

This contract is between BEHAVIORAL HEALTH SERVICES OF RACINE COUNTY whose business address is 1717 Taylor Avenue, Racine, Wisconsin 53403, hereinafter referred to as Purchaser, and LOVE OF CARING, LLC, whose principal business address is 1638 Echo Lane, Racine WI 53406, hereinafter referred to as Provider. This contract is to be effective for the period January 1, 2018 through December 31, 2018.

The Provider employee responsible for day-to-day administration of this contract will be Nicole Cobb, whose business address is 1638 Echo Lane, Racine, Wisconsin 53406, telephone number 262-412-5219, e-mail address loveofcaringracine@yahoo.com. In the event that the administrator is unable to administer this contract, Provider will contact Purchaser and designate a new administrator.

The Purchaser employee responsible for day-to-day administration of this contract will be Krista Kennedy, (262) 638-6671, e-mail Krista.Kennedy@RacineCounty.com, whose business address is 1717 Taylor Avenue, Racine, Wisconsin 53403. In the event that the administrator is unable to administer this contract, Purchaser will contact Provider and designate a new administrator.

This contract becomes null and void if the time between the Purchaser's authorized signature and the Provider's authorized signature exceeds sixty days.

(signed)  9-5-18
PROVIDER'S AUTHORIZED REPRESENTATIVE DATE

(signed) _____
COUNTY EXECUTIVE DATE

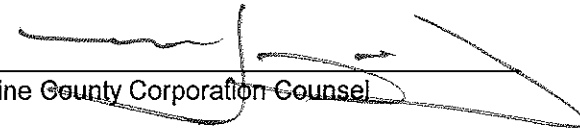
(signed)  9/20/18
COUNTY CLERK DATE

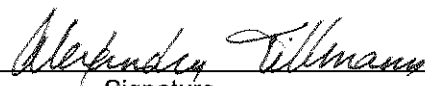
(signed)  9-21-18
COUNTY BOARD CHAIRPERSON DATE

(Two Purchasers' signatures required
for fully executed agreement.)

CERTIFIED TO BE CORRECT AS TO FORM

REVIEWED BY FINANCE DIRECTOR

By 
Racine County Corporation Counsel
9-21-18
Date


Signature
9-19-18
Date

This agreement (including the Exhibits) constitutes the entire agreement of the parties and supersedes any prior understandings, agreements, or contracts in regard to the subject matter contained herein.

I. CERTIFICATION OF SERVICES

- A. Provider agrees to provide the services detailed in the bid specifications, if any; the request for proposals (RFP) and Provider's response thereto, if any; and on the attached Exhibits, which is fully incorporated herein by reference. In the event of a conflict between or among the bid specifications, the RFP or responses thereto, or the terms of this Agreement or any of them, it is agreed that the terms of this Agreement, to the extent of any conflict, are controlling.
- B. Provider agrees to meet the program standards as expressed by State, Federal and County laws, rules, and regulations applicable to the services covered by this Agreement. If the Provider obtains services for any part of this Agreement from another subcontractor, the Provider remains responsible for fulfillment of the terms and conditions of the contract. Provider shall give prior written notification of such subcontractor to the Purchaser for approval.
- C. Provider agrees to secure at Provider's own expense all personnel necessary to carry out Provider's obligations under this Agreement. Such personnel shall not be deemed to be employees of Purchaser. Provider shall ensure Provider's personnel are instructed that they will not have any direct contractual relationship with Purchaser. Purchaser shall not participate in or have any authority over any aspect of Provider's personnel policies and practices, and shall not be liable for actions arising from such policies and practices.
- D. Purchaser shall have the right to request replacement of personnel. Provider shall comply where such personnel are deemed by County to present a risk to consumers. In other instances, the parties shall cooperate to reach a reasonable resolution of the issue.
- E. Provider shall complete its obligations under this Agreement in a sound, economical and efficient manner and in accordance with this Agreement and all applicable laws. Provider agrees to notify Purchaser immediately whenever it is unable to comply with the applicable State, Federal and County laws, rules and regulations. Non-compliance will result in termination of Purchaser's obligation to purchase those services.
- F. Where required by law, Provider must, at all times, be licensed or certified by either the State or County as a qualified provider of the services purchased hereby. Provider shall fully cooperate with licensing and certification authorities. Provider shall submit copies of the required licenses or certifications upon request by Purchaser. Provider shall promptly notify Purchaser in writing of any citation Provider receives from any licensing or certification authority, including all responses and correction plans.
- G. The authorized official signing for the Provider certifies to the best of his or her knowledge and belief that the Provider defined as the primary participant in accordance with 45 CFR Part 76, and its principles:
 - 1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency.
 - 2. Have not within a 3-year period preceding this contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State, or local) transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement, or receiving stolen property;

3. Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
4. Have not within a 3-year period preceding this contract had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be included with the signed contract.

The Provider agrees that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, In-eligibility, and Voluntary Exclusion-Lower Tier Covered Transaction." Appendix B to 45 CFR Part 76 in all lower tier covered transactions (i.e., transactions with subgrantees and/or contractors) and in all solicitations for lower tier covered transactions.

- H. Provider agrees to do background checks for all employees having regular contact with children, the elderly or vulnerable adults, including caregiver background checks where required by law. Provider agrees to follow the requirements of Administrative Code DHS 12, and Wisconsin Statute 48.685 and 50.065 regarding Caregiver Background Checks. Provider agrees to cooperate with Purchaser to implement Caregiver Background Checks, if Provider is licensed by, or certified by Purchaser. If Provider is licensed by, or certified by, the State of Wisconsin, and is required by ss 48.685 and 50.685 to perform Caregiver Background Checks, Provider will maintain the appropriate records showing compliance with the law and the Administrative Code HFS 12.
- I. Provider agrees to cooperate in site reviews and to take such action as prescribed by the Purchaser to correct any identified noncompliance with Federal, State and County laws, rules, and regulations.

II. RECORDS

- A. Provider shall maintain records as required by State and Federal laws, rules and regulations.
- B. Provider shall retain any record required to be kept on behalf of Purchaser for a period of not less than seven (7) years unless a shorter period of retention is authorized by applicable law or for a longer period of time if required by law.
- C. It is understood that in the event this Agreement terminates for any reason, Purchaser, at its option may take ownership of all records created for the purpose of providing and facilitating provision of services under the Agreement. If, as the result of the expiration or termination of this Agreement, Provider discontinues services provided under this Agreement to any client who continues to require such service, Purchaser shall have the right to take immediate physical custody of any of the client's records that are necessary to facilitate the transition of services to another provider of such service, including, but not limited to, all documents, electronic data, products and services prepared or produced by Provider under this Agreement.
- D. The use or disclosure by any party of any information concerning eligible clients who receive services from Provider for any purpose not connected with the administration of Provider's and Purchaser's responsibilities under this contract is prohibited except with the informed, written consent of the eligible client or the client's legal guardian.
- E. In the event that the Provider meets the criteria of a qualified service organization as defined in 42 CFR § 2.11, the Provider acknowledges that in receiving, storing, processing, or otherwise dealing with any patient records, it is fully bound by 42 CFR § 2 et. Seq. and if necessary, will resist in judicial proceedings any efforts to obtain access to patient records except as permitted

by 42 CFR § 2 et. Seq. However, the parties further agree that pursuant to 42 CFR § 2.12 (c) (4) that the restrictions on disclosure in 42 CFR § et. Seq. do not apply to communications between the Racine County Section 51.42 board and the Provider regarding information needed by the Provider to provide services to the Racine County 51.42 board.

- F. Provider agrees to assist Purchaser in promptly fulfilling any public records request, in the manner determined by Purchaser, of a record not protected by a law requiring confidentiality that Provider keeps or maintains on behalf of Purchaser.

III. REPORTING

- A. Provider shall submit all required evaluation reports within the time frames identified in this contract. Failure to submit required reports according to identified time frames will result in Purchaser withholding payments until the reports are received by Purchaser. Provider may seek an extension if it is determined the delay is a result of circumstances beyond Provider's control. Additional reporting may be required for programs funded with federal or state grant money, or other designated fund sources.
- B. If notified by Purchaser, Provider will submit a report by the 10th day of the following month showing authorized clients and units provided.

IV. FISCAL RESPONSIBILITIES

- A. Charge no more than 10% for management and general expenses as defined in proposal application. The 10% costs can be computed on program expenses only.
- B. Charge no greater amount than defined in proposal application for profit which will be computed as per the Allowable Cost Policy (private for-profit provider).
- C. Provider agrees to adhere to the guidelines of the DHS or DCF *Allowable Cost Policies Manual*, Office of Management and Budget Circular A122 or A102, and the fiscal requirements of the *Contract Administration Manual*, Racine County Human Services Department.
- D. Maintain a uniform double entry accounting system and a management information system compatible with cost accounting and control systems. (See DHS or DCF *Allowable Costs Policy Manual*.)
- E. Transfer a client from category of care or service to another only with the approval of the Purchaser.
- F. Submit a written request to Racine County to expend any reserve amounts. The request must be submitted no later than 30 days after receipt of the audit. The request for expenditure of reserve amounts must specify the proposed purpose of utilizing the reserve amount. Reserve amounts not approved by Behavioral Health Services of Racine County will be refunded to Racine County.
- G. Upon completion of the audit review by Purchaser, if Provider received funds in excess of actual allowable costs or actual unit costs, or if Purchaser has identified disallowed costs, Provider shall refund excess monies to Purchaser at the time of audit submission as per Section IV G. If Provider fails to return funds paid in excess and fails to request expenditure of any reserve amount or is denied the request to expend any reserve amount, Purchaser shall recover the money from subsequent payments made to Provider or Purchaser can use any other remedy provided by law.

