Contractor;
 - (11) At the discretion of the State, authorizing termination of the Contract if the Contractor has violated a material provision of this Section; and
 - (12) At the termination of the Contract, the Contractor shall return or destroy all Health Records and/or PHI received or created under the Contract. If the State determines return or destruction is not feasible, the protections in this Contract shall continue to be extended to any Health Records and/or PHI maintained by the Contractor for as long as it is maintained.
- C. Drug and Alcohol Patient Abuse Records. In the performance of the services listed in this Contract, the Contractor may have access to confidential information concerning the disclosure and use of alcohol and drug abuse patient records. The Contractor understands and agrees that data, materials and information disclosed to the Contractor may contain confidential and protected data, including confidential individual information concerning alcohol and drug abuse patient records. Therefore, the Contractor promises and assures that any such confidential data, material, and information gathered or disclosed to the Contractor for the purposes of this Contract and specifically identified as Confidential Information will not be disclosed or discussed with others without the prior written consent of the State. The Contractor and the State shall comply with applicable requirements under 42 CFR Part 2 and any other applicable federal or state statutory or regulatory requirements. The Contractor shall immediately report any unauthorized disclosures of these records to DCS' HIPAA Compliance Office.

24. Indemnification.

The Contractor agrees to indemnify, defend, and hold harmless the State, its agents, officials, and employees from all claims and suits including court costs, attorney's fees, and other expenses caused by any act or omission of the Contractor and/or its subcontractors, if any, in the performance of this Contract. The State shall **not** provide such indemnification to the Contractor.

25. Independent Contractor; Workers' Compensation Insurance.

- A. The Contractor is performing as an independent entity under this Contract. No part of this Contract shall be construed to represent the creation of an employment, agency, partnership, or joint venture agreement between the parties. Neither party will assume liability for any injury (including death) to any persons, or damage to any property, arising out of the acts or omissions of the agents, employees, or subcontractors of the other party.
- B. The Contractor shall provide all necessary unemployment and workers' compensation insurance for the Contractor's employees, and shall provide the State with a Certificate of Insurance evidencing such coverage prior to starting work under this Contract.
- C. The Contractor certifies and agrees that the services the Contractor provides under this Contract will be performed in accordance with the following guidelines:
- (1) **Behavioral control** - The Contractor will be responsible to direct and control its staff with respect to how to carry out its duties under this Contract including:
 - (a) monitoring or providing training on how to perform services and
 - (b) instructions on:
 - when and where to do the work;
 - what tools or equipment to use;
 - what workers to hire or to assist with the work;
 - where to purchase supplies and services;
 - what work must be performed by a specified individual; and
 - what order or sequence to follow.
 - (2) **Financial control** - In carrying out its duties hereunder, the Contractor will be responsible for:
 - (a) all business expenses incurred;
 - (b) any facilities or equipment it requires;
 - (c) managing its resources to meet obligations to the State and any other parties;
 - (d) all employment or contract issues with its staff; and
 - (e) managing any fluctuations in the cost of providing services.
 - (3) **Type of relationship** - The Contractor's relationship with the State:
 - (a) is controlled by this Contract;
 - (b) includes no benefits other than the consideration paid for services rendered;
 - (c) includes no promise of future agreements; and

(d) addresses only one aspect of the State's overall mission.

26. Information Technology Enterprise Architecture Requirements - deleted

27. Insurance.

A. The Contractor and their subcontractors (if any) shall secure and keep in force during the term of this Contract the following insurance coverages (if applicable), covering the Contractor for any and all claims of any nature which may in any manner arise out of or result from Contractor's performance under this Contract:

- (1) Commercial general liability, including contractual coverage, and products or completed operations coverage (if applicable), with minimum liability limits not less than \$1,000,000 per occurrence and \$2,000,000 in the aggregate unless additional coverage is required by the State. The State is to be named as an additional insured on a primary, non-contributory basis for any liability arising directly or indirectly under or in connection with this Contract.
- (2) Automobile liability for owned, non-owned and hired autos with minimum liability limits not less than \$1,000,000 per occurrence and \$2,000,000 in the aggregate. The State is to be named as an additional insured on a primary, non-contributory basis.
- (3) Property damage insurance in an amount sufficient to provide coverage for any loss of property used by the Contractor in connection with services provided under this Contract, not less than \$100,000 in the aggregate.
- (4) Professional Liability, also known as Errors and Omissions Insurance, for those Contractors required to hold a professional license by the Indiana Professional Licensing Agency with limits not less than \$1,000,000 per cause of action and \$2,000,000 per occurrence. This is coverage available to pay for liability arising out of the performance of professional or business related duties, with coverage tailored to the needs of the specific profession. Coverage for the benefit of the State shall continue for a period of two (2) years after the date of service provided under this Contract.
- (5) Fiduciary Liability would be required if the Contractor is responsible for the management and oversight of various employee benefit plans and programs such as pensions, profit-sharing and savings, among others. These contractors face potential claims for mismanagement brought by plan members. Limits should be no less than \$700,000 per cause of action and \$5,000,000 per occurrence.

- (6) Valuable Papers coverage, available under an Inland Marine policy, is recommended when any plans, drawings, media, data, records, reports, billings and other documents are produced or used under this agreement. Insurance must have limits sufficient to pay for the re-creation and reconstruction of such records.
- (7) The Contractor shall secure the appropriate Surety or Fidelity Bond(s) as required by the state agency served or by applicable statute.

The State may require the Contractor to provide a bond or insurance coverage for all persons who will be handling funds or property received or disbursed as a result of this Contract, or who may carry out the duties specified in this Contract, in an amount equal to one-half (1/2) of the total payments provided to the Contractor under this Contract or \$250,000, whichever is less, to be effective for the period of this Contract plus three (3) years for purposes of discovery. The Contractor's coverage must provide protection against losses resulting from criminal acts and wrongful performance of the duties specified herein and must specify the state of Indiana as an obligee or additional insured. The Contractor shall immediately notify the State if said bond or insurance is cancelled or modified in amount of coverage. In the event of cancellation, the State shall make no further payments until certification is provided by a bonding or insurance company that the provisions set forth in this Section have been satisfied. The State may at its discretion require the Contractor to furnish additional or different bond or insurance coverage.

- (8) The Contractor shall provide proof of such insurance coverage by tendering to the State representative listed in Section 33(A)(1) [Notice to Parties] a certificate of insurance prior to the commencement of this Contract and proof of workers' compensation coverage meeting all statutory requirements of IC § 22-3-2. In addition, proof of an "all states endorsement" covering claims occurring outside the state of Indiana is required if any of the services provided under this Contract involve work outside of Indiana.

B. The Contractor's insurance coverage must meet the following additional requirements:

- (1) The insurer must have a certificate of authority or other appropriate authorization to operate in the state in which the policy was issued.
- (2) Any deductible or self-insured retention amount or other similar obligation under the insurance policies shall be the sole obligation of the Contractor.

- (3) The State will be defended, indemnified and held harmless to the full extent of any coverage actually secured by the Contractor in excess of the minimum requirements set forth above. The duty to indemnify the State under this Contract shall not be limited by the insurance required in this Contract.
 - (4) The insurance required in this Contract, through a policy or endorsement(s), shall include a provision that the policy and endorsements may not be canceled or modified without thirty (30) days' prior written notice to the undersigned State agency.
 - (5) The Contractor waives and agrees to require their insurer to waive their rights of subrogation against the State of Indiana.
- C. Failure to provide insurance as required in this Contract may be deemed a material breach of contract entitling the State to immediately terminate this Contract. The Contractor shall furnish a certificate of insurance and all endorsements to the State representative listed in Section 33(A)(1) [Notice to Parties] before commencement of this Contract.

28. Key Person(s) – deleted

29. Licensing Standards.

- A. The Contractor, its employees and subcontractors shall comply with all required and applicable licensing standards, certification standards, accrediting standards and any other laws, rules or regulations governing services to be provided by the Contractor pursuant to this Contract. The State will not pay the Contractor for any services performed when the Contractor, its employees or subcontractors are not in compliance with such required and applicable laws, rules or regulations. If any required license or certification expires or is revoked, or any disciplinary action is taken against a required and applicable license or certification, the Contractor shall notify the State immediately and the State, at its option, may immediately terminate this Contract, provided; however, if this Contract is terminated based on a license revocation or other disciplinary action that is reversed or overturned on appeal, this Contract will be immediately reinstated by the State. This paragraph shall not apply to any voluntary accreditation that the Contractor chooses to maintain. If accreditation is not required for the Contractor, noncompliance with voluntary accreditation standards shall not constitute grounds for nonpayment, revocation, or any other disciplinary actions outlined in this Section.
- B. If the required license of any of the Contractor's employees or subcontractors expires or is revoked, the Contractor will immediately prohibit such employee or subcontractor from providing any services that are subject to this Contract, unless the employee or subcontractor is granted a provisional license or is otherwise

authorized to continue to provide services. The State may, at its option, terminate this Contract if the Contractor fails to comply with this requirement.

30. Merger & Modification.

This Contract constitutes the entire agreement between the parties. No understandings, agreements, or representations, oral or written, not specified within this Contract will be valid provisions of this Contract. This Contract may not be modified, supplemented, or amended, except by written agreement signed by all necessary parties.

Or in the alternative:

- A. This Contract constitutes the entire agreement between the parties with respect to the subject matter herein. All prior agreements, representations, statements, negotiations, and undertakings are hereby superseded. No understandings, agreements, or representations, oral or written, not specified within this Contract will be valid provisions of this Contract. Except as provided herein, this Contract shall not be modified, supplemented, or amended in any manner.
- B. The Contractor shall notify the State within ten (10) calendar days of any termination of services payable or reimbursable pursuant to this Contract. Such termination of services shall not require the execution of a formal amendment to this Contract, but may be accomplished by written notice from the State to the Contractor acknowledging such termination. If appropriate and determined necessary by DCS, an updated **Attachment 1** may accompany such notice.
- C. As explained above in Section 2(D), DCS (if the procedures described in Section 2(D) and reiterated herein below are followed) may reduce the percentage of funding allocated to the Contractor for Other Prevention Services for any particular Region that the Contractor has been chosen to provide Community Partners Services for as set forth above in Section 1(B)(6) and allocate an additional percentage of funds to the Contractor for the other Community Partners Services (which includes the Service Component and the Community Component described above in Section 1(E)(1)-(2)) in that same particular Region. DCS, even if it initiates a request for a percentage reduction, may only approve reductions that have first been considered by the applicable Regional Services Council(s). However, requests for reductions may be initiated by DCS itself, by the Contractor, or by the Regional Services Council. All requests that are initiated by DCS and/or by the Contractor require submission of a written proposal to the Regional Services Council(s) for its/their consideration and recommendation; however, DCS (based on any applicable recommendations of the Regional Services Council(s) which must be submitted to DCS in written form) will make the final decision as to whether or not to reduce the percentage of funding. Requests initiated by the Regional Services Council shall go directly to DCS via submission of a written proposal for DCS' consideration and final decision as to whether or not to reduce the percentage of funding. Once DCS has

made its final decision as to whether or not to reduce the percentage of funding and by what percentage, DCS shall send a letter of notification to the Contractor describing its decision. If DCS has decided to reduce the percentage of funding, the letter of notification will describe the amount of the percentage reduction in the funds allocated to the Contractor for Other Prevention Services for the particular Region and the corresponding percentage increase in funding allocated to the Contractor for the other Community Partners Services for that same particular Region with, only if appropriate and necessary, an updated **Attachment 1** reflecting such change. Such modification will not require the execution of a formal contract amendment.

- D. As described in Section 1(A), the purpose of this Contract and all other Community Partners for Child Safety Provider contracts is to select vendors/providers who can satisfy DCS' need for the provision of prevention services to all eighteen (18) DCS regions in the state of Indiana. In order to meet this need, the parties anticipate that there may be certain changes that may affect the program array which the Contractor is available to offer and that such changes may require an update to the Services and Rate Schedule, **Attachment 1**. Should the State (on its own or after it considers a request of the Contractor) determine that a change in program availability, service code, or service component requires modification and such modification requires a revision to the information included in **Attachment 1**, such changes shall not require the execution of a formal amendment to this Contract, but may be accomplished by written notice from the State to the Contractor with an accompanying updated **Attachment 1**.
- E. The parties also acknowledge that this Contract is subject to modification by mutual agreement of the parties. Such modifications (excluding the modifications described in paragraphs 30(B), (C), and (D) above) shall be set forth in a written agreement signed by all parties to this Contract. Nothing herein shall be construed as a commitment to execute future agreements with the Contractor or to extend this Contract in any way.

31. Minority and Women's Business Enterprises Compliance.

Award of this Contract was based, in part, on the MBE/WBE participation plan. The following certified MBE or WBE subcontractors will be participating in this Contract:

MBE/WBE PHONE	COMPANY NAME	SCOPE OF PRODUCTS and/or SERVICES UTILIZATION	DATE	PERCENT

A copy of each subcontractor agreement must be submitted to IDOA's MBE/WBE Division within thirty (30) days of the effective date of this Contract. Failure to provide a copy of any subcontractor agreement will be deemed a violation of the rules governing MBE/WBE procurement, and may result in sanctions allowable under 25 IAC 5-7-8. Failure to provide any subcontractor agreement may also be considered a material breach

of this Contract. The Contractor must obtain approval from IDOA's MBE/WBE Division before changing the participation plan submitted in connection with this Contract.

The Contractor shall report payments made to MBE/WBE Division subcontractors under this Contract on a monthly basis. Monthly reports shall be made using the online audit tool, commonly referred to as "Pay Audit." MBE/WBE Division subcontractor payments shall also be reported to the Division as reasonably requested and in a format to be determined by Division.