- H. If the Provider requests an advance payment in excess of \$10,000.00, the Provider agrees to supply a surety bond per s. 46.036(3)(f) Wis. Stats. The surety bond must be an amount equal to the amount of the advance payment Provider has requested.

- I. **Requirement to Have an Audit.** Unless waived by Racine County, the sub-recipient (auditee) shall submit an annual audit to Racine County if the total amount of annual funding provided by Racine County (from any and all of its Divisions taken collectively) for all contracts is \$100,000 or more. In determining the amount of annual funding provided by Racine County the sub-recipient shall consider both: (1) funds provided through direct contracts with Racine County and (2) funds from Racine County passed through another agency which has one or more contracts with the sub-recipient.

- J. **Audit Requirements.** The audit shall be performed in accordance with generally accepted auditing standards, Wisconsin Statutes § 46.036 and § 49.34, Government Auditing Standards as issued by the U.S. Government Accountability Office, and other provisions specified in this contract. In addition, the sub-recipient is responsible for ensuring that the audit complies with other standards and guidelines that may be applicable depending on the type of services provided and the amount of pass-through dollars received. Please reference the following audit documents for complete audit requirements:
 - 1. 2 Code of Federal Regulations, Part 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart F - Audits. The guidance also includes an Annual Compliance Supplement that details specific federal agency rules for accepting federal sub-awards.
 - 2. The State Single Audit Guidelines (SSAG) expand on the requirements of 2 CFR Part 200 Subpart F by identifying additional conditions that require a state single audit. Section 1.3 lists the required conditions.
 - 3. The DHS Audit Guide is an appendix to the SSAG and contains additional DHS-specific audit guidance for those entities that meet the SSAG requirements. It also provides guidance for those entities that are not required to have a Single Audit but need to comply with DHS sub-recipient audit requirements. An audit report is due Racine County if a sub-recipient receives more than \$100,000 in pass-through money from Racine County as determined by Wisconsin Statute § 46.036.
 - 4. The DCF appendix to the SSAG contains additional DCF-specific audit guidance for those entities that meet the SSAG requirements. It also provides guidance for those entities that are not required to have a Single Audit but need to comply with DCF sub-recipient audit requirements. An audit report is due Racine County if a sub-recipient receives more than \$100,000 in pass-through money from Racine County as determined by Wisconsin Statute § 49.34. Audits must be performed in accordance with the SSAG and the DCF appendix unless required by contract to follow the Provider Agency Audit Guide (PAAG).

- K. **Source of Funding.** Funding could be a mixture of state/federal/local funds. Sub-recipients may request confirmation of funding information when it becomes available to Racine County from the state. The information will include the name of the program, the federal agency where the program originated, the CFDA number, and the percentages of federal, state, and local funds constituting the contract.

- L. **Audit Reporting Package.** A sub-recipient that is required to have a Single Audit based on 2 CFR Part 200 Subpart F and the State Single Audit Guide is required to submit to Racine County a reporting package which includes the following:

1. General-Purpose Financial Statements of the overall agency and a Schedule of Expenditures of Federal and State Awards, including the independent auditor's opinion on the statements and schedule.
2. Schedule of Findings and Questioned Costs, Schedule of Prior Audit Findings, Corrective Action Plan and the Management Letter (if issued).
3. Report on Compliance and on Internal Control over Financial Reporting based on an audit performed in accordance with Government Auditing Standards.
4. Report on Compliance for each Major Program and a Report on Internal Control over Compliance.
5. Report on Compliance with Requirements Applicable to the Federal and State Program and on Internal Control over Compliance in Accordance with the Program-Specific Audit Option.
6. *Settlement of DHS Cost Reimbursement Award. This schedule is required by DHS if the sub-recipient is a non-profit, for-profit, a governmental unit other than a tribe, county Chapter 51 board or school district; if the sub-recipient receives funding directly from DHS; if payment is based on or limited to an actual allowable cost basis; and if the auditee reported expenses or other activity resulting in payments totaling \$100,000 or more for all of its grant(s) or contract(s) with DHS.
7. *Reserve Supplemental Schedule is only required if the sub-recipient is a non-profit and paid on a prospectively set rate.
8. *Allowable Profit Supplemental Schedule is only required if the sub-recipient is a for-profit entity.
9. *Additional Supplemental Schedule(s) Required by Funding Agency may be required. Check with the funding agency.

*NOTE: These schedules are only required for certain types of entities or specific financial conditions.

For sub-recipients that do not meet the Federal audit requirements of 2 CFR Part 200 and SSAG, the audit reporting package to Racine County shall include all of the above items except items 4 and 5.

- M. **Audit Due Date.** Audits that must comply with 2 CFR Part 200 and the State Single Audit Guidelines are due to the granting agencies nine months from the end of the fiscal period or 30 days from completion of the audit, whichever is sooner. For all other audits, the due date is six months from the end of the fiscal period unless a different date is specified within the contract or grant agreement.
- N. **Submitting the Reporting Package.** The auditee or auditor must send a copy of the audit report to all granting agencies that provided funding to the auditee. Check the contract or contact the other funding agencies for information on where to send the audit report and the proper submission format.

Audit reports should be sent to:

Racine County Human Services
Attn: Accountant Supervisor-Contracts & Audits
1717 Taylor Avenue
Racine, WI 53403

- O. **Access to Auditee's Records.** The auditee must provide the auditor with access to personnel, accounts, books, records, supporting documentation, and other information as needed for the auditor to perform the required audit.

The auditee shall permit appropriate representatives of Racine County to have access to the auditee's records and financial statements as necessary to review the auditee's compliance with federal and state requirements for the use of the funding. Having an independent audit does not limit the authority of Racine County to conduct or arrange for other audits or review of federal or state programs. Racine County shall use information from the audit to conduct their own reviews without duplication of the independent auditor's work.

- P. **Access to Auditor's Work Papers.** The auditor shall make audit workpapers available upon request to the auditee, Racine County or their designee as part of performing a quality review, resolving audit findings, or carrying out oversight responsibilities. Access to working papers includes the right to obtain copies of working papers.

- Q. **Failure to Comply with Audit Requirements.** Racine County may impose sanctions when needed to ensure that auditees have complied with the requirements to provide Racine County with an audit that meets the applicable standards and to administer state and federal programs in accordance with the applicable requirements. Examples of situations when sanctions may be warranted include:

1. The auditee did not have an audit.
2. The auditee did not send the audit to Racine County or another granting agency within the original or extended audit deadline.
3. The auditor did not perform the audit in accordance with applicable standards, including the standards described in the SSAG.
4. The audit reporting package is not complete; for example, the reporting package is missing the corrective action plan or other required elements.
5. The auditee does not cooperate with Racine County or another granting agency's audit resolution efforts; for example, the auditee does not take corrective action or does not repay disallowed costs to the granting agency.

- R. **Sanctions.** Racine County will choose sanctions that suit the particular circumstances and also promote compliance and/or corrective action. Possible sanctions may include:

1. Requiring modified monitoring and/or reporting provisions;
2. Delaying payments, withholding a percentage of payments, withholding or disallowing overhead costs, or suspending the award until the auditee is in compliance;
3. Disallowing the cost of audits that do not meet these standards;
4. Conducting an audit or arranging for an independent audit of the auditee and charging the cost of completing the audit to the auditee;
5. Charging the auditee for all loss of federal or state aid or for penalties assessed to Racine County because the auditee did not comply with audit requirements;
6. Assessing financial sanctions or penalties;

- 7. Discontinuing contracting with the auditee; and/or
- 8. Taking other action that Racine County determines is necessary to protect federal or state pass-through funding.

S. **Close-Out Audits.** A contract specific audit of an accounting period of less than 12 months is required when a contract is terminated for cause, when the auditee ceases operations or changes its accounting period (fiscal year). The purpose of the audit is to close-out the short accounting period. The required close-out contract specific audit may be waived by Racine County upon written request from the sub-recipient, except when the contract is terminated for cause. The required close-out audit may not be waived when a contract is terminated for cause.

The auditee shall ensure that its auditor contacts Racine County prior to beginning the audit. Racine County or its representative, shall have the opportunity to review the planned audit program, request additional compliance or internal control testing and attend any conference between the auditee and the auditor. Payment of increased audit costs, as a result of the additional testing requested by Racine County is the responsibility of the auditee.

Racine County may require a close-out audit that meets the audit requirements specified in 2 CFR Part 200 Subpart F. In addition, Racine County may require that the auditor annualize revenues and expenditures for the purposes of applying 2 CFR Part 200 Subpart F and determining major federal financial assistance programs. This information shall be disclosed in a note within the schedule of federal awards. All other provisions in 2 CFR Part 200 Subpart F- Audit Requirements apply to close-out audits unless in conflict with the specific close-out audit requirements.