32. Nondiscrimination.

Pursuant to the Indiana Civil Rights Law, specifically including IC §22-9-1-10, and in keeping with the purposes of the federal Civil Rights Act of 1964, the Age Discrimination in Employment Act, and the Americans with Disabilities Act, the Contractor covenants that it shall not discriminate against any employee or applicant for employment relating to this Contract with respect to the hire, tenure, terms, conditions or privileges of employment or any matter directly or indirectly related to employment, because of the employee's or applicant's race, color, national origin, religion, sex, age, disability, ancestry, status as a veteran, or any other characteristic protected by federal, state, or local law ("Protected Characteristics"). Contractor certifies compliance with applicable federal laws, regulations, and executive orders prohibiting discrimination based on the Protected Characteristics in the provision of services. Breach of this paragraph may be regarded as a material breach of this Contract, but nothing in this paragraph shall be construed to imply or establish an employment relationship between the State and any applicant or employee of the Contractor or any subcontractor.

The State is a recipient of federal funds, and therefore, where applicable, Contractor and any subcontractors shall comply with requisite affirmative action requirements, including reporting, pursuant to 41 CFR Chapter 60, as amended, and Section 202 of Executive Order 11246.

33. Notice to Parties.

A. Whenever any notice, statement or other communication is required under this Contract, it shall be sent via regular U.S. mail and/or e-mailed to the following addresses, unless otherwise specifically advised.

- (1) Notices to the State shall be sent and/or e-mailed to:

Lisa Rich
Deputy Director of Programs and Services
Indiana Department of Child Services
302 W. Washington Street, Room E306, MS 47
Indianapolis, IN 46204
E-mail: Lisa.Rich@dcs.IN.gov

(2) Notices to the Contractor shall be sent and/or e-mailed to:

(Contact name)
(Contact title, if applicable)
(Name of Agency)
(Address Line 1)
(Address Line 2)
(E-mail address)

- B. Notice of any change in the person or address to whom notices should be sent and/or e-mailed, as specified in paragraph A of this Section, shall be given to the other party in the manner provided in paragraph A of this Section.
- C. As required by IC 4-13-2-14.8, payments to the Contractor shall be made via electronic funds transfer in accordance with instructions filed by the Contractor with the Indiana Auditor of State.

34. Order of Precedence; Incorporation by Reference.

Any inconsistency or ambiguity in this Contract shall be resolved by giving precedence in the following order: (1) This Contract; (2) any written notices given by the State to the Contractor (including any attachments thereto) pursuant to Section 30 of this Contract; (3) **Attachment 1**; (4) **Exhibit 1** (which will be described below in Section 53 of this Contract); (5) the most current form of DCS' Service Standards, DCS' Child Welfare Principles, DCS' Practice Model, and the Assurances (all of which are described in Section 1(B) and 1(C) of this Contract); (6) the Community Partners RFP; and (7) the Contractor's RFP Response. All of the foregoing are incorporated fully by reference. All attachments, and all documents referred to in this paragraph are hereby incorporated fully by reference.

35. Ownership of Documents and Materials.

- A. All documents, records, programs, data, film, tape, articles, memoranda, and other materials developed under this Contract shall be considered "work for hire" and the Contractor transfers any ownership claim to the State and all such materials will be the property of the State. Use of these materials, other than related to contract performance by the Contractor, without the prior written consent of the State, is prohibited. The Contractor specifically releases to the State any property right which the Contractor may have to copyright, license, patent, or otherwise dispose of data, findings, recommendations, or other work product of this Contract. The Contractor shall provide the State full, immediate, and unrestricted access to the work product during the term of this Contract and as necessary thereafter.
- B. The Contractor shall grant the State shared access to all documents, including

child files, records, programs, data, film, tape, articles, memoranda, and other materials related to this Contract. The Contractor shall provide the State full, immediate, and unrestricted access to such documents and materials during the term of this Contract and as necessary thereafter.

- C. During the performance of this Contract, the Contractor shall be responsible for any loss of or damage to any of the above-referenced materials developed for or supplied by the State and/or used to develop or assist in the services provided while the materials are in the possession of the Contractor. Any loss or damage thereto shall be restored at the Contractor's expense. The Contractor shall also be responsible for preserving and protecting the ownership and property rights of the State in all work in progress and other property to which the State is entitled hereunder, while the property is in the control or custody of the Contractor.

36. Payment and Fiscal Requirements.

- A. All payments shall be made in arrears in conformance with State fiscal policies and procedures and, as required by IC 4-13-2-14.8, by electronic funds transfer to the financial institution designated by the Contractor in writing unless a specific waiver has been obtained from the Indiana Auditor of State. No payments will be made in advance of receipt of the goods or services that are the subject of this Contract except as permitted by IC 4-13-2-20. If the Contractor prefers not to have any interest calculated on payments made by the State as permitted by Indiana law and referenced below in Section 34, the Contractor may send a letter indicating such preference to the Indiana Auditor of State with a copy to DCS.
- B. The Contractor shall submit invoices/claim forms and such invoice/claim documentation as may be required by DCS for payment pursuant to this Contract. DCS will notify the Contractor of any change in invoice/claim procedure, and the Contractor shall use whatever invoice/claim forms and documentation are required by DCS' then current procedure and shall submit the appropriate invoices/claim forms and documentation to DCS, as directed. Invoices/claim forms may be submitted monthly for services performed during the calendar month(s) preceding the date of the invoice. Payment will be due not later than thirty-five (35) days after the date Contractor's invoice is received by DCS, together with a properly prepared invoice/claim voucher and any required documentation as approved by DCS. However, the payment due date shall not apply to any invoice/claim that is disapproved or returned to the Contractor by DCS for revision or additional documentation, within thirty-five (35) days after the date it is received by DCS. The Contractor's invoice must be dated no earlier than the later of (a) the first date the Contractor is entitled to submit an invoice/claim for payment under the applicable provision of this Contract, or (b) one day before the date the invoice and accompanying claim documentation is delivered or mailed to DCS.
- C. An invoice will not be deemed to be properly prepared as required above in paragraph B if it is not received within ten (10) business days of the date included on

the invoice (the "Invoice Date"). Any invoices submitted more than ten (10) business days after the Invoice Date will be deemed improperly prepared and will not be paid. DCS shall return such improperly prepared invoices to the Contractor for revision and such invoices must be resubmitted by the Contractor with a current Invoice Date in order to be processed for payment.

- D. At a minimum and unless otherwise directed by DCS, all claims submitted by the Contractor must be submitted with appropriate documentation attached showing completion of the service units for which the Contractor is requesting payment under this Contract and the applicable referral form. Documentation should specify the program and services provided for each client for whom the claim is submitted, the name of the client, the dates on which the services were provided, and the payment rate applicable to the client, program, and services provided based on the rates established and approved for the particular program services as provided in the Contract (including any exhibits/attachments thereto or web links referenced therein).
- E. A properly prepared invoice/claim must be submitted to DCS within sixty (60) calendar days after the date services are provided or costs incurred pursuant to this Contract. DCS may elect to deny payment of any invoices/claims that are not timely submitted as required in this paragraph. In the event the Contractor delays submitting a claim for which it expects third-party reimbursement, the Contractor may submit a written explanation to DCS as to why the claim was not timely submitted. If the claim was delayed because of billing Medicaid for reimbursement that was denied, the explanation must include the specific reason(s) for denial. If DCS deems that such written explanation described above is satisfactory, DCS shall pay otherwise valid claims. In the event that Medicaid has denied reimbursement because the Contractor failed to provide adequate documentation for an otherwise reimbursable claim, DCS will only be liable to pay the amount it would have paid had Medicaid approved the claim.
- E. Approval and payment of final invoices/claims will be conditioned upon receipt and approval of all State-required documentation. As State claiming or recordkeeping systems change, the Contractor may need to modify its systems to be compatible with State systems. The State will provide reasonable notice of any such changes.
- F. If the Contractor is being paid in advance for the maintenance of equipment and/or software, pursuant to IC 4-13-2-20(b)(14), the Contractor agrees that if it fails to perform the maintenance required under this Contract, upon receipt of written notice from the State, it shall promptly refund the consideration paid, pro-rated through the date of non-performance.

37. Penalties/Interest/Attorney's Fees.

The State will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest or attorney's fees, except as permitted by Indiana law, in part, IC § 5-17-5, IC § 34-54-8, IC § 34-13-1 and IC § 34-52-2-3.

Notwithstanding the provisions contained in IC § 5-17-5, any liability resulting from the State's failure to make prompt payment shall be based solely on the amount of funding originating from the State and shall not be based on funding from federal or other sources.

38. Progress Reports.

The Contractor shall submit progress reports to the State upon request. The report shall be oral, unless the State, upon receipt of the oral report, should deem it necessary to have it in written form. The progress reports shall serve the purpose of assuring the State that work is progressing in line with the schedule, and that completion can be reasonably assured on the scheduled date.

39. Public Record.

The Contractor acknowledges that the State will not treat this Contract as containing confidential information, and will post this Contract on its website as required by Executive Order 05-07. Use by the public of the information contained in this Contract shall not be considered an act of the State.

40. Renewal Option – This Contract may be renewed under the same terms and conditions, subject to the approval of the Commissioner of the Department of Administration and the State Budget Director in compliance with IC § 5-22-17-4. The term of the renewed contract may not be longer than two (2) years for a total Contract term of no longer than four (4) years.

41. Severability.

The invalidity of any Section, subsection, clause or provision of this Contract shall not affect the validity of the remaining Sections, subsections, clauses or provisions of this Contract.

42. Substantial Performance.

This Contract shall be deemed to be substantially performed only when fully performed according to its terms and conditions and any written amendments or supplements.

43. Taxes.

The State is exempt from most state and local taxes and many federal taxes. The State will not be responsible for any taxes levied on the Contractor as a result of this Contract.

44. Termination for Convenience.

This Contract may be terminated, in whole or in part, by the State, which shall include and is not limited to the Indiana Department of Administration and the State Budget Agency, whenever, for any reason, the State determines that such termination is in its best interest. Termination of services shall be effected by delivery to the Contractor of a termination notice (the "Termination Notice") at least thirty (30) days prior to the termination effective date, specifying the extent to which performance of services under such termination becomes effective. The Contractor shall be compensated for services properly rendered prior to the effective date of termination. The State will not be liable for services performed after the effective date of termination. The Contractor shall be compensated for services herein provided but in no case shall total payment made to the Contractor exceed the original contract price or shall any price increase be allowed on individual line items if canceled only in part prior to the original termination date. For the purposes of this paragraph, the parties stipulate and agree that the Indiana Department of Administration ("IDOA") shall be deemed to be a party to this Contract with authority to terminate the same for convenience when such termination is determined by the Commissioner of IDOA to be in the best interests of the State.

45. Termination for Default and Termination or Suspension for Additional Reasons.

A. Termination for Default

- (1) With the provision of thirty (30) days' notice to the Contractor, the State may terminate this Contract in whole or in part if the Contractor fails to:
 - (a) Correct or cure any breach of this Contract; the time to correct or cure the breach may be extended beyond thirty (30) days if the State determines progress is being made and the extension is agreed to by the parties;
 - (b) Deliver the supplies or perform the services within the time specified in this Contract or any extension;
 - (c) Make progress so as to endanger performance of this Contract; or
 - (d) Perform any of the other provisions of this Contract.
- (2) If the State terminates this Contract in whole or in part, it may acquire, under the terms and in the manner the State considers appropriate, supplies or services similar to those terminated, and the Contractor will be liable to the State for any excess costs for those supplies or services. However, the Contractor shall continue the work not terminated.
- (3) The State shall pay the contract price for completed supplies delivered and services accepted. The Contractor and the State shall agree on the amount of payment for manufacturing materials delivered and accepted and for the

protection and preservation of the property. Failure to agree will be a dispute under the Disputes clause of this Contract. The State may withhold from these amounts any sum the State determines to be necessary to protect the State against loss because of outstanding liens or claims of former lien holders.

- (4) The rights and remedies of the State in this clause are in addition to any other rights and remedies provided by law or equity or under this Contract.
- B. Termination for Endangering Life, Health, or Safety of Any Person. If the State determines that any breach of this Contract by the Contractor endangers the life, health, or safety of any person, the State may terminate this Contract by orally notifying the Contractor of the termination, followed by the mailing of written notification thereof within three (3) business days. Termination pursuant to this paragraph shall become effective at the time of the oral notification.
- C. Termination for Certain Business Changes, Assignments, and Bankruptcy. The Contractor agrees that the State may terminate this Contract immediately if the Contractor (1) ceases doing business; (2) assigns, transfers or delegates any of its duties and responsibilities for performance of this Contract to any other person or entity without prior written approval of the State; (3) changes or reorganizes its business in a manner which substantially impairs the ability of the Contractor to perform the services described in this Contract and its exhibits/attachments; (4) attempts to assign, transfer, convey or encumber this Contract in any way except as expressly authorized pursuant to the conditions of this Contract; and/or (5) if an order for relief is entered upon a voluntary or involuntary petition by or against the Contractor under any provision of Title 11, United States Code, and the trustee or debtor-in-possession does not timely assume all obligations of this Contract to be performed by the Contractor, as provided in 11 U.S.C. § 365, or in the event of appointment of a receiver for the Contractor or execution of an assignment for the benefit of creditors of the Contractor. Any notice of termination pursuant to this paragraph shall be provided in writing to the Contractor.
- D. Termination for Change in Legal Status. The Contractor shall provide written notice to the State of any change in the Contractor's legal name or legal status including, but not limited to, a sale or dissolution of the Contractor's business. When possible, DCS requests such notice sixty (60) days prior to the change in legal status. The State reserves the right to terminate this Contract should the Contractor's legal status change in any way. Termination pursuant to this paragraph shall be effective from the date of the change in the Contractor's legal status.
- E. Termination for Additional Reasons Stated in this Contract. This Contract is also subject to termination or suspension as stated in any other Section of this Contract, including, but not limited to, Section 7 (Audits and Monitoring); Section 10 (Compliance with Laws); Section 15 (Default by State); Section 17 (Drug-Free Workplace Certification); Section 18 (Employment Eligibility Verification); Section

20 (Force Majeure); Section 21 (Funding Cancellation); Section 23 (HIPAA Compliance); Section 27 (Insurance); Section 29 (Licensing Standards); Section 32 (Nondiscrimination); Section 44 (Termination for Convenience); Section 50 (Reports and Records Concerning Services); Section 52 (Conflict of Interest); and Section 53 (Criminal and Background Checks).