- T. Provider agrees to cooperate with the Purchaser in establishing costs for reimbursement purposes.
- U. Provider will participate in billing Title XIX for personal care services in the facility when requested by Purchaser. Responsibilities will include doing proper documentation for Title XIX, insuring staff is qualified to provide personal care, and may include working with a local personal care agency for oversight and billing purposes (refer to Exhibit A)

V. INDEMNITY AND INSURANCE

- A. To the fullest extent permitted by law, the Provider agrees to indemnify and hold harmless the Purchaser, and its officers and its employees, from and against all liability, claims, and demands, on account of any injury, loss, or damage (including costs of investigation and attorney's fees), which arise out of or are connected with the services hereunder, if such injury, loss, or damage, or any portion thereof, is caused by, or claimed to be caused by, the act, omission or other fault of the Provider or any subcontractor of the Provider, or any officer, employee or agent of the subcontractor of the Provider, or any other person for whom Provider is responsible. The Provider shall investigate, handle, respond to, and provide defense for and defend against any such liability, claims, and demands, and to bear all other costs and expenses related thereto, including court costs and attorneys' fees. The Provider's indemnification obligation shall not be construed to extend to any injury, loss, or damage that is caused by the act, omission, or other fault of the Purchaser. Provider shall immediately notify Purchaser of any injury or death of any person or property damage on Purchaser's premises or any legal action taken against Provider as a result of any said injury or damage.
- B. Provider shall at all times during the terms of this Contract keep in force a liability insurance policy issued by a company authorized to do business in Wisconsin and licensed by the State of Wisconsin Office of the Commissioner of Insurance in an amount deemed acceptable by Purchaser. Upon the execution of this Contract and at any other time if requested by Purchaser, Provider shall furnish Purchaser with written verification of the existence of such insurance. In

the event of any action, suit, or proceedings against Purchaser upon any matter herein indemnified against, Purchaser shall, within five working days, cause notice in writing thereof to be given to Provider by certified mail, addressed to its post office address.

- C. The Provider shall maintain at its own expense and provide Purchaser with Certificates of Insurance that provide the following coverage:
 - 1. Maintain worker's compensation insurance as required by Wisconsin Statutes, for all employees engaged in the work.
 - 2. Maintain general liability coverage including personal injury and property damage against any claim (s), which might occur in carrying out this contract. Minimum coverage shall be one million dollars (\$1,000,000) liability for each occurrence for bodily injury and property damage including product liability and completed operations and three million dollars (\$3,000,000) in the aggregate. Provide motor vehicle insurance for all owned, non-owned and hired vehicles that are used in carrying out this contract. Minimum coverage shall be one million dollars (\$1,000,000) for each occurrence combined single limit for automobile liability and property damage and three million dollars (\$3,000,000) in the aggregate.
- D. Racine County, and its officers and employees shall be named as additional insureds on Provider's general liability insurance policy for actions and/or omissions performed pursuant to this contract. All coverage enumerated above must be placed with an insurance carrier with an AM Best Rating of A-VIII or greater. Purchaser shall receive a 30-day notice of cancellation of any policy. A copy of Certificate of Insurance and the referenced policies shall be mailed to Purchaser within 60 days of the beginning of this contract.
- E. Provider is prohibited from waiving Purchaser's right to subrogation. When obtaining required insurance under this Agreement and otherwise, Provider agrees to preserve Purchaser's subrogation rights in all such matters that may arise that are covered by Provider's insurance.

VI. COST AND SERVICES TO BE PROVIDED

- A. Provider and Purchaser understand and agree that the eligibility of individuals to receive the services purchased under this agreement from Provider will be determined by Purchaser.
- B. Purchaser will authorize program services and room and board costs separately. Each of these will only be paid as authorized. Provider must have an approved authorization for room and board costs billed. Payment will not be made without authorization.
- C. The AFH/CBRF shall make available to each Purchaser-supported resident all services that are identified in Exhibit B and that are identified in the Purchaser's care plans for that resident. Such services shall include all those specified in applicable regulations and statutes, including those services the AFH/CBRF is required to make available to all residents and those required to be available for any specific client group to which the Purchaser-supported resident belongs. Services the AFH/CBRF is required to make available to any Purchaser-supported resident are listed in the Service Checklist, which is attached to this contract.
- D. Rates and Units of Service

Facility Rate. The rate, type of unit, estimated number of units and estimated number of persons served are shown in the table below entitled "Program Service Rate Based on Days or Months of Care".

Purchaser reserves the right to decrease the units of service to meet actual needs.

An increase in the units of service to be provided may be negotiated.

Percent Occupancy Estimate Included in Rate

What is the licensed capacity of the facility?	4 Beds
The rate structure for this contract is based on the following percent of full occupancy	100%

Program Service Rate Based on Days or Months of Care

Description	Rate in Dollars	Unit Type Per day or mo. (1)	Estimated number of units to be purchased (2)	Total Estimated Cost of Service (3)	Estimate of persons served	Account #
AFH/CBRF Room & Board Rate – Howland Avenue	\$27.00	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500
AFH/CBRF Service Rate – Howland Avenue	\$160.32	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500
AFH/CBRF Room & Board Rate – Echo Lane	\$27.00	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500
AFH/CBRF Service Rate – Echo Lane	\$123.00	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500
AFH/CBRF Room & Board Rate – Tulip 13 th St.	\$27.00	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500
AFH/CBRF Service Rate – Tulip 13 th St.	\$123.00	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500
AFH/CBRF Room & Board Rate – Daisy	\$25.97	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500
AFH/CBRF Service Rate – Daisy	\$119.94	Per day	As Authorized	As Authorized	As Authorized	71718.002.700.404500

Notes from table headings:

- (1) Rates may be expressed as per day, per month or both.
- (2) The Number of units shown is an estimate.
- (3) This number should not exceed Maximum Contract Amount. If all services are included in the Facility rate, this amount should equal the Maximum Contract Amount.

[Handwritten Signature]
8/23/18

- E. Services not included in facility rate. The rate(s), unit types and estimates of the number of units to be purchased are shown in the table below entitled "Rates for Services not included in Facility Rate".

Rates for Services not Included in Service Rate

Description	Rate in dollars	Unit type (1)	Estimated Number of <u>Units</u> to be purchased (2)	Estimated Total Cost of the service(3)	Account #
			As Authorized By Contract Exception	As Authorized by Contract Exception	
			As Authorized by Contract Exception	As Authorized by Contract Exception	

Purchaser reserves the right to decrease the units of service to meet actual needs. An increase in the units of service to be provided may be negotiated.

VII. AUTHORIZATION PROCESS

- A. No services will be paid for unless the services are authorized by the Purchaser or the Purchaser's designee. Authorization will be determined solely on the prospective client's need for services as determined by Purchaser. Purchaser shall not be liable for payment of services rendered to potentially eligible clients unless Provider complies with the request for authorization procedures as outlined in this agreement and as may be agreed to from time to time by the parties in writing.
- B. Purchaser designates the case manager as the agent for the Purchaser in all matters regarding the care of the person for whom service is being sought. The authority of the case manager as agent includes but is not limited to the following:
 1. To participate in the development of and approve or disapprove the individual care plan for each authorized individual.
 2. To approve or disapprove the care provided.
 3. To visit the facility and to contact the authorized resident at any time.
 4. To review the records of any authorized individual during normal business hours and to monitor the performance of services provided to authorized individuals. The Provider will cooperate with the Purchaser in these efforts and will comply with the requirements of monitoring plans.
 5. To be notified by the Provider within one business day of any significant change in the condition of any purchaser-supported resident. Significant change includes but is not limited to:
 - a. Hospital admission
 - b. New illness, condition, or trauma requiring physician or hospital visit, or requiring attention at the AFH/CBRF of a physician or emergency personnel
 - c. Any emergency visit to hospital or physician
 - d. Loss of ability to perform an activity of daily living

- e. Allegation of physical, sexual, or mental abuse of any purchaser-supported resident
 - f. Death of any provider-supported resident
6. To undertake such quality assurance efforts relating to the care of authorized individuals as the Purchaser deems appropriate. The Provider will cooperate with the purchaser in these efforts.

VIII. PAYMENT FOR SERVICES

- A. Provider shall submit all bills (reflecting net payment due) and the Contract Information for Agencies cover sheet by the 10th day following the close of the month. Billings received by the 10th day shall be reimbursed within 15 business days.
- B. Purchaser shall not be held financially liable for any payment for service received from Provider if the billing for such service is received 90 days or more from the date of the service provided to the respective client. However, final expenses for 2018 must be received by the Purchaser on or before January 21, 2019. Reimbursement for 2018 expenses received after January 21, 2019, will be denied.
- C. In the case of termination of contract during the contract period, all expenses must be submitted to Purchaser no later than 20 days after the effective date of termination or January 21, 2019, whichever comes first.
- D. Behavioral Health Services of Racine County shall not assume liability for insurance co-payments, spenddowns, or other forms of joint payments.
- E. Method of payment shall be one of the following, as specified in Section XII:

Unit Rate Billing:

Provider shall bill per client on Purchaser authorization/billing form (Fiscal A-5 or A-6). Such billings will include authorized clients, authorized units per client, units of service provided per client, the unit rate, the gross monthly charge, collections, and net cost per client. Purchaser will pay the net cost for authorized only services.

The Purchaser agrees to pay a daily rate to reserve space for the resident if pre-approved by Purchaser. This daily rate will be 85% of the normal daily rate. The Purchaser will pay this rate for a period not to exceed 14 consecutive days or 14 days in a calendar month, unless extended by the Purchaser in writing. The Purchaser may terminate this payment at any time if the Purchaser determines that the resident will no longer need the space.