- F. **State Only Liable for Payment for Services Properly Provided Prior to Termination.** If this Contract is terminated for any reason, the State shall only be liable for payment for services properly provided prior to the effective date of termination with the exception, as set forth above in Section 13(D) and only if applicable, that the State shall reimburse the Contractor for all reasonable phase-in, phase-out costs (i.e., costs incurred within the agreed period after contract expiration and/or termination that result from phase-in, phase-out operations). The State shall not be liable for any costs incurred by the Contractor in reliance upon this Contract subsequent to the effective date of termination except as provided in Section 13(D).

46. Travel.

The only expenses for travel that will be reimbursed by the State are those travel expenses specifically permitted under the scope of services or consideration provisions as set forth in Sections 1 and 2 of this Contract (and its exhibits/attachments). If properly invoiced for as set forth in Sections 2 and 36 of this Contract, such expenditures made by the Contractor for travel will be reimbursed at the current rate paid by the State and in accordance with the State Travel Policies and Procedures as specified in the current Financial Management Circular. Out-of-state travel requests must be reviewed by the State for availability of funds and for appropriateness per Circular guidelines.

47. Indiana Veteran’s Business Enterprise Compliance.

Award of this Contract was based, in part, on the Indiana Veteran’s Business Enterprise (“IVBE”) participation plan. The following IVBE subcontractors will be participating in this Contract:

VBE	PHONE	COMPANY NAME	SCOPE OF PRODUCTS and/or SERVICES	UTILIZATION	DATE	PERCENT
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A copy of each subcontractor agreement shall be submitted to IDOA within thirty (30) days of the request. Failure to provide any subcontractor agreement may also be considered a material breach of this Contract. The Contractor must obtain approval from IDOA before changing the IVBE participation plan submitted in connection with this Contract.

The Contractor shall report payments made to IVBE subcontractors under this Contract on a monthly basis. Monthly reports shall be made using the online audit tool, commonly

referred to as “Pay Audit.” IVBE subcontractor payments shall also be reported to IDOA as reasonably requested and in a format to be determined by IDOA.

48. Waiver of Rights.

No right conferred on either party under this Contract shall be deemed waived, and no breach of this Contract excused, unless such waiver is in writing and signed by the party claimed to have waived such right. Neither the State’s review, approval or acceptance of, nor payment for, the services required under this Contract shall be construed to operate as a waiver of any rights under this Contract or of any cause of action arising out of the performance of this Contract, and the Contractor shall be and remain liable to the State in accordance with applicable law for all damages to the State caused by the Contractor’s negligent performance of any of the services furnished under this Contract. No waiver by the State of any breach of any provision of this Contract shall constitute a waiver of any prior, concurrent, or subsequent breach of the same or any other provisions hereof.

49. Work Standards.

The Contractor shall execute its responsibilities by following and applying at all times the highest professional and technical guidelines and standards applicable to the services it provides pursuant to this Contract. The Contractor is responsible for ensuring that its employees, agents, and any subcontractors conform to the professional and technical guidelines and standards applicable to all services and programs that the Contractor provides under this Contract. If the State becomes dissatisfied with the work product of or the working relationship with those individuals assigned to work on this Contract and/or those individuals assigned to provide any of the services pursuant to this Contract, the State may request in writing the replacement of any or all such individuals, and the Contractor shall grant such request.

50. Reports and Records Concerning Services.

- A. In addition to any reports and case record documentation required by any previous provisions of this Contract, the Contractor shall prepare, maintain, and timely provide to the State, upon request, any statistical reports, program reports, other reports, or other information requested by the State relating to the services provided by the Contractor pursuant to this Contract in the format designed by the Contractor and approved by the State or in the format requested by the State, including, but not limited to, reports/information incident to monitoring or evaluating performance by the Contractor of the services specified in this Contract, and/or any statistical and program reports as are required by any laws, regulations, or polices of the United States or the state of Indiana that are applicable to the use of funds paid to the Contractor pursuant to this Contract.

In order to comply with this paragraph A, the Contractor shall, if requested by DCS, be required to submit reports in accordance with whatever frequency is requested by DCS (monthly, quarterly, or more or less frequent), with respect to services provided to a child or family referred to the Contractor for provision or

delivery of services pursuant to this Contract or with respect to any other services performed or any other issues pertinent to this Contract. These reports must contain all of the information requested by the State and must conform to the format and content of the reporting procedure specified by the State.

- B. This Section 50 (including all of its subsections) applies to any services that the Contractor provides pursuant to this Contract, including, but not limited to, all services to a particular child or family referred to the Contractor pursuant to this Contract, including (if applicable) any services related to probation.
- C. The Contractor shall cooperate with the State in any utilization review and shall, if requested, conduct or submit to any audit(s) requested by the State in addition to the audit following expiration or termination of this Contract required under Section 7 of this Contract.
- D. Prompt compliance by the Contractor with a request by the State to submit program and financial documentation during the term of this Contract is critical to this Contract. A failure of the Contractor to comply with any such request could result in immediate suspension of payments hereunder or termination of this Contract by the State.
- E. In the event the contents of any report is considered deficient by the State, the State will so notify the Contractor in writing, not later than thirty (30) days after receipt of the report. The notice will specify the nature of the deficiency and the corrective action or information needed. The Contractor shall submit to the State any revised or supplemental report within thirty (30) days after the date of the deficiency notice.
- F. The Contractor shall maintain records as necessary or appropriate to document services provided pursuant to this Contract. Those records shall include, but not be limited to, documentation relating to, or the time and place of meeting with, persons served by the Contractor and the persons who attended those meetings and copies of any reports or other materials representing the work product of any services provided by the Contractor pursuant to this Contract.

51. Delivery of Documents, Files, Data, Studies or Reports to the State Upon Termination or Expiration of this Contract.

Upon expiration or termination of this Contract, all documents, files, data, studies or reports prepared by the Contractor or any subcontractor pursuant to this Contract, and any supplies purchased by the Contractor or any subcontractor with funds received through this Contract, shall be delivered to the State. The State may require the transfer of records, documents, or supplies to its own offices or to a designated successor.

52. Conflict of Interest.

A. Paragraphs B through E of this Section apply if the Contractor is an individual, a corporation that issues stock to individuals representing ownership shares of the corporation, a partnership, a limited liability company, or any other form of business organization or association the members or owners of which could receive a personal financial benefit or increase in personal net worth attributable to income or profits received by the organization (exclusive of compensation in the form of salary or wages paid for services rendered to the organization). This Section, other than Paragraph F, does not apply if the Contractor is a nonprofit corporation, a school or university that is not organized or operated for the financial benefit or profit of individual owners, or an agency of a political subdivision or other governmental organization.

B. As used in this Section:

"Immediate family" means the spouse and the unemancipated children of an individual.

"Interested party" means:

- (1) The individual executing this Contract;
- (2) An individual who has an interest of three percent (3%) or more of the Contractor, if the Contractor is not an individual; or
- (3) Any member of the immediate family of an individual specified under subdivision 1 or 2.

"Department" means the Indiana Department of Administration.

"Commission" means the State Ethics Commission.

C. The Department may cancel this Contract without recourse by the Contractor if any interested party is an employee of the state of Indiana.

D. The Department will not exercise its right of cancellation under paragraph C above if the Contractor gives the Department an opinion by the Commission indicating that the existence of this Contract and the employment by the state of Indiana of the interested party does not violate any statute or rule relating to ethical conduct of state of Indiana employees. The Department may take action, including cancellation of this Contract, consistent with an opinion of the Commission obtained under this Section.

E. The Contractor has an affirmative obligation under this Contract to disclose to the Department when an interested party is or becomes an employee of the state of Indiana. The obligation under this Section extends only to those facts which the Contractor knows or reasonably could know.

- F. The Contractor acknowledges and agrees that no employee, agent, representative, or subcontractor of the Contractor who may be in a position to participate in the decision-making process of the Contractor or its subcontractors may derive an inappropriate personal or financial interest or benefit from any activity funded through this Contract, either for himself or herself or for those with whom he or she has family or business ties.

53. Criminal and Background Checks.

- A. This Section applies to all directors/chief executive officers, facility managers, licensing applicants and other heads of agencies, by whatever title, and each employee or volunteer (which includes interns) who has or will have electronic or physical access to children's records or direct contact with children on a regular and continuing basis or any contact when a child(ren) is/are alone or only with the Provider's staff in connection with performance of any services or activities pursuant to this Contract ("Covered Personnel"). To the extent applicable, the Contractor (referred to in this Section as Provider) shall conduct all criminal history and background checks required by law, this Contract, and the applicable DCS' policies, including those implemented by Administrative Letter. All required checks must be completed and all outstanding issues resolved *prior to* the Provider submitting this Contract for State signature. The checks will be conducted in the same manner as required for licensed residential child caring institutions, with respect to IC 31-27-3-3, subsections (e)(1) and (f), and the Provider shall maintain records of information it gathers and receives on Covered Personnel checked pursuant to this Section. The applicable laws and DCS' policies and practices are updated periodically, and the Provider shall comply with those current as of the time the Provider executes this Contract, adds Covered Personnel, renews this Contract, or reaches the anniversary date of commencement of a multi-year agreement. Upon request, DCS will furnish the Provider with information on updates and any changes in policy or procedure. The current procedure requires the Provider to conduct the following checks:

- (1) For those with **direct contact** with children on a regular and continuing basis or any contact when a child(ren) is/are alone or only with the Provider's staff in connection with performance of any services or activities pursuant to this Contract:
 - (a) *Verify the identity* of all individuals subject to criminal and background checks by viewing a current government issued picture I.D;
 - (b) *Conduct Child Protection Services ("CPS") checks* for all states of residency in the past five (5) years (for Indiana, send DCS an Indiana Request for A Child Protection Services History Check; for other states, see DCS' website on child welfare policies and contractor policies for web links to CPS records);

- (c) *Conduct National Sex Offender Registry checks* for all states of residency in the past five (5) years (*see* DCS' website for web links for national sex offender registry checks);
 - (d) *Conduct Local Law Enforcement checks with law enforcement agencies that would have responded to each residential address in the last five (5) years;*
 - (f) *Register and make appointment(s) for Fingerprint-Based National and State Checks through the State approved fingerprint vendor* [The Provider must confirm that their name is available as a valid provider to be printed for DCS purposes on the State approved fingerprint vendors website. If the Provider cannot locate their name as a valid provider under DCS on the registration/appointment website, no additional steps can be taken until the Provider contacts DCS at background.checkunit@dcs.in.gov for further instructions. Employee(s)/volunteer(s) should not be printed under a local DCS office or other Provider name.] *and follow through with obtaining fingerprints;* and
 - (g) *Review Results of Criminal and Background Checks and take appropriate action as listed in the DCS Child Welfare Policy 13.4, Evaluation of Background Checks for DCS Contractors.*
- (2) For those with **only** electronic or physical **access to children's records:**
- (a) *Verify the identity* of all individuals subject to criminal and background checks by viewing a current government issued picture I.D;
 - (b) *Conduct Child Protection Services (“CPS”) checks* for all states of residency in the past five (5) years (for Indiana, send DCS an Indiana Request for Child Protection Services History Check; for other states, *see* DCS' website on child welfare policies and contractor policies for web links to CPS records);
 - (c) *Conduct National Sex Offender Registry checks* for all states of residency in the past five (5) years (*see* DCS' website for web links for national sex offender registry checks); and
 - (d) *Review Results of Criminal and Background Checks and take appropriate action as listed in the DCS Child Welfare Policy 13.4, Evaluation of Background Checks for DCS Contractors.*

All directors/chief executive officers, facility managers, and licensing applicants, regardless of their level of contact with children, shall have background checks commensurate with the highest level of background checks required of any other Covered Personnel within their organization. If no other Covered Personnel require background checks and no exception is granted for an administrative contract, they shall have the checks described in this paragraph A(2).

(3) For all Covered Personnel and Subcontractors:

- (a) The Provider shall require Covered Personnel and subcontractors for this Contract to immediately notify the Provider of any information about them that would have been revealed by the checks above including substantiation for child abuse or neglect or other similar complaints or charges and of any convictions or arrests. The Provider shall immediately relay such notice to DCS. The Provider shall further collect from each Covered Personnel an annual attestation regarding whether that individual has any history of such substantiation, arrest or conviction and shall include any previously unreported information to DCS in its annual Certification (such Certification is included in **Exhibit 1**, which is attached hereto and hereby incorporated by reference).
- (b) The Provider shall ensure all subcontractors have the required background checks. Each subcontractor must contact the DCS Central Office Background Check Unit (“COBCU”) and have the subcontractor name added to the fingerprint registration site and COBCU databases as a separate entity. The subcontractor cannot register under the name of the Provider.
- (c) Each subcontractor will be responsible for coordinating with COBCU to evaluate their results and resolve any outstanding issues. The subcontractor will be responsible for retaining their own background check results in their own personnel files but shall provide the primary contractor with the Exhibit 1 – Certification of Completion of Required Criminal and Background Checks.

Except for A(3)(a) above, the required checks must be performed every four (4) years based on the anniversary of the individual Covered Personnel’s initial checks.