- F. Collections
 - 1. Provider agrees to use due diligence to ascertain from clients and prospective clients all potential sources of payment and sources of revenue to pay for the services. Specifically, the Provider agrees not to bill for clients covered by Title 19, Medicare, private insurance which covers the charges for the service received; or have the ability to pay for the needed services.
 - 2. If Purchaser authorizes services and it is determined that a third party payor is obligated to pay for the services or the patient has the ability to pay, Provider will not request further payment from Purchaser for services, and Provider shall reimburse Purchaser the amount reimbursed by the third party for prior services by crediting Purchaser on the

next billing. All payments by the patient or third parties made to Provider for services previously paid for by Purchaser shall be credited to Purchaser on the next billing.

3. Provider will charge a uniform schedule of fees as defined in s. 46.031(18), Wis. Stats., unless waived by Purchaser with written approval of the Department of Health and Family Services. In the case of clients authorized and funded under the Community Options Program and the Medicare Waiver programs, the clients and their families may be liable to pay for services under policies and procedures developed under the *Community Options Program Cost Sharing Guidelines* and the *Medicaid Waiver Guidelines*.
 4. Monies collected on behalf of a client from any source will be treated as an adjustment to the costs and will be deducted from the amount paid under this contract as specified in Section VII F(2).
 5. The procedures used by the Provider shall comply with the provisions of Wisconsin Administrative Code HSS 1.01-1.06.
- G. Purchaser reserves the right to decrease units of service to meet actual needs. An increase in the units of service to be provided may be negotiated at the discretion of Purchaser.
- H. No payments shall be made to Provider of AFH/CBRF services when the participant is receiving respite services.

IX. NON-DISCRIMINATION

- A. During the term of this agreement, Provider agrees not to discriminate on the basis of age, race, ethnicity, religion, color, gender, disability, marital status, sexual orientation, national origin, cultural differences, ancestry, physical appearance, arrest record or conviction record, military participation or membership in the national guard, state defense force or any other reserve component of the military forces of the United States, or political beliefs against any person, whether a recipient of services (actual or potential) or an employee or applicant for employment. Such equal opportunity shall include but not be limited to the following: employment, upgrading, demotion, transfer, recruitment, advertising, layoff, termination, training, rates of pay, and any other form of compensation or level of service(s).
- B. Provider agrees to post in conspicuous places, available to all employees, service recipients and applicants for employment and services, notices setting forth the provisions of this paragraph. The listing of prohibited bases for discrimination shall not be construed to amend in any fashion state or federal law setting forth additional bases, and exceptions shall be permitted only to the extent allowable in state or federal law.
- C. Provider and all subcontractors agree not to discriminate on the basis of disability in accordance with the Americans With Disabilities Act (ADA) of 1990, the Wisconsin Statutes secs. 111.321 and 111.34, and the Racine County Ordinances. Provider agrees to post in conspicuous places, available to employees, service recipients, and applicants for employment and services, notices setting forth the provisions of this paragraph.
- D. Provider shall give priority to those methods that offer programs and activities to disabled persons in the most integrated setting. Where service or program delivery is housed in an inaccessible location, and accessible alterations are not readily achievable, Provider agrees to offer "programmatic accessibility" to recipients (real or potential) of said services and programs (e.g., change time/location of service).
- E. Provider agrees that it will employ staff with special translation and sign language skills

appropriate to the needs of the client population, or will purchase the services of qualified adult interpreters who are available within a reasonable time to communicate with hearing impaired clients. Provider agrees to train staff in human relations techniques and sensitivity to persons with disabilities. Provider agrees to make programs and facilities accessible, as appropriate, through outstations, authorized representatives, adjusted work hours, ramps, doorways, elevators, or ground floor rooms. Provider agrees to provide, free of charge, all documents necessary to its clients' meaningful participation in Provider's programs and services in alternative formats and languages appropriate to the needs of the client population, including, but not limited to, Braille, large print and verbally transcribed or translated taped information. The Provider agrees that it will train its staff on the content of these policies and will invite its applicants and clients to identify themselves as persons needing additional assistance or accommodations in order to apply for or participate in Provider's programs and services.

- F. Provider agrees to maintain comprehensive policies to ensure compliance with Title VI of the Civil Rights Act of 1964, as updated to address the needs of employees and clients with limited English proficiency. Provider agrees that it will employ staff with bilingual or special foreign language skills appropriate to the needs of the client population, or will purchase the services of qualified adult interpreters who are available within a reasonable time to communicate with clients who have limited English proficiency. Provider will provide, free of charge, all documents necessary to its clients' meaningful participation in Provider's programs and services in alternative languages appropriate to the needs of the client population. Provider agrees that it will train its staff on the content of these policies and will invite its applicants and clients to identify themselves as persons needing additional assistance or accommodations in order to apply or participate in Provider's programs and services.
- G. Provider shall comply with the requirements of the current Civil Rights Compliance (CRC) Plan, which is available at <https://www.dhs.wisconsin.gov/civil-rights/index.htm>. Providers that have more than fifty (50) employees and receive more than fifty thousand dollars (\$50,000) must develop and attach a Civil Rights Compliance Plan to this Agreement. Provider agrees to develop and attach to this Agreement a Civil Rights Compliance Letter of Assurance regardless of the number of employees and the amount of funding received.
- H. Provider agrees to comply with the Purchaser's civil rights compliance policies and procedures. Provider agrees to comply with civil rights monitoring reviews performed by the Purchaser, including the examination of records and relevant files maintained by the Provider. Provider agrees to furnish all information and reports required by the Purchaser as they relate to affirmative action and non-discrimination. The Provider further agrees to cooperate with the Purchaser in developing, implementing, and monitoring corrective action plans that result from any reviews.
- I. Provider shall post the Equal Opportunity Policy; the name of the Provider's designated Equal Opportunity Coordinator and the discrimination complaint process in conspicuous places available to applicants and clients of services, and applicants for employment and employees. The complaint process will be consistent with Purchaser's policies and procedures and made available in languages and formats understandable to applicants, clients and employees. Provider shall supply to the Purchaser's contract administrator upon request a summary document of all client complaints related to perceived discrimination in service delivery. These documents shall include names of the involved persons, nature of the complaints, and a description of any attempts made to achieve complaint resolution.
- J. In all solicitations for employment placed on Provider's behalf during the term of this Agreement, Provider shall include a statement to the effect that Provider is an "Equal Opportunity Employer."

X. GENERAL CONDITIONS

- A. Provider shall neither assign nor transfer any interest or obligation in this Agreement without the prior written consent of Purchaser, unless otherwise provided herein. Claims for money due to Provider from Purchaser under this Agreement may be assigned to a bank, trust company or other financial institution without County consent if and only if the instrument of assignment provides that the right of the assignee in and to any amounts due or to become due to Provider shall be subject to prior claims of all persons, firms and corporations for services rendered or materials supplied for the performance of the work called for in this Agreement. Provider shall furnish Purchaser with notice of any assignment or transfer.

- B. CONFIDENTIALITY.
 - 1. Provider agrees to comply with all pertinent federal and state statutes, rules, regulations and county ordinances related to confidentiality. Further, the parties agree that:
 - a. Client specific information, including, but not limited to, information which would identify any of the individuals receiving services under this Agreement, shall at all times remain confidential and shall not be disclosed to any unauthorized person, forum, or agency except as permitted or required by law.
 - b. Provider knows and understands it is not entitled to any client specific information unless it is released to persons who have a specific need for the information which is directly connected to the delivery of services to the client under the terms of this Agreement and only where such persons require the requested information to carry out official functions and responsibilities.
 - c. Upon request from Purchaser, client specific information, including, but not limited to, treatment information, shall be exchanged between the parties consistent with applicable federal and state statutes, for the following purposes:
 - i. Research (names and specific identifying information not to be disclosed);
 - ii. Fiscal and clinical audits and evaluations;
 - iii. Coordination of treatment or services; and
 - iv. Determination of conformance with court-ordered service plans.
 - 2. Health Insurance Portability and Accountability Act of 1996 (HIPAA) Applicability.
 - a. The Provider agrees to comply with the federal regulations implementing the HIPAA and all relevant regulations as from time to time amended, to the extent those regulations apply to the services the Provider provides or purchases with funds provided under this Agreement.
 - b. In addition, certain functions included in this Agreement may be covered within HIPAA rules. As such, the Purchaser must comply with all provisions of the law. If Purchaser has determined that Provider is a "Business Associate" within the context of the law, Provider will sign and return an approved Business Associate Agreement, which will be included and made part of this Agreement.

- C. Provider agrees to cooperate with departments, agencies, employees, and officers of Purchaser in providing the services described herein. Where Provider furnishes counseling, care, case management, service coordination or other client services and Purchaser requests Provider or any of Provider's employees to provide evidence in a court or other evidentiary proceeding regarding the services provided to any named client or regarding the client's progress given services provided, services purchased under this agreement include Provider making itself or its employees available to provide such evidence requested by Purchaser as authorized by law.