- B. The Provider shall be responsible for assessing job responsibilities and categorizing Covered Personnel as subject to A(1), A(2), or as not-covered and for performing the appropriate checks. Any Covered Personnel who might serve as a substitute for a covered position, even in emergency circumstances, should undergo the checks required for that covered position.
- C. The Provider shall maintain a record of the results of each check conducted pursuant to this Section. The Provider shall, if requested by the State, provide a copy of that record to DCS or make the record available for inspection by an authorized representative of DCS.
- D. With respect to any current Covered Personnel, the Provider shall submit the form attached hereto as **Exhibit 1** (or a similar form as updated by DCS) at the time it

submits this Contract to the State for signature or within thirty (30) days after the effective date of this Contract, whichever is earlier, and annually upon the anniversary of the effective date of the Contract. **Exhibit 1** will certify that the requirements under paragraph A of this Section have been completed. The Provider shall furnish any other documentation related to background checks as DCS requests. The Provider has an ongoing obligation to assess job responsibilities and to conduct appropriate checks for employees or volunteers who join the Provider after this Contract begins. Such staff may **not** provide any services that involve contact with children before the requisite checks have been completed and all outstanding issues resolved.

- E. In order to allow DCS to evaluate the results and to make determinations regarding qualifications, national fingerprint-based criminal history checks relating to Covered Personnel are required to be conducted through DCS' approved fingerprint vendor in accordance with the terms and conditions stated in IC 10-13-3-38.5, 39. The results of the national fingerprint-based criminal history checks will be returned to DCS as an authorized entity to receive the results. DCS will inform the Provider whether the report it receives concerning the subject of a check shows any record that would be grounds for denial of his/her ability to provide services and/or perform activities pursuant to this Contract. If any Covered Personnel receive a response of conditionally disqualified or disqualified, further follow up is required. If the result is disqualified, then the individual may be eligible for a waiver. The Provider should contact the DCS' background check unit to determine if the individual is eligible and to apply for the waiver. DCS will not release to the Provider any criminal history record information ("CHRI") contained in any report that it receives from the Federal Bureau of Investigation ("FBI") through the Indiana State Police ("ISP"). If the Provider requests a waiver of criminal history, DCS will inform the Provider of the decision on the waiver request.
- F. In the event a criminal history or background check required herein produces any record concerning the subject of a check that would be a ground for denial of his/her ability to provide services and/or perform activities pursuant to this Contract and the Provider chooses to retain such employee or volunteer, that decision may be considered a material breach of this Contract.
- G. The Provider will be responsible for payment of all fees required to be paid for conducting any check required under this Section, whether the check is conducted by the Provider or by DCS. Any fees paid by DCS on behalf of the Provider may be offset against any claim for payment submitted by the Provider under this Contract.

Upon request, DCS will assist the Provider in clarifying the requirements of this Section.

54. Purchase and Disposal of Property.

- A. As used in this Contract, "equipment" means tangible, non-expendable, personal property having a useful life of more than one (1) year and having a unit

acquisition cost of \$5,000.00 or more. The Contractor will not expend any funds provided by the State pursuant to this Contract for the purchase or maintenance of equipment.

- B. As used in this Contract, “supplies” includes all tangible personal property other than equipment that is purchased or acquired by the Contractor through expenditure of funds provided to the Contractor by the State pursuant to this Contract. If the Contractor has in its possession, upon expiration or termination of this Contract, unused supplies having a total aggregate fair market value exceeding \$5,000.00, the Contractor may retain those supplies for use in any continuation of the program or activities funded pursuant to this Contract that is supported by a federal funding source, or any other program or activity that is supported by a grant or contract from the State that is funded in whole or in part by a federal agency.
- C. If all or any portion of supplies having a total aggregate fair market value at expiration or termination of this Contract exceeding \$5,000.00 are not needed or used for a purpose described in paragraph B above, the Contractor may retain those supplies for other uses or sell them. In either case, the Contractor shall reimburse the State for its proportionate share of the value or sale proceeds of the supplies, in the amount determined in accordance with 45 CFR 74.34(g).
- D. If the total aggregate fair market value of supplies in the Contractor’s possession upon expiration or termination of this Contract is \$5,000.00 or less, the Contractor may retain or dispose of those supplies for its own use, without further obligation to account to the State for their disposition or proceeds thereof.
- E. The Contractor shall retain all records relating to the purchase and disposal of supplies during the term of this Contract and for a period of four (4) years from the date the Contractor submits any final financial status or final program report to the State, or one (1) year from the resolution of any outstanding administrative, program, or fiscal audit question, or legal action, whichever is later.

55. Eligibility and Appeals.

- A. The parties agree that the eligibility of any individuals who may be provided services pursuant to this Contract shall be determined in accordance with State service standards, DCS’ policy, and federal eligibility criteria and operating procedures.
- B. The State and the Contractor agree to maintain procedures and records in accordance with state and federal policies and regulations and to promptly address complaints and appeals between the parties and those of applicants for and recipients of services. Both parties agree to cooperate with the processing of any complaint or appeal.

56. Fees.

The Contractor and its subcontractors shall impose no fees upon the recipients of any services provided through this Contract except as explicitly authorized by the State.

57. Environmental Tobacco Smoke.

The Contractor agrees to comply with all provisions of 20 U.S.C. § 6081 *et seq.*, and any regulations promulgated thereunder. In particular, the Contractor agrees that it will require that smoking be prohibited in any portion of an indoor facility, other than a private residence, regularly used for the provision of services to children under the age of eighteen (18), and that it will comply with all applicable requirements of the statute and regulations. The Contractor further agrees that it will require the language of this condition to be included in any subcontracts which contain provisions for services to children.

58. Lobbying Activities.

- A. Pursuant to 31 U.S.C. § 1352, and any regulations promulgated thereunder, the Contractor hereby assures and certifies, to the best of its knowledge and belief, that no federally appropriated funds have been paid, or will be paid, by or on behalf of the Contractor, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the awarding of any federal contract, the making of any federal grant, the making 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.
- B. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Contract, the Contractor shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying". If the Contractor is required to submit Standard Form-LLL, the form and instructions for preparation of the form may be obtained from the State.
- C. The Contractor shall require that the language of this certification be included in any subcontracts and that all subcontractors shall certify and disclose accordingly.
- D. The foregoing certification is a material representation of fact upon which reliance was or will be placed when entering into this Contract and any transactions with the State. Submission of this certification is a prerequisite for making or entering into any transaction as imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

59. Religious or Political Activities.

- A. The State and the Contractor agree that services provided pursuant to this Contract shall be non-sectarian in nature and that religious activities shall not be included in any activities to be conducted hereunder. The Contractor agrees that, if it otherwise conducts religious activities as part of its organization, any inherently religious activities must be offered separately, in time or location, from the programs or services funded with direct federal financial assistance and participation must be voluntary for beneficiaries of the programs or services funded with such assistance.
- B. The Contractor certifies that any funding provided by the State pursuant to this Contract shall not be used to further any type of political or voter activity.

60. Buy American.

The State and the Contractor agree that, to the greatest extent applicable, all equipment and products purchased with funds provided by the State pursuant to this Contract shall be American-made.