- D. Notices, bills, invoices and reports required by this Agreement shall be deemed delivered as of the date of postmark if deposited in a United States mailbox, first class postage attached, addressed to a party's address as set forth in this agreement. Any party changing its address shall notify the other party in writing within five (5) business days.
- E. In order for Provider and the people Provider serves to be prepared for an emergency such as tornado, flood, blizzard, electrical blackout, pandemic and/or other natural or man-made disaster, Provider shall develop a written plan that at a minimum addresses: (1) the steps Provider has taken or will be taking to prepare for an emergency; (2) which of Provider's services will remain operational during an emergency; (3) the role of staff members during an emergency; (4) Provider's order of succession, evacuation and emergency communications plans, including who will have authority to execute the plans and/or to evacuate the facility; (5) evacuation routs, means of transportation and use of alternate care facilities and service providers (such as pharmacies) with which Provider has emergency care agreements in place; (6) how Provider will assist clients/consumers to individually prepare for an emergency; and (7) how essential care records will be protected, maintained and accessible during an emergency. A copy of the written plan should be kept at each of Provider's office(s). Providers who offer case management or residential care for individuals with substantial cognitive, medical, or physical needs shall assure at-risk clients/consumers are provided for during an emergency.
- F. During the term of this Agreement, Provider shall report to the Purchaser's contract administrator, within ten (10) days, any allegations to, or findings by the National Labor Relations Board (NLRB) or Wisconsin Employment Relations Commission (WERC) that Provider has violated a statute or regulation regarding labor standards or relations. If an investigation by the Purchaser results in a final determination that the matter adversely affects Provider's responsibilities under this Agreement, and which recommends termination, suspension or cancellation of this Agreement, Purchaser may take such action. Provider may appeal any adverse finding as set forth at Article X.
- G. This Contract is contingent upon authorization of Wisconsin and United States Law and any material amendment or repeal of the same affecting relevant funding or authority of the Department shall serve to terminate this Agreement, except as further agreed to by the parties hereto.
- H. Purchaser may investigate any complaint received concerning the operation and services purchased including review of clinical service records and administrative records subject to restrictions by law. This may include contacting clients both past and current as required.
- I. Purchaser shall be notified in writing of all complaints filed in writing against the Provider. Purchaser shall inform the Provider in writing with the understanding of the resolution of the complaint.
- J. Nothing contained in this Agreement shall be construed to supersede the lawful power or duties of either party.
- K. All capital equipment purchased with funds from this contract may at the discretion of Racine County revert to Racine County at the termination of this contract period or subsequent contract periods. Computer equipment authorized within this contract budget will require Purchaser's approval prior to purchase and authorized payment.
- L. Provider shall acknowledge Racine County as a funding source in all manner of communication including letterhead, brochures, pamphlets, and other forms of media exposure. Racine County may at its discretion identify the type of acknowledgment necessary for recognition.
- M. Provider agrees to list all external job vacancies on Job Net.

N. In no event shall the making of any payment or acceptance of any service or product required by this Agreement constitute or be construed as a waiver by Purchaser of any breach of the covenants of this Agreement or a waiver of any default of Provider. The making of any such payment or acceptance of any such service or product by Purchaser while any such default or breach shall exist shall in no way impair or prejudice the right of Purchaser with respect to recovery of damages or other remedy as a result of such breach or default.

O. Provider may elect to retain the entire right, title and interest to any invention conceived or first actually reduced to practice in the performance of this Agreement as provided by 37 CFR 401. In the event any invention results from work performed jointly by the parties, the invention(s) shall be jointly owned.

P. **PENALTIES.**

1. Provider shall provide immediate notice in the event it will be unable to meet any deadline, including deadlines for filing reports, set by Purchaser. Concurrent with notification, Provider shall submit either a request for an alternative deadline or other course of action or both. Purchaser may grant or deny the request. Purchaser has the prerogative to withhold payment to Provider upon denial of request or until any condition set by Purchaser is met. In the case of contracts that have been renewed or continued from a previous contractual period, Purchaser may withhold payment in the current period for failures that occurred in a previous period.

2. If Purchaser is liable for damages sustained as a result of breach of this Agreement by Provider, Purchaser may withhold payments to Provider as set off against said damages.

3. If, through any act of or failure of action by Provider, Purchaser is required to refund money to a funding source or granting agency, Provider shall pay to Purchaser within ten (10) working days, any such amount along with any interest and penalties.

Q. This Agreement or any part thereof, may be renegotiated at the option of Purchaser in the case of: (1) increased or decreased volume of services; (2) changes required by Federal or State law or regulations or court action; (3) cancelation, increase or decrease in funding; (4) changes in service needs identified by Purchaser; (5) Provider's failure to provide services purchased; or (6) upon any mutual agreement. Provider agrees to renegotiate in good faith if Purchaser exercises this option. Any agreement reached pursuant to renegotiation shall be acknowledged through a written Agreement addendum signed by both parties. If Provider refuses to renegotiate in good faith as required by this section, Purchaser may either terminate the Agreement or unilaterally adjust payments downward to reflect Purchaser's best estimate of the volume of services actually delivered by Provider under this Agreement.

XI. **RESOLUTION OF DISPUTES:** The Provider may appeal decisions of the Purchaser in accordance with the terms and conditions of this Agreement and Chapter 68, Wis. Stats.

A. **Good Faith Efforts.** In the event of a dispute between the parties involving the interpretation or application of the contents of this Agreement, the parties agree to make good faith efforts to resolve grievances informally.

B. **Formal Procedure.** In the event informal resolution is not achieved, the parties shall follow the following procedure to resolve all disputes:

Step 1: Provider shall present a description of the dispute and Provider's position, in writing, to Purchaser's Division Manager within fifteen (15) working days of gaining knowledge of the issue. The description shall cite the provision or provisions of this Agreement that are in dispute and shall present all available factual information supporting Provider's position. Failure to timely provide said document constitutes a waiver of Provider's right to dispute the item.

Step 2: Both parties shall designate representatives, who shall attempt to reach a mutually satisfactory resolution within the fifteen (15) working days after mailing of the written notice.

Step 3: If resolution is not reached in Step 2, Purchaser's Division Manager shall provide in writing by mail, an initial decision. Said decision shall be binding until and unless a different decision is reached as outlined below.

Step 4: Provider's Chief Executive Officer or designee may request a review of the initial decision by mailing a written request to Purchaser's Human Services Director within fifteen (15) working days of the receipt of the initial decision. Failure to timely provide said request constitutes a waiver of Provider's right to dispute the item.

Step 5: Purchaser's Human Services Director shall respond to the request for review by mailing a final written decision to Provider within fifteen (15) working days of receipt of the request.

Step 6: Provider's Chief Executive Officer or designee may request a review by the County Executive of the final decision by mailing said request within fifteen (15) working days of the postmarked date of the final decision. Failure to timely provide said request constitutes a waiver of Provider's right to dispute the item.

Step 7: The County Executive shall provide a final decision by mailing it to Provider within fifteen (15) working days following the postmarked date of the request for a review. The decision of the County Executive is final and binding on the parties.

C. Client Grievance Procedure.

1. Provider shall have a written client grievance procedure approved by Purchaser, posted in its service area, at all times during the term of this Agreement.
2. Where clients may be entitled to an administrative hearing concerning eligibility, Provider will cooperate with County in providing notice of said eligibility to clients.

XII. TERMINATION, SUSPENSION AND/OR MODIFICATION

This Agreement may be terminated and/or its terms may be modified or altered as follows:

- A. Either party may terminate the Agreement, for any reason, at any time upon sixty (60) days written notice.
- B. Failure of Provider to fill any of its obligations under the Agreement in a timely manner or violation by Provider of any covenants or stipulations contained in this Agreement shall constitute grounds for Purchaser to terminate this Agreement upon ten (10) days written notice of the effective date of termination.
- C. The following shall constitute grounds for immediate termination:
 1. Violation by Provider of any state, federal or local law, or failure by Provider to comply with any applicable state and federal service standards, as expressed by applicable statutes, rules and regulations.

2. Failure by Provider to carry applicable licenses or certifications as required by law.
 3. Failure of Provider to comply with reporting requirements contained herein.
 4. Inability of Provider to perform the work provided for herein.
 5. Exposure of a client to immediate danger when interacting with Provider.
- D. In the event of cancellation or reduction of state, federal or county funding upon which Purchaser relies to fulfill its obligations under this Agreement, Provider agrees and understands that Purchaser may take any of the following actions:
1. Purchaser may terminate this Agreement, upon thirty (30) days written notice.
 2. Purchaser may suspend this Agreement without notice for purposes of evaluating the impact of changed funding.
 3. Purchaser may reduce funding to Provider upon thirty (30) days written notice. If Purchaser opts to reduce funding under this provision, Purchaser may, after consultation between Provider and Purchaser's contract manager or designee, specify the manner in which Provider accomplishes said reduction, including, but not limited to, directing Provider to reduce expenditures on designated goods, services and/or costs.
- E. Failure of Racine County or the State or Federal governments to appropriate sufficient funds to carry out Purchaser's obligations hereunder or failure of Provider to timely commence the contracted for services, shall result in automatic termination of this Agreement as of the date funds are no longer available, without notice.
- F. Termination or reduction actions taken by Purchaser under this Agreement are not subject to the review process set forth in Article X of this document.