61. Survival.

All terms of this Contract which, by their nature, are intended to survive termination, in whole or in part, and/or expiration of this Contract will survive termination, in whole or in part, and/or expiration of this Contract, including, but not limited to, the following Sections: Section 4. Access to Records; Section 6. Assignment of Antitrust Claims; Section 7. Audits and Monitoring; Section 12. Confidentiality of State Information; Section 13. Continuity of Services; Section 16. Disputes; Section 19. Employment Option; Section 22. Governing Law; Section 23. HIPAA Compliance; Section 24. Indemnification; Section 35. Ownership of Documents and Materials; Section 36. Payments and Fiscal Requirements; Section 37. Penalties/Interest/Attorney's Fees; Section 39. Public Record; Section 44. Termination for Convenience; Section 45. Termination for Default and Termination or Suspension for Additional Reasons; Section 46. Travel; Section 48. Waiver of Rights; Section 50. Reports and Records Concerning Services; Section 51. Delivery of Documents, Files, Data, Studies or Reports to the State Upon Termination or Expiration of this Contract; Section 53. Criminal and Background Checks; Section 54. Purchase and Disposal of Property; Section 55. Eligibility and Appeals; and Section 58. Lobbying Activities. The above list of Sections surviving the termination and/or expiration of this Contract is not exhaustive and there are other provisions of this Contract which shall survive the termination, in whole or in part, and/or expiration of this Contract.

62. State Boilerplate Affirmation Clause.

I swear or affirm under the penalties of perjury that I have not altered, modified, changed or deleted the State's Boilerplate contract clauses (as contained in the 2014 OAG/IDOA *Professional Services Contract Manual*) in any way except for the following clauses which are named below:

5. **Assignment; Successors; and Subcontracting - modified;**
7. **Audits and Monitoring - modified;**
9. **Changes in Work – modified;**
10. **Compliance with Laws - modified;**
11. **Condition of Payment – modified;**
12. **Confidentiality of State Information - modified;**
13. **Continuity of Services – modified;**
14. **Debarment and Suspension – modified;**
16. **Disputes – modified;**
19. **Employment Option – modified;**
21. **Funding Cancellation – modified;**
23. **HIPAA Compliance – modified;**
25. **Independent Contractor; Workers' Compensation Insurance – modified;**
26. **Information Technology Enterprise Architecture Requirements – deleted;**
27. **Insurance - modified;**
28. **Key Person(s) – deleted;**
29. **Licensing Standards – modified;**
30. **Merger & Modification – modified;**
33. **Notice to Parties - modified;**
34. **Order of Precedence; Incorporation by Reference - modified;**
35. **Ownership of Documents and Materials – modified;**
36. **Payments and Fiscal Requirements - modified;**
40. **Renewal Option – modified;**
45. **Termination for Default and Termination or Suspension for Additional Reasons – modified;**
46. **Travel – modified;**
48. **Waiver of Rights – modified;**
49. **Work Standards – modified;**
50. **Reports and Records Concerning Services – added;**
51. **Delivery of Documents, Files, Data, Studies, or Reports to the State Upon Termination or Expiration of this Contract – added;**
52. **Conflict of Interest – added;**
53. **Criminal and Background Checks – added;**
54. **Purchase and Disposal of Property – added;**
55. **Eligibility and Appeals – added;**
56. **Fees – added;**
57. **Environmental Tobacco Smoke – added;**
58. **Lobbying Activities – added;**
59. **Religious or Political Activities – added;**

- 60. Buy American – added; and**
- 61. Survival – added.**

THE REMAINDER OF THIS PAGE HAS BEEN INTENTIONALLY LEFT BLANK

SAMPLE

SIGNATURE PAGE
EDS# _____

Non-Collusion and Acceptance

The undersigned attests, subject to the penalties for perjury, that he/she is the Contractor, or that he/she is the properly authorized representative, agent, member or officer of the Contractor, that he/she has not, nor has any other member, employee, representative, agent or officer of the Contractor, directly or indirectly, to the best of the undersigned's knowledge, entered into or offered to enter into any combination, collusion or agreement to receive or pay, and that he/she has not received or paid, any sum of money or other consideration for the execution of this Contract other than that which appears upon the face of this Contract.

In Witness Whereof, the Contractor and the State have, through their duly authorized representatives, entered into this Contract. The parties, having read and understood the foregoing terms of this Contract, do by their respective signatures dated below hereby agree to the terms thereof.

Contractor: _____ (Where Applicable)
By: _____ Attested By: _____
Printed Name: _____
Title: _____
Date: _____

Indiana Department of Child Services
By: _____
Mary Beth Bonaventura, Director
Date: _____

Indiana Department of Administration
By: _____ (for)
Jessica Robertson, Commissioner
Date: _____

State Budget Agency
By: _____ (for)
Brian E. Bailey, Director
Date: _____

APPROVED as to Form and Legality:
Office of the Attorney General
By: _____ (for)
Gregory F. Zoeller, Attorney General
Date: _____

EXHIBIT ONE
CERTIFICATION OF COMPLETION OF REQUIRED CRIMINAL AND
BACKGROUND CHECKS
(R 3 / 8-13)

The Provider, (legal name) _____, hereby certifies that it has performed all of the checks as required pursuant to the criminal and background checks procedure set forth in Section 53 [Criminal and Background Checks] of its professional services contract with the Indiana Department of Child Services (DCS.) (EDS# _____) (the "Contract,") including collection of attestations regarding child abuse and neglect or criminal activity.

A list of the Provider's current Covered Personnel that have received the requisite criminal and background checks referenced herein is attached hereto. The list should be provided on the Covered Personnel Spreadsheet provided by DCS or similar that records all information on the Covered Personnel Spreadsheet for all Covered Personnel. The Provider shall submit this form **with an updated list** of covered personnel annually upon the anniversary date of the Contract. **Reminder:** Covered Personnel who join the Provider after the Contract begins may **not** provide any services for the Provider pursuant to the Contract before the requisite criminal and background checks have been completed unless they are accompanied by other staff who have completed acceptable checks.

The Provider hereby certifies that it has, per Contract requirements complete the below steps (check all that apply to any covered personnel):

- _____ *Verified the identity* of all individuals subject to criminal and background checks per DCS child welfare policy 13.3 (previously 2.10);
- _____ *Completed, signed and filed* the Application for Criminal History Background Check Form, state form 53259;
- _____ *Conducted Child Protection Services (CPS) checks* (for Indiana, send DCS an Indiana Request for Child Protection Services History Check form; for other states, see DCS' website on child welfare policies for web link);
- _____ *Conducted Sex Offender checks* (see DCS' website on child welfare policies for web links for national checks);
- _____ *Conducted Local Law Enforcement checks through law enforcement jurisdictions corresponding to all home addresses;*
- _____ *Registered and completed fingerprinting* through the DCS approved fingerprinting vendor and *assured that a fingerprint-based status letter is received on DCS letterhead* via e-mail for each Covered Personnel; and
- _____ *Reviewed the results* of criminal and civil Background Checks and taken appropriate action per DCS child welfare policy 13.4 (previously 2.11).

Signature of Provider

Date

Typed or Printed Name Signed Above

Title of Signer

E-mail Address of Signer

Phone Number

Send by U.S Postal Service to: DCS, Central Office Background Check Unit
Rm. E 306, MS 08
302 W. Washington St.
Indianapolis, IN 46204--2739

SAMPLE