XIII. CONTRACT CONSTRUCTION AND LEGAL PROCESS

- A. **Choice of Law.** It is expressly understood and agreed to by the parties hereto that in the event of any disagreement or controversy between the parties, Wisconsin law shall be controlling.
- B. **Construction.** This Agreement shall not be construed against the drafter.
- C. **Counterparts.** The parties may evidence their agreement to the foregoing upon one or several counterparts of this instrument, which together shall constitute a single instrument.
- D. **Entire Agreement.** The entire agreement of the parties is contained herein and this Agreement supersedes any and all oral agreements and negotiations between the parties relating to the subject matter hereof. The parties expressly agree that this Agreement shall not be amended in any fashion except in writing, executed by both parties.
- E. **Execution.** This Agreement has no effect until signed by both parties. The submission of this Agreement to Provider for examination does not constitute an offer. Provider warrants that the persons executing this Agreement on its behalf are authorized to do so.
- F. **Limitation of Agreement.** This Agreement is intended to be an agreement solely between the parties hereto and for their benefit only. No part of this Agreement shall be construed to add to, supplement, amend, abridge or repeal existing duties, rights, benefits or privileges of any third

party or parties, including but not limited to employees or subcontractors of either of the parties. Except, where Provider intends to meet its obligations under this or any part of this Agreement through a subcontract with another entity, Provider shall first obtain the written permission of Purchaser; and further, Provider shall ensure that it requires of its subcontractor the same obligations incurred by Provider under this Agreement.

- G. **Severability.** The invalidity or un-enforceability of any particular provision of this Agreement shall not affect the other provisions herein, and this Agreement shall be construed, in all respects, as though all such invalid or unenforceable provisions were omitted.
- H. **Venue.** Venue for any legal proceedings shall be in the Racine County Circuit Court.

XIV. CRITERIA FOR QUALITY

That in accordance with Wisconsin State Statutes 46.27(7)(c)3.d., 46.27(11)(c)5n.d., and 46.277(5)(d) and state policy, Racine County has established criteria for quality in specified Adult Family Care Homes and Community Based Residential Facilities. The AFCH/CBRF shall adhere to the standards in order to receive funding from Racine County.

To determine that the AFCH/CBRF provides quality care services within a quality environment, AFCH/CBRF Provider shall develop provisions related to the following minimum standards or criteria:

- A. The facility allows for privacy.
 - Facilities that do not offer a private room allow the person to choose with whom they share their room;
 - Residents are encouraged to invite visitors and there are areas where visits can take place with privacy;
 - Staff respect privacy of residents;
 - Confidentiality is respected.
- B. The facility has corrected any sanction, penalty, or deficiency imposed by the Department in accordance with processes outlined in DHS 83 and to the satisfaction of Racine County.
 - The facility shall submit to the Purchaser a copy of the Department's survey findings;
 - The facility shall notify the Purchaser of any investigation, penalties, sanctions or deficiencies by the State of Wisconsin Bureau of Quality Assurance;
 - The facility shall submit to the Purchaser a copy of the facility's Plan of Correction;
 - The facility shall submit to the Purchaser documentation of compliance with the facility's Plan of Correction. Refer to "Procedures" for timelines.
- C. Care, services, and the physical environment of the AFCH/CBRF address the individual needs of the client.
 - In accordance with DHS 83.32 and 88.06 the facility will include the Purchaser's case manager in the development and/or modification of individualized service plan;
 - The individualized service plans and services evolve over time to meet the changing needs of the residents;
 - An interdisciplinary approach is used to develop the care plan;
 - Services and activities are designed according to individual needs;
 - The facility has a plan to identify and respond to medical needs and emergencies;
 - Staff are well-trained and competent, and ratios are sufficient to meet the needs of clients;
 - The furnishings and decorations are appropriate, respecting both the age and levels of disability;
 - There is safe access to outdoor activities;
 - The home appears to be safe and secure;

- Doorways, hallways, and rooms are large enough to accommodate wheelchairs if applicable;
 - Architectural modifications and equipment respond to resident needs.
- D. Care, services, and the physical environment provided by the AFCH/CBRF address the individual preferences of the client.
- A variety of social and recreational activities are offered in-house and in the community;
 - Efforts are made to provide a variety of nutritious and good tasting meals, while taking resident's preferences into consideration;
 - Residents are encouraged to decorate their own rooms;
 - The opinions of residents and significant others are sought and respected;
 - Choices are available about things that matter to the residents;
 - The facility schedule for daily activities allows for individual preferences.
- E. The CBRF provides opportunities for potential new residents, their families and county care managers to observe, experience and evaluate everyday activities.

METHOD TO DETERMINE ADHERENCE TO QUALITY STANDARDS:

Each CBRF shall provide a full range of program services based on the needs of the resident that are consistent with the requirements of DHS 83.33 and/or 88.07 relating to services provided. Each AFCH/CBRF shall be monitored by using the quality standards outlined above. Quality indicators shall be used by Racine County to evaluate the functioning and capability of the AFCH/CBRF to provide adequate services to program participants.

The following measures/vehicles will be used to determine compliance with the above standards:

1. Any investigation, sanction, penalty, or deficiency imposed by the State of Wisconsin Bureau of Quality Assurance;
2. Purchaser's Case Manager Evaluation and Satisfaction (including, but not limited to, the case manager's observations of the facility and the facility's adherence to the quality standards presented in this document);
3. Consumer Satisfaction (including, but not limited to, a review of the CBRF Resident Satisfaction Evaluations).

PROCEDURES:

The Provider shall provide a copy of any State of Wisconsin imposed finding of deficiency to Purchaser within two (2) working days;

When a notice of violation is issued by DHS, the Provider shall submit the Plan of Correction to the Purchaser no more than 30 days after the date of notice. If DHS requires modifications in the proposed Plan of Correction, the Provider shall submit a copy to the Purchaser;

If the Provider fails to make a correction by the date specified in the Plan of Correction, the Purchaser reserves the right to freeze new county admissions, remove consumers, require additional staff training in one or more specific areas, withhold payments, terminate or suspend contract.

This contract will be terminated by the Purchaser under the following circumstances:

- Fraudulent billing for care and services;
- Mismanagement of consumer funds;
- Resident abuse;
- Intentional violation of contract.

**RACINE COUNTY
MA PERSONAL CARE SERVICES AGREEMENT & ASSURANCES**

This agreement between the BEHAVIORAL HEALTH SERVICES OF RACINE COUNTY and the CBRF/AFCH Provider is for the provision of Medical Assistance Personal Care (MAPC) by the Provider and billed to Medical Assistance through the Medical Assistance Purchaser number of a contracted home health agency licensed under 50.49 WI Stats and DHS 133 WI Admin. Code or an independent living center as defined in s. 46.96(1) (ah) WI Stats.

General Terms and Conditions:

1. The Purchaser and the home health agency/independent living center shall have access to any and all documentation of consumers, workers, operations, and training related to the provision of MAPC for the purpose of monitoring and review. Provider will also make available the hiring procedures and personnel policies.
2. Provider will maintain employee record files, which will include time card or time sheets detailing hours worked itemized by consumer, services provided itemized by consumer with times allocated to individual services and documentation of required Personal Care Worker (PCW) training or waiver of that training. Provider insures that the Purchaser and the home health agency/independent living center will have access to MAPC worker files for review and monitoring purposes to insure training requirements and accuracy of time sheets and invoices.
3. In the event of a State Audit which results in the Purchaser or home health agency/independent living center being required to repay any recoupment amounts assessed by the State which arise out of, or are related to, in any form or manner, the performance of Provider, the Provider shall reimburse Purchaser/personal care agency for these amounts. Provider will indemnify and hold Purchaser harmless for any and all costs, expenses and attorney's fees associated with these amounts. Purchaser/personal care agency is entitled to retain MAPC funds due and owing Provider pending resolution of the request for recoupment. Upon final and binding determination, these funds may be applied to the recoupment amount due the State.

Provider agrees to provide personal care services to residents of Racine County in compliance with the Medical Assistance Certification requirements found in DHS 105.17. Specifically, Provider agrees to perform the following functions.

1. Employ or contract with personal care workers to provide personal care services;
2. Employ trained workers or train or arrange and pay for training of employed or subcontracted personal care workers as necessary;
3. Coordinate with the home health agency and/or independent living center registered nurses assigned to personal care;
4. Supervise the provision of personal care workers, with the input of the home health agency and/or independent living center nurses;
5. Document a grievance mechanism to resolve recipient's complaints about personal care services, including a personal care provider's decision not to hire a recipient's choice of a personal care worker;
6. Perform all functions and provide all services specified in a written personal care provider contract between the personal care provider and personal care workers under contract, and maintain a copy of that contract on file. Document performance of personal care workers under contract by maintaining time sheets of personal care workers which will document the types and duration of services provided by funding source;
7. Provide a written plan or operation describing the entire process from referral through deliver of service and follow-up;
8. Provide the personal care worker with the basic materials and equipment needed to deliver personal care services;
9. Cooperate with other health and social service agencies in the area and with interested community referral groups to avoid duplication of services and to provide coordination of personal care services to recipients;
10. Evaluate each personal case worker's performance on a periodic basis;
11. Personal care services are those services provided beyond the scope of basic residential care and, as such, are not a usual and expected service. On hands personal care is a support that must be contracted in addition to the basic support of room, board, care and supervision;
12. Provider recognizes that the home health agency or independent living center is a certified Personal Care Provider and that Provider subcontracts with the home health agency/independent living center and Purchaser as a provider of services.

Provider will sub-contract with a home health agency and/or independent living center for registered nursing supervision services. The personal care registered nurse supervisor listed in #3 above will have the following qualifications:

1. Be licensed as a registered nurse in the State of Wisconsin pursuant to s.441.06 Wis. Stats;
2. Be a public health nurse or employed by a home health agency, an independent living center or a hospital rehabilitation unit; and
3. Provide documentation of experience in providing personal care services in the home.

The personal care registered nurse supervisor listed in #3 above will perform the following duties:

1. Evaluate the need for service and make referrals to other services as appropriate;
2. Secure written orders from the recipient's physician. These orders are to be renewed once every three months unless the physician specifies that orders covering a period of time up to one year are appropriate, or when the recipient's needs change, whichever comes first;
3. Develop a plan of care for the recipient giving full consideration to the recipient's preferences for service arrangements and choice of personal care worker, include a copy of the plan in the recipient's health record, and review the plan at least every 50-60 days and update it as necessary;
4. Assist the supervisory staff of the Provider to interpret the plan to the personal care worker(s);
5. Assist the supervisory staff of the Provider to develop appropriate time and service reporting mechanisms for personal care workers and instruct the workers on their use;
6. Assist the supervisory staff of the Provider to give the worker written instructions about the services to be performed and demonstrate to the worker how to perform the services, and
7. Assist the supervisory staff of the Provider to evaluate the competency of the worker to perform the services;
8. Waive training requirements for personal care workers who demonstrate sufficient training and/or experience in providing personal care.

All personal care workers employed by the Provider to serve residents will meet the following qualifications:

1. Be trained in the provision of personal care services. Training shall consist of a minimum of 40 class room hours, at least 25 of which shall be devoted to personal and restorative care, or 6 months of equivalent experience. Training shall emphasize techniques for and aspects of caring for the population served by the Provider;
2. Document successful completion or required training to the personal care provider for the Provider's records;
3. Be a person who is not a legally responsible relative of the recipient under s.s. 49 through 90 (1), Wis. Stats.; and
4. Be a person who has not been convicted of a crime which directly relates to the occupation of providing personal care or other health care services.

All personal care workers employed by the Provider to serve residents will perform the following duties assigned by their supervisor with the input of the personal care RN:

1. Perform tasks as assigned;
2. Report in writing on each assignment;
3. Report any changes in the recipient's condition to their supervisor; and
4. Confer as required regarding the recipient's progress.

This agreement shall continue in affect until amended or terminated by the parties. The agreement can only be amended in writing and agreed to by both parties. Purchaser reserves the right to terminate the agreement immediately upon receipt of evidence of inappropriate care being provided by Provider, or of fraudulent billing by the same. Otherwise, the agreement may be terminated by giving the other party 30 days written notice.

COMMUNITY BASED RESIDENTIAL FACILITY

PROGRAM REQUIREMENTS

1. Facility must be in compliance with all CBRF licensing requirements of the Department of Health and Family Services.
2. Facility must meet the appropriate local zoning and occupancy ordinance prior to implementation and secure occupancy permit prior to contracting.
3. Facility must have capacity to generate first or third-party collections.
4. Facility must include most recent copy of State of Wisconsin Department of Health and Family Services Application for AFH/CBRF Licensing, including the Program Statement per HFS 83.33 and Personnel Policies per HFS 88.13.
5. Facility must maintain accurate financial records of the CBRF and resident accounts, including personal funds and belongings.
6. Facility shall receive prior written authorization for any client specific cost not identified in the unit rate approval.
7. Room and board costs should not exceed 20% of total per day costs. Rates in excess of these amounts must be justified with verifiable financial data and program criteria.

The Provider must detail the level of services to be provided in each facility including: shift scheduling, daily scheduling of activities, level of supervision of medical care to be provided, activity schedules including staff ratios, planned activities involved in personal care, and a program summary of behavioral management activities planned for the level of client proposed.

8. Building costs (rental) shall not exceed the fair market costs for the specific location of each facility. Costs in excess of fair market will be denied by Behavioral Health Services of Racine County. Behavioral Health Services of Racine County will be the final determiner on fair market rates for each facility.

BASIC PROGRAM SPECIFICATIONS:

All CBRF's will coordinate with Behavioral Health Services of Racine County to ensure that clients receive a Community Options Program assessment before being admitted to the facility. This is in accordance with state Community Options rules and guidelines, effective July 1, 1998.

All CBRF's should provide the following minimum program requirements:

1. Services
 - a. 24-hour per day coverage

There shall be sufficient staff and facilities to provide services and supervision including getting client to work and other activities, and helping them plan and execute leisure activities.

Room, board and supervision shall be provided to all residents during those hours when the resident is under the direction of CBRF staff.

At least one staff person is to be present during the hours when residents are home, and will leave a number where they or a responsible party can be reached at the school, workshop, place of employment in case of emergency, if staff are not on premises when residents are out of facility.

Provide appropriate supervision, housing, nutrition, clothing, recreational opportunities for each resident.

b. Health and medication monitoring

Routine medical care: yearly physicals, sick visits and follow-up assistance with ongoing medication for controlled conditions (seizures, blood pressure).

Supervision and monitoring of daily medications. Notify Behavioral Health Services of Racine County Case Management staff of medications refused, missed or any other related problems if the situation persists for three days.

Report all significant illness/accidents which require a physician's attention to Behavioral Health Services of Racine County or its designated representative within 24 hours of the onset of same.

As necessary, arrange for annual medical and dental examinations with copies of the results to be filed with Behavioral Health Services of Racine County or its designated representative.

Record significant events (illnesses, behavioral changes, school/day program achievements, etc.) for each resident and make these records available to Behavioral Health Services of Racine County or its designated representative.

c. Information & referral

Work with other agencies and organizations involved in the provision of services to their residents. This includes schools, day programs, supported work programs, leisure time providers, medical and dental providers. This is to be done with the recognition that all residents should be considered as potential independent living residents and a support network to work toward independent living shall be a factor in programming.

d. Insure recreation & leisure time services are available

Provide adequate and appropriate leisure time activities using community-based resources.

e. Daily living skills

Develop skill attainment levels with regard to entry or reentry into the community. It shall be at the discretion of Behavioral Health Services of Racine County case manager to determine if appropriate day programming within the facility meets individual client needs or whether additional outside services need to be authorized.

Routine personal care: monitoring, reminders, and some hands-on assistance with grooming, dressing, bathing.

Minor behavioral management: occasional upsets or tantrums, normal emotional traumas, unusual mannerisms (minor compulsive behaviors, repetition).

f. Transportation services

Provide transportation to medical appointments, job placements, workshops, day care centers, *court hearings, court-related appointments*, recreational, and social activities.

2. Treatment records shall be maintained and shall include:
 - a. Admission data
 - b. Physical/medical data
 - c. Medication data
 - d. Progress notes
 - e. Development of individualized treatment plans and goals
 - f. Provisions of a grievance procedure

3. The owners, administrators, operators and staff members shall comply with the following requirements:
 - a. Enable Behavioral Health Services of Racine County or its designated representative access to the resident upon the request of Behavioral Health Services of Racine County or its designated representative or the resident.
 - b. Respect the resident's need for privacy in respect to mail, telephone calls, personal needs, etc.
 - c. Respect the resident's religious and cultural beliefs.
 - d. Permit visitation by family and friends of the residents at reasonable and appropriate times. (CBRF operators will receive at least 24-hour notification from resident's natural family of on or off premises visitation.)
 - e. Notify Behavioral Health Services of Racine County or its designated representative when any resident is to be away from the premises for 24 hours or more or is to leave the State of Wisconsin.
 - f. Notify Behavioral Health Services of Racine County or its designated representative when the resident leaves the CBRF without the approval or consent of the operator.
 - g. Refer all inquiries regarding the resident placements (respite and long-term) to Behavioral Health Services of Racine County or its designated representative.
 - h. Notify Behavioral Health Services of Racine County or its designated representative with respect to problems with the resident.
 - i. The CBRF operator shall not provide or disseminate any information regarding any resident without the prior consent of Behavioral Health Services of Racine County.
 - j. The CBRF administrator will be responsible for the staff's adherence to the above.

For residents in need of a more structured hands-on level of care, the Provider would need to provide:

- More supervision of medical care: frequent illnesses, medical conditions that need ongoing care (special diets, diabetes) that are partially controlled or intense needs for ongoing conditions (uncontrolled seizures, skin conditions, positioning, dialysis, use of psychotropic drugs);
- Expanded supervision of activities: requires staff to plan, accompany and execute the activities with residents and to work with resident input to the extent possible;
- More intense personal care: staff must usually assist in dressing, feeding, grooming, bathing, but client can partially do it themselves, or there is total or near total care for bathing, grooming, toileting, feeding, etc.;
- Behavioral management: outbursts can occur 1-2 times per week, may purposefully break rules, use street drugs or alcohol inappropriately, soil bed, be inappropriate sexually, require a formal behavioral program, or

behavioral management is a daily need due to ongoing emotional distress, mental illness, aggression, criminal behaviors.

In addition to the verbal notifications listed above, all Providers will supply the following documents to Behavioral Health Services of Racine County case managers:

- Copies of the individual service plan for each resident;
- Quarterly progress reports with updates on behavioral and medical issues;
- Copies of discharge summaries.

Emergency Preparedness/Disaster Planning

1. The Provider shall develop a written disaster plan to address all hazards planning (fire, flooding, hazardous materials release, weather, cold/heat emergencies, health emergencies, terrorist acts, etc.). The plan shall identify specific procedures and resources required for both sheltering-in-place and evacuation from the facility to an alternate site(s) should evacuation be necessary to provide for the safety and well being of individuals placed in the care of the facility.
2. The disaster plan will be updated annually and a copy shall be provided to Racine County Human Services Department by February 5th of each year for which the vendor agency is under contract.
3. If the individual placed by Racine County Human Services Department in the care of the CBRF/AFH is residing in another county, Provider will provide a copy of the written disaster plan to the Human Services Department in the county of the individual's residency.
4. Staff employed by Provider shall receive training on the disaster plan as part of their orientation and annually thereafter. Documentation of such training will be maintained by the agency.
5. Upon admission to the CBRF/AFH the individual (if appropriate) and his/her caseworker will be provided information addressing the facility disaster plan, including contact information and evacuation location(s). Provider shall provide documentation of this in the individual's file.
6. Provider shall maintain a roster of phone/pager numbers to be used in an emergency to contact agency staff, the individual's legal guardian, and Racine County Human Services to advise them of the emergency. Contact numbers shall also include local law enforcement and emergency numbers for fire and rescue.
7. Provider understands that in the event of an evacuation there are critical items that must be taken to include agency contact information; individual's medical information (e.g. prescriptions, recent medical reports, physician's name and immunization history); identifying information for the individual including citizenship information; any court orders that may be involved in the placement of the individual; guardian information, etc. at time of the event. Provider further understands that in the event of an emergency they should call the Racine County Human Services Department Information and Assistance Line at 262-638-7720. Should any information included in the emergency evacuation plan change, Provider will update the Racine County Human Services Department within 14 days of the change.

SERVICE CHECKLIST

Specification of Services required by statute and administrative rule (to be provided at a level and frequency needed by each resident). CBRF/AFH provider shall indicate which of the following is applicable to the respective facility. If you have multiple facilities and services vary, you must complete one for each facility.

Program services listed in HFS 83.33, HFS 83.35, & HFS 88.07	<u>Name of facility:</u> The service will include these activities:	Yes or No
Supervision [as defined in HFS 83.04(64), 88.06 (3)(c)]	<ul style="list-style-type: none"> • Supervision during day-time hours • Supervision will include overnight staff who may sleep when not needed to monitor or tend to resident needs • Supervision will include overnight awake staff 	<p>Yes</p> <p>Yes</p> <p>Yes</p>
Information and referral	<ul style="list-style-type: none"> • Information about community activities • Information and referral for appropriate health and social services 	<p>Yes</p> <p>Yes</p>
Leisure time activities	<p>The AFH/CBRF will promote resident participation in a program of daily activities designed to provide needed stimulation and variety consistent with the interests of the resident. Specific activities include:</p> <ul style="list-style-type: none"> • Choice of an array of individual activities (e.g. books & magazines, cards, sewing, crafts) • Choice of an array of social activities (e.g. conversation, group projects, games, cards, crafts) • Choice of outdoor activities (e.g. sitting, walking, social events) • Participation in planning and taking outings • Opportunities for indoor and outdoor exercise • Activities to accommodate needs and disabilities of residents (e.g. large print books, books on tape, phone adapters, adaptive utensils, and other equipment, etc.) 	<p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p>
Community activities	<ul style="list-style-type: none"> • Inform residents about community activities consistent with their personal interests; allow choice (e.g. clubs, sports, religious events, entertainment) • Arrange/provide for participation • Involve community in AFH/CBRF; host social events • Allow use of phone for planning/ arranging events 	<p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p>
Family Contacts	<ul style="list-style-type: none"> • Assist family contacts through resident phone calls, letter writing, visits, and special occasion events • Arrange contacts (in or out of facility) • Provide family with information about the resident (as authorized by resident) 	<p>Yes</p> <p>Yes</p> <p>Yes</p>
Health Monitoring & Medical Services	<p>Monitor health and make arrangements for health care appointments as needed or support resident to make own arrangements (includes physical health, mental health, and dental care)</p>	<p>Yes</p>

Medications	<ul style="list-style-type: none"> The AFH/CBRF medication program for all medications controlled by the AFH/CBRF is supervised by an RN or an RPh as described in HSS 83.33(3)(e)3 The AFH/CBRF has all medications controlled by the AFH/CBRF prepackaged by an RPh as described in s. HSS 83.33(3)(e)4 	Yes Yes
	<ul style="list-style-type: none"> Resident controls and self-administers medications Resident controls and AFH/CBRF provides supervision of medications; resident self-administers medications AFH/CBRF manages and resident self-administers medication AFH/CBRF provides supervision and assistance AFH/CBRF manages and administers medications AFH/CBRF provides medication administration instruction to residents AFH/CBRF supervises/administers controlled substances/psychotropic medications AFH/CBRF coordinates medication orders with prescribing physician and pharmacy AFH/CBRF orders refills of medications from pharmacy when refills are authorized AFH/CBRF picks up medications from pharmacy for resident 	Yes Yes Yes Yes Yes Yes Yes Yes Yes Yes
Meals	<p>AFH/CBRF provides:</p> <ul style="list-style-type: none"> 3 meals a day 2 meals a day Accommodation for special diets Nutritious snacks <ul style="list-style-type: none"> - morning - afternoon - evening Opportunities for resident food selection/menu planning 	Yes Yes Yes Yes
Transportation to/for	<p>To / for:</p> <ul style="list-style-type: none"> Medical appointments Work/day program Education or training Religious services Community activities <ul style="list-style-type: none"> - Shopping - Banking - Hair care - Religious activities - Government meetings - Voting - Social/recreational events - Visits to family/friends <p>Provider:</p> <ul style="list-style-type: none"> ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides ___Arranges <u>X</u> Provides <u>X</u>Arranges ___Provides 	

Other services required by purchaser

Specific Services	Optional detail about included activities:	Yes or No
Personal care	Provide training, prompts, or transitional services for, or assistance with: <ul style="list-style-type: none"> · Eating · Toileting · Personal hygiene · Dressing · Grooming · Bathing · Transferring · Mobility 	Yes Yes Yes Yes Yes Yes Yes Yes
Independent living skills	<ul style="list-style-type: none"> · Arrange for assistive devices to foster independence · Teach/support maintaining skills related to: <ul style="list-style-type: none"> - Education - Money management - Food preparation - Shopping - Use of public transportation - Vocational activities - Seeking and retaining employment - Laundry care - Cleaning the resident's living area · Provide assistance with self-direction 	Yes Yes Yes Yes Yes Yes Yes Yes Yes Yes
Communication skills	<ul style="list-style-type: none"> · Speech therapy · Interpreter services · TDD 	No No No
Socialization	<ul style="list-style-type: none"> · Dealing with anger · Conflict resolution · Strengthening personal relationships 	Yes Yes Yes
Activity programming for persons with irreversible dementia (in addition to activities listed in Attachment 1)	<ul style="list-style-type: none"> · Participation in household tasks · Activities for sensory stimulation · Activities to stimulate memory and retrieve information from the past · Activities based on earlier life experiences 	Yes Yes Yes
Nursing care	<ul style="list-style-type: none"> · Provided by the facility · Arranged by the facility · Hospice care provided under s. HSS 83.34 	Yes Yes Yes
Monitoring symptom status	<ul style="list-style-type: none"> · Keep the following persons informed of changes in symptom status in areas specified by the following persons: <ul style="list-style-type: none"> - Case manager - Physical therapist - Occupational therapist - Mental health therapist 	Yes Yes Yes Yes
Telephone access	<ul style="list-style-type: none"> · Local · Long-distance 	Yes Yes

PROGRAM REPORTING AND EVALUATION

Outcome	Methodology For Determining Whether Outcome Is Achieved	Completion Date
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1. 75% of the clients will not move to a more restrictive living arrangement.
2. 80% of the clients will show improvement in their skill level (i.e., self-care, daily living skills, behavior, self-management) as reflected in their goals.

An Annual Evaluation Outcome Report must be provided to the Human Services Department Contract Coordinator by 2/1/19.

2018 VENDOR AGENCY AUDIT CHECKLIST

A copy of this document must be completed, signed, and included in the audit submitted by your independent auditor.

Summary of Audit Results

Name of Agency _____

Period of Audit _____

1. The type of opinion issued on the financial statements of the auditee (i.e., unqualified opinion, qualified opinion, adverse opinion, or disclaimer of opinion). _____

2. Does the auditor have substantial doubt about the auditee's ability to continue as a going concern? Yes / No

3. Does the audit report show material non-compliance? Yes / No

4. Does the audit report show material weakness(es) or other reportable conditions? Yes / No

5. Does the audit report show audit issues (i.e. material non-compliance, non-material non-compliance, questioned costs, material weakness, reportable condition, management letter comment) related to grants/contracts with funding agencies that require audits to be in accordance with the Provider Agency Audit Guide:

- Department of Health Services Yes / No / NA
- Department of Children and Families Yes / No / NA
- Department of Workforce Development Yes / No / NA
- Department of Corrections Yes / No / NA
- Other funding agencies (list) Yes / No

6. Was a Management Letter or other document conveying audit comments issued as a result of this audit? Yes / No

7. Signature of Partner in Charge: _____

Date of report: _____